# Made available by Hasselt University Library in https://documentserver.uhasselt.be

Short-term Effects of Supplemental Oxygen on 6-Min Walk Test Outcomes in Patients With COPD A Randomized, Placebo-Controlled, Single-blind, Crossover Trial Peer-reviewed author version

Jarosch, Inga; Gloeckl, Rainer; Damm, Eva; Schwedhelm, Anna-Lena; Buhrow, David; Jerrentrup, Andreas; SPRUIT, Martijn A. & Kenn, Klaus (2017) Short-term Effects of Supplemental Oxygen on 6-Min Walk Test Outcomes in Patients With COPD A Randomized, Placebo-Controlled, Single-blind, Crossover Trial. In: CHEST, 151(4), p. 795-803.

DOI: 10.1016/j.chest.2016.11.044 Handle: http://hdl.handle.net/1942/24117

# Accepted Manuscript

Short-term effects of supplemental oxygen on 6-minute walk test outcomes in COPD patients - a randomized, placebo-controlled, single-blind, cross-over trial

Inga Jarosch, MSc, Rainer Gloeckl, Ph.D., Eva Damm, MD, Anna-Lena Schwedhelm, David Buhrow, Andreas Jerrentrup, MD, Martijn A. Spruit, Ph.D., P.T., F.E.R.S., Klaus Kenn, Prof.

PII: S0012-3692(16)62572-2

DOI: 10.1016/j.chest.2016.11.044

Reference: CHEST 855

To appear in: CHEST

- Received Date: 25 August 2016
- Revised Date: 16 November 2016

Accepted Date: 28 November 2016

Please cite this article as: Jarosch I, Gloeckl R, Damm E, Schwedhelm AL, Buhrow D, Jerrentrup A, Spruit MA, Kenn K, Short-term effects of supplemental oxygen on 6-minute walk test outcomes in COPD patients - a randomized, placebo-controlled, single-blind, cross-over trial, *CHEST* (2017), doi: 10.1016/j.chest.2016.11.044.

This is a PDF file of an unedited manuscript that has been accepted for publication. As a service to our customers we are providing this early version of the manuscript. The manuscript will undergo copyediting, typesetting, and review of the resulting proof before it is published in its final form. Please note that during the production process errors may be discovered which could affect the content, and all legal disclaimers that apply to the journal pertain.



Short-term effects of supplemental oxygen on 6-minute walk test outcomes in COPD

# patients - a randomized, placebo-controlled, single-blind, cross-over trial

### Short title:

Acute effects of supplemental oxygen in COPD

#### **Corresponding author:**

Inga Jarosch (MSc)

Department of Respiratory Medicine and Pulmonary Rehabilitation

Schoen Klinik Berchtesgadener Land

Malterhoeh 1

83471 Schoenau am Koenigssee

Germany

e-mail: ijarosch@schoen-kliniken.de

#### **Co-authors:**

Rainer Gloeckl (*Ph.D.*) (equally contributed to Inga Jarosch): Department of Respiratory Medicine and Pulmonary Rehabilitation, Schoen Klinik Berchtesgadener Land, Schoenau am Koenigssee, Germany; Department for Prevention, Rehabilitation and Sports Medicine, Klinikum Rechts der Isar, Technical University of Munich (TUM), Munich, Germany.

Eva Damm (MD): Department of Pneumology and Critical Care Medicine, University of Marburg, Marburg, Germany.

<u>Anna-Lena Schwedhelm</u>: Department of Pneumology and Critical Care Medicine, University of Marburg, Marburg, Germany.

<u>David Buhrow</u>: Department of Pneumology and Critical Care Medicine, University of Marburg, Marburg, Germany.

Andreas Jerrentrup (MD): Department of Pneumology and Critical Care Medicine, University of Marburg, Marburg, Germany.

Martijn A. Spruit (Ph.D., P.T., F.E.R.S.): Department of Research and Education, CIRO+, Center of Expertise for Chronic Organ Failure, Horn, The Netherlands; REVAL -Rehabilitation Research Center, BIOMED - Biomedical Research Institute, Faculty of Medicine and Life Sciences, Hasselt University, Diepenbeek, Belgium.

<u>Klaus Kenn (Prof.)</u>: Department of Respiratory Medicine and pulmonary rehabilitation, Schoen Klinik Berchtesgadener Land, Schoenau am Koenigssee, Germany; Department of Pulmonary Rehabilitation, University of Marburg, Germany.

### Summary conflicts of interest statements:

IJ and KK report grants for the clinic from ROX medical, California, USA, and study material (gases) from Linde Gas Therapeutics GmbH, Germany, during the conduct of the study. Outside the submitted work, MAS discloses receiving personal remuneration in the last two years for consultancy from Boehringer Ingelheim and GSK. RG, ED, AS, DB, and AJ have nothing to disclose.

# **Funding information:**

The study was partly supported by ROX Medical, 150 Calle Iglesia, Suite A, San Clemente CA, 92672 and gases were provided by Linde Gas Therapeutics GmbH, Mittenheimer Straße 62, 85764 Oberschleißheim, Germany. ROX Medical and Linde Gas Therapeutics GmbH did not have any influence on the study design, data collection and analysis or interpretation of data.

