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1 **Cell therapy for ischemic stroke: are differences in preclinical and clinical study design**  
2 **responsible for the translational loss of efficacy?**

3  
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18 **Running head:** Cell therapy for ischemic stroke

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39 **ABSTRACT**

40 Cell therapy is an attractive strategy for enhancing post-stroke recovery. Different cell types  
41 and several treatment strategies have been successfully applied in animal models, but efficacy  
42 in stroke patients has not yet been confirmed. We hypothesize that the significant design  
43 differences between preclinical and clinical trials may account for this situation. Using a meta-  
44 analysis approach and comparing preclinical with clinical trials, we reveal and discuss  
45 preliminary evidence for such design differences. While available datasets are not yet  
46 numerous enough to draw definitive conclusions, these findings may represent signposts on  
47 the route to efficacy by harmonizing preclinical and clinical study designs.

48 **Abbreviations**

49	ART	adhesive removal test
50	BBB	blood-brain barrier
51	CI	confidence intervals
52	FMS	Fugl-Meyer Scale
53	mBI	modified Barthel Index
54	MSC	mesenchymal stem/stromal cell
55	MNC	mononuclear cell
56	mNSS	modified neurological severity score
57	mRS	modified Rankin Scale
58	NIHSS	National Institutes of Health Stroke Scale
59	NRCT	non-randomized controlled trial
60	NSC	neural stem cell
61	PRISMA	Preferred Reporting Items for Systematic Reviews and Meta-Analyses
62	RCT	randomized controlled trial
63	SMD	standardized mean differences
64	T1DM	type 1 diabetes mellitus
65	T2DM	type 2 diabetes mellitus
66		

67 Cell-based therapy has been proposed as a promising paradigm for ischemic stroke for almost  
68 two decades<sup>1</sup>. Different types of cells, particularly mesenchymal stem/stromal cells (MSCs),  
69 neural stem cells (NSCs) and mononuclear cells (MNCs), have been successfully tested in  
70 animal models. Several mechanisms, such as (limited) cell replacement, immunomodulation,  
71 as well as promotion of angiogenesis and neurogenesis, have been claimed be responsible for  
72 the observed improvements<sup>2-4</sup>.

73 Although a number of early-phase clinical studies investigating cell therapy for ischemic  
74 stroke have been conducted, convincing evidence of efficacy is still lacking<sup>5-8</sup>. Inadequate  
75 quality of preclinical tests has been previously considered as a major reason for unsuccessful  
76 translation of experimental stroke therapies into the clinic, but the quality of preclinical stroke  
77 studies is clearly improving<sup>9</sup>. However, significant design differences between preclinical and  
78 clinical trials may hinder translation. Hence, it is essential to explore how well the currently  
79 described preclinical and clinical trial designs correspond to each other in order to devise  
80 innovative ways for advancing clinical translation of cell therapies in stroke.

81 An objective way to approach such problems is to conduct a systematic meta-analysis.  
82 Therefore, we have adopted this approach to: 1) estimate the current cell therapy efficacies in  
83 both animal stroke models and stroke patients; 2) explore the sources of heterogeneity in  
84 preclinical and clinical studies; 3) investigate the hypothesis of poorly-corresponding  
85 preclinical and clinical trial designs; and 4) identify the potential gaps in clinical translation to  
86 be bridged in future approaches.

