

## Supplementary Online Content 1

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Writing Committee for the RELAx Collaborative Group. Effect of a low vs high positive end-expiratory pressure (PEEP) strategy on ventilator-free days in intensive care unit patients without ARDS - a randomized clinical trial.

### Supplement 1. Trial protocol

This supplementary material has been provided by the authors to give readers additional information about their work.

13 **PROTOCOL TITLE: REstricted versus Liberal positive end–expiratory pressure**  
 14 **in patients without Acute respiratory distress syndrome – RELAx, a**  
 15 **Randomized Controlled Trial**  
 16

Protocol ID	RELAx
Short title	Restricted versus liberal positive end–expiratory pressure
Version	6.2
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119 **ABBREVIATIONS AND DEFINITIONS**

ARDS	Acute Respiratory Distress Syndrome
CE	Cost–Effective
DSMB	Data Safety Monitoring Board
ICU	Intensive Care Unit
LOS	Length Of Stay
METC	Medical Research Ethical Committee (MREC) in Dutch: <i>Medische Ethische Toetsings Commissie</i>
NAS	Nurse & Activity Score
PBW	Predicted Body Weight
PEEP	Positive End–Expiratory Pressure
RCT	Randomized Controlled Trial
SAE	Serious Adverse Event
Sponsor	The party that commissions the organization or performance of the research, for example a pharmaceutical company, academic hospital, scientific organization or investigator; a party that provides funding for a study but does not commission is not regarded as the sponsor, but referred to as a subsidizing party
TISS	Therapeutic Intervention Scoring System
VFD–28	Ventilator–Free Days and alive at day 28

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121 **SUMMARY**

122 **Rationale:** While there is sufficient randomized controlled trial–evidence for benefit  
123 of higher levels of positive end–expiratory pressure (PEEP) during ventilation of  
124 intensive care unit (ICU) patients with acute respiratory distress syndrome (ARDS),  
125 evidence for benefit of PEEP, at any level, during ventilation of ICU patients without  
126 ARDS is still insufficient. One recent metaanalysis suggests no benefit of PEEP in  
127 ICU patients without ARDS. Nevertheless, there is a trend to use higher PEEP levels  
128 in these patients in recent years.

129 **Hypothesis:** We hypothesize that ventilation with the lowest possible PEEP level  
130 (‘restricted PEEP’, i.e., the lowest PEEP level resulting in an acceptable level of  
131 oxygenation) is as effective and safe as ventilation with the PEEP level currently  
132 practiced (‘liberal PEEP’, i.e., a PEEP level of 8 cm H<sub>2</sub>O, the median PEEP level  
133 applied in these patients in the Netherlands) in ICU patients without ARDS.

134 **Objective:** To compare ventilation with the lowest possible PEEP level to ventilation  
135 with the PEEP level currently practiced in ICU patients without ARDS.

136 **Study design:** National multicenter, non–inferiority, open, randomized controlled trial  
137 in intubated and ventilated adult ICU patients without ARDS.

138 **Study population:** Consecutive intubated and ventilated adult ICU patients without  
139 ARDS with an anticipated duration of ventilation of at least 24 hours.

140 **Procedure:** Patients are randomly assigned in a 1:1 ratio to the ‘restricted PEEP’–  
141 arm or to the ‘liberal PEEP’–arm of this trial.

142 **Study endpoints:** The primary endpoint is the number of ventilator–free days and  
143 alive at day 28. Secondary endpoints include ICU– and hospital length of stay (LOS),  
144 ICU– and hospital, and 90–day mortality, incidence of severe hypoxemia, severe  
145 atelectasis and the need for rescue therapies, pneumonia, pneumothorax, the  
146 incidence and development of ARDS and days with use of hemodynamic support  
147 and with use of sedation. Also, therapeutic intervention scoring system (TISS)/  
148 Nursing Activities Score (NAS) and related healthcare costs will be estimated and  
149 compared.

150 **Nature and extent of the burden and risks associated with participation, benefit  
151 and group relatedness:** Differences in burden and risk of the two ventilation  
152 strategies are uncertain. Ventilation with the lowest possible PEEP level could  
153 increase the risk of atelectasis and also the risk of potentially dangerous hypoxemia,  
154 which can be adequately treated within the ICU setting. Ventilation with the PEEP

155 level currently practiced could increase the amount of overdistended lung tissue and  
156 increase hemodynamic compromise. No other study interventions are performed.  
157 Collection of demographic data, ventilation data and outcome data causes no harm  
158 for the patients.

159 **1. INTRODUCTION AND RATIONALE**

160 **1.1 Mechanical ventilation associated lung injury**

161 Mechanical ventilation is typically seen as a life-saving intervention in critically ill  
162 patients, despite increasing and unequivocal evidence that it can aggravate and even  
163 initiate lung injury.<sup>1</sup> Indeed, ventilation may contribute to development of  
164 atelectasis,<sup>2,3</sup> increasing the risk of repetitive opening and closing of lung tissue, a  
165 phenomenon frequently referred to as 'atelectrauma'.<sup>1</sup> Results from preclinical  
166 studies using animals<sup>4,5</sup> and studies in humans<sup>6,7</sup> support the use of positive end-  
167 expiratory pressure (PEEP) during ventilation to prevent, or at least minimize the risk  
168 of atelectrauma. Ventilation with PEEP, however, can also lead to lung injury due to  
169 overdistension,<sup>8,9</sup> frequently referred to as 'volutrauma'.<sup>1</sup>

170 **1.2 Pulmonary effects of PEEP**

171 Atelectasis is more extensive in patients with the acute respiratory distress syndrome  
172 (ARDS) than in patients without lung injury, and are more frequently seen with  
173 mandatory than spontaneous forms of ventilation.<sup>10,11</sup> In patients with ARDS, seen  
174 the balance between the positive effects of higher PEEP levels (i.e., reduction in  
175 atelectrauma, by reducing atelectasis) and negative effects of higher PEEP levels  
176 (i.e., increase in volutrauma, by increasing overdistension), ventilation with a higher  
177 PEEP level could result in a net beneficial effect. In patients without ARDS, however,  
178 patients who also more frequently receive spontaneous forms of ventilation, the  
179 balance between benefit and harm could go into the other direction, as the reduction  
180 in atelectrauma could be minimal or negligible, at a price of more volutrauma.

181 The results of one metaanalysis using the individual patient data from three  
182 large randomized controlled trials (RCTs) comparing higher to lower PEEP levels  
183 during ventilation of patients with ARDS suggests benefit of higher PEEP levels  
184 (albeit only in patients with more severe form of ARDS).<sup>12-15</sup> Sufficiently large RCTs  
185 comparing higher to lower PEEP levels during ventilation of patients without ARDS  
186 are presently lacking, and the available data does not allow individual patient data  
187 metaanalyses.<sup>16</sup>

188 **1.3 Non-pulmonary effects of PEEP**

189 Besides increasing lung aeration, ventilation with PEEP could also have  
190 extrapulmonary effects. Ventilation with PEEP affects the loading conditions of the  
191 heart,<sup>17</sup> as every increase in intrathoracic pressure reduces the preload of the heart

192 and might increase as well as decrease the afterload of the right ventricle depending  
193 on whether lung tissue is recruited by PEEP.<sup>17</sup> The effects of ventilation with PEEP  
194 on cardiac performance could also differ between patients with ARDS and patients  
195 without lung injury. Ventilation with higher PEEP levels could reduce right ventricle  
196 afterload through the prevention of atelectases in ARDS patients, while it could  
197 increase right ventricle afterload and reduce left ventricle preload through increases  
198 in overdistended lung tissue in patients without ARDS. RCTs evaluating the  
199 extrapulmonary effects of PEEP are lacking, both in ventilated patients with ARDS,  
200 and ventilated patients without ARDS.

#### 201 **1.4 Systematic review and metaanalysis of RCTs of PEEP**

202 A recent systematic review and metaanalysis of RCTs in patients without ARDS did  
203 not find benefit from ventilation with higher PEEP levels with regard to mortality and  
204 duration of ventilation, neither in surgical ICU patients nor in medical ICU patients.<sup>16</sup>  
205 The analysis even suggested no benefit of any level of PEEP in these patients. There  
206 were no differences found in the incidence of hypotension and blood pressure levels  
207 between ventilation with higher PEEP levels versus lower PEEP levels.

#### 208 **1.5 Is there benefit of intraoperative PEEP?**

209 The effects of PEEP during ventilation gained also interest from anesthesiologists,  
210 who struggle with the same question of whether or not to use PEEP in surgery  
211 patients without lung injury. Three RCTs showed that ventilation with PEEP  
212 combined with low tidal volumes was associated with better outcomes compared to  
213 ventilation without or a low level of PEEP combined with high tidal volumes.<sup>18-20</sup>  
214 These RCTs thus studied the effect of a bundle of ventilator settings that are both  
215 expected to have an effect on the lungs, and it is impossible to conclude which part  
216 of the bundle was responsible for the benefit found. A more recent RCT, however,  
217 showed no difference in the incidence of pulmonary complication when no PEEP was  
218 compared to PEEP during ventilation at low tidal volumes.<sup>21</sup> Furthermore, one  
219 individual patient metaanalysis using data from all four RCTs mentioned above  
220 suggests that benefit seemed to come mainly from restrictions in tidal volume size,  
221 and not from using higher levels of PEEP, in patients undergoing intraoperative  
222 ventilation during general anesthesia for surgery.<sup>22</sup>

223 **1.6 An historical perspective**

224 In the early years of mechanical ventilation, PEEP was seldom used because of its  
225 alleged negative effects on hemodynamics.<sup>23</sup> Most RCTs of PEEP in ICU patients  
226 without ARDS compared ventilation with some level of PEEP to no PEEP (figure 1).  
227 In the 1960s, Ashbaugh observed that PEEP improved oxygenation in mechanically  
228 ventilated patients with ARDS, triggering the use of PEEP in patients with this life-  
229 threatening complication of critical illness.<sup>24</sup> In the 1970s, animal experiments  
230 suggested that prophylactic PEEP could be beneficial as well,<sup>25-27</sup> maybe even  
231 preventing development of ARDS.<sup>28,29</sup> Since then PEEP is increasingly used, also in  
232 patients without ARDS, despite evidence for benefit of this strategy.

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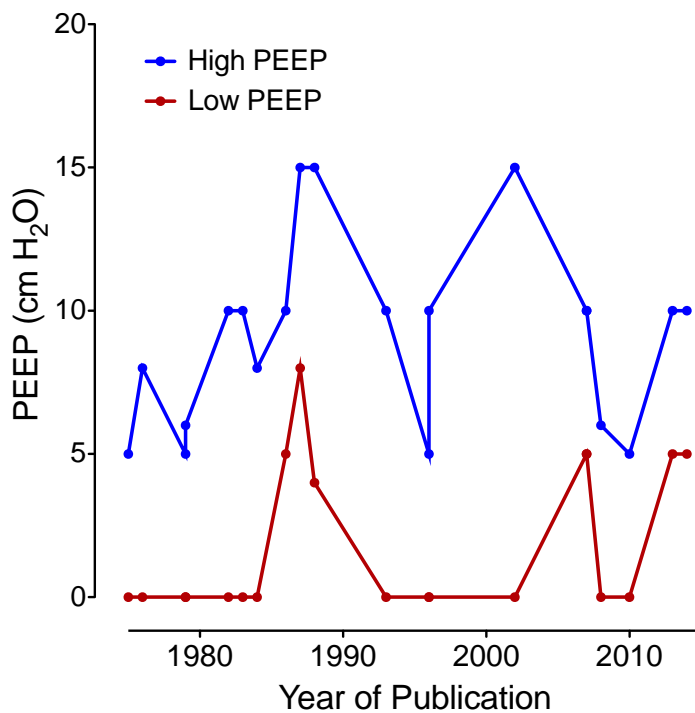
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247 **Figure 1.** PEEP levels in randomized controlled trials in patients  
248 without ARDS.<sup>16</sup>

249 **1.7 Current PEEP practice in ICU patients without ARDS**

250 Due to absence of RCT-evidence, it is highly uncertain what the best PEEP level is  
251 in ICU patients without ARDS. Interestingly, there is a salient tendency to use higher  
252 PEEP levels in these patients.<sup>30-32</sup> Even more surprising, in the Netherlands ICU  
253 patients without ARDS are ventilated with a median PEEP level of 8 cm H<sub>2</sub>O, higher  
254 compared to a PEEP level of 6 cm H<sub>2</sub>O in surrounding countries,<sup>33</sup> and what is  
255 reported to be used worldwide.<sup>34</sup>

256 **1.8 Need for a new RCT of PEEP in patients without ARDS**

257 While guidelines recommend using higher PEEP levels in ICU patients with ARDS,  
258 recommendations regarding the PEEP level to use in ICU patients without lung injury  
259 are lacking. Often a minimum PEEP level of 5 cm H<sub>2</sub>O is recommended, though this  
260 is without any scientific support. Consequently, the ICU community requests a well-  
261 powered high-quality RCT comparing ventilation with higher versus lower PEEP  
262 levels in ICU patients without ARDS.<sup>16</sup> This RCT should use objective and patient-  
263 relevant outcomes, such as duration of ventilation and ICU- and hospital length of  
264 stay (LOS), amongst others.