# ABBREVIATIONS

ACCEPTED MANUSCRIPT

6MWD	6-minute walk distance
6MWD <sub>02</sub>	6-minute walk distance by using supplemental oxygen
6MWD <sub>RA</sub>	6-minute walk distance by using room air
6MWT	6-minute walk test
6MWT <sub>02</sub>	6-minute walk test on supplemental oxygen
6MWT <sub>RA</sub>	6-minute walk test on room air
BMI	Body mass index
COPD	Chronic obstructive pulmonary disease
DLCO	Diffusion capacity of the lung for carbon monoxide
EIH	Exercise-induced hypoxemia
$FEV_1$	Forced expiratory volume in 1 second
FEV <sub>1</sub> /FVC	Ratio of $FEV_1$ and Forced vital capacity (Tiffeneau Index)
HYX	Resting hypoxemia
LTOT	Long-term oxygen therapy
MID	Minimal important difference
NOX	Normoxemia
O <sub>2_suppl.</sub>	Supplemental oxygen
PaCO <sub>2</sub>	Partial pressure of carbon dioxide
PaO <sub>2</sub>	Partial pressure of oxygen
RA	Compressed room air
RV	Residual volume
TLC	Total lung capacity

1

### ACCEPTED MANUSCRIPT

#### 2 ABSTRACT

Background: The acute effect of supplemental oxygen during exercise has been shown to
differ largely among patients with COPD. It is unknown what the oxygen response is
influenced by.

6 Methods: In a randomized and single-blinded fashion, 124 COPD patients underwent one 6-7 minute walk test on supplemental oxygen ( $6MWT_{O2}$ ) and one on compressed room air 8 ( $6MWT_{RA}$ ) after a practice 6MWT. Both gases were delivered *via* standard nasal prongs (2 9 liters/min). For analyses, patients were stratified based on PaO<sub>2</sub> values: (a) 34 patients with 10 resting hypoxemia (HYX), (b) 43 patients with exercise-induced hypoxemia (EIH) and (c) 31 11 normoxemic patients (NOX) were compared.

**Results**: Oxygen supplementation resulted in an increase of 6-minute walk distance (6MWD) 12 in the total cohort (+27 $\pm$ 42m, p<0.001) and in the subgroups of HYX (+37 $\pm$ 40m, p<0.001) 13 14 and EIH (+28±44m, p<0.001), but not in NOX patients (+15±43m, p=0.065). 42% of HYX and 47% of EIH patients improved 6MWD to a clinical relevant extent ( $\geq$ 30m) by using 15 16 oxygen. These oxygen responders were characterized by significantly lower 6MWD<sub>RA</sub> compared to patients without a relevant response (306±106m vs. 358±113m, p<0.05). 17 18 Although SpO<sub>2</sub> was significantly higher during  $6MWT_{O2}$  compared to  $6MWT_{RA}$  in all 3 19 subgroups, it dropped below 88% during  $6MWT_{02}$  in 73.5% of HYX patients.

20 **Conclusions**: In contrast to NOX patients, HYX and EIH generally benefit from 21 supplemental oxygen by increasing exercise capacity. However, less than half of them 22 reached the threshold of clinical relevant improvements. These oxygen responders were 23 characterized by significantly lower exercise capacity levels.

24 **Trial registry**: ClinicalTrials.gov; No.: NCT00886639; URL: www.clinicaltrials.gov.

25

#### 26 INTRODUCTION

Supplemental oxygen ( $O_{2\_suppl.}$ ) used during exercise testing has shown a direct positive effect in patients with moderate to severe COPD, as summarized in the British Thoracic Society guidelines for home oxygen use in adults.<sup>1</sup> These benefits are attributed to several mechanisms such as a delayed lactic acidosis, a decreased dynamic hyperinflation due to a slower breathing pattern and decreased pulmonary artery pressures.<sup>2-4</sup> Furthermore, improved oxygen delivery and uptake in respiratory and peripheral muscles were observed in COPD patients by using  $O_{2\_suppl.}$ .<sup>5</sup>

These effects were discussed to result in increased blood oxygenation, decreased symptoms of 34 dyspnea and higher exercise capacities.<sup>1</sup> A Cochrane Review focused on the impact of 35 O<sub>2 suppl.</sub> during a single exercise intervention on exercise performance in moderate to severe 36 COPD patients with variable resting levels of hypoxemia (PaO<sub>2</sub>: 52 to 85mmHg).<sup>6</sup> O<sub>2 suppl</sub> 37 improved 6-minute walk distance (6MWD) by only 19m compared to compressed room air 38 (RA). Noticeably, the sample sizes of these 31 studies were rather limited (range: n=5 to 41), 39 and the mean change in 6MWD showed a wide range from 6m to 52m. As the minimal 40 important difference (MID) is assumed to be  $\geq 30m^7$ , the clinical relevance of the direct effect 41 of O<sub>2 suppl</sub> on 6MWD is difficult to interpret. Data about different individual responses to 42 O<sub>2 suppl</sub> in COPD patients with different resting levels of hypoxemia were not available, as 43 44 this was also discussed as a limitation by the authors.

Although COPD patients with normoxemia at rest as well as during exercise are not eligible
for LTOT or ambulatory oxygen, O<sub>2\_suppl.</sub> has been found to decrease dynamic hyperinflation
and to prevent exercise-induced oxidative stress in these patients.<sup>4,8</sup> However, in a small
group of 9 normoxemic COPD patients, O<sub>2\_suppl.</sub> did not improve 6MWD.<sup>9</sup>

In order to provide O<sub>2\_suppl.</sub> to COPD patients who would benefit from this intervention, it is
of clinical importance to detect patients with a high "oxygen response" and to gain more

51 knowledge about the direct oxygen-related effects, especially in subgroups with different 52 levels of oxygenation.

