



# Prone position reduces lung stress and strain in severe acute respiratory distress syndrome

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**ABSTRACT:** The present authors hypothesised that in severe acute respiratory distress syndrome (ARDS), pronation may reduce ventilator-induced overall stress (*i.e.* transpulmonary pressure ( $P_L$ )) and strain of lung parenchyma (*i.e.* tidal volume ( $V_T$ )/end-expiratory lung volume (EELV) ratio), which constitute major ventilator-induced lung injury determinants. The authors sought to determine whether potential pronation benefits are maintained in post-prone semirecumbent (SRPP) posture under pressure-volume curve-dependent optimisation of positive end-expiratory pressure (PEEP).

A total of 10 anaesthetised/paralysed, mechanically ventilated ( $V_T=9.0 \pm 0.9$  mL·kg<sup>-1</sup> predicted body weight; flow= $0.91 \pm 0.04$  L·s<sup>-1</sup>; PEEP= $9.4 \pm 1.3$  cmH<sub>2</sub>O) patients with early/severe ARDS were studied in pre-prone semirecumbent (SRBAS), prone, and SRPP positions. Partitioned respiratory mechanics were determined during iso-flow ( $0.91$  L·s<sup>-1</sup>) experiments ( $V_T$  varied within 0.2–1.0 L), along with haemodynamics, gas exchange, and EELV.

Compared with SRBAS, pronation/SRPP resulted in reduced peak/plateau  $P_L$  at  $V_Ts \geq 0.6$  L; static lung elastance and additional lung resistance decreased and chest wall elastance (in prone position) increased; EELV increased (23–33%);  $V_T$ /EELV decreased (27–33%); arterial oxygen tension/inspiratory oxygen fraction and arterial carbon dioxide tension improved (21–43/10–14%, respectively), and shunt fraction/physiological dead space decreased (21–50/20–47%, respectively).

In early/severe acute respiratory distress syndrome, pronation under positive end-expiratory pressure optimisation may reduce ventilator-induced lung injury risk. Pronation benefits may be maintained in post-prone semirecumbent position.

**KEYWORDS:** Acute respiratory distress syndrome, gas exchange, lung recruitment, mechanical ventilation, mechanics of the respiratory system, prone position

In mechanically ventilated patients, lung stress and strain are major determinants of ventilator-induced lung injury (VILI) [1–5]. Alveolar stress (*i.e.* transmural pressure) is the ratio of alveolar wall tension to thickness. Thus, plateau/peak transpulmonary pressure ( $P_L$ ) reflects overall lung parenchymal stress [2, 3]. Strain is distending force-induced lung parenchyma deformation, and corresponds to the tidal volume ( $V_T$ )/end-expiratory lung volume (EELV) ratio [3].

Acute respiratory distress syndrome (ARDS) patients are VILI susceptible, due to disorder-induced lung regional collapse/consolidation, which severely constrains normally aerated lung parenchyma [6–8]. VILI prevention comprises low  $V_T$  use, positive end-expiratory pressure

(PEEP), and prone positioning [3]. Low  $V_T$  ventilation ( $6$  mL·kg<sup>-1</sup>) may not be advantageous relative to “standard”  $V_T$  ventilation ( $8$ – $9$  mL·kg<sup>-1</sup>) [9]. PEEP may cause circulatory depression [10], increase pulmonary oedema [11, 12], and contribute to VILI by inducing lung regional overdistension [12, 13]. In severe ARDS with diffuse and bilateral aeration loss [8, 13, 14], PEEP-induced overinflation risk is reduced, even at high PEEP ( $17$  cmH<sub>2</sub>O) [15]. However, lung overdistension (excessive pressure applied to acutely-injured parenchyma) can occur without concomitant overinflation [14]; consequently, the rationale for optimal PEEP level selection (PEEP optimising arterial oxygenation and minimising oxygen toxicity/VILI risks) still holds. Prone positioning may attenuate VILI [15–17]. Prone position causes more homogenous lung inflation

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and eliminates lung compression by the heart and abdominal contents, thus limiting atelectasis [14, 18, 19]. Semirecumbent positioning may also attenuate cardiac/abdominal lung compression relative to a supine position [14]. Consequently, in severe ARDS, the elucidation of the effects of PEEP/body positioning optimisation [14] with respect to major VILI determinants might be of considerable clinical importance.