265 **1.9 The RELAx trial**

266 The 'REstricted versus Liberal positive end-expiratory pressure in patients without  
267 Acute respiratory distress syndrome' (RELAx) trial is a national multicenter open  
268 randomized controlled trial in ICU patients without ARDS at start of ventilation. It will  
269 be the first RCT comparing ventilation with the lowest possible PEEP level with  
270 ventilation with the median PEEP level currently practiced in the Netherlands that  
271 recruits a sufficient number of patients to test the hypothesis that ventilation with the  
272 lowest possible PEEP level is non-inferior to ventilation with a PEEP level of 8 cm  
273 H<sub>2</sub>O with regard to objective and patient-relevant clinical endpoints.

274

275 **2. OBJECTIVES AND HYPOTHESIS**

276 **2.1 Objectives**

277 **2.1.1 Primary objective**

278 The aim of the RELAx trial is to compare ventilation with the lowest possible PEEP  
279 level ('restricted PEEP', i.e., the lowest PEEP level resulting in an acceptable level of  
280 oxygenation) to ventilation with the PEEP level currently practiced ('liberal PEEP',  
281 i.e., a PEEP level of 8 cm H<sub>2</sub>O, the median PEEP level in these patients in the  
282 Netherlands) in intubated and ventilated ICU patients not fulfilling the consensus  
283 definition for ARDS at start of ventilation.

284 **2.1.2. Secondary objectives**

285 Secondary objectives are to compare the effects of '*restricted PEEP*' vs. '*liberal*  
286 *PEEP*' on ICU- and hospital length of stay (LOS), ICU- and hospital, and 90-day  
287 mortality, the incidence of severe hypoxemia, severe atelectasis, and the need for  
288 rescue therapies including recruitment maneuvers, bronchoscopy and prone position,  
289 pneumonia, pneumothorax, the incidence and development of ARDS, days with use  
290 of hemodynamic support and with use of sedation, therapeutic intervention scoring  
291 system (TISS)/ Nursing Activities Score (NAS) and related healthcare costs.

292 **2.2 Hypothesis**

293 **2.2.1 Primary hypothesis**

294 We hypothesize that ventilation with the lowest possible PEEP level results in a  
295 similar number of ventilator-free days at day 28 as ventilation with the PEEP level  
296 currently practiced in ICU patients without ARDS.

297 **2.2.2. Secondary hypotheses**

298 The secondary hypotheses are that ventilation with the lowest possible PEEP level is  
299 equal to ventilation with the PEEP level currently practiced in ICU patients without  
300 ARDS, with regard to the other endpoints mentioned above.

301



302 **3. STUDY DESIGN**

303 The RELAx trial is a national multicenter, non–inferiority, open, randomized  
304 controlled trial in intubated and ventilated adult ICU patients without ARDS expected  
305 to need ventilation for at least 24 hours. A total of 980 ICU patients in 12 participating  
306 academic as well as non–academic centers will be included.

307

## 308 4. STUDY POPULATION

### 309 4.1 Population

310 The RELAx trial will recruit consecutive intubated and mechanically ventilated ICU  
311 patients without ARDS at onset of ventilation and who are expected to need  
312 ventilation > 24 hours. Patients are included in the ICUs of 3 academic and 9 non–  
313 academic centers in the Netherlands. Patients are screened for eligibility and  
314 randomized within one hour after initiation of invasive ventilation or, if already  
315 intubated and ventilated before admission, on ICU admission. A total of 980 patients  
316 will be randomized; approximately 82 patients per center.

### 317 4.2 Inclusion criteria

318 In order to be eligible to participate in this trial, patients must meet all of the following  
319 criteria:

- 320 • Admission to one of the participating ICUs
- 321 • Need for and start of invasive ventilation
- 322 • An expected duration of ventilation > 24 hours

### 323 4.3 Exclusion criteria

324 Patients who meet any of the following criteria will be excluded:

- 325 • Age less than 18 years
- 326 • Patients with a clinical diagnosis of ARDS or possible ARDS with a  $\text{PaO}_2/\text{FiO}_2 <$   
327 200 mmHg (as the benefit of ventilation with higher PEEP levels has been proven  
328 in these patients; see **text box 1**)
- 329 • Patients with ongoing cardiac ischemia due to cardiac infarction and failed  
330 revascularization, patients with increased and uncontrollable intracranial pressure  
331 (of  $\geq 18$  mmHg), patients with delayed cerebral ischemia after subarachnoid  
332 hemorrhage, patients with necrotizing fasciitis, and severe untreatable anemia  
333 such as in case of Jehovah's Witnesses (as these patients can be considered to  
334 be vulnerable to the potentially dangerous hypoxemia which could develop more  
335 often, even for a short time, in the 'restricted PEEP'–arm of this trial; see **text box**  
336 **2**)
- 337 • Patients previously randomized in this RCT
- 338 • Patients participating in another RCT with the same clinical endpoint, or  
339 interventions possibly compromising the primary outcome

- 340 • Invasive ventilation longer than 12 hours directly preceding the present ICU  
341 admission
- 342 • Invasive ventilation longer than 1 hour before randomization
- 343 • Patients with suspected or confirmed pregnancy
- 344 • Patients with morbid obesity (body mass index > 40)
- 345 • Patients with GOLD classification III or IV chronic obstructive pulmonary disease  
346 (COPD)
- 347 • Patients with premorbid restrictive pulmonary disease (evidence of chronic  
348 interstitial infiltration on chest radiographs)
- 349 • Patients in whom pulse oximetry is known to be unreliable, e.g., patients with  
350 carbon monoxide poisoning
- 351 • Any neurologic diagnosis that can prolong duration of mechanical ventilation, e.g.,  
352 patients with Guillain–Barré syndrome, high spinal cord lesion or amyotrophic  
353 lateral sclerosis, multiple sclerosis, or myasthenia gravis
- 354 • Patients receiving veno-venous, veno-arterial or arterio-venous extracorporeal  
355 membrane oxygenation (ECMO)
- 356 • No informed consent

### **Text Box 1 – Diagnosing ARDS**

The diagnosis of ARDS is clinical, requiring (a) a medical history, (b) the presence of bilateral opacities on the chest radiograph that are fully explained by effusions, lobar/lung collapse or nodules, and (c) respiratory failure not fully explained by cardiac failure or fluid overload. The  $\text{PaO}_2/\text{FiO}_2$  is used to classify ARDS severity, with a  $\text{PaO}_2/\text{FiO}_2$  between 200 and 300 mmHg indicating mild ARDS, and a  $\text{PaO}_2/\text{FiO}_2 < 200$  mm Hg indicating moderate or severe ARDS.

The diagnostic approach, however, could be difficult if not impossible in ICU patients within the first hour after intubation and start of ventilation: they frequently suffer from temporary post-intubation atelectasis as a reason for a low  $\text{PaO}_2/\text{FiO}_2$ , the medical history is often not yet complete, and imaging studies are usually not yet performed or the results available. The risk is that only the  $\text{PaO}_2/\text{FiO}_2$  is used to diagnose ARDS in the short time frame after intubation, which could induce severe bias, as many of these patients do not have ARDS.

Thus, we exclude all patients that are clinically diagnosed with ARDS. **Patients with a  $\text{PaO}_2/\text{FiO}_2 < 200$  mm Hg are also excluded** since we consider these patients at high risk of having ARDS; only when the attending physician explicitly states the patients has no ARDS *and* no direct risk factor for ARDS is present, the patient can be included. Patients without ARDS and with a  $\text{PaO}_2/\text{FiO}_2$  between 200 and 300 mmHg can be included: as these patients very seldom have ARDS.

### **Text Box 2 – Potentially vulnerable patients**

Oxygen delivery to the tissues ( $DO_2$ ) depends on cardiac output and arterial blood oxygen content,<sup>35</sup> the latter being dependent on hemoglobin saturation, arterial blood oxygen saturation ( $SaO_2$ ) and partial pressure of oxygen ( $PaO_2$ ). The understanding of the importance of the several components of  $DO_2$  has led to emphasize early identification and prevention of hypovolemia (to prevent a low cardiac output) and anemia, but also prevention of hypoxemia for critically ill patients.

Administration of fluids, packed red blood cells, and additional oxygen could all be useful, though the effect size on  $DO_2$  differs substantially. Indeed, a 50%–decrease in hemoglobin concentration (e.g., from 9 to 4,5 mmol/l) results in a 50% reduction of  $DO_2$ , whereas a 50%–reduction in the  $PaO_2$  (e.g., from 12 to 6 kPa, or  $SaO_2$  (from 98 to 78%) results only in no more than 20% decrease in  $DO_2$ . Thus, the influence of a drop in hemoglobin concentration is of greater influence on  $DO_2$  as compared to a drop in  $PaO_2$  or  $SaO_2$ .

Nevertheless, the targeted  $O_2$  saturation proposed in this RCT could potentially be harmful in certain patient groups, like those with proven ongoing cardiac ischemia or delayed cerebral ischemia, or necrotizing fasciitis, or severe untreatable anemia such as in case of Jehovah's Witnesses. Therefore, these patients should be excluded from participation in this trial.

358

### **359 4.4 Sample size**

360 Group size calculation is focused on demonstrating non–inferiority. When the sample  
361 size in each is 445, an one–sided non–inferiority t–test (targeted at 0.05 significance  
362 level) for the difference in means of log–transformed normalized data has a 80%  
363 power to reject the null hypothesis that the number of VFD–28 in the 'restricted  
364 PEEP'–arm is inferior to the number of VFD–28 in the 'liberal PEEP'–arm by a  
365 margin of 10% anticipating on a coefficient of a variation of 0.70 ([www.stichting–  
366 nice.nl](http://www.stichting-nice.nl)), in favor of the alternative hypothesis that the number of VFD–28 in the  
367 'restricted PEEP'–arm is non–inferior.

368 The choice for a margin of 10% is motivated by what we consider acceptable  
369 from a clinical point of view as the maximal acceptable reduction of the ventilator–  
370 free period for non–inferiority. Clinically this margin means that an increase of > 10%

371 in the duration of mechanical ventilation will reduce the VFD-28 with > 12 hours  
372 (calculated over the expected mean duration of mechanical ventilation of 5 days)  
373 (<http://www.stichting-nice.nl>) which will be considered inferior. To allow for an  
374 anticipated drop out of 10% a total of 980 patients will be included.

375

376 **5. INTERVENTIONAL TREATMENT OF SUBJECTS**

377 **5.1 Randomization to the ‘restricted PEEP’–arm or the ‘liberal PEEP’–arm**

378 Patients are randomly assigned in a 1:1 ratio to the ‘restricted PEEP’–arm or to the  
379 ‘liberal PEEP’–arm of this trial.