Therefore, the primary aim of this randomized controlled cross-over trial was to investigate the direct effects of  $O_{2\_suppl.}$  vs. compressed RA on the 6MWD and 6-minute walk test (6MWT) variables in a cohort of patients with severe to very severe COPD. Furthermore, oxygen-related effects were compared between three subgroups of patients with various resting levels of oxygenation.

58

#### 59 METHODS

60 This prospective, randomized, placebo-controlled, single-blind, cross-over study was 61 conducted in accordance with the Bavarian Ethics Committee (ID 08079). It was registered on 62 clinicaltrials.gov (NCT 00886639) on 21<sup>st</sup> April 2009 after enrolling 20 pilot patients (starting 63 in December 2008) who were not included in the current analyses. All subjects provided 64 informed written consent.

65

#### 66 **Patients**

67 Patients with severe to very severe COPD (GOLD stage III/ IV) entering an inpatient 68 pulmonary rehabilitation program at the Schoen Klinik Berchtesgadener Land (Schoenau am 69 Koenigssee, Germany) were asked to participate. Exclusion criteria were a COPD 70 exacerbation within the last 4 weeks prior to enrollment, acute coronary syndrome, and/or any 71 disability that inhibited patients to perform a 6MWT.

According to the recent GOLD guidelines<sup>10</sup>, patients were divided into three groups retrospectively, depending on the level of oxygenation: [1] Hypoxemia at rest and following exercise (HYX):  $PaO_2 \le 55.0$  mmHg at rest and during exercise; [2] exercise-induced hypoxemia (EIH):  $PaO_2 > 55.0$  mmHg at rest and  $\le 55.0$  mmHg during 6MWT; and [3] normoxemia (NOX):  $PaO_2 > 55.0$  mmHg at rest and during exercise.

- 15 -

#### 77

#### 78 Assessment

On day 1, all patients performed post-bronchodilator body plethysmography and
measurement of single-breath diffusion capacity of the lung for carbon monoxide (DLCO) in
accordance to the ATS guidelines.<sup>11,12</sup>

82 On day 2, patients underwent a practice 6MWT under real-life conditions (RA or O<sub>2</sub> 83 supplementation as prescribed by their physician) to minimize the influence of a potential learning effect.<sup>13</sup> Patients underwent two additional 6MWTs on day 3 and 4 in random order: 84 one on supplO<sub>2</sub> (6MWT<sub>O2</sub>) and one on compressed RA (6MWT<sub>RA</sub>). Liquid oxygen (Linde 85 86 AG, Pullach, Germany) and compressed RA (AGA Gas, Sollentuna, Sweden) were applied by 87 using identical cylinders and a constant flow of 2 liters/min via common nasal prongs. The cylinder was carried in a backpack by the investigator in order to blind the patients to the 88 89 provided gas mixture. The interval between the second and third 6MWT was 24±1 hours. All tests were conducted by the same investigator (IJ) and were performed according to the ATS 90 guidelines<sup>14</sup> with additional continuous monitoring of oxygen saturation (SpO<sub>2</sub>) and heart 91 rate. Data were analysed at rest, at 1, 3:30 and 6 minutes of the 6MWT (Konica Minolta, 92 93 Pulsox 300i, Osaka, Japan). To prevent patients from detecting the type of applied gas, heart rate and SpO<sub>2</sub> were recorded by a pulse oxymeter not visible for the patients during the test. 94 Additionally, before and after each test, patients were asked to rate the level of perceived 95 dyspnea on a modified Borg scale (0-10 points).<sup>15</sup> PaO<sub>2</sub> and PaCO<sub>2</sub> were measured in 96 97 capillary blood from the earlobe, which is a common and well validated method in stable COPD patients.<sup>16,17</sup> Values were assessed before and directly following the 6MWTs. 98

99

100 Statistics

- 101 Patients were randomly assigned to start either with  $6MWT_{02}$  or  $6MWT_{RA}$ . Randomization 102 was performed with a 1:1 ratio, on the basis of 4 permuted blocks with constant length 103 (n=31).
- Assuming a two-sided alpha level of 0.05 and a power of 95%, a sample size of n=124
  including a drop-out rate of 15% was necessary to detect a clinically relevant difference of
  6MWD of at least 30m between the two conditions (effect size: 0.35).
- 107 The "oxygen response", defined as  $6MWD_{O2}$  minus  $6MWD_{RA}$ , was determined as the primary 108 outcome parameter. Patients who increased their 6MWD by at least 30m due to  $O_{2\_suppl}$  were 109 defined as "oxygen responders". As secondary outcomes, transcutaneous SpO<sub>2</sub>, heart rate, 110 PaO<sub>2</sub>, PaCO<sub>2</sub> as well as dyspnea and fatigue levels rated on a modified Borg scale were used.
- 111 After checking data for normal distribution, comparisons of 6MWT outcomes between 112  $6MWD_{O2}$  and  $6MWD_{RA}$  were made by paired t tests. An ANOVA was used to determine 113 differences between HYX, EIH and NOX COPD patients regarding the effects of  $O_{2\_suppl.}$ . To 114 detect differences in the characteristic of oxygen responders and non-responders, an 115 independent groups t-test was used. Due to the fact that NOX patients were not expected to 116 improve 6MWD to a clinical relevant extent by using  $O_{2\_suppl.}$ , this subgroup analysis only 117 included HYX and EIH patients.
- All data was processed in PASW Statistics 18.0 (Chicago, IL, USA). Statistical significance
  was assumed if two-tailed p-value was less than 0.05.
- 120
- 121 **RESULTS**
- 122 Patient characteristics

123 124 patients were randomized and 108 completed the study (Figure 1). Baseline
124 characteristics of 31 NOX (29%), 43 EIH (40%) and 34 HYX patients (32%) are summarized
125 in Table 1.

