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1 **A sensitive liquid chromatography–tandem mass spectrometry method for**
2 **monitoring the caspofungin trough plasma concentration and its association with**
3 **caspofungin efficacy in intensive-care-unit patients**

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18

19 **Running title:** Monitoring trough caspofungin plasma concentrations in ICU patients

20

21 **Key Words:** Echinocandin, *aspergillus*, *candida*, trough concentrations, intensive
22 care unit

23

24 **Abstract**

25 Caspofungin is a common treatment for fungal infections in intensive care unit (ICU)
26 patients, and in these patients their pharmacokinetics are highly variable. So a rapid
27 and sensitive liquid chromatography–tandem mass spectrometry (LC-MS/MS)
28 method was established for measuring C_{\min} in 18 ICU patients, and the exposure–
29 response characteristics of caspofungin were investigated. The calibration curve
30 included clinically relevant caspofungin concentrations, ranging from 0.05 to 20 mg/L.
31 The mean recovery rate ranged from 85.2% to 95.3%, while the intra- and interday
32 precisions were <5.5% and their accuracies were within the range of 96.2–102.3%.
33 The overall C_{\min} was 2.13 ± 0.99 mg/L (mean \pm SD; range, 0.51–3.79 mg/L). Patients
34 were infected by either *Candida* spp. ($n = 13$) or *Aspergillus* spp. ($n = 5$), and
35 caspofungin therapy was effective in 66.7% ($n = 12$) of them. 76.9% (10/13) patients
36 (infected by *Candida* spp. and $C_{\min} > 1$ mg/L) achieved clinical success while 23.1%
37 (3/13) patients ($C_{\min} > 1$ mg/L: $n = 1$; $C_{\min} < 1$ mg/L: $n = 2$) failed to show a clinical
38 response. All five patients infected by *Aspergillus* spp. had a mean plasma C_{\min} above
39 0.5 mg/L, and only two achieved clinical success. Validated LC-MS/MS is a simple,
40 rapid and accurate method that is suitable for monitoring the concentration of
41 caspofungin. C_{\min} exhibits a wide range in ICU patients, and relatively good treatment
42 results are obtainable when C_{\min} exceeds the 90% minimal inhibitory concentration
43 (*Candida* spp: 1mg/L; *Aspergillus* spp: 0.5mg/L).

44 **1 Introduction**

45 Invasive fungal infections (IFIs) have high morbidity and mortality, and are the fourth
46 most common cause of nosocomial infections in intensive care unit (ICU) patients,
47 accounting for about one in five of all infections in critically ill patients ^{1, 2}. ICU
48 patients are susceptible to fungal infections because they often suffer from multiple
49 diseases and organ dysfunction after receiving major surgery that involves
50 postoperative catheter indwelling ³⁻⁵. Caspofungin was the first antifungal agent of the
51 echinocandin family approved for the treatment of IFIs caused by *Candida* spp. and
52 *Aspergillus* spp. in patients who are refractory to or intolerant of voriconazole ^{3, 6, 7}.
53 Caspofungin works by inhibiting the synthesis of β -(1,3)-D-glucan, which is an
54 essential component of *Candida* and *Aspergillus* cell walls. The recommended dosage
55 regimen of caspofungin is a loading dose of 70 mg followed by 50 mg daily that is
56 administered intravenously over a 1-h period. Caspofungin is highly protein-bound
57 (~96%) and metabolizes slowly in the liver ⁸⁻¹⁰. It is eliminated slowly from plasma,
58 with a clearance rate of 10–12 ml/minute and a half-life of 9–11 h ⁸.

59 Therapeutic drug monitoring aims at optimizing the benefits and risks of
60 pharmacotherapy specifically for drugs exhibiting significant pharmacokinetic (PK)
61 variability. Clinical PK parameters and drug plasma concentrations in ICU patients
62 are often different from those in healthy subjects ³. Factors associated with alterations
63 in PK include changes in organ function (e.g., renal and hepatic dysfunction), use of
64 extracorporeal clearance techniques, and drug interactions ^{1, 4}. It has also been
65 reported that caspofungin plasma concentrations are influenced by hypoalbuminemia

66 and hepatic impairment¹. The caspofungin trough plasma concentration (C_{\min})
67 exhibits relatively wide ranges in surgical intensive care unit (SICU) patients, and it is
68 influenced by protein binding³. Thus, the recommended dosage regimen may not
69 achieve the best curative result, and therapeutic drug monitoring might contribute to
70 improvements in clinical management in these settings.

71 A rapid and sensitive method for analyzing caspofungin in human plasma is urgently
72 needed for monitoring C_{\min} . The methods used currently to determine the caspofungin
73 concentration in human plasma include high-performance liquid chromatography
74 (HPLC) and liquid chromatography–tandem mass spectrometry (LC-MS/MS)¹¹⁻¹⁷
75 HPLC has been used to estimate the caspofungin concentration in biological samples
76 with a total run time of 10 min¹⁷. LC-MS/MS improves the sensitivity by employing
77 a mass detector, and also provides better reliability, repeatability, and analysis time.
78 But the studies that have utilized LC-MS/MS for determining the caspofungin
79 concentration in human plasma have been subject to several limitations, including the
80 use of complicated mobile phases^{12, 14, 16, 17}, time-consuming sample preparation and
81 diluting steps¹¹⁻¹³. Moreover, only brief descriptions have been provided of the
82 methods used to measure caspofungin, without fully validation^{15, 16}, and using
83 internal standards (IS) that are expensive¹¹⁻¹³ or no longer available¹⁵. Ambient mass
84 spectrometric methods have recently been developed for drug analysis in order to
85 reduce the complexity of LC-MS/MS¹⁸⁻²⁰. However, no previously reported study has
86 analyzed caspofungin using ambient mass spectrometry.