The present authors tested the hypothesis that following PEEP optimisation, prone positioning may reduce  $P_L$  and  $V_T$ /EELV relative to pre-prone semirecumbent (SRBAS) in patients with early/severe ARDS. The current authors also sought to determine whether the potential pronation benefits are maintained in the post-prone semirecumbent (SRPP) posture. Total respiratory system (RS), chest wall and lung mechanics, and haemodynamics/gas exchange were also determined and compared among the aforementioned body postures.

## MATERIAL AND METHODS

### Patients

Institutional Review Board (Evangelismos General Hospital, Scientific Committee, Athens, Greece) approval and informed/written next-of-kin consent were obtained. A total of 10

consecutive patients with early (disorder diagnosis established within the preceding 72 h) and severe ARDS (table 1) [20] were enrolled between July 14, 2003 and July 12, 2004. ARDS was defined as acute onset, arterial oxygen tension ( $P_{a,O_2}$ )/inspiratory oxygen fraction ( $F_{i,O_2}$ ) <200 mmHg (regardless of PEEP level), bilateral infiltrates on frontal chest radiograph, and wedge pressure <18 mmHg [21]. Inclusion criteria with respect to ARDS severity were  $P_{a,O_2}/F_{i,O_2} \leq 100$  mmHg, and a "white lungs" feature (hyperattenuation areas equally disseminated within upper and lower lung lobes) [20] on frontal chest radiograph. Radiographs were independently evaluated by two independent radiologists. Exclusion criteria included age <18 yrs, pregnancy, intracranial hypertension, burns >30% of body surface area, spine fractures, smoking and/or chronic respiratory disease, chronic liver disease (Child-Pugh class C) [22], neuromuscular disease impairing spontaneous breathing, sickle cell disease, and body mass index >27.5 kg·m<sup>-2</sup>.

During the 6-h duration study-period, patient care was provided by an independent physician. New/additional administration of *i.v.* fluid boluses, inotropes, antipyretics, antiarrhythmic treatment, or diuretics led to patient exclusion

**TABLE 1** Patient characteristics prior to inclusion to the study

Patient No.	Age yrs	Sex	BMI kg·m <sup>-2</sup>	SAPS II score <sup>#</sup>	Murray Score <sup>†</sup>	$P_{a,O_2}/F_{i,O_2}$ mmHg <sup>†</sup>	$P_{a,CO_2}$ mmHg <sup>†</sup>	$F_{i,O_2}$ <sup>†</sup>	PEEPe cmH <sub>2</sub> O <sup>†</sup>	$V_T$ L/ $V_T$ mL·kg <sup>-1</sup> PBW <sup>†</sup>	$P_{2,aw}$ cmH <sub>2</sub> O <sup>†</sup>	Respiratory disease	Outcome
1	50	M	22.4	51	3.25	96.3	48.2	0.7	11	0.49/6.9	25.3	Staphylococcus Pneumonia <sup>†</sup>	S
2	40	M	21.7	52	3.50	94.4	49.2	0.7	12	0.48/7.1	26.6	Legionella Pneumonia <sup>‡</sup>	S
3	43	F	21.3	59	3.75	91.1	51.1	0.8	13	0.51/9.1	35.0	Streptococcus Pneumonia <sup>†</sup>	D
4	33	M	22.2	53	3.50	88.9	52.3	0.8	13	0.49/7.1	29.3	Legionella Pneumonia <sup>‡</sup>	S
5	26	M	23.1	54	4.00	79.0	52.5	0.8	14	0.5/7.0	33.2	Staphylococcus Pneumonia <sup>†</sup>	D
6	52	F	20.7	61	3.75	83.3	48.8	0.8	14	0.5/8.5	32.9	Klebsiella Pneumonia <sup>†</sup>	S
7	47	M	23.5	50	3.25	93.8	52.4	0.7	11	0.5/7.1	27.7	Streptococcus Pneumonia <sup>†</sup>	S
8	37	M	21.7	82	4.00	76.0	50.9	0.9	16	0.45/6.2	39.5	Staphylococcus Pneumonia <sup>†</sup>	D
9	44	M	21.4	79	4.00	79.1	50.3	0.9	16	0.46/6.3	39.8	Staphylococcus Pneumonia <sup>†</sup>	D
10	34	F	22.6	62	3.25	93.3	49.3	0.8	14	0.49/8.4	29.1	Streptococcus Pneumonia <sup>†</sup>	S