### 87 **Methodological approach**

88 Studies on cell therapy for ischemic stroke published before April 3<sup>rd</sup> 2018 were identified  
89 from PubMed, Web of Science, and Scopus according to the Preferred Reporting Items for  
90 Systematic Reviews and Meta-Analyses (PRISMA) guidelines. The detailed protocol is  
91 available on PROSPERO (CRD42018093214 and CRD42018096257) or in Supplemental  
92 Material. Briefly, preclinical studies describing cell transplantation in animal models of focal  
93 cerebral ischemia, and controlled clinical studies were gathered. We included the four most  
94 frequently examined outcome measures: 1) infarct size; 2) modified Neurological Severity  
95 Score (mNSS); 3) rotarod test; and 4) adhesive removal test (ART) performance. A quality  
96 score was also assigned<sup>10,11</sup>. In clinical studies, functional outcomes were measured by  
97 National Institutes of Health Stroke Scale (NIHSS), modified Barthel index (mBI), modified  
98 Rankin scale (mRS), and Fugl-Meyer scale (FMS). Standardized mean differences (SMD), 95%  
99 confidence intervals (95% CI) and statistical significances were examined using the inverse-  
100 variance method<sup>12</sup>. For each outcome, the effect size was calculated using *Hedges' g* and  
101 heterogeneity was calculated as  $I^2$ . In view of the substantial heterogeneity in the included  
102 studies, a random effects model was applied to estimate the pooled effect size. Univariate meta-  
103 regression was conducted on preclinical studies and subgroup analysis was conducted on  
104 clinical studies to explore the sources of heterogeneity.  $P < 0.05$  was considered as statistically  
105 significant and  $0.05 \leq P < 0.10$  as a trend. Data were analyzed using Stata version 14.0 (Stata-  
106 Corp).

107 A total of 3868 records from PubMed, 5041 records from Scopus, and 4073 records from  
108 Web of Science were identified. Ultimately, 355 preclinical studies with 10830 animals, and  
109 10 controlled clinical studies (phase I/II) with 460 patients were included (Fig 1).

110

### 111 **Preclinical and clinical study qualities**

112 The median quality score of the preclinical studies was 5 out of 10 (interquartile range: 4-6)  
113 (Online Table 1). Randomization and blinded outcome assessment had been applied in 222  
114 (62.5%) and 203 (57.2%) of the 355 included studies, respectively. Only 23 (6.5%) studies  
115 reported allocation concealment and 10 (2.8%) studies provided a *priori* sample size

116 calculation. Animal models with comorbidities such as hypertension or diabetes were utilized  
117 in only 24 (6.8%) studies.

118 Nine out of the ten clinical trials had at least one source of bias according to the Cochrane  
119 Risk of Bias Tool<sup>13</sup>. Four studies were non-randomized controlled trials (NRCT), five studies  
120 did not report allocation concealment, and five studies featured a non-blinded outcome  
121 assessment. Only one trial was double-blinded. All studies reported complete outcome data,  
122 but only two provided details regarding power calculation.

123

## 124 **Therapeutic effect differences in cell therapy**

125

### 126 ***Robust efficacy of cell therapy in stroke animals***

127 Analysis of published data confirmed previous findings that cell therapy significantly  
128 improved both structural and functional outcomes in experimental stroke<sup>14-18</sup>. Although  
129 substantial inter-study heterogeneities ( $I^2$ ) were observed (65.7%-75.2%), the effect size was  
130 consistently large for each outcome measure (1.35 for infarct size reduction, 1.69 for mNSS,  
131 1.56 for rotarod test, and 1.56 for ART;  $P < 0.001$ , Fig 2).

132 Funnel plotting suggested that there was a significant left-sided bias, meaning that studies  
133 with effect sizes smaller than mean values were under-reported (Fig 3). Egger's regression test  
134 revealed a significant publication bias for each outcome ( $P < 0.01$ ). Nonetheless, after adjusting  
135 for publication bias by trim and fill, the mean effect sizes remained large (0.79 for infarct size,  
136 1.09 for mNSS, 1.00 for rotarod test and 1.07 for ART).

137

### 138 ***Potential reasons for therapeutic effect heterogeneity in preclinical studies***

139 The immunogenicity of injected cells accounted for 5.3%-16.0% of the observed  
140 heterogeneity in outcome ( $P < 0.05$ ). Based on the results of infarct size and ART, autologous  
141 cells had the largest effect, followed by allogeneic and xenogeneic cells; syngeneic cells did  
142 not display any significant efficacy in comparison with control treatment (Fig 4Ai, Ci, Di).