380 **5.2 The ‘restricted PEEP’–arm**

381 Directly after start of invasive ventilation the PEEP level is set at 5 cm H<sub>2</sub>O with an  
382 inspired oxygen fraction (FiO<sub>2</sub>) between 0.21 and 0.6. The goal is to ventilate with the  
383 lowest possible PEEP level resulting in an acceptable level of oxygenation. For this,  
384 the operator, usually the attending ICU nurse, will reduce the level of PEEP in steps  
385 of 1 cm H<sub>2</sub>O to a minimum level of 0 cm H<sub>2</sub>O. Every 15 minutes the PEEP level is  
386 reduced with 1 cm H<sub>2</sub>O, as long as the pulse oximetry reading shows a SpO<sub>2</sub> > 92%  
387 or the arterial blood gas shows a PaO<sub>2</sub> > 8 kPa, as illustrated in the flowchart (see  
388 **Figure 1**). Thereafter, ventilation continues with the lowest PEEP level at which the  
389 SpO<sub>2</sub> > 92% or PaO<sub>2</sub> > 8 kPa, using a FiO<sub>2</sub> of between 0.21 and 0.6. In case the  
390 SpO<sub>2</sub> drops below 92% or the PaO<sub>2</sub> drops below 8 kPa, brief periods of 5 minutes  
391 may be tolerated, first FiO<sub>2</sub> is increased up to maximum 0.6 before the level of PEEP  
392 is increased in steps of 1 cm H<sub>2</sub>O until 5 cm H<sub>2</sub>O. As soon as the patient stabilizes,  
393 again the level of PEEP is reduced in steps of 1 cm H<sub>2</sub>O to a minimum level of 0 cm  
394 H<sub>2</sub>O.

395 So–called ‘down–titrations’ of the PEEP level are allowed as often as wanted,  
396 but with a minimum of three ‘down–titrations’ per ICU nurse shift (i.e., every eight  
397 hours). This number is chosen to push nurses towards using the lowest possible  
398 PEEP level. We deliberately chose not to state a maximum for these ‘down–  
399 titrations’, as adjustments in ventilator settings, like FiO<sub>2</sub> and driving pressure, in the  
400 Dutch ICU setting are very frequent, occurring many more times than three times per  
401 shift – this is a safe process, and we assume it is the same for the PEEP level  
402 adjustments.

403 Patients are weaned from the ventilator (see: weaning) and tracheally  
404 extubated using the lowest PEEP level. In other words, the lowest PEEP level is  
405 used throughout the complete period of invasive ventilation. However, during  
406 pulmonary toileting and tracheal suctioning, bronchoscopic procedures, intra– or  
407 inter–ICU transport or any maneuver during which ‘pre–oxygenation’ with high FiO<sub>2</sub> is

408 deemed beneficial, ICU nurses are allowed to increase the  $\text{FiO}_2 > 0.6$ , and preferably  
409 not the level of PEEP.

410 Pulmonary rescue: in case of severe hypoxemia, defined as a drop in  $\text{SpO}_2$   
411 below 88% or a drop in  $\text{PaO}_2$  below 7.3 kPa, common causes such as a mucus plug  
412 requiring pulmonary toilet should be considered and treated, the  $\text{FiO}_2$  level is  
413 increased up to 1.0 and the PEEP level is set back at 5 cm  $\text{H}_2\text{O}$  or more, both to a  
414 level left to the discretion of the attending physician. After solving the cause for the  
415 drop in  $\text{SpO}_2$  or  $\text{PaO}_2$ , the PEEP level is again 'down-titrated', following the same  
416 steps as described above. Development of atelectasis, or increases in the amount of  
417 atelectasis is not necessarily a reason for using a higher PEEP level, unless the  
418  $\text{SpO}_2$  drops below 92% or the  $\text{PaO}_2$  drops below 8 kPa, and does not respond to  
419 increases in  $\text{FiO}_2$  to maximal 0.6. If a patient develops ARDS, according to the Berlin  
420 definition for ARDS,<sup>36,37</sup> the level of PEEP should always be increased to 10 cm  $\text{H}_2\text{O}$ ,  
421 or more.

422 Hemodynamic rescue: in case a patient becomes hemodynamic unstable,  
423 meaning that more inotropes and/or vasoactive agents are needed, hemodynamic  
424 compromise due to increases in atelectasis could be considered. Then, for a short  
425 period of time (e.g., for 1 to 2 hours) the PEEP level can be set at 5 cm  $\text{H}_2\text{O}$ . After  
426 solving the hemodynamic problem, the PEEP level is again 'down-titrated'.

### 427 **5.3 The 'liberal PEEP'–arm**

428 Directly after start of invasive ventilation the PEEP level is set at 8 cm  $\text{H}_2\text{O}$  with a  
429  $\text{FiO}_2$  between 0.21 and 0.6. The goal is to ventilate the patient mainly at this level of  
430 PEEP till tracheal extubation. For this, the operator will increase the level of PEEP, if  
431 a level of  $< 8$  cm  $\text{H}_2\text{O}$  was used, to 8 cm  $\text{H}_2\text{O}$  in one single step (see **Figure 1**).  
432 Thereafter, ventilation continues with the PEEP level at 8 cm  $\text{H}_2\text{O}$  using a  $\text{FiO}_2$  of  
433 between 0.21 and 0.6. In case the  $\text{SpO}_2$  drops below 92% or the  $\text{PaO}_2$  drops below 8  
434 kPa, first  $\text{FiO}_2$  is increased to maximum 0.6 before the level of PEEP is further  
435 increased.

436 Patients are weaned of the ventilator (see: weaning) and tracheally extubated  
437 using a PEEP level of 8 cm  $\text{H}_2\text{O}$ . However, during pulmonary toileting and tracheal  
438 suctioning, bronchoscopic procedures, intra- or inter-ICU transport or any maneuver  
439 during which 'pre-oxygenation' with high  $\text{FiO}_2$  is deemed beneficial, ICU nurses are  
440 allowed to increase the  $\text{FiO}_2 > 0.6$ , and preferably not the level of PEEP. If preferred,



441 the level of PEEP can be set at 5 cm H<sub>2</sub>O for one to two hours directly before  
442 tracheal extubation, left to the discretion of the attending physician.

443 Pulmonary rescue: in case of severe hypoxemia, defined as a drop in SpO<sub>2</sub>  
444 below 88% or a drop in PaO<sub>2</sub> below 7.3 kPa, common causes such as a mucus plug  
445 requiring pulmonary toilet can be considered and treated, FiO<sub>2</sub> level is increased up  
446 to 1.0 to a level left to the discretion of the attending physician, if necessary the  
447 PEEP level can be increased. After solving the cause for the drop in SpO<sub>2</sub> or the drop  
448 in PaO<sub>2</sub>, FiO<sub>2</sub> and the level of PEEP is set back.

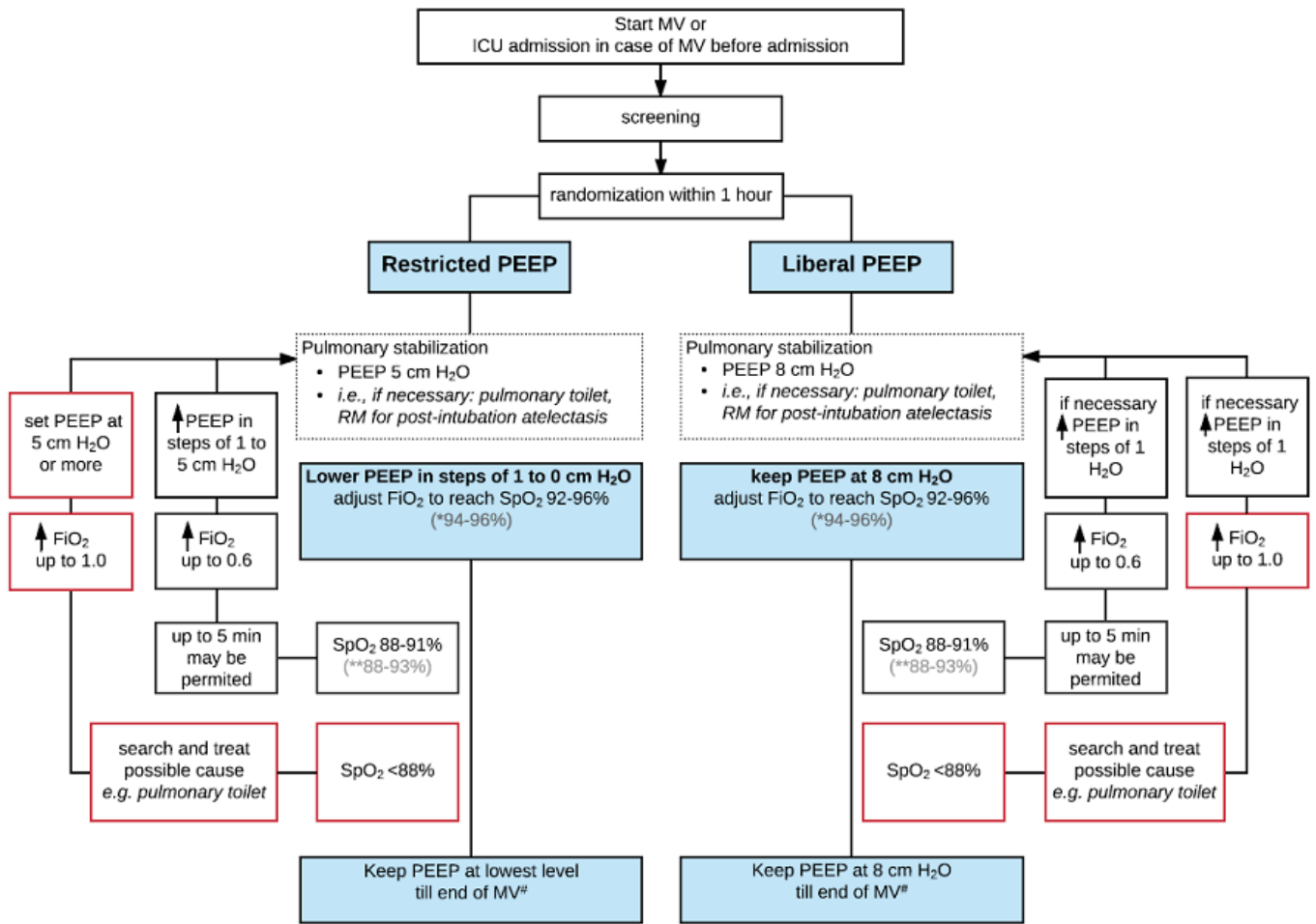
449 Hemodynamic rescue: in case a patient becomes hemodynamic unstable,  
450 meaning that more inotropes and/or vasoactive agents are needed, hemodynamic  
451 compromise due to increases in overdistension could be considered. Then, for a  
452 short period of time (e.g., for 1 to 2 hours) the PEEP level can be set at 5 cm H<sub>2</sub>O.  
453 After solving the hemodynamic problem, the level of PEEP is again set back to 8 cm  
454 H<sub>2</sub>O.

455 The goal is to ventilate patients in this arm with a PEEP level of 8 cm H<sub>2</sub>O and  
456 only to adjust the PEEP level when deemed necessary. This reflects current  
457 ventilation practice in the Dutch setting, where the PEEP level is further increased to  
458 improve oxygenation, but decreased in case of hemodynamic compromise (see  
459 **Figure 1**).

460

461

Figure 1. Flowchart ventilator settings in the 'restricted PEEP'–arm and in the 'liberal PEEP'–arm



\* = 94-96%, \*\* = 88-93%, higher oxygen targets are allowed for patients who develop:  
 1) ongoing cardiac ischemia due to cardiac infarction and failed revascularisation  
 2) delayed cerebral ischemia after subarachnoid hemorrhage  
 3) increased and uncontrollable intracranial pressure (> 18 mmHg)  
 4) necrotizing fasciitis  
 5) severe untreatable anemia, such as in case of Jehovah's Witnesses  
 #, short periods of PEEP at 5 cm H<sub>2</sub>O are allowed to evaluate whether the patient can be extubated

Abbreviations: PEEP, positive end–expiratory pressure; MV, mechanical ventilation; PBW, predicted body weight; ARDS, acute respiratory distress syndrome.

In APPENDIX III a few patient examples are shown to clarify and explain the proposed ventilation strategy in the 'restricted PEEP'–arm.

## 463 **6. STANDARD TREATMENT OF SUBJECTS**

### 464 **6.1 Standard ventilatory management**

465 The RELAx trial allows the following ventilatory modes: volume-controlled or  
466 pressure-controlled ventilation, and pressure support ventilation. Automated modes,  
467 in particular those that automatically change the PEEP level and FiO<sub>2</sub>, are never  
468 allowed.