Patient No. refers to the order of enrolment to the study. Patients were mechanically ventilated at volume assist-control mode; inspiratory flow ranged within 0.6–0.9 L·s<sup>-1</sup>; respiratory rate (range 19–28·min<sup>-1</sup>) was adjusted to maintain an arterial pH of  $\geq 7.30$ . For males, predicted body weight was calculated as =50+(Height (cm)–152.4) × 0.91; for females, 50 was replaced by 45.5. Patients weaned from mechanical ventilation and discharged from the intensive care unit (ICU) were considered as survivors. BMI: body mass index; SAPS II: simplified acute physiology score II;  $P_{a,O_2}$ : arterial oxygen tension;  $F_{i,O_2}$ : inspiratory oxygen fraction;  $P_{a,CO_2}$ : carbon dioxide arterial tension; PEEPe: externally applied positive end-expiratory pressure;  $V_T$ : tidal volume; PBW: predicted body weight;  $P_{2,aw}$ : plateau tracheal pressure; M: male; S: survival; F: female; D: death (in the ICU). #: on ICU admission; †: variables recorded just prior to study enrolment, whilst there was no patient-ventilator asynchrony in any case; ‡: microorganism isolated in tracheobronchial aspirates (positive cut-off value=10<sup>5</sup> colony forming units·mL<sup>-1</sup>); §: diagnosis established by PCR for Legionella and detection of Legionella antigen in urine.

[23]. Electrocardiographic lead II, peripheral intra-arterial and pulmonary artery (continuous cardiac output/ $S_{v,O_2}$  catheter; Baxter, Deerfield, IL, USA) pressures, urinary bladder temperature, and peripheral oxygen saturation ( $S_{a,O_2}$ ) were monitored continuously [23].