143 Freeze-thawing procedure accounted for up to 9.9% of the observed heterogeneity, e.g. in  
144 ART performance ( $P < 0.01$ ). Freshly-isolated cells were consistently associated with larger  
145 effects than frozen-thawed cells (Fig 4Aii, Bi, Dii).

146 Cell type accounted for 7.6% of the observed heterogeneity in functional outcome (rotarod  
147 test) ( $P = 0.0075$ ). Treatment with NSCs showed the largest effect, followed by MSCs, MNCs,  
148 and other cells (Fig 4Ci). Cell origin, cell stemness and manipulation also contributed to the  
149 heterogeneity (Supplemental Fig 1B-E).

150 Comorbidities also influenced outcome and explained 1.3%-5.8% of the observed  
151 heterogeneity ( $P < 0.05$ ). Cell treatment of comorbid animals consistently induced smaller  
152 effects than those obtained in healthy animals (Fig 4Aiii, Bii, Diii).

153 The stroke model accounted for 2.3% of the observed heterogeneity in infarct size  
154 ( $P = 0.0407$ ). The intraluminal filament model was associated with the largest therapeutic effects  
155 (Fig 4Aiv). Moreover, an earlier assessment of infarct size (within one month) revealed larger  
156 effects as compared to a later assessment, suggesting that the therapeutic effect of injected cells  
157 may decline with time (Supplemental Fig 1A).

158 The cell delivery route accounted for 8.1% of the observed heterogeneity in infarct size  
159 ( $P = 0.0001$ ). Intraventricular cell delivery achieved the largest effects on infarct size (Fig 4Av),  
160 but intracortical cell transplantation induced the greatest impact on mNSS performance,  
161 followed by intraventricular cell delivery (Fig 4Biii).

162 A higher quality score tended to result in a smaller effect size ( $P = 0.09$ ) (Fig 4Biv). A higher  
163 impact factor of the published journal also tended to associate with a smaller effect size  
164 ( $P = 0.0961$ ) (Supplemental Fig 1F).

165

166 ***Moderate cell therapy efficacy in patients***

167 Despite the small number of clinical trials, cell therapy induced a statistically significant  
168 beneficial effect in mBI (SMD=0.32, 95% CI: 0.03-0.61, P=0.032) as well as a trend in mRS  
169 (SMD=0.30, 95% CI: -0.03-0.64, P=0.078), but not in NIHSS (P=0.298) or FMS (P=0.112).  
170 The heterogeneity varied considerably with the various outcome measures (24.3%-85.0%) (Fig  
171 5).

172

173 ***Potential reasons for therapeutic effect heterogeneity in clinical trials***

174 We performed further subgroup analyses to clarify the effects of different clinical study  
175 design characteristics (Fig 6). MSCs showed a larger effect size than MNCs in mRS (0.20 vs.  
176 0.07; Fig 6Ai), mBI (0.94 vs. 0.13; Fig 6Bi), and FMS (1.77 vs. 0.35; Fig 6Di).  
177 Allogeneic/cryopreserved cells had been administered in only one study. Similar to the  
178 preclinical findings, studies using autologous/freshly-harvested cell therapy achieved better  
179 outcomes than those utilizing allogeneic/cryopreserved cells in mRS (0.37 vs. 0.17; Fig 6Aii,  
180 6Aiii), mBI (0.39 vs. 0.23; Fig 6Bii, 6Biii), and NIHSS (0.88 vs. -0.02; Fig 6Cii, 6Ciii).  
181 Furthermore, a trial using intracortical cell delivery reported better outcomes as compared to  
182 intravascular delivery in mRS (Fig 6Aiv) and NIHSS (Fig 6Civ). Randomized clinical studies  
183 revealed larger effect sizes than non-randomized ones in mRS (0.37 vs. 0.22; Fig 6Av) and  
184 NIHSS (0.78 vs. 0.08; Fig 6Cv), but smaller effect sizes in mBI (0.28 vs. 0.42; Fig 6Bv) and  
185 FMS (0.52 vs. 0.80; Fig 6Dv).