87 To resolve the above problems, we developed a LC-MS/MS method using simple and

88 economic analysis of mobile phases. The preanalytical plasma processing method
89 using acetonitrile for protein precipitation in our approach was rather straightforward.
90 What's more, our LC-MS/MS method had an excellent recovery rate and accuracy,
91 and the IS (roxithromycin) was accessible. In a word, the present LC-MS/MS method
92 was simple, accurate, precise and has been fully validated and specified. Furthermore,
93 we used this method to analyze caspofungin plasma concentrations and evaluated the
94 association between C_{\min} and caspofungin efficacy in ICU patients.

95

96 **2 Materials and methods**

97 **2.1 Chemicals, materials and equipment**

98 All chemicals and reagents were of HPLC grade or analytical grade. Caspofungin was
99 supplied by Merck Sharp & Dohme (Whitehouse, USA); Roxithromycin (IS) was
100 supplied by Yangtze River Pharmaceutical Industry (Jiangsu, China); Acetonitrile and
101 methanol were purchased from Merck (HPLC grade, Germany); Formic acid was
102 purchased from Kemiou Chemicals (HPLC grade, Tianjin, China).

103 The LC-MS/MS system used consisted of a triple-stage quadrupole (TSQ) Vantage
104 triple quadrupole mass spectrometer (Thermo Fisher Scientific, San Jose, CA); The
105 chromatographic analyses were conducted using a Dionex (Sunnyvale, USA)
106 Ultimate 3000 HPLC system equipped by an Ultimate 3000 Pump and CTC Pal
107 autosampler (CTC Analytics AG, Switzerland). Chromatographic separation of
108 caspofungin and IS was achieved on a Hypersil GOLD C_{18} column (Thermo Fisher
109 Scientific, 50×2.1 mm, $5 \mu\text{m}$); The tri-distilled water was obtained by Millipore

110 using a water purification machine (Millipore, USA); High-speed centrifuge at low
111 temperature (Allegra-22R, Beckman, USA); Vortex generator (Vortex-Genie2,
112 Scientific Industries, USA); Thermo Finnpipette (France). The Xcalibure software
113 (version 3.0.63) was used for instrument control and data collection.

114

115 **2.2 Patients**

116 The study was approved by the Ethics Committee of the First Affiliated Hospital of
117 Xi'an Jiaotong University. All subjects signed the informed consent before any
118 screening item being performed. Forty-two blood samples were collected from a total
119 of 18 ICU patients. Inclusion criteria: patients with proven invasive fungal infections
120 caused by *Candida* spp. or *Aspergillus* spp. and being treated with caspofungin were
121 enrolled in this study. Exclusion criteria: (1) patients < 18 years; (2) hypersusceptible
122 or severe intolerance to caspofungin; and (3) concomitant with other antifungal agents.
123 Acute physiology and chronic health evaluation (APACHE)-II score was used to
124 measure the severity of disease of ICU patients. Clinical data (imaging tests,
125 demographic data and underlying conditions) as well as laboratory data (liver and
126 renal function) for each patient were recorded.

127

128 **2.3 Caspofungin administration and blood sample collection**

129 All patients received a loading dose of 70 mg on the first day, followed by 50 mg
130 daily. Caspofungin was given as an intravenous infusion over 1 h. Blood samples for
131 the determination of caspofungin C_{\min} were taken directly before the next scheduled

132 dose at steady-state. The samples were centrifuged at 3,000 rpm for 10 minutes and
133 the plasma samples were collected and stored at -80 °C for LC-MS/MS analysis.

134

135 **2.4 Methodology of quantification of caspofungin in human plasma**

136 *2.4.1 LC-MS/MS system and conditions*

137 Chromatography was performed on a Hypersil GOLD C₁₈ column using two mobile
138 phases-a mixture solution of 0.1% formic acid (A) and methanol (B). The flow rate
139 was 0.4 mL/min and the run time was 6.5 min. The gradient elution was delivered as
140 follows: at start of run 10/90% of A/B; from 5.5 to 6.5 min, the gradient starts at 10%
141 A and ramps to 90% A in 60 s. 10 µl of sample was injected into the system by
142 autosampler, and the column temperature was maintained at 20 °C. Besides, the tray
143 temperature in the autosampler was kept at 4 °C. The mass spectrometer was operated
144 in an electronic spray ion positive mode. The selected reaction monitoring transitions
145 which were used for quantification and qualification were performed at m/z 547.5 →
146 137.3 (collision energy: 26 eV) for caspofungin and m/z 837.7 → 679.3 (collision
147 energy: 19 eV) for IS. Other ion source conditions were as follows: curtain gas was 25
148 psi, ion spray voltage was 3500 V, and source temperature was 350 °C.