469 With volume-controlled and pressure-controlled ventilation the inspiration-to-  
470 expiration ratio is set at 1:2. With volume-controlled ventilation the inspiration time  
471 and pause are set at 25% and 10%, respectively. With pressure support ventilation,  
472 the highest possible pressure rise is chosen and cycling off is set at 25%.

473 Tidal volume size is between 6–8 ml/kg predicted body weight (PBW), which is  
474 calculated according to the following formula<sup>38</sup>  $50 + 0.91 \times (\text{centimeters of height} -$   
475  $152.4)$  for males and  $45.5 + 0.91 \times (\text{centimeters of height} - 152.4)$  for females. The  
476 respiratory rate is adjusted to obtain a normal arterial blood pH (7.35 to 7.45). In case  
477 of metabolic acidosis or alkalosis, a lower or higher than normal PaCO<sub>2</sub> can be  
478 accepted, which is left to the discretion of the attending physician. Recruitment  
479 maneuvers are allowed when deemed necessary, but the decision to perform a  
480 recruitment maneuver is also left to the discretion of the attending physician.

### 481 **6.2 Oxygenation targets**

482 The oxygenation target ranges for SpO<sub>2</sub> and PaO<sub>2</sub> are 92% to 96%, and 8 kPa to  
483 11.5 kPa, respectively.<sup>39-43</sup> Oxygenation will be maintained in the target ranges  
484 primarily by adjusting the FiO<sub>2</sub>, which is typically set between 0.21 and 0.6. The  
485 oxygenation target is primarily assessed by peripheral saturation (SpO<sub>2</sub>) as  
486 measured by pulse oximetry and only in case of unreliable reading the oxygenation  
487 will be assessed by the arterial blood oxygen pressure (PaO<sub>2</sub>).

488 For patients in whom the risk of potentially dangerous hypoxemia could be  
489 become unacceptable during the trial (e.g., in patients who develop: ongoing cardiac  
490 ischemia due to cardiac infarction and failed revascularization, delayed cerebral  
491 ischemia after subarachnoid hemorrhage, increased and uncontrollable intracranial  
492 pressure (of  $\geq 18$  mmHg), necrotizing fasciitis or severe untreatable anemia such as  
493 with Jehovah's Witnesses), the oxygenation target ranges can be increased to SpO<sub>2</sub>  
494 and PaO<sub>2</sub> of 94% to 96%, and 9 kPa to 11.5 kPa, respectively.

495 **6.3 Ventilator settings when a patient develops ARDS**

496 In case a patient develops ARDS, ventilation should be continued according to  
497 existing guidelines for patients with ARDS. This at least consists of low tidal volumes  
498 (6 ml/kg PBW or lower), and higher PEEP levels (10 cm H<sub>2</sub>O or higher). Also, a low  
499 driving pressure could be considered.

500 **6.4 Ventilator settings when a patient requires ECMO**

501 In the unlikely event that a patient receives ECMO, the ventilator is set according to  
502 the local protocol for ventilation under ECMO. This means that PEEP is *no longer*  
503 titrated according to the study protocol.

504 **6.5 Weaning**

505 In all patients who receive assist ventilation, three times a day it should be tested  
506 whether the patient accepts assist ventilation; this should also be tried when the  
507 patient shows respiratory muscle activity during assist ventilation.

508 The attending physician decides when to tracheally extubate a patient, based  
509 on general extubation criteria (i.e. responsive and cooperative, adequate cough  
510 reflex, adequate oxygenation with  $FiO_2 \leq 0.4$ , hemodynamically stable, no  
511 uncontrolled arrhythmia and a rectal temperature  $> 36$  Celsius and after successfully  
512 passing a spontaneous breathing trial (SBT) with a T-piece *or* ventilation with  
513 minimal support (pressure support level  $< 10$  cm H<sub>2</sub>O) and  $FiO_2 \leq 0.4$ . In case SBTs  
514 are used, an SBT is judged as successful when the following criteria are met for at  
515 least 30 minutes, the attending physician takes the final decision for extubation:

- 516 • Respiratory rate  $< 35$ /min  
517 • Peripheral oxygen saturation  $> 90\%$   
518 • Increase  $< 20\%$  of Heart rate and blood pressure  
519 • No signs of anxiety and diaphoresis

520 In case a patient needs to be re-intubated and ventilated, the PEEP level is set as  
521 described above.

522 **6.6 Tracheostomy**

523 Early tracheostomy has no advantage over late tracheotomy.<sup>44</sup> Therefore,  
524 tracheostomy is only to be performed on strict indications and preferably not earlier  
525 than 10 days after intubation. Strict indications for tracheostomy:

- 526 • Expected duration of ventilation  $> 14$  days

- 527 • Glasgow Coma Score < 7 and/or inadequate swallow or cough reflex with  
528 retention of sputum
- 529 • Severe ICU–acquired weakness
- 530 • Repeated respiratory failure after extubation
- 531 • Pre–existent diminished pulmonary reserves
- 532 • Failure to intubate
- 533 • Prolonged or unsuccessful weaning

534 Weaning with a tracheostomy follows recommendations as described under  
535 ‘weaning’, a suggested scheme for unassisted ventilation with a tracheostomy is  
536 described in APPENDIX II.

### 537 **6.7 Sedation protocol**

538 Sedation follows the local guidelines for sedation in each participating unit. In  
539 general, these guidelines favor the use of analgo–sedation over hypno–sedation, use  
540 of bolus over continuous infusion of sedating agents, and the use of sedation scores.

541 Nurses determine the level of sedation at least 3 times per day. The adequacy of  
542 sedation in each patient is evaluated using a Richmond Agitation Sedation Scale  
543 (RASS).<sup>45,46</sup> A RASS score of –2 to 0 is seen as adequate sedation. The goals of  
544 sedation are to reduce agitation, stress and fear; to reduce oxygen consumption  
545 (heart rate, blood pressure and minute volume are measured continuously); and to  
546 reduce physical resistance to– and fear of daily care and medical examination.  
547 Patient comfort is the primary goal.

548 Level of pain is determined using scales such as Numeric Rating Scale (NRS), Visual  
549 Analogue Scale (VAS), Critical Care Pain Observation Tool (CCPOT) or Behavioral  
550 Pain Scale (BPS).

### 551 **6.8 Non–ventilatory management**

#### 552 **6.8.1 Selective oropharyngeal– or digestive tract decontamination**

553 To prevent nosocomial infections, selective oropharyngeal decontamination (SOD) or  
554 selective decontamination of the digestive tract (SDD) is performed in all patients  
555 who are expected to need ventilation for longer than 48 hours, and/or are expected to  
556 stay in ICU for longer than 72 hours.<sup>47</sup>

#### 557 **6.8.2 Thrombosis prophylaxis**

558 Thrombosis prophylaxis is indicated for all patients who are not treated with  
559 anticoagulants, e.g. for therapeutic reasons or systemic prophylaxis because of an

560 implanted device or extracorporeal circulation like for renal replacement therapy.  
561 Thrombosis prophylaxis will be given according to local guidelines.

### 562 **6.8.3 Fluid regimens**

563 A fluid balance targeted at normovolemia and a diuresis of  $\geq 0.5$  ml/kg/hour should  
564 be maintained. Crystalloid infusions are preferred over colloid infusions.

### 565 **6.8.4 Nutrition**

566 A hypo-caloric, protein-rich diet (1.2–1.7 gr/kg bodyweight /24 hours) is started as  
567 soon as possible after ICU admission. Enteral nutrition with a feeding gastric tube is  
568 preferred over intravenous feeding. If stomach retention occurs, a duodenal tube can  
569 be used if administration of prokinetic drugs is not sufficient, according to local  
570 guidelines. When optimal protein intake cannot be reached within 4 days, additional  
571 parenteral nutrition can be started.

572

573 **7. METHODS**

574 **7.1 Study parameters/endpoints**

575 **7.1.1 Main study parameter**

576 The primary endpoint is the number of ventilator-free days and alive at day 28,  
577 defined as the number of days from day 1 to day 28; the patient is alive and breathes  
578 without assistance of the mechanical ventilator, if the period of unassisted breathing  
579 lasted at least 24 consecutive hours.

580 **7.1.2 Secondary study parameters**

581 Secondary study parameters include:

- 582 • ICU length of stay (LOS)
- 583 • Hospital LOS
- 584 • ICU mortality
- 585 • Hospital mortality
- 586 • 90-day mortality
- 587 • Incidence of development ARDS (APPENDIX I)
- 588 • Incidence of severe hypoxemia (APPENDIX I)
- 589 • Incidence of severe atelectasis, if a chest radiograph is obtained (APPENDIX I)
- 590 • Rescue therapies for severe hypoxemia or severe atelectasis
  - 591 ○ Recruitment maneuver (APPENDIX I)
  - 592 ○ Prone positioning
  - 593 ○ Bronchoscopy for opening atelectasis
- 594 • Incidence of pneumothorax, if a chest radiograph is obtained or other kind of  
595 imaging suitable for diagnosing pneumothorax is obtained (APPENDIX I)
- 596 • Incidence of pneumonia (APPENDIX I)
- 597 • The level of PEEP in the 'restricted PEEP'-arm and the 'liberal PEEP'-arm
- 598 • Days with use of hemodynamic support, defined as the number of ICU days with  
599 any use of vasopressors/inotropes for > 1 hour on a day
- 600 • Days with use of sedation, defined as the number of ICU days with any use of  
601 sedatives for > 1 hour on a day
- 602 • Therapeutic intervention scoring system (TISS)/ Nursing Activities Score (NAS)

### 603 **7.1.3 Other study parameters**

604 Health care related costs will be estimated from the health systems perspective over  
605 the time horizon of this trial. Costs include costs of ventilation, costs of stay in ICU,  
606 costs of stay in hospital, costs of use of inotropes and vasopressors, costs of use of  
607 sedatives, costs of use of tracheostomies, costs of ventilator-associated pneumonia.  
608 Costs will be determined for both PEEP arms during the 28 days follow up period  
609 after initial ICU admission. These are used to calculate incremental cost per  
610 mechanical ventilation-day avoided.

611 Lung ultrasound (LUS): within 12 hours after enrolment in the RELAx study, after 24-  
612 48 hours after enrolment and within 24 hours after detubation, a LUS will be  
613 performed to monitor changes in lung aeration. This is only done in patients admitted  
614 to the AMC (see appendix IV: RELAxLUS).

615 Cardiac ultrasound (ECHO): 24-48 hours after enrolment in the RELAx study, a  
616 transthoracic echocardiography (TTE) will be performed to assess the cardiac  
617 function. This is only done in a total of 68 patients admitted to the AMC (see  
618 appendix V: RELAxECHO).

### 618 **7.2 Randomization, blinding and treatment allocation**

619 Randomization will be performed using a dedicated, password protected, SSL-  
620 encrypted website. Randomization sequence is generated by a dedicated computer  
621 randomization software program, ALEA, using random block sizes (4, 6, up to  
622 maximal 8). Due to the nature of the treatment, blinding is not possible.

623 Patients are randomly assigned in a 1:1 ratio to the 'restricted PEEP'-arm or to the  
624 'liberal PEEP'-arm of this trial.

### 625 **7.3 Study procedures**

626 Patients in participating intensive care units (ICU) are screened and randomized  
627 within 1 hour after start of mechanical ventilation. Demographic data of all screened  
628 patients, regardless of meeting the enrollment criteria will be recorded (age, gender,  
629 expected duration of ventilation > or < than 24 hours).

630 The oxygenation target ranges for SpO<sub>2</sub> and PaO<sub>2</sub> are 92% to 96%, and 8 kPa to  
631 11.5 kPa, respectively.<sup>39-43</sup> Oxygenation will be maintained in the target ranges  
632 primarily by adjusting the FiO<sub>2</sub>, which is typically set between 0.21 and 0.6. The  
633 oxygenation target is primarily assessed by SpO<sub>2</sub>, as measured by pulse oximetry  
634 and only in case of discrepancy unreliable reading the oxygenation will be assessed  
635 by the PaO<sub>2</sub>. Therefore, no extra arterial blood gasses need to be obtained, besides  
636 the normally, 3-4 daily conducted arterial blood samples.