186

187 ***Preclinical and clinical study design differences: current situation and potential impact***

188 In contrast to the very positive results in animal models, therapeutic effects in clinical studies  
189 have been less impressive. It is noteworthy that current clinical studies on cell therapy for stroke  
190 are early stage clinical trials and are often underpowered to reveal all but the most prominent  
191 therapeutic effects. Nevertheless, remarkable design differences between preclinical and  
192 clinical studies were detected (Fig 7), which may affect clinical translation. Interestingly, we  
193 already identified cell immunogenicity, cryopreservation, cell type, comorbidity profiles and  
194 occlusion modality (i.e., the stroke model) as sources of effect size heterogeneity in preclinical  
195 studies. Basic preclinical study design characteristics are described in Online Table 2, and those  
196 of clinical studies are in Online Table 3.

197

198 ***Cell immunogenicity***

199 The majority of the cells used in preclinical studies were allogeneic (47.9%) or xenogeneic  
200 (46.2%), but most of the clinical studies have utilized autologous cell transplants (70.9%) (Fig  
201 7A). In line with another analysis<sup>16</sup>, autologous cells have achieved better outcomes than their  
202 allogeneic counterparts in preclinical and clinical studies. Therefore, cell immunogenicity may  
203 not be a major reason for the current translational loss of efficacy. However, autologous cells  
204 were used in 25 preclinical studies, while allogeneic cells were used in only one clinical trial,  
205 and thus these results need to be interpreted with caution. Interestingly, syngeneic cells only  
206 demonstrated minor treatment effects. This contradictory result may be due to the small number  
207 of these studies and their high quality scores (median: 9 as compared to 5 for the entire data  
208 set).

209 Autologous cell therapy avoids adverse immunological side effects after transplantation,  
210 which is clinically relevant. The effect of systemic xenogeneic cell transplantations in  
211 preclinical experiments may theoretically be related to the immunosuppressive effects of  
212 apoptotic cells diminishing secondary inflammatory brain damage. This idea was proposed  
213 more than two decades ago<sup>19</sup>, but has never been truly investigated in a stroke paradigm. If this  
214 concept is true, its clinical impact would be substantial and clearly warrants future investigation.

215

216 **Cryopreservation**

217 In preclinical studies, 33.1% of stroke animals received freshly harvested cells, 10.3%  
218 received cryopreserved cells, while no clear details on cryopreservation were provided in the  
219 other studies. In clinical trials, freshly harvested cells were used in 70.9% of patients with  
220 cryopreserved cells being used in the remainder (Fig 7B). The exploitation of cryopreserved  
221 cells as off-the-shelf products allows cell delivery at acute time points. However, our results  
222 indicate that frozen-thawed cells were associated with significantly reduced efficacy when  
223 compared to their freshly-harvested counterparts in preclinical and clinical trials.  
224 Cryopreserved cells may indeed exhibit lower viability, compromise immunomodulatory  
225 effects, and induce more intense or immediate blood-mediated inflammatory reactions<sup>20-23</sup>,  
226 particularly in MNC populations<sup>23</sup>. Nonetheless, some recent studies have also described  
227 comparable therapeutic effects between cryopreserved and fresh cells<sup>24-26</sup>. The exact conditions  
228 compromising the efficacy of cryopreserved cells may be complex but should be clarified as  
229 soon as possible.

230

231 **Cell type**

232 MSCs were the most frequently investigated cells in preclinical studies (51.5% of stroke  
233 animals), followed by NSCs (21.8%), and MNCs (14.9%) (Fig 7C). Other cells such as  
234 endothelial progenitors, induced pluripotent or embryonic stem cells, had been administered in  
235 11.9% of stroke animals. In contrast, MNCs were much more frequently given to stroke  
236 patients (55.2%). Six out of ten included clinical studies used heterogeneous MNC populations,  
237 three administered MSCs, and one utilized CD34<sup>+</sup> cells.