149

150 *2.4.2 Stock solutions, calibration standard, quality control (QC) samples and sample 151 preparation*

152 Stock solutions of caspofungin (1.0 mg/mL) and IS (1.0 mg/mL) were prepared in
153 deionized water and methanol, respectively, and stored at -80 °C. Appropriate

154 amounts of caspofungin were added to achieve calibration concentrations of 0.05, 0.1,
155 0.5, 1, 5, 10, 20 mg/L and quality control (QC) concentrations of 0.1, 1, and 16 mg/L.
156 Final concentration of the IS in calibration solutions was 4 mg/L. Plasma sample was
157 prepared with protein precipitation using acetonitrile. After addition of 20 μ l IS
158 solution (40 mg/L), 600 μ l acetonitrile was added into 200 μ l plasma samples in tubes.
159 After a thorough vortex mixing for 1 min, the mixture was centrifuged at 13,000 rpm
160 for 10 min, and then 10 μ l of the supernatant was injected into the LC-MS/MS
161 system.

162

163 *2.4.3 Method validation*

164 The assay was fully validated according to the US Food and Drug Administration
165 guidelines ²¹. The specificity and selectivity of the method were performed by
166 examining the presence or absence of interference, comparing chromatograms of six
167 lots of blank human plasma samples from different sources, blank plasma spiked with
168 standard, and human plasma sample after intravenously administration of caspofungin.
169 The linearity was assessed by weighted ($1/X^2$) least-squares linear regression of
170 calibration curves based on peak area ratios of caspofungin to IS versus actual
171 concentrations. The limit of detection (LOD) was defined as the lowest concentration
172 of an analyte that the bioanalytical procedure can reliably differentiate from
173 background noise. It was calculated using the equation $LOD = (3.3\sigma) / S'$, where σ is
174 the standard deviation for the calibration curve and S' is its slope. The lower limit of
175 quantification (LLOQ) was considered being the lowest concentration within the

176 calibration range with an acceptable accuracy and imprecision ($\leq 20\%$) and a
177 signal-to-noise ($>10:1$). Carryover effect should be assessed by injecting blank
178 samples following the calibration standard at the highest concentration, and the effect
179 should not be $>20\%$ of LLOQ. Intra- and interday precisions were determined by
180 analyzing QC plasma samples at low, medium, and high concentrations on the same
181 day and on three different days. The matrix effects and extraction efficiency were
182 determined at 3 concentrations (low, medium, and high) using 5 replicates of each.
183 Matrix effects were performed by comparing extracted matrix samples against
184 non-matrix samples and recovery compare against extracted matrix spiked with
185 analyte. The stability of caspofungin in plasma was investigated by analyzing five QC
186 samples at 3 concentrations (low, medium, and high) of caspofungin stored at room
187 temperature for 8 h, $-80\text{ }^{\circ}\text{C}$ for 15 and 30 days, three freeze-thaw cycles ($-80\text{ }^{\circ}\text{C}$ to
188 $25\text{ }^{\circ}\text{C}$) and the post preparative stability was examined after 8 h in the auto sampler
189 maintained at $4\text{ }^{\circ}\text{C}$.

190

191 **2.5 Clinical efficacy**

192 Patients were assessed for clinical response by the investigators according to the
193 following criteria: clinical efficacy was evaluated by assessing clinical and
194 microbiological responses at the end of caspofungin treatment in patients with IFIs.
195 Clinical success was defined as improvement in partial or resolution of clinically
196 significant signs and symptoms (fever and inflammatory markers) associated with
197 fungal infection, on proven or presumed eradication of the fungal pathogen (negative

198 culture results), and improvement or resolution of magnetic resonance imaging
199 findings or computed tomography. Lack of response or ineffective to caspofungin
200 therapy was defined by persistent IFI or by progressing IFI (clinical and radiological
201 progression, persistently positive culture results or death due to IFI) after 14 days of
202 caspofungin treatment ²².

203

204 **2.6 Statistical analysis**

205 The Xcalibure software (version 3.0.63) was used for instrument control and data
206 collection in process of sample analysis. Clinical data were analyzed and processed by
207 SPSS 19.0 and expressed as mean \pm standard deviation (SD) or median \pm SD. A
208 *P*-value of <0.05 was considered statistically significant.

209

210 **3 Results**

211 **3.1 Method validation and analytical methods**

212 Figure 1A shows that no interference peaks from endogenous substances were
213 observed at the retention times of caspofungin and IS in the chromatograms,
214 indicating the high specificity and selectivity of the method. Figure 1B shows the
215 chromatogram of a patient receiving caspofungin therapy. The calibration curve for
216 caspofungin in human plasma was highly linear over the concentration range of 0.05–
217 20 mg/L, with a correlation coefficient of $R^2 = 0.9994$. The LOD and LLOQ for
218 caspofungin were 0.001 and 0.05 mg/L, respectively. No peak in the chromatographic
219 region of the analyte of interest was observed by injecting blank plasma extract

220 immediately after the upper limit of quantification sample, indicating that any
221 carryover effect from previous concentrated samples was negligible. Precision,
222 accuracy, recovery, matrix effect, and stability data are listed in Table 1. Table S1 (in
223 the supplemental material) provides an overview of several published methods¹¹⁻¹⁷
224 that have been used for quantifying caspofungin in human plasma.

225

226 **3.2 Characteristics of 18 ICU patients with caspofungin therapy**

227 Eighteen patients were enrolled and 42 plasma samples were monitored. Caspofungin
228 therapy was administered to patients with proven fungal infections. Most of the yeast
229 and mold species isolated from the samples were *Candida albicans* ($n = 11$), followed
230 by *Aspergillus fumigatus* ($n = 3$), *Candida tropicalis* ($n = 2$), and *Aspergillus flavus* (n
231 $= 2$). The APACHE II score was 26.0 ± 6.1 (mean \pm SD; range, 15–37). C_{\min} values were
232 assessed in the 18 ICU patients, including 11 who were receiving continuous
233 venovenous hemofiltration (CVVH). These patients had different kinds of diseases
234 and underlying conditions, such as liver, renal, and multiple organ dysfunction. The
235 characteristics of the patients, including their demographic and clinical data, are given
236 in Table 2.