637 **7.4 Data collection**

- 638 • On admission and within the first 24 hours:
- 639 • Gender and age (male + years)
- 640 • Height and weight (cm + kg)
- 641 • Reason for ICU admission
- 642 • Reason for ventilation support
- 643 • Cause of respiratory failure
- 644 • APACHE II score and SAPS II score
- 645 • Respiratory status, on admission, and every day at a fixed time point until day 28:
- 646 • Intubation status (if extubated: time of extubation)
- 647 • Tracheostomy status (if tracheostomized: time of tracheostomy)
- 648 • Invasiveness of ventilation (invasive, non–invasive, or intermittent ventilation
- 649 via tracheostomy)
- 650 • Location of patient, every day at a fixed time point until day 28, and at day 90 (in
- 651 ICU, hospital, other facility, or home) and life status (alive or deceased)
- 652 • Pulmonary complication, every day at a fixed time point until day 28 or discharge
- 653 from ICU, whatever comes first:
- 654 • ARDS (yes or no) (APPENDIX I)
- 655 • Severe hypoxemia (yes or no) (APPENDIX I)
- 656 • Pneumonia (yes or no) (APPENDIX I)
- 657 • Severe atelectasis (yes or no) (APPENDIX I)
- 658 • Pneumothorax (yes or no) (APPENDIX I)
- 659 • Need for rescue therapies for severe hypoxemia or severe atelectasis, every day
- 660 at a fixed time point until day 28 or discharge from ICU, whatever comes first
- 661 • Recruitment maneuver (yes or no) (APPENDIX I)
- 662 • Prone positioning (yes or no)
- 663 • Bronchoscopy for opening atelectasis (yes or no)
- 664 • Days with use hemodynamic support, every day at a fixed time point until day 28
- 665 or discharge from ICU, whatever comes first. Defined as the number of ICU days
- 666 with any use of vasopressors/inotropes use for > 1 hour on a day (yes or no)
- 667 • Days with use of sedation, every day at a fixed time point until day 28 or
- 668 discharge from ICU, whatever comes first. Defined as the number of ICU days
- 669 with any use of sedatives for > 1 hour on a day (yes or no)

- 670 • ICU–acquired weakness, every day until day 28 or discharge form ICU, whatever  
671 comes first: Medical Research Council (MRC) score (APPENDIX I)<sup>48</sup>

672 **7.4.1. Other data to be collected**

- 673 • Mechanical ventilation parameters, 1 hour before and 1 hour after randomization  
674 and every day at a fixed time point until liberation from the ventilator:
- 675 • Mode of ventilation
  - 676 • Tidal volume
  - 677 • Respiratory Rate
  - 678 • Level of positive end–expiratory pressure (PEEP, cm H<sub>2</sub>O)
  - 679 • Peak and plateau pressures, or level of pressure support (level above PEEP,  
680 and maximal airway pressure, cm H<sub>2</sub>O)
  - 681 • Inspiration to expiration ratio
  - 682 • Inspired oxygen fraction (%)
  - 683 • Minute volume (liters/minute)
- 684 • Respiratory parameters, 1 hour before and 1 hour after randomization, and every  
685 day at a fixed time point until liberation from the ventilator:
- 686 • Peripheral oxygen saturation (%)
  - 687 • End–tidal fractions CO<sub>2</sub> (kPa)
  - 688 • PaO<sub>2</sub> (kPa)
  - 689 • PaCO<sub>2</sub> (kPa)
  - 690 • Arterial bicarbonate (mmol/L)
  - 691 • Arterial pH
  - 692 • Arterial base excess (mmol/L)
- 693 • Non–respiratory parameters, every day at fixed time point until liberation from the  
694 ventilator:
- 695 • Cumulative fluid balance (ml)
  - 696 • Transfusion of blood products (type and ml)
  - 697 • Infusion of colloids (type and ml)
  - 698 • Infusion of (artificial) colloids (type and ml)
  - 699 • Sequential Organ Failure Assessment score (SOFA) score
  - 700 • Extra pulmonary infection, sepsis, re–operation, cardiac arrest
  - 701 • Therapeutic intervention scoring system (TISS)/ Nursing Activities Score  
702 (NAS)

703 **7.5 Withdrawal of individual subject**

704 Subjects can leave the trial at any time for any reason if they wish to do so without  
705 any consequences.

706 **7.6 Follow up of subject withdrawn from the study**

707 Patients withdrawn from the trial will not be subjected to follow up.

708 **7.7 Replacement of individual subjects when deferred consent could not be**  
709 **obtained**

710 When deferred consent is not obtained after randomization and provisional inclusion  
711 of a patient, the randomized subject will be replaced. In the randomization log these  
712 cases will be recorded without patient-specific data. The randomization subjects will  
713 be replaced in order to retain properly distributed randomization groups.

714 In the sample size calculation, a dropout rate of 10 % has been taken into account.

715

716 **8. SAFETY REPORTING**

717 **8.1 Temporary halt for reasons of subject safety**

718 In accordance to section 10, subsection 4, of the WMO, the sponsor will suspend the  
719 trial if there is sufficient ground that continuation of the trial will jeopardise subject  
720 health or safety. The sponsor will notify the accredited METC without undue delay of  
721 a temporary halt including the reason for such an action. The trial will be suspended  
722 pending a further positive decision by the accredited METC. The investigator will take  
723 care that all subjects are kept informed.

724 **8.2 Secondary endpoints for safety**

725 Since we compare two ventilation strategies that are currently used in standard care,  
726 additional risks are not expected. Furthermore, the study population consists of  
727 critically ill patients, with a high incidence of death or life-threatening events due to  
728 the severity of their illness (the hospital mortality in ventilated ICU patients is 21%<sup>34</sup>).  
729 Therefore, we propose to report the secondary endpoints of this trial, which  
730 incorporate ventilation specific complications, in a line listing two times per year to  
731 the METC to monitor safety of both treatment strategies. The METC will receive a  
732 line listing of the secondary endpoints incorporating ventilation specific ventilation  
733 complications (see below). These endpoints will be specified per study arm in the line  
734 listing without disclosing the specific arms.

735 Those ventilation specific complications include:

- 736 • ICU mortality
- 737 • Incidence of development of ARDS
- 738 • Incidence of severe hypoxemia
- 739 • Incidence of rescue therapy for severe hypoxemia and/or severe atelectasis:
- 740 • Recruitment strategies
- 741 • Prone positioning
- 742 • Bronchoscopy for opening atelectasis

743 **8.3 Data Safety Monitoring Board (DSMB)**

744 An DSMB will be installed to monitor safety and the overall conduct of the trial. The  
745 DSMB will compose of 4 individuals who will be invited, one of which will be the  
746 chairman.

- 747 • The DSMB will first meet after inclusion of the first 150 patients, approximately 6  
748 months after the first patient is enrolled.

- 749 • Subsequent to this meeting the DSMB will meet virtually every 6 months
- 750 • The DSMB will review the overall status of the program, number of patients
- 751 enrolled overall and in each center, adherence to the protocol overall and by each
- 752 center.
- 753 • The DSMB will monitor safety of both ventilation strategies by monitoring the
- 754 secondary endpoints of ventilation specific complications.
- 755 • The following DSMB individuals will be invited:
- 756 • I. Martin-Loeches, MD PhD, St James's University Hospital, Dublin, Ireland
- 757 • P. Severgnini, MD, Universita degli Studi dell'Insubria, Varese, Italy
- 758 • F. van Haren, MD PhD, Canberra Hospital, Garran, Australia
- 759 • Prof. A. Artigas, MD PhD, Hospital de Sabadell, Sabadell, Spain

760 The report and/or advice of the DSMB will only be sent to the sponsor of the study,

761 the Academic Medical Center. Should the sponsor decide not to fully implement the

762 advice of the DSMB, the sponsor will send the advice to the reviewing METC,

763 including a note to substantiate why (part of) the advice of the DSMB will not be

764 followed.

765

## 766 **9. STATISTICAL ANALYSIS**

### 767 **9.1 General considerations**

768 The statistical analysis will be based on the intention-to-treat principle. In addition,  
769 we will perform a per-protocol analysis to check for robustness of results. The  
770 intention-to-treat analysis includes all patients as randomized regardless of whether  
771 they received the randomized treatment or other protocol deviations. Per-protocol  
772 group analysis only considers those patients who completed the treatment according  
773 to the originally allocated protocol. In this non-inferiority trial we include a superiority,  
774 primary effect analysis. If the non-inferiority criterion is satisfied, a secondary  
775 analysis of the primary endpoint for superiority will be conducted. When appropriate,  
776 statistical uncertainty will be expressed by the 95% confidence levels. P-values of  
777 0.05 are used for statistical significance. All statistical analysis will be performed with  
778 the R version 3.3.2.

### 779 **9.2 Primary study parameter**

780 The primary outcome is the number of ventilator-free days and alive at day 28 after  
781 ICU admission. The null hypothesis entails that ventilation with the 'restricted PEEP'-  
782 arm is inferior by a margin of 10% to ventilation with the 'liberal PEEP'-arm. If the  
783 95% CI upper bound for inferiority of the 'restricted PEEP'-arm is  $< 10\%$ , the null  
784 hypothesis of inferiority is rejected. If the non-inferiority criterion is satisfied, then a  
785 secondary analysis of the primary endpoint for superiority will be tested. We will use  
786 an appropriate nonparametric analysis method to evaluate the confidence interval for  
787 the difference between the two medians of the ventilator-free days from both PEEP  
788 arms. Additionally, time to freedom from mechanical ventilation is expressed with  
789 Kaplan-Meier curves. Differences between both PEEP arms will be analyzed using  
790 the log-rank test.

### 791 **9.3 Secondary study parameter(s)**

792 Continuous normally distributed variables will be expressed by their mean and  
793 standard deviation or, when not normally distributed, as medians and their  
794 interquartile ranges. Categorical variables will be expressed as frequencies and  
795 percentages. Differences between groups in continuous variables will be analyzed  
796 with Students t-test or if continuous data is not normally distributed, the Mann-  
797 Whitney U test will be used. Categorical variables will be compared with the Chi-

798 squared test or Fisher's exact test, as appropriate. Time-dependent data will be  
799 expressed with Kaplan-Meier curves.

#### 800 **9.4 Cost-effectiveness analysis**

801 Alongside the proposed RCT a prospective economic study will be performed. The  
802 economic evaluation primarily focuses on the possible gained benefits of ventilation  
803 with the lowest possible PEEP versus ventilation with the PEEP level currently  
804 practiced and the associated healthcare costs within 28 days (the primary outcome of  
805 the RCT).

806 Incremental Cost Effectiveness Ratios (ICER) will be calculated by extra costs  
807 per TISS/NAS point, a valuable score reflecting workload and resource utilization in  
808 daily ICU practice.<sup>49,50</sup> Cost calculations will be based on actual performance and  
809 resource use in routine ICU care during the study follow-up period.

##### 810 **9.4.1 Cost-analysis and time horizon of the analysis**

811 Cost categories and overall costs will be compared between both ventilation  
812 strategies and where relevant, differences will be calculated, inclusive of 95%  
813 confidence intervals. Additional costs as a result of comorbid conditions will be  
814 excluded. The economic evaluation will be set-up as a cost-effectiveness analysis  
815 (CEA). The time horizon will be limited to the short-term follow-up (i.e., 28-days,  
816 90-days). With this time horizon no discounting of costs and effects will be  
817 performed.

##### 818 **9.4.2 Measurements**

819 The prospective cost evaluation will primarily focus on health care utilization (direct  
820 medical costs). The direct medical costs include the costs of all procedures and units  
821 associated with the ventilation strategies (e.g. fluids, vasopressors, sedatives, and  
822 ventilator days, ICU and hospital days). Health care utilization will be extracted from  
823 the hospital information system, hospital databases (e.g., the National Intensive Care  
824 Evaluation (NICE) score, see [www.stichting-nice.nl](http://www.stichting-nice.nl)), case record forms (CRFs),  
825 financial reports, and patient files. Health service resource use and costs of both  
826 ventilation strategies will be measured from a health service and (if relevant) societal  
827 perspective. Protocol driven costs will be excluded.