238 The optimal cell type for ischemic stroke treatment remains unclear. Our analysis pointed to  
239 a superior effect with MSCs as compared to MNCs in both preclinical and clinical trials. The  
240 predominant use of MNCs in the clinic is likely due to practical issues such as ease of isolation  
241 and availability without time-consuming and sensitive in vitro cultivation, as well as the  
242 excellent safety profile of MNCs, compensating for their potentially lower efficacy. However,  
243 one meta-analysis of bone marrow-derived MNCs<sup>17</sup> showed an effect size larger than that  
244 achieved with either MSCs<sup>16</sup> or NSCs<sup>18</sup>, perhaps due to the different data searching and  
245 inclusion criteria. Analysis of preclinical studies also revealed that the trial with the overall  
246 most significant improvement involved NSCs (Fig 4Ciii), but unfortunately no clinical study  
247 on NSC transplantation could be included here due to the lack of appropriate control groups<sup>7,27</sup>.

248

249 **Recipient comorbidities**

250 More than 90% of animals were healthy before stroke induction whereas many stroke  
251 patients suffered from comorbidities such as hypertension (38.3%), diabetes (25.2%), and heart  
252 disease (30.7%). Only 5.4% of the patients were reported as being healthy before the stroke  
253 event (Fig 7D). Comorbidities themselves may exert a detrimental impact on treatment  
254 efficacy<sup>28</sup>, as confirmed also in our study. Furthermore, stroke patients often take medications  
255 such as anti-diabetics to counter comorbidities, and these compounds may interact with injected  
256 cells<sup>29,30</sup>. In addition, stroke patients are usually prescribed anti-platelet drugs for secondary  
257 stroke prevention and undergo post-stroke rehabilitation. However, few preclinical studies  
258 have investigated these potential interactions, leaving a clear knowledge gap in translational  
259 stroke research that likely affects the results obtained in subsequent clinical trials.

260 Mimicking the complex reality of clinical patient populations in preclinical studies is  
261 expensive and time-consuming. A potential solution might be to focus on patients with a  
262 particular, more specific risk profile and to mimic that experimentally. The disadvantage of  
263 this approach will be a slower patient recruitment as only a subgroup would receive treatment,  
264 but comparability will be higher.

265



266 ***Recipient sex and age***

267 Cell therapy has been mainly provided to young (93.7%) male (85.1%) rodents (99.3%). In  
268 contrast, stroke patients were often middle-aged (40-60 years old, 54.8%) or elderly (>60 years  
269 old, 45.2%), consisting of both males and females, and were always enrolled in clinical trials  
270 without selection (Fig 7E-F). We did not find sex and age to significantly affect the efficacy of  
271 cell therapy in stroke animals. However, this kind of influence cannot be excluded simply due  
272 to the very limited number of studies assessing female and aged individuals. Indeed, gender-  
273 related differences are a well-known and frequently discussed confounder for outcome in  
274 translational stroke research<sup>31</sup>. While simulating a clinically realistic sex distribution pattern in  
275 preclinical studies requires significant additional resources, neglecting sex differences  
276 introduces one more bias into experimental results<sup>32</sup>. Moreover, there is experimental evidence  
277 that cell donor's and recipient's ages can influence cell treatment efficacy, particularly in  
278 commonly applied MNC populations<sup>33</sup>.

279  
280 ***Cerebral vessel occlusion modalities***

281 The intraluminal filament stroke model was used in 80.5% of the studied animals. As shown  
282 above, the use of this model is associated with a larger effect size. It is also characterized by  
283 an extremely large infarct size limiting recovery processes, which is similar to the situation  
284 after large territorial infarction in humans. About 10-20% of ipsilateral corticospinal fibers do  
285 not cross in rodents, cats or monkeys, but it remains rather uncertain whether there are  
286 functionally relevant non-crossing corticospinal fibers in adult humans<sup>34</sup>. Hence, the large  
287 effect size in preclinical studies employing the filament model may be partly due to the rapid  
288 spontaneous stroke recovery mediated via activation and strengthening of the ipsilateral  
289 corticospinal pathway<sup>35</sup>, a process that can be further enhanced by cell therapy in rodents – but  
290 possibly not in humans.