237

238 **3.3 Characteristics of C_{\min} in ICU patients**

239 As indicated in Table 2, C_{\min} as measured in 42 samples from 18 patients had a
240 median of 2 per patient (range, 1–4). The overall C_{\min} was 2.13 ± 0.99 mg/L (range,
241 0.51–3.79 mg/L). Among the 18 patients, 5 liver dysfunction patients (patients 1, 2, 8,

242 9, and 10) had a C_{\min} of 2.43 ± 0.73 mg/L, and 7 renal dysfunction patients (patients 1,
243 2, 3, 8, 11, 12, and 13) had a C_{\min} of 2.37 ± 0.69 mg/L. The overall C_{\min} for the 11
244 CVVH patients was 2.02 ± 0.45 mg/L. The C_{\min} value of each patient is listed in Table
245 2; this ranged from ≤ 1 mg/L in 16.7% of cases to ≥ 2 mg/L in 50% of cases. As
246 presented in Figure 2, the median C_{\min} was maintained at a steady state from the
247 second day after applying caspofungin therapy.

248

249 **3.4 Relationship between C_{\min} and efficacy of caspofungin therapy**

250 As indicated in Table 2, 84.6% (11/13) patients infected by *Candida* spp. had a mean
251 C_{\min} above 1 mg/L, which was defined as the target concentration because this
252 concentration exceeds the 90% minimal inhibitory concentration (MIC_{90}) for *Candida*
253 spp. All five of the patients infected by *Aspergillus* spp. had a C_{\min} above 0.5 mg/L,
254 which was reported to be the MIC_{90} for *Aspergillus* spp. Caspofungin therapy was
255 effective in 66.7% (12/18) of the patients in the present study. Ten of these patients
256 with clinical success were infected by *Candida* spp., with a mean C_{\min} above 1 mg/L,
257 and the other two were patients infected by *Aspergillus* spp., with C_{\min} above 0.5
258 mg/L. The other six patients who did not respond to the treatment were infected with
259 *Candida albicans* ($n = 2$), *Candida tropicalis* ($n = 1$), *Aspergillus flavus* ($n = 1$), or
260 *Aspergillus fumigatus* ($n = 2$). Patients 5 and 13, who showed failed responses, were
261 infected by *Candida* spp. with a mean C_{\min} below 1 mg/L.

262

263 **4 Discussion**

264 Caspofungin is widely used as an agent to prevent and treat IFIs in patients. Large
265 interindividual variabilities of C_{\min} have been described in ICU patients³. In order to
266 monitor C_{\min} and study its exposure–response characteristics, methods for measuring
267 the plasma concentration of caspofungin are needed. We therefore established and
268 validated a sensitive LC-MS/MS method for analyzing caspofungin plasma
269 concentrations in ICU patients.

270 One of the advantages of our method over the currently available methods is the
271 simple and economic analysis of mobile phases, which included a mixture solution of
272 0.1% formic acid in ultrapure water (mobile phase A) and methanol (mobile phase B).

273 The preanalytical plasma processing method using acetonitrile for protein
274 precipitation in our approach was rather straightforward. This simple, rapid, and
275 inexpensive sample pretreatment step provided the best analytical sensitivity for the
276 clinically relevant concentration ranges of caspofungin. In contrast, the sample
277 preparation methods described by Rochat *et al.*¹¹ and Decosterd *et al.*¹² required an
278 additional dilution step, which may increase the risk of errors and the assay variance.

279 Farowski *et al.*¹³ used diluted plasma as a matrix, which was obtained after
280 centrifuging diluted blood layered onto a double discontinuous Ficoll-Hypaque
281 density gradient and another dilution step, which represents a more complex sample
282 preparation procedure. Egle *et al.*¹⁵ used simple mobile-phase samples, but the run
283 time was 30 min and they did not report the IS, which means that their approach is not
284 suitable for further clinical research. The IS (e.g., caspofungin isotope) used by other
285 methods¹¹⁻¹³ could be more expensive than ours.

286 Moreover, the present LC-MS/MS method has been fully validated based on the
287 guidance from the US Food and Drug Administration for validating industrial
288 bioanalytical methods ²¹. The calibration curve included clinically relevant
289 caspofungin concentrations ranging from 0.05 to 20 mg/L and exhibited excellent
290 linearity. The LOD and LLOQ for caspofungin were 0.001 and 0.05 mg/L,
291 respectively. The reason the LLOQ is 50 times compared to LOD was that the LLOQ
292 was considered being the lowest concentration within the calibration range with an
293 acceptable accuracy and imprecision ($\leq 20\%$) and a signal-to-noise ($>10:1$) while the
294 equation $LOD = (3.3\sigma) / S'$. The mean recovery rate ranged from 85.2% to 95.3%,
295 while the matrix effect ranged from 98.1% to 107.0%. The intra- and interday
296 precisions were $<5.5\%$ and their accuracies were within the range of 96.2–102.3%.
297 No carryover effect was observed on the column. Applying three freeze-thaw cycles
298 or storing the plasma samples at $-80\text{ }^{\circ}\text{C}$ for 30 days did not result in significant
299 changes of the caspofungin plasma concentrations in the QC samples—all values
300 were within 90–110% of the initial values.