##### 828 **9.4.3 Unit costs**

829 Costs are defined as the volumes of used resources multiplied by calculated unit  
830 prices. For the evaluation of health care utilization standard prices published in the

831 current Dutch costing guidelines and market prices will be used. Standard guideline  
832 prices will be used (e.g., diagnostic interventions, hospital admissions).<sup>51</sup>

#### 833 **9.4.4. Statistical analysis of Cost–effectiveness**

834 As most volumes of resource use follow a skewed distribution, differences between  
835 the two ventilation strategies will be statistically evaluated with bias–corrected  
836 bootstrap analysis.<sup>52</sup> Incremental cost–effectiveness ratio will be calculated with the  
837 registered TISS/NAS–score as performance and effect parameter. The economic  
838 analysis will be expanded with a scenario–analysis to extrapolate the consequence  
839 of implementation and actual performance of the ventilation strategy with ‘restricted  
840 PEEP’ in the target population. The validity of the developed scenarios will be  
841 explored in a sensitivity analysis changing cost estimates and probabilities.

#### 842 **9.5 Budget Impact Analysis (BIA)**

843 A budget impact analysis (BIA) will be designed and executed according to the  
844 ISPOR guidelines.<sup>53,54</sup> The BIA will evaluate the nationwide economic/financial  
845 consequences of the adoption of treating non–ARDS patients at the ICU with  
846 ventilation with the lowest possible PEEP level or ventilation with the currently  
847 practiced PEEP level in the future. The analysis will be based on the decrease in ICU  
848 costs (e.g. ventilator–free days and alive at day 28) as estimated during the study.  
849 Registered data will be used, reflecting the size and characteristics of the eligible  
850 population in the Netherlands, the current and the new treatment mix, the  
851 effectiveness of ventilation with the currently practiced PEEP level and resource use  
852 and costs for the applied strategies and related side–effects. The BIA will be  
853 conducted from the perspective of the health care providers. When relevant, budget  
854 impact analysis is generated as a series of scenario analysis.

855 Additional sensitivity analysis will be performed on the price of the intervention  
856 and the diffusion rate from the hospital perspective.

857



858 **10. ETHICAL CONSIDERATIONS**

859 **10.1 Regulation statement**

860 This trial will be conducted according to the principles of the Declaration of Helsinki  
861 as stated in the current version of Fortaleza, Brazil, 2013 and in accordance with the  
862 Medical Research Involving Human Subjects Act (WMO).

863 **10.2 Recruitment and consent**

864 **10.2.1 Deferred consent**

865 For this trial we ask for deferred consent and we appeal to the emergency procedure  
866 for consent in medical research as stated in article 6, paragraph 4 of the WMO, as in  
867 a presently running trial of ventilation in a similar patient cohort, the 'protective  
868 ventilation in patients not fulfilling the consensus definition for moderate or severe  
869 ARDS at start of ventilation – PReVENT, a randomized controlled trial (METC  
870 2014\_075)<sup>58</sup>, for reasons as explained below.

871 In patients admitted for ventilatory support to the ICU mechanical ventilation is  
872 needed urgently – consequently, mechanical ventilation starts right at ICU admission,  
873 or very short thereafter. The injurious effects of ventilation, however, could harm the  
874 lungs within hours and as such affect patient outcomes (see **Text box 3 –**  
875 **Ventilation has the potential to harm the lungs – even after a short period of**  
876 **ventilation**). For this reason, we consider it of utmost importance to set the ventilator  
877 according to the strategies of interest as soon as possible (i.e., within 1 hour after  
878 ICU admission, if ventilation started before admission), or within 1 hour after  
879 intubation and start of ventilation, if ventilation started after admission) – not doing so  
880 would largely reduce validity of this trial.

881 Patients admitted for ventilatory support to the ICU are, without exception,  
882 incompetent to give informed consent. Persons who may take the role of legal  
883 representative in accordance with the WGBO are: a predefined representative,  
884 husband or wife, registered partner or other life partner, a parent or child, brother or  
885 sister, and incidentally a curator appointed the judge. However, obtaining informed  
886 consent from a legal representative in this situation usually takes much time, even by  
887 an experienced research team (see **Textbox 4 – Experiences with deferred**  
888 **consent in critically ill patients**). Reasons include the absence of a legal  
889 representative at time of intubation and start of ventilation, and early after admission

890 to the ICU the legal representatives are far more concerned about the wellbeing of  
891 the patient than participation in a trial.<sup>55,56</sup>

892 For these reasons, we opt for using deferred consent, where informed consent  
893 from a legal representative must be obtained as soon as possible, but always within  
894 48 hours after randomization. If informed consent is not obtained, or if a legal  
895 representative denies participation within the time window of 48 hours, the patient is  
896 excluded and data will no longer be used. Thenceforth the patient is ventilated  
897 according to the policy of the attending physician.

898

**Textbox 3 - Ventilation has the potential to harm the lungs – even after a short period of ventilation**

Ventilation can harm the lungs, even after a short period of ventilation. If a patient, in the proposed trial, is already ventilated for several hours, injurious effects of ventilation could already be in place, largely reducing validity of the trial outcomes. From experimental animal studies we know that mechanical ventilation can cause effects within hours of ventilation with a high PEEP level.<sup>57</sup> These findings are in line with results from clinical studies, showing ventilator-related effects after relative short periods of ventilation, e.g. after ventilation during general anesthesia for surgery.<sup>58</sup> A recent randomized controlled trial of patients undergoing cardiac surgery with hypoxemia, comparing a ventilation strategy including a PEEP level of 8 cm H<sub>2</sub>O with a ventilation strategy with a PEEP level of 13 cm H<sub>2</sub>O, showed an important effect of mechanical ventilation on the incidence of postoperative pulmonary complications<sup>59</sup>

899

#### **Textbox 4 – Experiences with deferred consent in critically ill patients**

Most critically ill patients who need ventilation cannot be approached for informed consent for a study at ICU admission. Indeed, those patients are usually in severe respiratory distress, sedated or in coma. A prospective observational study on study recruitment practices in critically ill patients performed by a respected and experienced research group in Canada showed that the time from recognizing study eligibility to obtaining informed consent by a legal representative was as high as 12 hours, even while time from recognition to the first contact with a legal representative was as short as 2 hours.<sup>55</sup>

The experience of ICU patients enrolled under deferred consent is mainly positive. To investigate contentment of patients that were included using deferred consent, a questionnaire was designed for – and distributed under the participants of the large NICE–SUGAR trial<sup>56</sup>, a trial compared a strict blood glucose control strategy with one that accepts higher blood glucose levels.<sup>57</sup> Of the responders (79% of all participants), a large majority (96%) said to have granted consent if they would have been asked. A large majority (93%) mentioned they were happy with the decision made by the representative at the moment they were incapable of giving informed consent.<sup>57</sup>

This is in line with our personal experience from the PReVENT trial (METC 2014\_075),<sup>58</sup> a currently ongoing RCT in ventilated ICU patients without ARDS in The Netherlands, a study that compares two other ventilation strategies. From the PReVENT study we learned that it is very well possible to inform legal representatives about the trial within 24 hours. However due to longer travel distances for some of the legal representatives, obtaining written informed consent was sometimes not possible within the 24 hours: in as many as 19 out of 174 patients (11%) this was a reason for exclusion of the patient. Interestingly, informed consent could have been obtained within 48 hours in all these cases.

900

#### **901 10.2.2 Ethical aspects**

902 We can underpin the idea of ‘clinical equipoise’.<sup>60</sup> Ventilation strategies with lower  
903 PEEP levels (sometimes even no PEEP) and higher PEEP levels have been used  
904 over the last decades in patients without ARDS, and we actually do not know what  
905 the best PEEP level in these patients is. A recent observational study in ventilation

906 practice in ICU patients shows that a median PEEP level of 8 cm H<sub>2</sub>O is used in  
907 patients without ARDS in the Netherlands, and a medium level of 6 cm H<sub>2</sub>O is used  
908 in the European cohort.<sup>33</sup>

### 909 **10.2.3 No deferred consent in patients who die before obtaining informed** 910 **consent**

911 In case a patient dies before informed consent could be obtained from the legal  
912 representative, we propose to use the data and inform the legal representative about  
913 the research without obtaining informed consent. This in in line with the advice from  
914 Jansen and colleagues regarding ethical validity and practical feasibility of deferred  
915 proxy consent in emergency critical care research and in line with the advice of the  
916 Central Committee on Research Involving Humans (CCMO, the Dutch national  
917 Ethics Committee) in these circumstances in the early lactate-directed therapy in the  
918 ICU.<sup>56,61</sup>

919 The CCMO judged that the situation when a patient dies before consent could  
920 be obtained is comparable with the situation in which the research project has  
921 already finished at the time deferred consent can be obtained. They concluded that  
922 the legal representative should be notified about the study, but that seeking consent  
923 was not useful anymore due to the lack of consequences. The representation of the  
924 patient by a legal representative ends when the patient dies. In the Dutch law, the  
925 consent of the patient or his/her relative primarily relates to the participation in the  
926 study and not to using the data collected in the study.<sup>56</sup>

### 927 **10.2.4 Conclusion deferred consent**

928 Critically ill patients in need of ventilation are, without exception, incapable to give  
929 informed consent at the moment of ICU admission. Obtaining informed consent from  
930 a legal representative takes too much time to allow timely start of the ventilation  
931 strategies to be compared in this trial. Timely start is essential due to the risk of the  
932 injurious effects on the lungs even after a short period of ventilation not following  
933 protocol and thereby reducing the validity of the trial. Both ventilation strategies to be  
934 compared in this trial have been used in the last decades, and we do not know what  
935 the best PEEP level is.

936

937

938

939 **10.3 Benefits and risks assessment, group relatedness**

940 Burden and risks of the ventilation strategies are uncertain. Ventilation with the  
941 lowest possible PEEP level could increase the risk of atelectasis and also the risk of  
942 potentially dangerous hypoxemia. Ventilation with the PEEP level currently practiced  
943 could increase the amount of overdistended lung tissue and increase hemodynamic  
944 compromise. Both ventilation strategies are currently used; there is no additional risk  
945 for patients enrolled in this study compared to current practice.

946 We specifically chose not to exclude incompetent patients for two reasons.  
947 First, critically ill patients needing mechanical ventilation should be considered  
948 incompetent due to their needs for continuous sedation. Second, the strategies to be  
949 compared in this study are to be used in critically ill, intubated and ventilated patients.  
950 These conditions are not present in patients who are not suffering from a critical  
951 disease. We therefore consider it impossible not to include these patients in a study  
952 comparing strategies for mechanical ventilation.

953 **10.4 Compensation of injury**

954 The sponsor/investigator has a liability insurance, which is in accordance with article  
955 7 subsection 6 of the WMO. As this study compares two ventilation strategies used  
956 for standard care an exception from the requirement for insurance to cover for  
957 damage to research subjects through injury or death caused by the study is  
958 applicable.

959

960 **11. ADMINISTRATIVE ASPECTS, MONITORING AND PUBLICATION**

961 **11.1 Handling and storage of data and documents**

962 All patients will be addressed to the inventions with a random patient identification  
963 code. The codebook will be stored digitally and in paper. The paper version will be  
964 stored behind a lock and the digital form will be encrypted with a double password.  
965 All data will be stored for the length of the study and for 15 years afterwards. All  
966 handling of personal data will comply with the Dutch Personal Data Protection Act.

967 **11.2 Monitoring and Quality Assurance**

968 Queries on the database will be done by a statistician and analyzed by the monitor to  
969 signalize early aberrant patterns, trends, issues with consistency of credibility and  
970 other anomalies.

971 On site monitoring will comprise controlling presence and completeness of the  
972 research dossier and the informed consent forms, source data checks will be  
973 performed as described in the monitoring plan. Every participating center will be  
974 visited after the inclusion of the first ten patients and thereafter at least once every  
975 year. A monitoring plan is being developed.

976 **11.3 Amendments**

977 Amendments are changes made to the research after a favorable opinion by the  
978 accredited METC has been given. All substantial amendments will be notified to the  
979 METC and to the competent authority. Non-substantial amendments (typing errors  
980 and administrative changes) will not be notified to accredited METC and the  
981 competent authority, but will be recorded and filed by the sponsor.