126

- 17 -

127 Total COPD group

In the total cohort of 108 patients, 6MWD increased from 349m to 376m by using  $O_{2\_suppl.}$ (+27m [95%CI: 19 to 35m] p<0.001). Moreover, 45 patients (41%) reached the threshold for clinical relevance (≥30m), while 8 patients (7%) walked further on compressed RA. SpO<sub>2</sub> and PaO<sub>2</sub> values at the end of 6MWT<sub>O2</sub> were significantly higher compared to 6MWT<sub>RA</sub> (+5.9%, p<0.001 and +9.8mmHg, p<0.001). Heart rate was comparable after both 6MWT conditions. Symptoms of dyspnea were significantly lower after 6MWT<sub>O2</sub> compared to 6MWT<sub>RA</sub> (-0.9 pts., p<0.001), whereas leg fatigue did not differ (-0.1 pts, p=0.495).

135

#### 136 Subgroups with different PaO<sub>2</sub> levels

Primary and secondary outcomes of the 3 subgroups are presented in **table 2**.  $6MWD_{RA}$  was significantly lower in HYX compared to EIH and NOX patients. HYX patients needed longer stops during  $6MWT_{RA}$  compared to EIH and NOX patients and showed a lower walking speed (2.5±1.8 km/h vs. 3.6±1.1 km/h and 3.6±1.1 km/h) with significant group differences between HYX vs. EIH and NOX patients.

By using O<sub>2</sub>, 6MWD increased in HYX and EIH, but not in NOX patients (**Figure 2**). A clinically relevant improvement of  $\geq$ 30m was observed in 47% of HYX, 42% of EIH and 26% of NOX patients (**Figure 3**). These oxygen responders had a significantly lower 6MWD<sub>RA</sub> compared to non-responders (306±106m vs. 358±113m, p<0.05). All other clinical and 6MWT<sub>RA</sub> data did not show any significant between-group difference (**Table 3**).

147

148  $O_{2\_suppl.}$  improved SpO<sub>2</sub> by 8.5% (HYX), 5.4% (EIH) and 3.5% (NOX) directly following the 149 6MWT in comparison to RA (**Figure 4**). Nevertheless, in 73.5% of HYX, 76.2% of EIH and 150 16.1% of NOX patients SpO<sub>2</sub> dropped below 88% or declined by  $\geq$ 4% in the 6MWT<sub>O2</sub>. Also 151 the PaO<sub>2</sub> values at the end of 6MWT<sub>O2</sub> were significantly higher compared to 6MWT<sub>RA</sub> in all 152 3 groups. PaCO<sub>2</sub> levels were significantly higher at the end of  $6MWT_{02}$  compared to 153  $6MWT_{RA}$  in HYX and EIH but not in NOX patients.

Dyspnea scores at the end of 6MWT<sub>O2</sub> were significantly lower compared to 6MWT<sub>RA</sub> in EIH and NOX patients. The reduction, however, did not reach significance in HYX patients. 24% of HYX, 19% of EIH and 19% of NOX patients had a reduction in end-exercise dyspnea scores of ≥1 Borg point by breathing  $O_{2\_suppl.}$ . No significant between-group differences were observed.

- 159
- 160

# 161 **DISCUSSION**

162 Our findings reveal that COPD patients with resting or exercise-induced hypoxemia but not 163 with normoxemia generally benefit in a clinically relevant magnitude from  $O_{2\_suppl.}$  regarding 164 6MWD and SpO<sub>2</sub>. Noticeably, less than half of HYX and EIH patients reached the threshold 165 for clinically relevant 6MWD improvements by breathing  $O_{2\_suppl.}$ . These oxygen responders 166 were characterized by significantly lower exercise capacity levels during 6MWT<sub>RA</sub>.

167

#### 168 Oxygen-related effects on exercise capacity

For hypoxemic COPD patients,  $O_{2\_suppl.}$  has been shown to improve exercise capacity, dyspnea and oxygenation.<sup>18</sup> In accordance, our results in the total group (+27m), in HYX (+37m) and in EIH patients (+28m) confirmed this by reaching a significant improvement in 6MWDO<sub>2</sub> compared to 6MWD<sub>RA</sub>. As a clinical implication, it seems to be crucial to standardize 6MWTs by using or not  $O_{2\_suppl.}$  in order to evaluate interventional treatments, e.g. pulmonary rehabilitation and to avoid bias caused by oxygen-related effects.

The recent ATS/ERS statement on field tests discussed an increase of  $\geq$ 30m in 6MWD with a variability of 25 to 33m as clinically relevant.<sup>7,19</sup> However, only 47% of HYX and 42% of EIH patients who have a general indication for long-term or ambulatory oxygen therapy were

able to reach this level of clinical relevance by using O<sub>2\_suppl</sub>. In order to evaluate the 178 characteristic of these oxygen responders, patients were divided into two subgroups of oxygen 179 180 responders and non-responders. As a result, patients with lower exercise capacity level were detected to respond the most to O<sub>2 suppl</sub>. We assume that O<sub>2</sub> increases oxygen delivery to 181 182 peripheral muscles and may reduce glycolytic metabolism during exercise in oxygen responders. Thus, metabolic acidosis which is a strong stimulus for ventilation as well as a 183 limitation for exercise tolerance is delayed.<sup>20</sup> As we did not detect lung function parameters 184 185 differing between responders and non-responders, oxygen-processing systems such as oxidative enzymes in skeletal muscles might play a key role in explaining the oxygen 186 187 response.