301 In short, compared with the previous literature, the LC-MS/MS method using a
302 mixture solution of 0.1% formic acid in ultrapure water and methanol as mobile
303 phases was simple and economic. The preanalytical plasma processing method using
304 acetonitrile for protein precipitation was rather straightforward. The LC-MS/MS
305 method was fully validated and with a mean recovery rate ranged from 85.2% to
306 95.3%, while the intra- and interday precisions were $<5.5\%$ and their accuracies were
307 within the range of 96.2–102.3%. In addition, the IS (roxithromycin) which we used

308 was appropriate and affordable. In conclusion, the main advantages of this new
309 LC-MS/MS method over the methods reported in the literature are (1) the simple and
310 economic analysis of mobile phases, (2) rapid and inexpensive preanalysis processing,
311 (3) accessible IS, (4) excellent recovery rate and accuracy; absence of a matrix and a
312 carryover effect. All of the results already obtained indicate that this is a practical
313 method for monitoring C_{\min} in ICU patients with IFIs.

314 Forty-two plasma samples of C_{\min} from 18 ICU patients were collected and analyzed.
315 We found that the C_{\min} values varied markedly between individuals. Hypoproteinemia
316 and multiple organ dysfunctions may result in interindividual variations of plasma
317 caspofungin concentrations in patients who are critically ill with life-threatening
318 infections^{23, 24}. Measuring the caspofungin concentrations in plasma might help to
319 improve the clinical management in these settings as well as in patients treated with
320 combinations of caspofungin and other antifungal agents^{1, 3, 11}.

321 Few studies have investigated the PK of caspofungin in ICU patients^{1, 10}. Nguyen *et al.*³
322 found that the mean C_{\min} was 2.16 mg/L among 40 SICU patients, while
323 Brüggeman *et al.*¹ found that it was 2.15 mg/L in 21 ICU patients. The mean C_{\min} was
324 2.13 mg/L in our 18 ICU patients, with a large interindividual variability. The mean
325 caspofungin concentrations in all of these ICU patients were slightly higher than that
326 of 1.41 mg/L reported by Stone *et al.*¹⁰ for healthy subjects. Additionally, we found
327 that the C_{\min} value was significantly lower in healthy subjects (1.41 mg/L) than in
328 patients with liver dysfunction (2.43 mg/L, $P < 0.05$) and renal dysfunction (2.37
329 mg/L, $P < 0.05$). These higher C_{\min} values in liver and renal dysfunction patients may

330 be due to physiological and physiopathological alterations caused by trauma, sepsis,
331 septic shock, and surgery^{1,3}. Hemodynamic responses and vital support therapy are
332 also known to influence PK parameters, such as clearance and the distribution volume.
333 In addition, alterations in protein binding, lack of organ perfusion, and/or organ
334 dysfunction are also common factors influencing the plasma concentration of
335 caspofungin^{2,4}; for example, C_{\min} was estimated to increase by 0.25 mg/L when the
336 albumin concentration was >23.6 g/L³. However, we found no significant relationship
337 between C_{\min} and the albumin concentration ($r = 0.197$, $P > 0.05$). Extracorporeal
338 devices exert barely detectable effects on drug disposition in ICU patients²⁻⁴. CVVH
339 is the most common and important extracorporeal treatment method for patients with
340 acute renal failure and systemic inflammatory response syndrome²⁵. CVVH is
341 associated with a higher glomerular filtration rate of 25–50 mL/min and can
342 significantly reduce drug concentrations²⁵, but previous research had shown that
343 caspofungin clearance by CVVH was very low²⁶. Eleven CVVH patients were
344 included in the present study and their mean C_{\min} was 2.02 mg/L, which is lower than
345 the overall average concentration but clearly higher than that in the healthy volunteers
346 ($P < 0.05$).

347 Figure 2 shows that the median C_{\min} was maintained at a steady state from the second
348 day after caspofungin therapy, and that it varied between the individual patients.
349 Similar to our findings, Nguyen *et al.*³ found that C_{\min} varied over a wide range
350 (0.21–5.1 mg/L) among 40 SICU patients, with the median C_{\min} also being
351 maintained at a steady state after the second day. Caspofungin metabolizes in the liver

352 with a half-life of 9–11 h in healthy volunteers ⁸, resulting in steady-state
353 concentrations being achieved on the second day after therapy involving a loading
354 dose. However, Brüggeman *et al.* ¹ found that the steady-state concentrations were not
355 achieved on the second day after applying a loading dose of caspofungin therapy in 21
356 ICU patients, and they found that the half-life of caspofungin was 15.67 h on day 3
357 and 18.49 h on day 7. The half-life would be prolonged for ICU patients with liver
358 dysfunction, which could explain the findings of Brüggeman *et al.*

359 Caspofungin is concentration-dependent antibacterial. Previous studies have often
360 used the area under the concentration-time curve/minimum inhibitory concentration
361 (AUC/MIC) as the caspofungin pharmacokinetic/pharmacodynamic parameter ²⁷⁻²⁹.