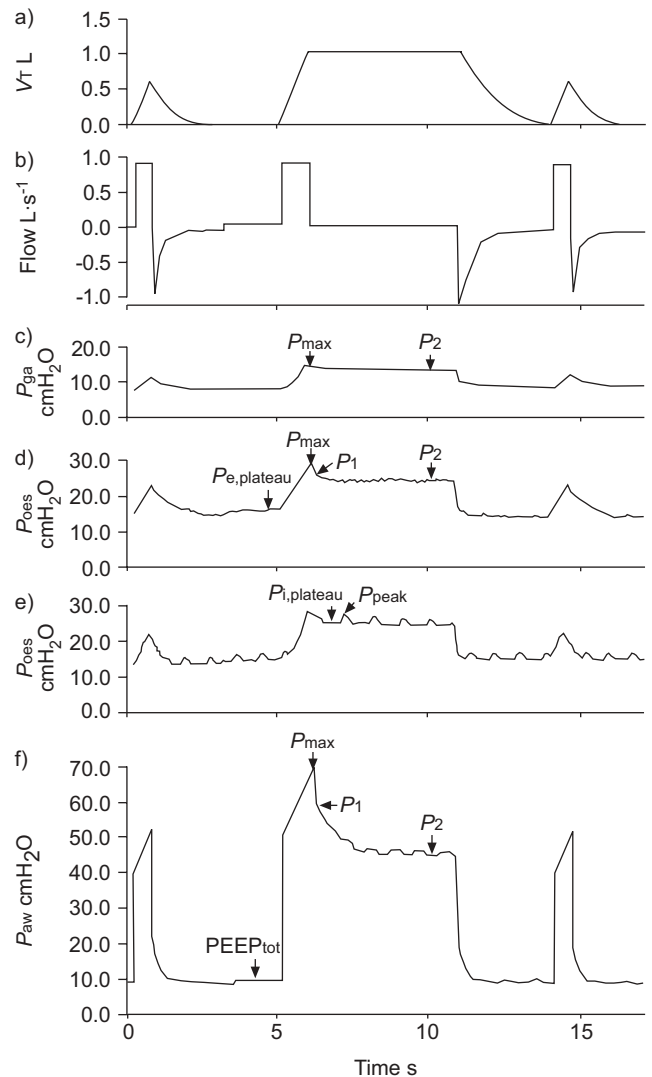
**Mechanical ventilation**

Prior to study enrolment, patients were sedated (propofol/fentanyl infused at  $3.5\text{--}4.0\text{ mg}\cdot\text{kg}^{-1}\cdot\text{h}^{-1}/1.5\text{--}2.0\text{ }\mu\text{g}\cdot\text{kg}^{-1}\cdot\text{h}^{-1}$ , respectively), orotracheally intubated and mechanically ventilated (Siemens 300C ventilator; Siemens AG, Berlin, Germany) in a “near-supine” position ( $20\text{--}30^\circ$  inclination relative to horizontal). Intermittent neuromuscular blockade was employed according to recent recommendations [24]. PEEP ( $13.4\pm 1.8\text{ cm H}_2\text{O}$ ),  $F_{I,O_2}$  ( $0.79\pm 0.07$ ), and breathing rate $\cdot\text{min}^{-1}$  (range 19–28) were set according to the ARDS Network protocol [25] (table 1).  $V_T$  ( $0.49\pm 0.02\text{ L}=7.4\pm 0.9\text{ mL}\cdot\text{kg}^{-1}$  predicted body weight (PBW)) was adjusted so that plateau tracheal pressure ( $P_{2,aw}$ ) was  $<35\text{ cmH}_2\text{O}$ , or kept within  $6.0\text{--}6.5\text{ mL}\cdot\text{kg}^{-1}$  PBW if  $P_{2,aw}$  exceeded  $35\text{ cmH}_2\text{O}$  (table 1).  $S_{a,O_2}$  achieved was  $93.4\pm 1.1\%$ . Following study enrolment, anaesthesia and neuromuscular blockade were induced/maintained with additional propofol/fentanyl (induction bolus= $0.5\text{ mg}\cdot\text{kg}^{-1}/50\text{ }\mu\text{g}$  and maintenance infusion= $3.5\text{--}4.0\text{ mg}\cdot\text{kg}^{-1}\cdot\text{h}^{-1}/1.5\text{--}2.0\text{ }\mu\text{g}\cdot\text{kg}^{-1}\cdot\text{h}^{-1}$ , respectively) and cisatracurium (intermittent administration targeted to full train-of-four inhibition throughout the study-period [23]), respectively, and body posture was changed to “steep” semirecumbent ( $60^\circ$  inclination, SRBAS). Prior to cisatracurium administration, oesophageal and gastric balloons were inserted and their correct placement was verified as previously described [26–28]. Study-period baseline ventilator settings (volume-controlled mode) were:  $F_{I,O_2}=0.79\pm 0.07$  (as above);  $V_T=0.6\pm 0.03\text{ L}$  ( $9.0\pm 0.9\text{ mL}\cdot\text{kg}^{-1}$  PBW); inspiratory flow ( $V'$ )= $0.91\pm 0.04\text{ L}\cdot\text{s}^{-1}$ ; breathing rate $\cdot\text{min}^{-1}=16\text{--}25$  (adjusted to maintain an arterial  $\text{pH}>7.30$ ) [24]; plateau pressure time= $0\text{ s}$ ; and PEEP= $9.4\pm 1.3\text{ cm H}_2\text{O}$ . PEEP was set at  $2.0\text{ cmH}_2\text{O}$  above the lower inflection points of the pressure-volume curves, which were constructed as previously reported [20]. PEEP adjustment should not cause a  $P_{a,O_2}/F_{I,O_2}$  decrease of  $>5\text{ mmHg}$ . Employed PEEP/ $V_T$  should not result in a plateau PL ( $P_{2,L}$ )  $>30\text{ cmH}_2\text{O}$ .  $\text{SRPPS}_{a,O_2}$  was  $92.0\pm 1.0\%$ .