In normoxemic COPD patients,  $O_2$ -related effects are contradictory. Emtner et al. demonstrated that  $O_{2\_suppl.}$  used during a 7-week exercise training program enables patients to keep training intensity at a higher level and therefore to improve endurance capacity significantly more compared to compressed air.<sup>21</sup> However, no significant increase of 6MWD was observed in NOX patients included in our study which is in line with the finding of Jolly et al..<sup>9</sup> This discrepancy might rely on the different methodology of applying oxygen as an adjunct to a several week exercise training program or just during a single assessment.

195

O<sub>2</sub>-induced improvements in 6MWD we observed in our study were higher compared to 196 results reported in a systematic review  $^{22}$  They found that O<sub>2 suppl</sub> improved 6MWD by 19m 197 198 in hypoxemic patients, with a wide heterogeneity between the 8 included studies (from 6m to 52m; heterogeneity was defined as  $I^2 \ge 20\%$  in a fixed-effect model). Most of these studies 199 used a very short time interval between the two 6MWTs (10 to 60min) compared to ours 200 201 (24h). This may partly explain the diverging results because muscle regeneration is further progressed after 24h and may facilitate performing the following 6MWT. Furthermore, in the 202 203 studies included in the review patients could not be differentiated by the level of oxygenation

- 20 -

which was speculated to be a potential reason for the wide range of oxygen response in 6MWD. Also low vs. high doses of  $O_2$  were used in these studies that might have influenced outcome parameters.<sup>4</sup>

207

#### 208 Other oxygen-related effects

SpO<sub>2</sub> increased in the total group and in the 3 subgroups by using O<sub>2\_suppl</sub>, which is in line 209 with the current literature.<sup>6,9</sup> However, there is not enough evidence to show that the SpO<sub>2</sub> 210 211 increase of ≤4% observed in NOX patients is of any clinical relevance. Although 39% of 212 NOX patients declined in SpO<sub>2</sub> by  $\geq$ 4% during 6MWT<sub>RA</sub>, values of SpO<sub>2</sub> and PaO<sub>2</sub> did not 213 drop below the protective threshold of 88% and 55.0mmHg, respectively. Nevertheless, in 73.5% of HYX and 76.2% of EIH patients SpO<sub>2</sub> values dropped below 88% during the 214 6MWT, although using O<sub>2 suppl</sub>. In most of HYX and EIH patients, O<sub>2\_suppl</sub> of 2l/min was not 215 216 sufficient to enhance SpO<sub>2</sub> above 88%.

217

Symptoms of dyspnea were reduced by more than the MID of 1 point on the Borg scale  $^{23}$  by using O<sub>2\_suppl</sub> in EIH and NOX patients. Jolly et al. observed a reduction of dyspnea by using O<sub>2\_suppl</sub> during 6MWT in COPD patients who desaturated during exercise (-2.1 Borg points) and in those who did not (-2.2 Borg points).<sup>9</sup> In our study, HYX patients did not show a clinically relevant reduction of dyspnea. This could be explained by the longer 6MWD that HYX patients were able to walk during 6MWT<sub>O2</sub>.

We observed a moderate increase in  $CO_2$  levels during 6MWT<sub>O2</sub>. Although, HYX and EIH patients reached the threshold for hypercapnia, the recent guidelines for diagnosis and therapy of COPD stated that a PaCO<sub>2</sub> increase attributable to  $O_{2\_suppl.}$  up to  $\leq$ 60-70mmHg is no contraindication for the use of  $O_2$ .<sup>17</sup> In addition, we also observed an increase of CO<sub>2</sub> retention during 6MWT without  $O_{2\_suppl.}$  that might indicate an exercise-induced increase which is independent on  $O_{2\_suppl.}$ .

- 21 -

### ACCEPTED MANUSCRIPT

230

In our study, some limitations have to be considered. First, we performed  $6MWT_{O2}$  on 2 231 liters/min of oxygen. Although some patients would have needed more than 21/min of O<sub>2</sub> 232 233 during exercise to prevent from hypoxemia, we decided to standardize the procedure to this flow rate. With regard to the dose-dependent effect of oxygen,<sup>4</sup> patients might have reached 234 higher O<sub>2</sub> benefits with higher flow rates. Additionally, in our study the investigator has 235 236 carried the oxygen cylinder in order to determine the pure oxygen-related effects. Carrying 237 the device is an additional burden for the patients that might affect physiological parameters in daily life.<sup>24</sup> Furthermore, the results of the three subgroups must be interpreted with 238 239 caution, since the sample size calculation resulted in n=124 patients (minus 15% drop-out 240 rate), while the subgroups are clearly smaller.

241

In conclusion,  $O_{2\_suppl.}$  generally improved exercise capacity and oxygenation in COPD patients with resting as well as exercise-induced hypoxemia. However, these short-term benefits differed highly among patients who fulfilled the official criteria for ambulatory oxygen therapy.<sup>1</sup> Further studies have to evaluate the long-term benefits of  $O_{2\_suppl.}$  during exercise in EIH patients.