362 C_{\min} is easy to measure clinically, and so we studied the relationship between C_{\min} and
363 the response to caspofungin therapy. Caspofungin was clinically effective in 66.7%
364 (12/18) of our ICU patients. Most (84.6%, 11/13) of the patients who were infected by
365 *Candida* spp. had a mean C_{\min} above 1 mg/L (the target concentration exceeds the
366 MIC_{90} for most clinically relevant *Candida* spp. ³⁰⁻³³), and a successful clinical
367 response occurred in 10 of the 11 patients. The mean C_{\min} values of patients 5 and 13
368 were below 1 mg/L, and they exhibited clinical response failure. All five patients who
369 were infected by *Aspergillus* spp. had plasma caspofungin concentrations above 0.5
370 mg/L (which is the MIC_{90} for *Aspergillus* spp. ³⁴⁻³⁶), but only two patients achieved
371 clinical success and one died during the treatment period. The clinical response is
372 determined not only by drug factors but also underlying diseases, immune status,
373 pathogenic species, and the susceptibility to antimicrobial agents. The five patients

374 who were infected by *Aspergillus* spp. were suffering from serious underlying
375 diseases, and these patients were treated with caspofungin when they failed to respond
376 to voriconazole, and they were mainly in an advanced disease stage.

377

378 **5 Conclusion**

379 Validated LC-MS/MS is a simple, rapid, sensitive, and reproducible method for
380 monitoring the concentration of caspofungin. C_{\min} increased, and the caspofungin
381 concentration exhibited a wide range, suggesting the necessity of closely monitoring
382 the plasma concentrations of caspofungin in ICU patients when compared with
383 healthy subjects. Furthermore, monitoring C_{\min} is necessary to ensure the efficacy of
384 clinical caspofungin treatment, and a successful response is obtainable when $C_{\min} >$
385 MIC_{90} . Since this study involved a relatively small number of patients, future studies
386 should include larger samples and investigate pathogenic species in order to obtain
387 more reliable results.

388 **Acknowledgements**

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392

393 **Competing interests**

394 None to declare.

395

396 **Ethical approval**

397 The study protocol was approved by the Ethics Committee of the First Affiliated
398 Hospital of Xi'an Jiaotong University.

399

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- 499

Table 1. Inter- and intraday imprecision, accuracy, recovery, matrix effect and stability of caspofungin in human plasma

Concentration (mg/L)	Precision (RSD, %)		Accuracy (bias, %)		Recovery	Matrix effect	RSD (%)				
	Intraday (n=5)	Interday (n=3)	Intraday (n=5)	Interday (n=3)	Mean (n=5)	Mean (n=5)	Stability analysis of caspofungin under various conditions (n=5)				
							8h, room temperature	8h, postpreparative	15 days -80°C	30 days -80°C	Three cycles, freeze-thaw, -80°C
0.1	2.5	5.5	99.3	102.2	85.2 ± 1.4	98.1 ± 1.8	2.9	2.9	4.9	4.3	5.9
1	5.3	5.2	100.6	96.3	91.9 ± 1.5	107.0 ± 1.5	4.9	6.3	5.7	2.3	6.1
16	3.2	3.0	98.0	96.2	95.3 ± 0.8	95.2 ± 1.4	2.1	1.1	3.1	3.5	1.5

Table 2. Characteristics of 18 patients with caspofungin treatment.

Patient	Age	Fungal organisms	Sex	Mean trough concentration (mg/L)	Albumin concentration (g/L)	Neutrophil concentration (%)	Days with therapy	No. of samples	Underlying conditions	CVVH	APACHE II score	Clinical response
1	30	<i>Candida albicans</i>	M	2.23	26.40	85.70	6	3	Liver dysfunction, lung dysfunction, MODS, respiratory failure	Yes	18	Clinical success
2	32	<i>Candida albicans</i>	M	1.70	27.01	80.98	8	2	Liver dysfunction, lung dysfunction, MODS	Yes	25	Clinical failure
3	33	<i>Candida tropicalis</i>	M	2.17	35.65	72.90	17	2	Respiratory failure, lung dysfunction, AKI, CPR	Yes	16	Clinical success
4	35	<i>Candida albicans</i>	F	1.57	32.32	75.56	14	3	Respiratory failure, AKI	Yes	15	Clinical success
5	36	<i>Candida tropicalis</i>	M	0.73	30.52	78.30	15	2	Respiratory failure, AKI	Yes	30	Clinical failure
6	40	<i>Aspergillus flavus</i>	M	1.01	20.86	91.90	21	2	Respiratory failure, MODS	No	26	Clinical success
7	45	<i>Aspergillus fumigatus</i>	M	0.51	28.49	90.53	18	2	Respiratory failure, MODS	No	20	Clinical success
8	61	<i>Aspergillus flavus</i>	F	1.85	22.93	82.30	13	4	Liver dysfunction, lung dysfunction, MODS, respiratory failure	Yes	27	Clinical failure
9	65	<i>Aspergillus fumigatus</i>	F	3.01	30.16	88.60	6	2	Liver dysfunction, respiratory failure, respiratory alkalosis	No	29	Clinical failure