**Protocol and measurements**

Investigational interventions were separated by 15 min of baseline ventilation for the re-establishment of baseline conditions [29]. Patients were sequentially studied in the SRBAS, prone ( $0^\circ$  inclination), and SRPP ( $60^\circ$  inclination) postures (2-h study duration for each posture). Patient turning was performed as previously described [23]. Following pronation, abdominal movement restriction was minimised as in previous studies [23, 30]. Any pronation-induced hypoxaemia ( $S_{a,O_2}\leq 90\%$ ) would result in protocol termination, and body posture change with ventilatory parameter adjustment as necessary. The reliability of oesophageal pressure ( $P_{oes}$ ) measurements was tested as before (fig. 1) [23].

The  $P_{oes}$  tracing in figure 1d is the average of the tracings of the four sigh test breaths administered to the patient; all other tracings originate from the first of the four test sighs. On



**FIGURE 1.** Assessment of respiratory mechanics. Presented variable data originate from a representative study participant. a) Tidal volume ( $V_T$ ), b) flow, and c) gastric ( $P_{ga}$ ), d and e) oesophageal ( $P_{oes}$ ) and f) tracheal pressure ( $P_{aw}$ ) data print-out, showing two baseline ventilation mechanical breaths ( $V_T=0.6\text{ L}$ ; inspiratory flow= $0.91\text{ L}\cdot\text{s}^{-1}$ ) separated by a “sigh” test breath ( $V_T=1.0\text{ L}$ ; inspiratory flow= $0.91\text{ L}\cdot\text{s}^{-1}$ ).  $P_{max}$ : peak inspiratory pressure;  $P_2$ : plateau inspiratory pressure;  $P_{e,plateau}$ : end-expiratory occlusion plateau pressure of  $P_{oes}$ ;  $P_1$ : pressure immediately after end-inspiratory airway occlusion;  $P_{i,plateau}$ : inspiratory plateau pressure;  $P_{peak}$ : oscillation peak pressure;  $PEEP_{tot}$ : total positive end-expiratory pressure.  $P_{aw}$  values were referred to atmospheric pressure.  $P_{ga}$  and averaged  $P_{oes}$  values were referred to respective values at respiratory system relaxation volume.  $P_{e,plateau}$  was used for determination of  $PEEP_{tot}$  of the chest wall.

individual test breath  $P_{oes}$  tracings (figure 1e), the maximal amplitude of each cardiac oscillation was measured as the difference between oscillation peak pressure ( $P_{peak}$ ) and the immediately preceding inspiratory plateau pressure ( $P_{i,plateau}$ ). For each cardiac oscillation,  $P_{oes}$  rise rate was determined as the time needed for  $P_{oes}$  to rise from  $P_{i,plateau}$  to  $P_{peak}$  during that particular oscillation. For each  $P_{oes}$  tracing, the mean maximal amplitudes of all cardiac oscillations, and mean  $P_{oes}$  rise rates during these oscillations were analysed; for each set

of test breaths, the aforementioned variables were averaged and compared among study postures.