247

# 248 ACKNOWLEDGEMENTS

Authors contributions: IJ had full access to all of the data in the study and takes responsibility for the integrity of the data and the accuracy of the data analysis, including adverse effects. RG, ED, AS and DB had substantial contributions to acquisition of data, revised the manuscript critically for important intellectual content, provided final approval of the version to be published and have agreed to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved. Additionally, RG and KK made substantial contributions to the study design, analysis and interpretation of data and drafted (RG) and revised (KK) the manuscript. MS made substantial contributions to analysis and interpretation of data, revised the manuscript critically for important intellectual content, provided final approval of the version to be published and agreed to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

<u>Financial/ nonfinancial disclosures:</u> IJ and KK report grants for the clinic from ROX medical,
California, USA, and study material (gases) from Linde Gas Therapeutics GmbH, Germany,
during the conduct of the study. Outside the submitted work, MAS discloses receiving
personal remuneration in the last two years for consultancy from Boehringer Ingelheim and
GSK. RG, ED, AS, DB, and AJ have nothing to disclose.

<u>Role of the sponsor:</u> The study was partly supported by ROX Medical, 150 Calle Iglesia,
Suite A, San Clemente CA, 92672 and gases were provided by Linde Gas Therapeutics
GmbH, Mittenheimer Straße 62, 85764 Oberschleißheim, Germany. ROX Medical and Linde
Gas Therapeutics GmbH did not have any influence on the study design, data collection and
analysis or interpretation of data.

272 <u>Other contributions:</u> Inga Jarosch and Rainer Gloeckl contributed equally to the preparation of
273 this manuscript.

- 274
- 275
- 276

# ACCEPTED MANUSCRIPT

#### 277 **REFERENCES**

- 1 Hardinge M, Annandale J, Bourne S, et al. British Thoracic Society guidelines for home
   oxygen use in adults. Thorax 2015; 70 Suppl 1:i1-43
- 280 2 Stein DA, Bradley BL, Miller WC. Mechanisms of oxygen effects on exercise in patients
   with chronic obstructive pulmonary disease. Chest 1982; 81:6-10
- 3 Porszasz J, Emtner M, Goto S, et al. Exercise training decreases ventilatory requirements
   and exercise-induced hyperinflation at submaximal intensities in patients with COPD.
   Chest 2005; 128:2025-2034
- 4 Somfay A, Porszasz J, Lee SM, et al. Dose-response effect of oxygen on hyperinflation
   and exercise endurance in nonhypoxaemic COPD patients. Eur Respir J 2001; 18:77 84
- 5 Mannix ET, Boska MD, Galassetti P, et al. Modulation of ATP production by oxygen in
   obstructive lung disease as assessed by 31P-MRS. J Appl Physiol 1995; 78:2218 2227
- 6 Bradley JM, O'Neill B. Short-term ambulatory oxygen for chronic obstructive pulmonary
   disease. Cochrane Database Syst Rev 2005:CD004356
- 7 Holland AE, Spruit MA, Troosters T, et al. An official European Respiratory
   Society/American Thoracic Society technical standard: field walking tests in chronic
   respiratory disease. Eur Respir J 2014; 44:1428-1446
- 8 van Helvoort HA, Heijdra YF, Heunks LM, et al. Supplemental oxygen prevents exercise induced oxidative stress in muscle-wasted patients with chronic obstructive
   pulmonary disease. Am J Respir Crit Care Med 2006; 173:1122-1129
- 9 Jolly EC, Di Boscio V, Aguirre L, et al. Effects of supplemental oxygen during activity in patients with advanced COPD without severe resting hypoxemia. Chest 2001;
   120:437-443
- 302 10 GOLD. Global Strategy of the diagnosis, management, and prevention of chronic
   303 obstructive pulmonary disease. Updated February 2013; downloaded from
   304 www.goldcopd.org on 03.05.2013
- 305 11 Macintyre N, Crapo RO, Viegi G, et al. Standardisation of the single-breath determination
   306 of carbon monoxide uptake in the lung. Eur Respir J 2005; 26:720-735
- 12 Rabe KF, Hurd S, Anzueto A, et al. Global strategy for the diagnosis, management, and
   prevention of chronic obstructive pulmonary disease: GOLD executive summary. Am
   J Respir Crit Care Med 2007; 176:532-555
- 13 Hernandes NA, Wouters EF, Meijer K, et al. Reproducibility of 6-minute walking test in
   patients with COPD. Eur Respir J 2011; 38:261-267
- 312 14 ATS statement: guidelines for the six-minute walk test. American journal of respiratory
   313 and critical care medicine 2002; 166:111-117
- 314 15 Kendrick KR, Baxi SC, Smith RM. Usefulness of the modified 0-10 Borg scale in assessing the degree of dyspnea in patients with COPD and asthma. J Emerg Nurs 2000; 26:216-222
- 317 16 Pitkin AD, Roberts CM, Wedzicha JA. Arterialised earlobe blood gas analysis: an
   318 underused technique. Thorax 1994; 49:364-366
- 17 Vogelmeier C, Buhl R, Criee CP, et al. [Guidelines for the diagnosis and therapy of COPD
   issued by Deutsche Atemwegsliga and Deutsche Gesellschaft fur Pneumologie und
   Beatmungsmedizin]. Pneumologie 2007; 61:e1-40
- 322 18 Bradley JM, O'Neill B. Short term ambulatory oxygen for chronic obstructive pulmonary
   323 disease. Cochrane Database Syst Rev 2005:CD004356
- 324 19 Singh SJ, Puhan MA, Andrianopoulos V, et al. An official systematic review of the
   325 European Respiratory Society/American Thoracic Society: measurement properties
   326 of field walking tests in chronic respiratory disease. Eur Respir J 2014; 44:1447-1478
- 327 20 Voduc N, Tessier C, Sabri E, et al. Effects of oxygen on exercise duration in chronic
   328 obstructive pulmonary disease patients before and after pulmonary rehabilitation. Can
   329 Respir J 2010; 17:e14-19