982 **11.4 Annual progress report**

983 The investigator will submit a summary of the progress of the trial to the accredited  
984 METC once a year. Information will be provided on the date of inclusion of the first  
985 subject, numbers of subjects included and numbers of subjects that have completed  
986 the trial, unexpected problems and amendments

987 **11.5 End of study report**

988 The investigator will notify the accredited METC of the end of the study within a  
989 period of 8 weeks. The end of the study is defined as the 90<sup>th</sup> day after the last  
990 patients inclusion in the study. In case the study is ended prematurely, the  
991 investigator will notify the accredited METC within 15 days, including the reasons for  
992 the premature termination. Within one year after the end of the study, the

993 investigator/sponsor will submit a final study report with the results of the study,  
994 including any publications/abstracts of the study, to the accredited METC.

995 **11.6 Public disclosure and publication policy**

996 The study protocol will be registered before inclusion of the first patient on  
997 Clinicaltrials.gov. The results of the study will find their way into (inter-)national  
998 scientific journals and guidelines. We will submit analyses to scientific journals in the  
999 field of intensive care medicine as well as anesthesiology, since both ICU physicians  
1000 and anesthesiologists apply ventilation in the ICU setting.

1001

1002 **12. PUBLICATION POLICY**

1003 The PROVENet policy will be followed for publication. The intention is to publish the  
1004 paper by the PROVE Network investigators. This means that there will be no names  
1005 of individual researchers above a publication. The Principal Investigator is mentioned  
1006 as the contact person, the members of the Steering Committee, the Writing  
1007 Committee, and all local investigators of participating centers are summarized at the  
1008 end of a manuscript or in the appendix depending on the journal policy. In this way  
1009 <http://www.ncbi.nlm.nih.gov/pubmed/>

1010 can link the names of all investigators to a publication. If a journal does not accept  
1011 this, another approach will be discussed within the Steering Committee, and an  
1012 explanation and conclusion will be posted on the website of the project.

1013 From each participating center in the RELAx trial one local investigator per  
1014 participating center will be on the authors list for publication. When a participating  
1015 center includes more than the anticipated 82 patients per center, a second local  
1016 investigator will be added to the authors list for publication. In case a participating  
1017 center includes more than 164 patients, a third local investigator will be added to the  
1018 authors list for publication.

1019



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1235 **APPENDIX I**

Table 1. The Berlin definition for ARDS <sup>36,37</sup>			
Timing	Within 1 week of a known clinical insult, or new/worsening respiratory symptoms		
Chest imaging*	Bilateral opacities—not fully explained by effusions, lobar/lung collapse, or nodules		
Origin of edema	Respiratory failure not fully explained by cardiac failure or fluid overload; need objective assessment (e.g., echocardiography) to exclude hydrostatic edema if no risk factor present		
Oxygenation	Mild	Moderate	Severe
	200 < PaO <sub>2</sub> / FiO <sub>2</sub> ≤ 300 mmHg	100 < PaO <sub>2</sub> / FiO <sub>2</sub> ≤ 200 mmHg	PaO <sub>2</sub> / FiO <sub>2</sub> ≤ 100 mmHg
	26.7 < PaO <sub>2</sub> / FiO <sub>2</sub> ≤ 40 kPa with PEEP ≥ 5 cm H <sub>2</sub> O or CPAP ≥ 5 cm H <sub>2</sub> O	13.3 < PaO <sub>2</sub> / FiO <sub>2</sub> ≤ 26.7 kPa with PEEP ≥ 5 cm H <sub>2</sub> O	PaO <sub>2</sub> / FiO <sub>2</sub> ≤ 13.3 kPa with PEEP ≥ 5 cm H <sub>2</sub> O
* Chest radiograph or CT scan; ** If altitude higher than 1000 m, correction factor should be made as follows: PaO <sub>2</sub> / FiO <sub>2</sub> 9 (barometric pressure/760)			
Abbreviations: ARDS, acute respiratory distress syndrome; PaO <sub>2</sub> , partial pressure of arterial oxygen; FiO <sub>2</sub> , fraction of inspired oxygen; PEEP, positive end–expiratory pressure; CPAP, continuous positive airway.			

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1237 **DEFINITIONS**

- 1238 • **APACHE (Acute Physiology and Chronic Health Evaluation) II:** a point score
- 1239 ranging from 0–71, calculated from 12 measurements (age, temperature
- 1240 (rectal), mean arterial pressure, pH, heart rate, respiratory rate, sodium
- 1241 (serum), potassium (serum), creatinine, hematocrit, white blood cell count,
- 1242 GCS) higher scores correspond to more severe disease and higher risk of
- 1243 death
- 1244 • **MRC (Medical Research Council):** grades strength in functional muscle groups
- 1245 in each extremity, ranging 0–5, a score of 5 corresponds to normal – healthy
- 1246 strength
- 1247 • **Pneumonia:** new or progressive radiographic infiltrate plus at least two of the
- 1248 following: fever tympanic temperature > 38,5, leukocytosis or leucopenia
- 1249 and/or purulent secretions [L SEP]

- 1250 • Pneumothorax: air in the pleural space with no vascular bed surrounding the  
1251 visceral pleura on chest radiograph or other kind of imaging suitable for  
1252 diagnosis severe atelectasis
- 1253 • Recruitment maneuver: increase of inspiratory pressure or the level of PEEP  
1254 for at least 40 seconds
- 1255 • SAPS (Simplified Acute Physiology Score) II: point score ranging from 0–163,  
1256 as APACHE
- 1257 • Severe atelectasis: at least complete lobar atelectasis of a lung on chest  
1258 radiograph or other kind of imaging suitable for diagnosis severe atelectasis
- 1259 • Severe hypoxemia:  $SpO_2 < 88\%$  or  $< PaO_2 7.3 \text{ kPa}$  more than 5 minutes or a  
1260 rise of the oxygen fraction  $> 60\%$  for more than 5 minutes related to a  
1261 hypoxemic event  
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1263 **APPENDIX II**

1264 **SCHEME FOR UNASSISTED VENTILATION WITH TRACHEOSTOMY**

1265 The following suggested scheme can be used for unassisted ventilation with a  
1266 tracheostomy, but should be individualized in every patient:

- 1267 1. Unassisted ventilation for 30 minutes, three times per day
- 1268 2. Unassisted ventilation for 1 hour, three times per day
- 1269 3. Unassisted ventilation for 2 hours, three times per day<sup>[SEP]</sup>
- 1270 4. Unassisted ventilation for 4 hours, three times per day<sup>[SEP]</sup>
- 1271 5. Unassisted ventilation for 6 hours, two times per day<sup>[SEP]</sup>
- 1272 6. Unassisted ventilation for 18 hours
- 1273 7. Unassisted ventilation for 24 hours

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1276 **APPENDIX III**  
1277 **PATIENTS EXAMPLES FOR CLARIFICATION VENTILATION WITH**  
1278 **'RESTRICTED PEEP'–ARM**

Patient A is intubated and ventilated due to decreased level of consciousness as a result of intoxication with presumed GHB. Patient A fulfills the inclusion criteria and is included in the RELAx study and randomized to the 'restricted PEEP'–arm. The ventilation is started with a PEEP level of 5 cm H<sub>2</sub>O and FiO<sub>2</sub> of 0.4, the saturation is stable and remains SpO<sub>2</sub> > 94%. Following the flowchart, the oxygenation target range is reached and stable, hence the PEEP level can be 'down-titrated' with increments of 1 cm H<sub>2</sub>O with reassessment of the saturation every 15 minutes following each adjustment of the PEEP level. The PEEP level is successfully 'down-titrated' to a PEEP level of 0 cm H<sub>2</sub>O with a SpO<sub>2</sub> 93%. Since the oxygenation target range is reached and stable, the attending physician is able to decrease the FiO<sub>2</sub> level from 0.4 to 0.21.

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Patient B is a trauma patient with a flail chest, and is intubated and ventilated due to respiratory insufficiency. Patient B is a candidate for the RELAx study and is randomized to the 'restricted PEEP'–arm. Ventilation is started with a PEEP level of 5 cm H<sub>2</sub>O, soon the oxygenation target range is reached and the PEEP level is successfully 'down-titrated' to 0 cm H<sub>2</sub>O with a FiO<sub>2</sub> of 0.3 while maintaining the oxygenation target (SpO<sub>2</sub> > 92%). The admission is complicated by a ventilator acquired pneumonia (VAP) and purulent secretion is noticed, treatment with antibiotics is started. On the fifth day of admission, suddenly the saturation drops to SpO<sub>2</sub> 88%. The FiO<sub>2</sub> is increased to 0.6 and the PEEP level was set back at 5 cm H<sub>2</sub>O. Since lots of purulent secretion was removed earlier that day, a mucus plug is considered and the attending physician performs a recruitment maneuver successfully with improvement of oxygenation (SpO<sub>2</sub> 93%). During reassessment, the saturation remains stable and within the oxygenation target range, therefore the PEEP level can be 'down-titrated' again.

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Patient C is admitted due to a respiratory infection. Patient C is intubated due to respiratory insufficiency which developed the same day and is admitted to the ICU. Patient C is eligible for the RELAx study and is randomized to the 'restricted PEEP'–arm. Ventilation is started with a PEEP level of 5 cm H<sub>2</sub>O and a FiO<sub>2</sub> of 0.5, the saturation is SpO<sub>2</sub> 92%. Attempts for 'down-titration' of the PEEP level are unsuccessful and therefore the PEEP level and the FiO<sub>2</sub> remains unchanged. However, that afternoon the SpO<sub>2</sub> drops to 88%, the FiO<sub>2</sub> is increased to 0.6 and the PEEP level of 5 cm H<sub>2</sub>O is maintained. During reassessment, the oxygenation target range is not reached and consequently adjustments are made with increasing the FiO<sub>2</sub> and the PEEP level further, until 10 cm H<sub>2</sub>O and 0.8.

A chest radiograph is obtained with the appearance of bilateral infiltrates. Patient C is clinically diagnosed with ARDS, since the respiratory failure cannot be explained by cardiac failure or fluid overload. Ventilation is continued according to the existing ARDS guidelines.

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1288 **APPENDIX IV**

1289 **Substudy – ‘RELAXECHO’**

1290 **Background**

1291 Cardiac function, in particularly of the right ventricle, depends on intrathoracic  
1292 pressures[1,2]. Use of positive end–expiratory pressure (PEEP) could increase right  
1293 atrial pressure, pulmonary vascular resistances and right ventricular afterload[3-5] .  
1294 The net effect of PEEP may be a decrease in right ventricle (RV) volume and output,  
1295 with no changes in ejection fraction [3]. One small study showed a negative effect of  
1296 high PEEP on right ventricular strain[6], a surrogate measure of contractility. It is  
1297 uncertain whether low PEEP has an independent effect on right ventricle myocardial  
1298 strain. The myocardial performance index (MPI) is regarded as an easy and  
1299 reproducible echocardiographic parameter of both systolic and diastolic function. The  
1300 MPI is relatively independent of changes in loading conditions in various clinical  
1301 settings [8-11]. The RELAx study provides a unique opportunity to study cardiac  
1302 performance and especially the performance of the right ventricle during varying  
1303 levels of PEEP (between 0 and 8 cm H<sub>2</sub>O) in patients with uninjured lungs.

1304 **Aim**

1305 The aim of RELAXECHO, a substudy of the RELAx study, is to assess and compare  
1306 changes in cardiac function as measured by transthoracic echocardiography (TTE) in  
1307 the two study groups.

1308 **Hypothesis**

1309 We hypothesize that ventilation with liberal PEEP decreases right ventricular function  
1310 after 24-48 hours of mechanical ventilation.

1311 **Endpoint**

1312 The primary endpoint of this sub study is the myocardial performance index of the  
1313 right ventricle in the first 24-48 hours of mechanical ventilation.