#### Respiratory mechanics

Inspiratory flow ( $V'$ ),  $V_T$ , and tracheal ( $P_{aw}$ ),  $P_{oes}$ , and gastric ( $P_{ga}$ ) pressures were measured with a Hans-Rudolph pneumotachograph (pneumotachometer; Hans Rudolph Inc., Kansas City, MT, USA) and Validyne pressure-transducers (Validyne, Norridge, CA, USA) [23]. Following analogue-to-digital conversion, variable data were stored on an IBM-type computer for later analysis with Anadat software (RHT-InfoData, Montreal, QC, Canada) [23]. During data sampling, variable tracings were displayed on a dedicated monitor and recorded (Gould ES 1000 electrostatic recorder; Gould Electronics Inc., Eastlake, OH, USA). Breathing circuit modifications included humidifier-removal and low compliance tubing [23]. Care was taken to avoid gas leaks. Equipment dead space (endotracheal tube (ETT) not included) was 90 mL.

Respiratory mechanics were assessed with constant  $V'$  rapid airway occlusion. Within 30–60 min after study-posture assumption, sets of four test breaths were administered with a constant, square-wave  $V'$  ( $0.91 \text{ L}\cdot\text{s}^{-1}$ ).  $V_T$  was sequentially varied from 0.6 (baseline) to 0.2, 0.4, 0.6, 0.8, and 1.0 ("sigh") L. During sighs, the maximum allowable  $P_{2,L}$  was 45 cm  $\text{H}_2\text{O}$ . Test breaths were separated by 1-min baseline ventilation periods (fig. 1).

Test breaths were preceded by 2-s duration end-expiratory occlusions, enabling determination of RS, chest wall, and abdominal chest wall-component total PEEP ( $PEEP_{tot}$ ) (fig. 1); the latter was always  $\sim 0$ . For  $P_{oes}$ , end-expiratory occlusion-plateaus were obtained by ensemble averaging [31] of  $P_{oes}$  tracings of each test breath-set (fig. 1). Expiratory occlusions were followed by 4–6-s duration end-inspiratory occlusions, enabling determination of maximal pressure ( $P_{max}$ ), and pressure immediately after initiation of end-inspiratory occlusion ( $P_1$ ), and plateau pressure ( $P_2$ ) on computer-stored  $P_{aw}$  tracings, and of  $P_{max}$  and  $P_2$  on computer-stored  $P_{ga}$  tracings (fig. 1). For  $P_{oes}$ ,  $P_{max}/P_1$  and  $P_2$ , values were determined after ensemble tracing-averaging of each set of test breaths [31] (fig. 1).  $P_{aw}$  values were referred to atmospheric pressure, and  $P_{oes}/P_{ga}$  values were referred to their values at respiratory system relaxation volume ( $V_r$ ); the latter values were determined during the below-described measurements of the change ( $\Delta$ ) in functional residual capacity (FRC). For each set of test breaths,  $PL$  was determined as the difference between the average  $P_{aw}$  value and the averaged  $P_{oes}$ . Total RS, chest wall, and lung inspiratory mechanical properties were computed by standard formulas (see Appendix 1).