21 Emtner M, Porszasz J, Burns M, et al. Benefits of supplemental oxygen in exercise 330 331 training in nonhypoxemic chronic obstructive pulmonary disease patients. Am J 332 Respir Crit Care Med 2003; 168:1034-1042 22 Bradley JM, Lasserson T, Elborn S, et al. A systematic review of randomized controlled 333 334 trials examining the short-term benefit of ambulatory oxygen in COPD. Chest 2007; 335 131:278-285 23 Ries AL. Minimally clinically important difference for the UCSD Shortness of Breath 336 Questionnaire, Borg Scale, and Visual Analog Scale. Copd 2005; 2:105-110 337 338 24 Woodcock AA, Gross ER, Geddes DM. Oxygen relieves breathlessness in "pink puffers". 339 Lancet 1981; 1:907-909 340 341 342

- 25 -

# 343 TABLES

344

# 345 Table 1. Baseline characteristics

	Total (n=108)	HYX (n=34)	EIH (n=43)	NOX (n=31)
Male, %	67 (54)	27 (79)*	24 (56)**	13 (42)
Age, y	63 (9)	65 (8)	63 (8)	63 (11)
BMI, kg/m <sup>2</sup>	24.8 (5.0)	26.1 (5.7)	24.3 (4.8)	24.7 (4.4)
FEV <sub>1</sub> , % predicted	35.3 (11.5)	29.8 (8.4)****,#	35.8 (12.7)	40.8 (9.9)
FEV <sub>1</sub> /FVC, %	45 (12)	45 (13)	41 (10)**	49 (13)
TLC, % predicted	126 (19)	120 (20)*	130 (19)	124 (16)
RV, % predicted	224 (55)	225 (59)	230 (52)	208 (48)
DLCO, mmol/min/kPa	35.8 (17.3)	29.7 (15.3)***	32.7 (12.4)***	46.1 (20.6)
PaO <sub>2</sub> at rest with room air, mmHg	58.9 (9.9)	49.4 (3.7)***,###	60.7 (4.2)***	68.2 (11.3)
PaCO <sub>2</sub> at rest with room air, mmHg	39.7 (6.8)	44.0 (6.4)****,###	38.9 (6.1) <sup>*</sup>	35.6 (5.0)

346 Values are mean (SD) unless otherwise noted. BMI=Body mass index; FEV<sub>1</sub>=Forced

347 expiratory volume in 1 second;  $FEV_1/FVC=$  ratio of  $FEV_1$  and Forced vital capacity

348 (Tiffeneau Index); TLC=total lung capacity; RV=residual volume; DLCO=diffusion capacity
 349 of the lung for carbon monoxide.

350 #p<0.05, ##p<0.01, ###p<0.001 (compared to EIH)

351 \*p<0.05, \*\*p<0.01, \*\*\*p<0.001 (compared to NOX)

352

353

	HYX (n=34)			EIH (n=43)			NOX (n=31)		
	6MWT <sub>RA</sub>	6MWT <sub>02</sub>	mean difference (95%CI)	6MWT <sub>RA</sub>	6MWT <sub>02</sub>	mean difference (95%CI)	6MWD <sub>RA</sub>	6MWD <sub>O2</sub>	mean difference (95%CI)
Distance, m	283 (110)	320 (105)	37 (23 to 51)***	377 (96)	404 (94)	28 (14 to 41)***	380 (103)	395 (97)	15 (-1 to 30)
Stop length, sec	33 (69)	14 (30)	-19 (-2 to -37)*	8 (24)	4 (13)	-5 (0 to -9)*	6 (16)	1(5)	-5 (-11 to 2)
SpO <sub>2</sub> , %	75 (9)	84 (8)	8.5 (6.4 to 10.6)***	79 (6)	84 (5)	5.4 (4.1 to 6.7)***	88 (5)	92(5)	3.5 (1.8 to 0.8)***
decline of $\geq 4\%$ or end-SpO <sub>2</sub> $\leq 88\%,\%$ of patients	94	74	-20	100	76	-24	39	16	-23
Heart rate, beats/min	112 (19)	109 (18)	-2.9 (-6.5 to 0.6)	115 (16)	114 (15)	-1.0 (-5.0 to 3.0)	109 (16)	108 (16)	-1.8 (-6.1 to 2.5)
PaO <sub>2</sub> , mmHg	42 (7)	51 (8)	9 (6 to 12)***	47 (5)	57 (9)	10 (8 to 12)***	64 (15)	75 (15)	11 (7 to 14)***
PaCO <sub>2</sub> , mmHg	46 (8)	48 (7)	3 (1 to 5)**	43 (8)	45 (8)	2 (1 to 3)**	38 (6)	39 (6)	1 (-1 to 2)
Dyspnea, Borg	7.1 (1.9)	6.5 (1.6)	-0.6 (-1.3 to 0.1)	6.9 (1.8)	5.8 (1.9)	-1.1 (-1.6 to -0.5)***	6.1 (1.8)	5.0 (1.7)	-1.1 (-1.7 to -0.5)**
Leg fatigue, Borg	4.3 (2.8)	4.2 (2.3)	-0.1 (-0.7 to 0.5)	3.0 (2.5)	2.7 (2.0)	-0.2 (-0.8 to 0.4)	3.6 (2.2)	3.5 (2.1)	0.0 (-0.9 to 0.8)

Table 2 – End-exercise values of 6MWT outcomes in COPD patients with hypoxemia (HYX), exercise-induced hypoxemia (EIH) and
normoxemia (NOX)