10	71	<i>Aspergillus fumigatus</i>	F	3.38	28.45	88.35	8	2	chronic cholecystitis Liver dysfunction, respiratory failure, chronic cholecystitis	No	31	Clinical failure
11	75	<i>Candida albicans</i>	F	3.53	26.62	93.80	4	3	Respiratory failure, lung dysfunction, hypertensive nephropathy	Yes	21	Clinical success
12	77	<i>Candida albicans</i>	F	1.99	25.83	90.22	7	2	Respiratory failure, lung dysfunction	Yes	26	Clinical success
13	79	<i>Candida albicans</i>	F	0.90	24.62	88.78	7	2	Respiratory failure, lung dysfunction, MODS	Yes	37	Clinical failure
14	80	<i>Candida albicans</i>	F	2.52	29.06	76.32	9	1	Respiratory failure, DN, heart disease	No	23	Clinical success
15	84	<i>Candida albicans</i>	M	2.72	30.04	78.55	8	4	Respiratory failure	No	22	Clinical success
16	85	<i>Candida albicans</i>	M	3.14	29.72	80.35	10	2	Respiratory failure, lung dysfunction	No	28	Clinical success
17	84	<i>Candida albicans</i>	F	3.79	28.45	82.63	11	2	Respiratory failure	Yes	35	Clinical success
18	87	<i>Candida albicans</i>	M	1.76	30.51	79.20	8	2	Respiratory failure, DN, heart disease	Yes	27	Clinical success

NOTE. F, female; M, male; CVVH, continuous vena-venous hemofiltration; MODS, multiple organ dysfunction syndrome; AKI, acute kidney injury ; CPR, cardiopulmonary resuscitation; DN, diabetic nephropathy.

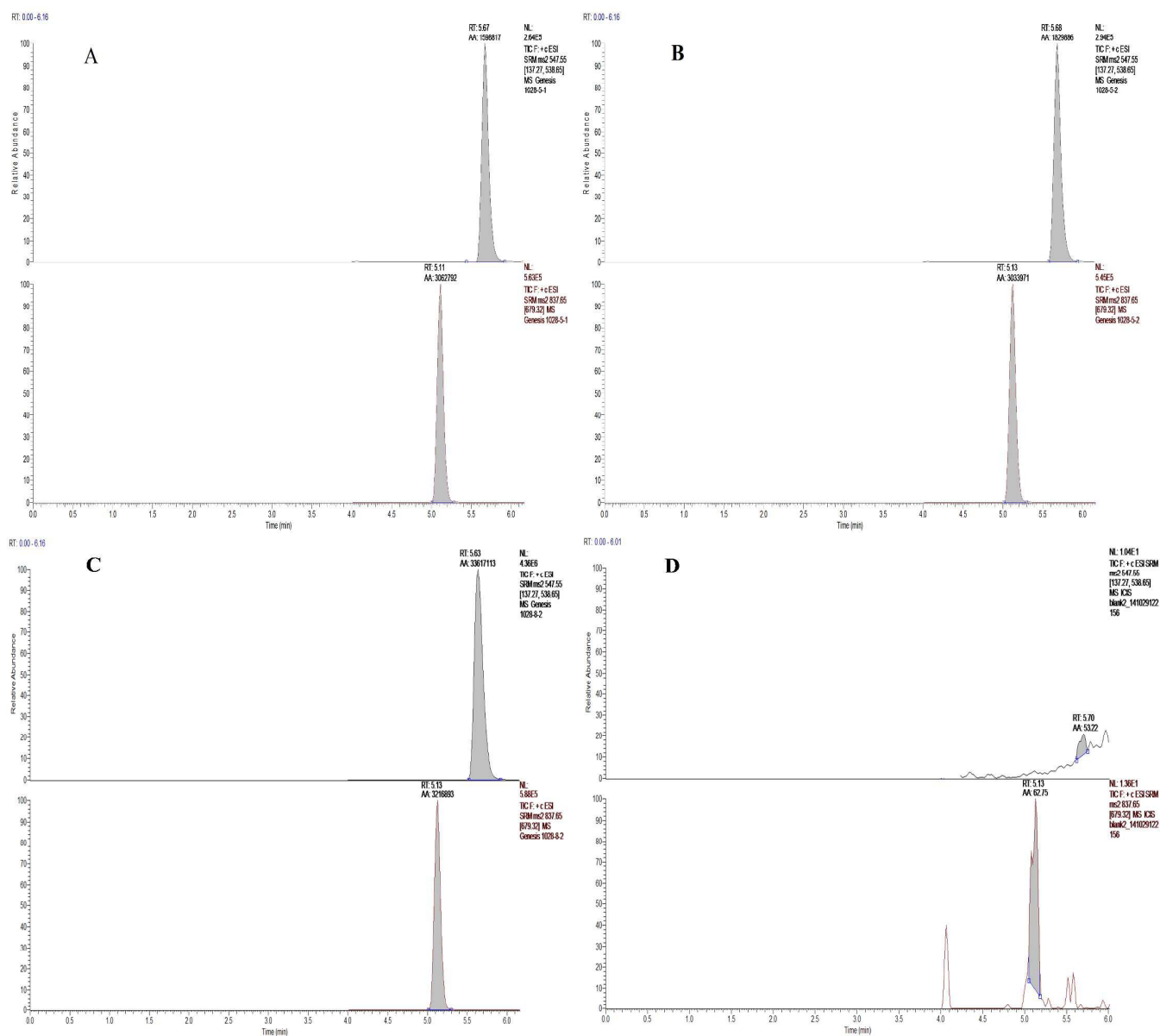


Figure 1. LC-MS/MS chromatograms of the ion transitions for caspofungin and the IS: (A) Injection (10 μ L) of a QC sample (caspofungin and IS) spiked with 1 mg/L and 4 mg/L, respectively; (B) Injection of a plasma extract from a patient receiving caspofungin therapy; (C) Injection (10 μ L) of a sample (caspofungin and IS) spiked with 20 mg/L (= ULOQ) and 4 mg/L, respectively; (D) A chromatogram of a plasma extract sample from a patient not received caspofungin therapy; RT is the retention time in min; AA is the peak area in arbitrary units.