#### Haemodynamics and gas exchange

In each posture, intravascular pressure transducers (Abbott, Sligo, Ireland) were set to zero at right-atrial level. Within 75–90 min after posture assumption, end-expiratory central venous and pulmonary artery wedge pressures were determined consecutively three times during respective 10-s duration ETT disconnections from the breathing circuit. ETT disconnections were separated by two 6-min duration baseline-ventilation intervals, over which heart rate, mean arterial/pulmonary artery pressure, cardiac output, and mixed-venous oxygen saturation values were recorded and

averaged. Just prior to each ETT disconnection, mixed-venous and arterial blood gas samples were taken and analysed immediately (ABL System 625 blood-gas analyser model; Radiometer, Copenhagen, Denmark). After collecting the gases expired within 2 min prior to the second and third ETT disconnection, physiological dead space was determined as previously described [30]. Formula-derived variables included cardiac, systemic and pulmonary vascular resistance index, oxygen consumption/delivery, oxygen extraction ratio ( $O_2ER$ ), right/left ventricular stroke work index (SWI), respiratory quotient, alveolar oxygen partial pressure ( $PO_2$ ), and shunt fraction (see Appendix 2).

#### $\Delta$ FRC and end-expiratory lung volume

Within 105–120 min after study-posture assumption, baseline-ventilation  $\Delta$ FRC was determined twice as previously reported [32], by allowing exhalation to  $V_r$ . Expiratory  $V'$  always reached  $0 \text{ L}\cdot\text{s}^{-1}$  within  $<10$  s. The two  $\Delta$ FRC measurements were separated by 17 min of baseline ventilation. Immediately after each  $\Delta$ FRC measurement, FRC was determined with the closed-circuit helium dilution technique as previously explained [30, 33–35]. Helium concentration was measured with a helium-analyser (PK Morgan Ltd, Kent, UK). Helium-dilution technique limitations have been previously analysed [36]. Baseline ventilation EELV was computed as the sum of measured FRC and  $\Delta$ FRC.

#### Statistical analysis

For each posture, only the means of obtained sets of measurements were analysed. Variable comparisons were conducted with two-factor univariate ANOVA for repeated measures, followed by the Scheffé test as appropriate. Significance was accepted at  $p < 0.05$ . Values are presented as mean  $\pm$  SD.

#### RESULTS

Full data were obtained from all study participants and no protocol-related complications occurred [37]. Of the 10 patients, six were weaned from mechanical ventilation 15.2  $\pm$  3.1 days after its institution and discharged from the intensive care unit (ICU) after another 2–3 days and four patients died of multiple system organ failure (table 1).

$\Delta$ FRC,  $PEEP_{tot}$  of the RS and chest wall, and  $P_{ga}$  were unaffected by body posture (table 2).  $P_{oes}$  at  $V_r$  did not differ significantly among study postures (table 2). The mean maximal amplitude and mean rise rate of  $P_{oes}$ -cardiac oscillations (fig. 1), were similar (table 2). Consequently, the initial, correct oesophageal balloon positioning relative to the heart was maintained throughout the study period, and  $P_{oes}$  measurements were as accurate as possible in all study postures [23]. The oesophageal balloon technique has been adopted in previous studies and is considered adequate in the prone position [30, 33, 35, 38].

#### Tracheal pressure, oesophageal pressure and transpulmonary pressure

$P_{aw}$  was unaffected by body posture (fig. 2a).  $P_1/P_2$  of averaged  $P_{oes}$  tracings were higher in prone versus SRBAS/SRPP at  $V_Ts \geq 0.6$  L ( $p < 0.05$ – $0.01$ ; fig. 2b). Maximal  $PL$  ( $P_{max,L}$ ) was lower in prone/SRPP versus SRBAS at  $V_Ts \geq 0.6$ – $0.8$  L ( $p < 0.05$ – $0.01$ ). The  $P_1$  value of  $PL$  ( $P_{1,L}$ ) was lower in prone/SRPP versus SRBAS at  $V_Ts \geq 0.4$ – $0.6$  L ( $p < 0.05$ – $0.01$ ).