Values are mean (SD) and deltas as mean.  $6MWT_{RA}$ = 6-minute-walk test on room air;  $6MWT_{O2}$ =6-minute-walk test on oxygen. Dyspnea and Fatigue were rated on a modified Borg scale (0-10), with higher scores denoting more severe symptoms. \*p<0.05, \*\*p<0.01, \*\*\*p<0.001

	Oxygen	Non-	Between-group
	responder	responder	differences
	(n=34)	(n=43)	(p value)
Male, %	55.8	61.5	n.s.
Age, y	63 (7)	65 (9)	n.s.
BMI, $kg/m^2$	24.1 (4.6)	25.9 (5.6)	n.s.
FEV <sub>1</sub> , % predicted	30.8 (9.6)	35.0 (12.4)	n.s.
FEV <sub>1</sub> /FVC, %	43 (10)	43 (13)	n.s.
TLC, % predicted	126 (22)	126 (19)	n.s.
RV, % predicted	232 (61)	224 (50)	n.s.
DLCO, mmol/min/kPa	29.7 (14.4)	32.9 (13.0)	n.s.
PaO <sub>2</sub> at rest with room air, mmHg	55.5 (7.0)	55.8 (6.9)	n.s.
PaCO <sub>2</sub> at rest with room air, mmHg	42.0 (7.1)	40.5 (6.3)	n.s.
End-exercise PaO <sub>2</sub> , mmHg	45.1 (6.7)	44.6 (6.1)	n.s.
End-exercise PaCO <sub>2</sub> , mmHg	45.5 (7.6)	42.9 (8.2)	n.s.
End-exercise dyspnea, Borg score	7.3 (1.7)	6.7 (1.9)	n.s.
End-exercise SpO <sub>2</sub> , %	77 (9)	77 (7)	n.s.
End-exercise heart rate, bpm	114 (20)	113 (15)	n.s.
Stop length during $6MWT_{RA}$ , sec	31 (65)	10 (33)	n.s.
6MWD <sub>RA</sub> , m	306 (106)	358 (113)	< 0.05

#### ACCEPTED MANUSCRIPT Table 3: Characteristics of oxygen responders compared to non-responders.

All end-exercise data were measured under room air condition (6MWT<sub>RA</sub>). Values are mean (SD) unless otherwise noted. Oxygen responder=patients with 6MWD improvements  $\geq$ 30m due to supplemental oxygen. BMI=Body mass index; FEV<sub>1</sub>=Forced expiratory volume in 1 second; FEV<sub>1</sub>/FVC= ratio of FEV<sub>1</sub> and Forced vital capacity (Tiffeneau Index); TLC=total lung capacity; RV=residual volume; DLCO=diffusion capacity of the lung for carbon monoxide; 6MWD<sub>RA</sub>=6-minute-walking distance on room air conditions.

Figure 1: Flow diagram

**Figure 2**: Direct effect of supplemental oxygen compared to compressed room air on the 6minute walk distance (6MWD) in hypoxemic patients (HYX), patients with exercise-induced hypoxemia (EIH) and normoxemic patients (NOX). Band marks the minimal important difference for the 6MWD (range: 25-33m)<sup>19</sup>.

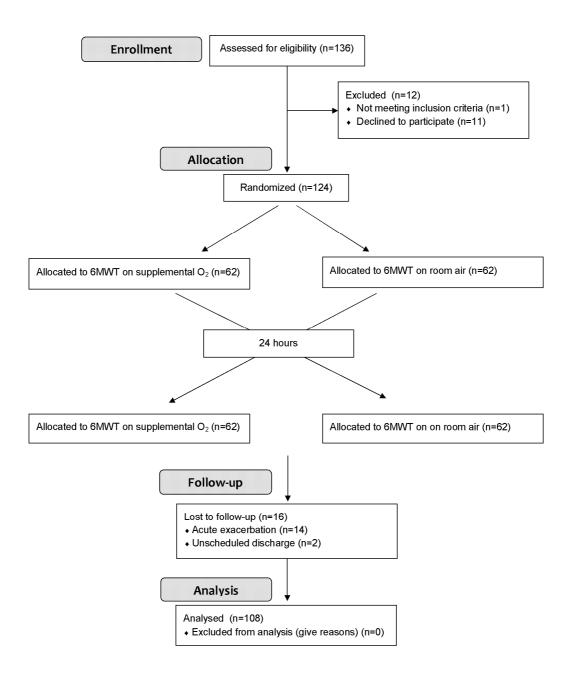
\*\*\*p<0.001

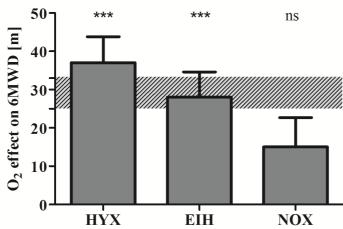
**Figure 3**: Three groups were created according to the oxygen-related effect on the 6-minute walk distance: (a) no benefit ( $\leq 0$ m), (b) increase < 30m and (c) a clinically relevant benefit of  $\geq 30m^{-19}$ . Data are presented in hypoxemic patients (HYX), patients with exercise-induced hypoxemia (EIH) and normoxemic patients (NOX).

**Figure 4**: Oxygen saturation (SpO<sub>2</sub>) during 6-minute walk test with oxygen (O<sub>2</sub>) versus room air (RA), measured pre, 1 minute and 3:30 minutes after starting and directly following the test in hypoxemic patients (A), patients with exercise-induced hypoxemia (B) and normoxemic patients (C). Dashed line marks the protective 88% threshold.

# ACCEPTED MANUSCRIPT

#### **CONSORT 2010 Flow Diagram**





HYX EIH NOX