1314 **In- and exclusion criteria**

1315 Inclusion criteria:

- 1316 • Admitted to the ICU of the Academic Medical Center  
1317 • Enrolled in the RELAx study

1318 Exclusion criteria:

- 1319 • Ventilation with PEEP > 2 cm H<sub>2</sub>O in the ‘restricted PEEP’–arm and ventilation  
1320 with PEEP < 7 cm H<sub>2</sub>O in the ‘liberal PEEP’–arm
- 1321 • Refractory circulatory instability requiring > 5 µg/kg/min dopamine or dobutamine,  
1322 > 1 mg/hour milrinone, or norepinephrine dose of > 0.4 µg/kg/min
- 1323 • Documented poor left ventricular function (e.g. left ventricular ejection fraction ≤  
1324 30%)

### 1325 **Original sample size calculation**

1326 We estimated 28 patients in each study group to achieve a power of 80%, with a  
1327 two–sided significance level of 0.05, to detect a 0.06 difference in change in  
1328 myocardial performance index between ventilation with restricted PEEP (defined as a  
1329 PEEP ≤ 2 cm H<sub>2</sub>O) and ventilation with liberal PEEP (defined as a PEEP ≥ 7 cm  
1330 H<sub>2</sub>O), assuming a standard deviation of 0.08. The sample size is increased by 20%  
1331 to correct for dropouts (i.e., if myocardial performance index cannot be determined  
1332 from the TTE due to poor echogenicity), meaning that a total of 68 patients are  
1333 required. The decision about the sample size is based upon the consideration that  
1334 the quantity of PEEP has an effect on right ventricular function [6]. Differences in  
1335 right ventricular function are expressed in the myocardial performance index, which is  
1336 a parameter known to be relatively load–independent.

### 1337 **Sample size re-calculation**

1338 Based on the results of a recent study in a similar patient cohort, showing a much  
1339 larger decrease of 0.23 in myocardial performance index with lower tidal volume  
1340 reduction, [7] the sample size was recalculated on 12 November 2019 as follows.  
1341 With a still conservative effect size on MPI of the right ventricle of 0.12 (an effect size  
1342 half the size of the previous study [7]), and a mean MPI of the right ventricle of 0.41  
1343 and a standard deviation of 0.13, we need 18 patients in each study group to detect a  
1344 difference of 0.12 in MPI of the right ventricle with PEEP reduction with 80% power  
1345 with a two–sided significance level of 0.05. The sample size is increased by 20% to  
1346 correct for dropouts, meaning that a total of 44 patients (22 per group) are required.

### 1347 **Methods**

1348 Cardiac ultrasound is performed within 24 to 48 hours after enrollment in the RELAx  
1349 study. The cardiac echocardiography will be performed by trained physicians under  
1350 supervision of cardio-intensivists, will perform the echocardiography, using the GE  
1351 Healthcare Vivid 9 ultrasound machine with a 2–5 MHz sector probe. Traditional

1352 echocardiographic measures, tissue Doppler imaging (TDI) and speckle tracking  
1353 echocardiography (STE) parameters will be collected online and with post-acquisition  
1354 offline analysis[12]. Images of the ventricles are analyzed offline for the myocardial  
1355 performance index, strain and strain rate and diastolic parameters. Ultrasound clips  
1356 will be saved for further offline STE analysis and quality control. Measurements will  
1357 be performed after at least 5 minutes of stable mean arterial pressure. Bidimensional  
1358 and Doppler measurements will be made in accordance with current  
1359 recommendations of the American Society of Echocardiography[13].

### 1360 **Statistical analysis**

1361 Normally distributed variables are expressed by their mean and standard deviation;  
1362 non-normally distributed variables are expressed by their medians and interquartile  
1363 ranges. Categorical variables will be expressed as n (%). To test groups of  
1364 continuous normally distributed variables, Student's t-test will be used. Likewise if  
1365 continuous data is not normally distributed the Mann-Whitney U test will be used.  
1366 Categorical variables will be compared with the Chi-square test or Fisher's exact  
1367 tests or when appropriate as relative risks. Statistical significance is considered to be  
1368 at a p-value of 0.05. Where appropriate, statistical uncertainty will be expressed by  
1369 95% confidence levels. Analysis will be performed with R ([www.r-project.org](http://www.r-project.org)).

### 1370 **Informed consent**

1371 Deferred informed consent from a legal representative is obtained as soon as  
1372 possibly for this sub study as part of the parent study RELAx. In case a patient is  
1373 awake and adequate informed consent will be obtained from the patient.

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1424 **APPENDIX V**

1425 **Substudy – ‘RELAXLUS’**

1426 **Background**

1427 Ventilation with low PEEP may increase the risk of atelectasis in critically ill patients  
1428 receiving invasive ventilation, as has been shown before in patients undergoing  
1429 intraoperative ventilation (1, 2). Lung ultrasound (LUS) is a non–invasive relatively  
1430 simple bedside technique used to semi–quantify changes in lung aeration in  
1431 ventilated patients (3), and very capable to detect atelectasis (4).

1432 **Aim**

1433 The aim of RELAXLUS, a substudy of the RELAX study, is to assess and compare  
1434 changes in pulmonary aeration and presence of atelectases as detected by LUS in  
1435 the two study groups.

1436 **Hypothesis**

1437 We hypothesize that ventilation with restricted PEEP results in a decrease in lung  
1438 aeration and an increase in atelectases.

1439 **Endpoint**

1440 The primary endpoint of this sub study is the change in lung ultrasound aeration  
1441 score in the first 48 hours of invasive ventilation.

1442 **In– and exclusion criteria**

1443 Inclusion criteria:

- 1444 • Admitted to the ICU of the Academic Medical Center
- 1445 • Enrolled in the RELAX study

1446 Exclusion criteria:

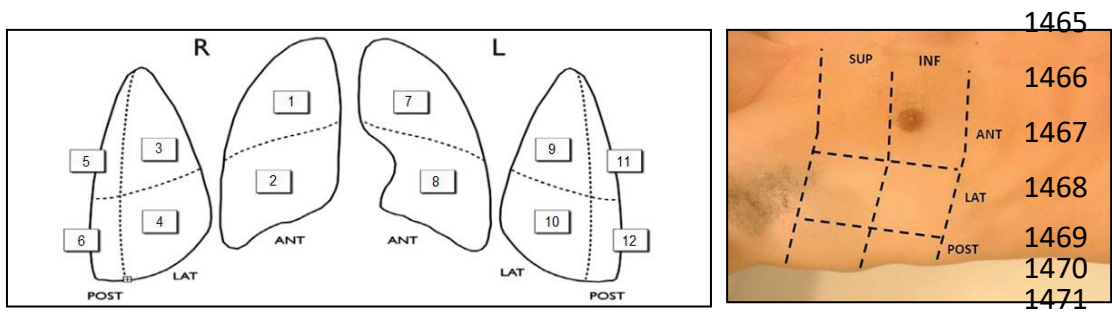
- 1447 • Evidence of cardiac failure or fluid overload, based on an objective assessment  
1448 such as echocardiography in the medical record and/or on judgment of the  
1449 treating physician

1450 **Methods**

1451 LUS is performed at three predefined time points: within 12 hours after enrolment in  
1452 the RELAX study (this LUS examination is standard of care in patients that are  
1453 expected to need invasive ventilation > 24 hours), between 24 to 48 hours after  
1454 enrolment and within the first 24 hours after extubation. Experienced and trained  
1455 physician will perform LUS examinations, using a 2–5 MHz convex probe. Each



1456 hemithorax is divided into six areas: the anterior, lateral and posterior areas, each  
 1457 divided in upper and lower quadrants, using the parasternal line, the anterior axillary  
 1458 line, the posterior axillary line and the paravertebral line as borders (Figure 1). The  
 1459 12 regions are examined and a semi-quantitative score is calculated to estimate lung  
 1460 aeration at each time point, and documented in a case report form (see Table 1).  
 1461 Additional sonographic signs previously described for atelectasis will be reported  
 1462 when present for each of the 12 lung regions examined. These include the absence  
 1463 or reduction in lung sliding, the presence of subpleural consolidations and presence  
 1464 of static air bronchograms in consolidated areas (5).



1472  
 1473 **Figure 1.** Six zones are scanned per hemithorax.  
 1474

1475 **Table 1.** LUS aeration score

Pattern	Score	View	Interpretation
<b>A</b>	0	Only A lines visible or isolated $\leq 2$ B-lines	Normal lung aeration
<b>B1</b>	1	Multiple well-defined either regularly spaced or irregularly spaced B-lines	Moderate loss of lung aeration
<b>B2</b>	2	Multiple coalescent B-lines	Severe loss of lung aeration
<b>C</b>	3	Hypoechoic or tissue-like area	Consolidated lung tissue

1476  
 1477 **Informed consent**  
 1478 Written informed consent is obtained for the two extra LUS examinations as part of  
 1479 the informed consent for the parent study (RELAX), i.e., the one between 24 and 48  
 1480 hours after enrolment, and the one within the first 24 hours after extubation, as the  
 1481 first LUS examination is standard of care in these patients.

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## 1502 **APPENDIX VI**

### 1503 **Substudy – ‘RELAXBiomarkers’**

#### 1504 **Background**

1505 Mechanical ventilation has a strong potential to inflame and damage lung tissue.  
1506 Plasma level of several markers of inflammation and lung damage, including tumor  
1507 necrosis factor (TNF)–alpha, Interleukin (IL)–6 and IL–8, the soluble form of the  
1508 Receptor for Advanced Glycation End–products (sRAGE), Surfactant Protein (SP)–  
1509 D, Clara Cell protein (CC)–16 and Krebs von den Lungen 6 (KL6), have been shown  
1510 to rise in response to intraoperative ventilation and depending on ventilator settings  
1511 used [1]2. Plasma levels of these biomarkers also rise in response to mechanical  
1512 ventilation using large tidal volumes [2]. The RELAX trial offers the unique opportunity  
1513 to study the dependence of plasma levels of biomarkers of inflammation and lung  
1514 damage on the level of PEEP used during the first week of mechanical ventilation in  
1515 patients with uninjured lungs.

#### 1516 **Aim**

1517 The aim of RELAXBiomarkers, a substudy of RELAX, is to describe and compare  
1518 changes in plasma levels of biomarkers of inflammation and pulmonary injury.

#### 1519 **Hypothesis**

1520 We hypothesize that ventilation with liberal PEEP, compared to ventilation with  
1521 restricted PEEP, increases plasma levels of biomarkers of inflammation and  
1522 pulmonary injury.

#### 1523 **Endpoints**

1524 The endpoint of this substudy is the difference in plasma levels of biomarkers of  
1525 inflammation and pulmonary injury between the two study groups.

#### 1526 **In- and exclusion criteria**

1527 Inclusion criteria

- 1528 • Admitted to the ICU of the Academic Medical Center
- 1529 • Enrolled in the RELAX study

1530 Exclusion criteria

- 1531 • Receiving immunosuppressive medication

#### 1532 **Methods**

##### 1533 ***Blood sampling and handling***

1534 Left-over blood from arterial blood samples used for arterial blood gas analysis,  
1535 taken as part of standard of care in the morning, will be collected within 12 to 16  
1536 hours after enrolment in the RELAx study, and thereafter till day 7 or until ICU  
1537 discharge, whichever comes first.

1538 Blood samples are centrifuged at 2,000 rpm for 15 minutes. Supernatant is collected  
1539 and stored at  $-80^{\circ}\text{C}$  until batchwise analysis, using customized Luminex kits for  
1540 measurements of biomarkers of inflammation and lung injury, including TNF-alpha,  
1541 IL-6, IL-8, sRAGE, SP-D, CC-16, and KL6.

#### 1542 **Statistical analysis**

1543 Variables are expressed in mean plus standard deviation, or medians plus  
1544 interquartile ranges where appropriate. Categorical variables are expressed as  
1545 proportions. Student's t and Mann-Whitney U test are used depending on distribution  
1546 of data. Categorical variables will be compared with the Chi-square test or Fisher's  
1547 exact tests or when appropriate as relative risks. Statistical significance is considered  
1548 to be at a p-value of 0.05. Where appropriate, statistical uncertainty will be  
1549 expressed by 95% confidence levels. All analysis will be performed with R ([www.r-](http://www.r-project.org)  
1550 [project.org](http://www.r-project.org)).

#### 1551 **Informed consent**

1552 Written informed consent for the use left-over blood from arterial blood samples is  
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