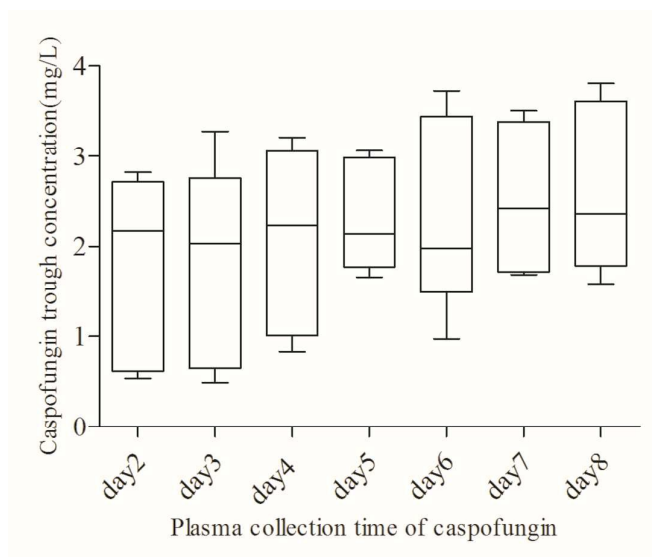


Figure 2. Distribution of caspofungin trough concentrations in 18 ICU patients.

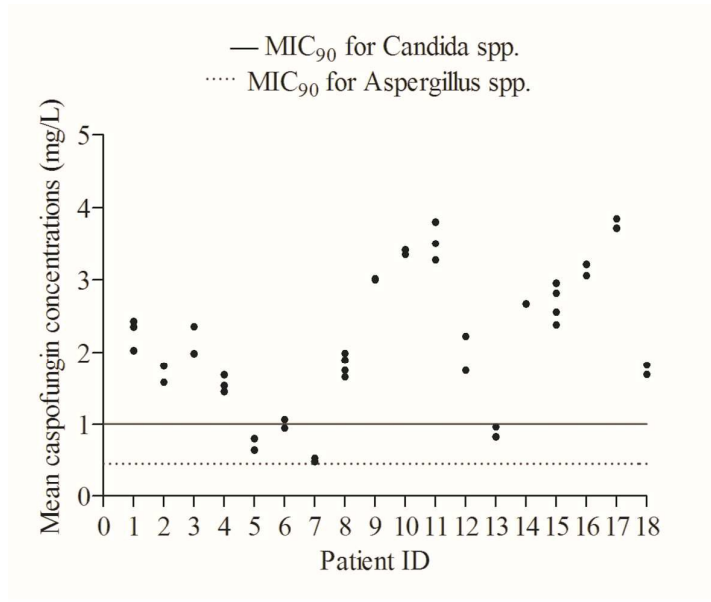
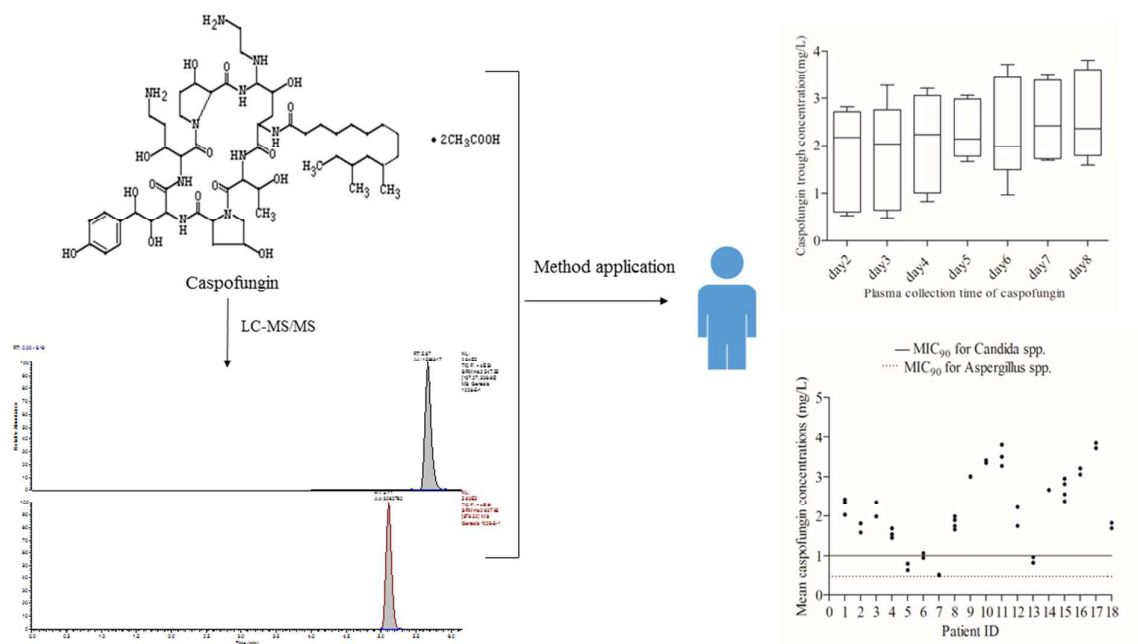


Figure 3. Caspofungin trough concentrations in plasma of the 18 ICU patients and MIC₉₀ for *Candida* spp. and *Aspergillus* spp.



LC-MS/MS method for monitoring the caspofungin trough plasma concentration and its association with caspofungin efficacy in intensive-care-unit patients