291 Moreover, 74.1% of the stroke modelling in preclinical studies was transient, which mimics  
292 the recanalization in patients achieved by thrombectomy<sup>36</sup>, thrombolysis, or that occurring  
293 spontaneously. However, only a limited number of patients experience prompt recanalization,  
294 thus the permanent occlusion models might better reflect the present-day clinical situation  
295 except for intra-arterial cell transplantation<sup>5,37,38</sup>. The current advances in recanalization  
296 approaches may lead to increasing numbers of patients receiving cell therapy immediately after  
297 recanalization in the future, warranting the use of a transient stroke model for preclinical  
298 evaluation regardless of the targeted time point of cell administration, and would allow cell  
299 transplantation in a more acute stage after stroke-onset in clinical trials.

300  
301 ***Time window of cell transplantation***

302 In the preclinical studies, cells were transplanted within 24h after stroke onset in 67.5%, and  
303 between 24h and 1 week in 28.2% of experiments. However, in clinical trials, cells were more  
304 often transplanted at later time points, i.e. one week or even one month after stroke-onset  
305 (67.3%). No study had transplanted cells within 24h post-stroke (Fig 7G). Cell delivery in acute  
306 phase post-stroke is considered to result primarily in neuroprotection via enhanced blood-brain  
307 barrier (BBB) integrity and modulation of post-ischemic immune responses, but it is  
308 challenging to administer cells so early in the clinic. Post-acute cell delivery potentially  
309 increases angiogenesis, neurogenesis, and axonal plasticity, offering a wider time window for  
310 cell therapies<sup>39</sup>.

311 Although the time window was not found here to affect efficacy significantly, many  
312 preclinical studies claimed that earlier transplantation of cells could result in a better outcome<sup>40-  
313 42</sup>, although no conclusive evidence has been reported<sup>16,43,44</sup>. Successful clinical stroke care  
314 involves several strictly timed therapeutic interventions, dramatically restricting the time  
315 available for complex cell treatments. For this reason in clinical trials, cells have usually been

316 transplanted in either the subacute or chronic post-stroke stages. A good example is the  
317 MASTERS trial that evaluated the MultiStem cell product<sup>8</sup>, which is one of the best  
318 characterized cell products in the field. The preclinical research on the MultiStem cell product  
319 revealed an excellent outcome (effect size=3.98 for infarct size and 3.00 for mNSS)<sup>45</sup>, but only  
320 modest results were observed in the clinical MASTERS trial<sup>8</sup>. It is noteworthy that the time  
321 window for patient inclusion was expanded from 36h to 48h due to logistical requirements  
322 beyond the investigators' and sponsor's control. Although the safety of cell transplantation was  
323 demonstrated in the final MASTERS clinical trial, no significant therapeutic effect was  
324 detected after intravenous cell infusion at 24-48h post-stroke. However, a *post-hoc* subgroup  
325 analysis revealed beneficial effects of cell transplantation at earlier time points (<36h), which  
326 is exactly the patient population assumed to benefit most according to the preclinical data. The  
327 currently ongoing MASTERS-2 trial will take this aspect into account. This supports our  
328 proposal that understanding the timing and mechanisms of improvement following cell therapy  
329 is essential for successful clinical translation.

330

### 331 ***Delivery route***

332 Intravenous cell delivery had been performed in 51.6% of the preclinical studies, and was  
333 also predominantly chosen in clinical trials (74.9%). While intravenous cell delivery is a  
334 straightforward approach in both preclinical and clinical arenas, the optimal cell delivery route  
335 remains unclear and is likely related to the cell type used. Vu et al.<sup>16</sup> reported better mNSS  
336 performance after intracortical MSC delivery as compared to intra-arterial and intravenous  
337 delivery, whereas Lee et al.<sup>14</sup> found no significant effect of cell delivery route on outcome.  
338 Both preclinical and clinical data revealed better outcome of intracortical cell delivery  
339 compared to intravascular delivery. However, the utility of intracortical delivery is limited  
340 clinically due to its invasiveness<sup>46</sup>. Proof-of-concept studies may be required to assess whether  
341 the advantage of intracortical delivery outweighs the safety concerns. Indeed, the recent phase  
342 2b study (NCT02448641) of SB623 (transiently transfected MSCs overexpressing Notch-1)  
343 showed safety, but failed to show efficacy in chronic stroke patients, in contrast to the  
344 preliminary signs of efficacy from the preceding animal study<sup>47</sup> and phase 1/2b clinical trial<sup>48</sup>.  
345 Another sham controlled trial, the recently-started PISCES 3 trial (NCT03629275) is utilizing  
346 intracranial transplantation as well, but with a different cell product, cell dose and primary  
347 outcome measures; its results are keenly anticipated. The preclinical analysis also revealed  
348 superior effects of intraventricular over intracortical cell delivery. The intraventricular route is  
349 also slightly easier to perform than intracortical administration while still bypassing the BBB,  
350 and thus may be a promising option for the future. However, the potential risk of adverse effects  
351 such as hydrocephalus must be considered. No significant difference in therapeutic effect was  
352 found between studies using intra-arterial and intravenous delivery routes, but improper intra-  
353 arterial cell administration can trigger complications<sup>20, 49, 50</sup>.

354

### 355 ***Methodological limitations***

356 We included studies using different cell types, administration modes, etc., which increased  
357 the sample size for data analysis, particularly for clinical studies, and also enabled us to explore  
358 the sources of heterogeneity. As expected, substantial inter-study heterogeneity was observed.  
359 We addressed this in several ways: first, the heterogeneous outcome measures were  
360 standardized; second, a random-effects model was used, assuming that the treatment effect can  
361 vary across studies because of differences in study characteristics rather than by chance<sup>51</sup>; third,  
362 meta-regressions or subgroup analyses were performed to identify the sources of  
363 heterogeneity<sup>52,53</sup>. However, unexplained heterogeneity from sources that were not considered  
364 in our analysis may remain. It is noteworthy that heterogeneity cannot be avoided, and

365 considerable heterogeneity was also observed in previous studies using more strict inclusion  
366 criteria<sup>16-18</sup>.

367 Moreover, the number of included clinical studies is still small. In some cases, there was  
368 only one study (e.g. allogeneic/cryopreserved) available for subgroup analysis. Thus, the  
369 validity of these results remains uncertain, and more clinical results are needed.

370

### 371 **Conclusions and outlook**

372 Although the considerable heterogeneity in preclinical data and the so-far small number of  
373 available clinical datasets make it difficult to draw any definitive conclusions, we identified  
374 substantial design differences between preclinical and clinical trials, which may contribute to  
375 the modest efficacy of cell therapy in stroke patients and have important implications for future  
376 translational projects.

377 We propose several suggestions for preclinical studies which may prevent translational  
378 failure. First, in confirmatory preclinical studies, there should be greater similarity to patient  
379 populations likely to be treated in clinical trials. For example, use of aged male and female  
380 animals with comorbidities such as hypertension and diabetes would better reflect the clinical  
381 reality. Second, drug-cell interactions require further investigation. Third, permanent, instead  
382 of transient, stroke models might represent a more clinically relevant strategy when evaluating  
383 the efficacy of cell therapies<sup>54,55</sup>, particularly when targeting patient populations that cannot  
384 benefit from recanalization. Fourth, wider therapeutic time windows would benefit more  
385 patients. Hence, it would be beneficial to conduct more experimental studies testing cell  
386 transplantation in the subacute and chronic stroke stages. Fifth, it would be advantageous to  
387 devise a battery of sensory-motor function tests sensitive at detecting long-term impairment  
388 and conducive to repeated testing without developing compensatory strategies<sup>56</sup>. Last but not  
389 least, the therapeutic mechanisms of cell therapy still need to be clarified.

390 Several recommendations for clinical studies also emerge from our meta-analysis. First,  
391 freshly-harvested, autologous cells are recommended for future clinical trials to ensure  
392 maximal effects, if logistical challenges can be overcome. Second, studies of cell  
393 transplantation with more acute time windows (within 24h or 1 week) after stroke should be  
394 conducted, as these better resemble the situation in successful preclinical studies. Third, due to  
395 the extensive heterogeneity of the stroke patients, it will be crucial to identify the optimal  
396 recipients that are most likely to benefit from cell treatments, and to devise biomarkers that  
397 pinpoint such patients<sup>57</sup>. Last, multi-centered, randomized, double blinded clinical trials with  
398 larger sample sizes are urgently needed to evaluate the effect of cell therapy in stroke patients.

399 Finally, an illustration of comparability between preclinical and clinical studies by a  
400 similarity check list might help when translating a specific cell product from bench to clinic:  
401 1) same time window (acute, subacute or chronic); 2) same delivery route; 3) same cell dose  
402 (number of cells per kg/body surface area); 4) same cell immunogenicity; 5) same preparation  
403 procedure before transplantation (e.g. fresh vs. cryopreservation); 6) same target infarcts (e.g.,  
404 hemispherical infarcts of middle cerebral artery territory only, with or without reperfusion); 7)  
405 matched sex profile; 8) matched age; 9) same comorbidity; 10) same concomitant treatment.

406

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415

416 **Author Contributions**

417 LC, AT, JB and JJ contributed to the conception and design of the study; LC, DG, AT, JB and  
418 JJ contributed to the acquisition and analysis of data; LC, DG, AT, JB and JJ contributed to  
419 drafting the text and preparing the figures.

420

421 **Potential Conflict of Interest**

422 None.

423

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- 575



576 **Figure Legends**

577

578 Figure 1. PRISMA flowchart.

579 Figure 2. Effect sizes of (A) infarct size reduction, (B) mNSS, (C) rotarod test performance,  
580 and (D) ART performance in preclinical studies.

581 Figure 3. Funnel plot of (A) infarct size reduction, (B) mNSS, (C) rotarod test performance,  
582 and (D) ART performance in preclinical studies.

583 Figure 4. Study characteristics that significantly accounted for effect size heterogeneity in  
584 different outcome measures. (A) infarct size reduction: (i) cell immunogenicity; (ii) cell  
585 cryopreservation; (iii) use of animals with comorbidity; (iv) stroke model; (v) delivery time  
586 relative to stroke-onset. (B) mNSS: (i) cell cryopreservation; (ii) use of animals with  
587 comorbidity; (iii) delivery route; (iv) quality score of studies. (C) rotarod test: (i) cell  
588 immunogenicity; (ii) cell type. (D) ART: (i) cell immunogenicity; (ii) cell cryopreservation;  
589 (iii) use of animals with comorbidity. The dotted line indicates the pooled effect size of all  
590 studies.

591 Figure 5. Effect sizes of different outcome measures (mRS, mBI, NIHSS, and FMS) in  
592 clinical studies. Y: yes, N: no, Auto: autologous, Allo: allogeneic, Cryo: cryopreservation, N  
593 (T/C): number of patients (treated/control)

594 Figure 6. Subgroup analysis of mRS (A), mBI (B), NIHSS (C) and FMS (D) in clinical  
595 studies. (A-D): (i) cell type; (ii) cell immunogenicity; (iii) cell cryopreservation; (iv) delivery  
596 route; (v) randomization. The dotted line indicates the pooled effect size of all studies.

597 Figure 7. Study design discrepancies between preclinical and clinical studies: (A)  
598 immunogenicity of transplanted cells; (B) cell cryopreservation; (C) cell type; (D)  
599 comorbidities of stroke individuals; (E) age of stroke individuals; (F) sex profile; (G) time of  
600 cell transplantation.

601