**TABLE 2** Variables reflecting dynamic hyperinflation, and oesophageal and gastric pressures and their changes

	Pre-prone semirecumbent	Prone	Post-prone semirecumbent
$\Delta$ FRC L <sup>#</sup>	0.34±0.13	0.31±0.15	0.27±0.12
PEEP <sub>tot,RS</sub> cmH <sub>2</sub> O <sup>#</sup>	11.3±1.5	10.4±1.7	10.1±1.5
PEEP <sub>tot,cw</sub> cmH <sub>2</sub> O <sup>#</sup>	2.8±0.4	3.3±0.7	2.6±0.4
P <sub>oes</sub> at V <sub>r</sub> cmH <sub>2</sub> O	12.6±3.1	8.6±3.6	12.4±3.0
P <sub>ga</sub> at V <sub>r</sub> cmH <sub>2</sub> O	9.6±3.7	12.9±3.9	10.1±3.5
$\Delta$ P <sub>max,ga</sub> at 0.6 L V <sub>T</sub> cmH <sub>2</sub> O <sup>#</sup>	3.7±1.1	4.2±1.3	3.9±1.1
$\Delta$ P <sub>max,ga</sub> at 1.0 L V <sub>T</sub> cmH <sub>2</sub> O	5.6±1.9	6.0±2.4	5.9±2.0
$\Delta$ P <sub>2,ga</sub> at 0.6 L V <sub>T</sub> cmH <sub>2</sub> O <sup>#</sup>	3.3±0.9	3.9±1.1	3.6±1.0
$\Delta$ P <sub>2,ga</sub> at 1.0 L V <sub>T</sub> cmH <sub>2</sub> O	5.3±1.5	5.7±1.9	5.5±1.6
Mean maximal amplitude in P <sub>oes</sub> cmH <sub>2</sub> O <sup>*</sup>	2.0±1.2	1.7±1.0	2.1±1.3
Mean rise rate in P <sub>oes</sub> cmH <sub>2</sub> O·s <sup>-1*</sup>	12.5±5.2	11.4±4.7	12.8±5.3

Data are presented as mean±SD.  $\Delta$ FRC: change in functional residual capacity; PEEP<sub>tot</sub>: total positive end-expiratory pressure; RS: respiratory system; cw: chest wall; P<sub>oes</sub>: oesophageal pressure; V<sub>r</sub>: respiratory system relaxation volume; P<sub>ga</sub>: gastric pressure;  $\Delta$ P<sub>max,ga</sub>: difference between maximal P<sub>ga</sub> and P<sub>ga</sub> at V<sub>r</sub>; V<sub>T</sub>: tidal volume;  $\Delta$ P<sub>2,ga</sub>: difference between plateau P<sub>ga</sub> and P<sub>ga</sub> at V<sub>r</sub>. #: values correspond to baseline ventilation conditions; \*: for each study posture, reported values are mean±SD of determined values during all sets of test breaths (see also fig. 1).

P<sub>2,L</sub> was lower in prone/SRPP versus SRBAS at VTs ≥0.6 L (p<0.05–0.01; fig. 2c). P<sub>max,L</sub>/P<sub>1,L</sub> (individual patient data not shown), and P<sub>2,L</sub> exhibited similar response patterns to posture change in all patients. Figure 3 displays individual P<sub>2,L</sub>VT relationships.

#### EELV and VT/EELV

In prone and SRPP, baseline-ventilation EELV was significantly higher versus SRBAS (by 30.3±1.6% and 23.9±1.0%, respectively, p<0.01; table 3). Accordingly, the baseline-ventilation VT (0.6 L)/EELV ratio, was lower in prone and SRPP versus SRBAS (0.41±0.04 and 0.42±0.04, respectively, versus 0.58±0.05, p<0.01). The sigh (1.0 L) VT/EELV ratio was also lower in prone and SRPP versus SRBAS (0.68±0.06 and 0.71±0.06, respectively, versus 0.97±0.09, p<0.01). VT/EELV exhibited similar response patterns to body posture in all patients.

#### Respiratory mechanics

Figure 4 displays the main results for the respiratory mechanics. Static chest wall elastance was higher in prone versus SRBAS/SRPP at VTs ≥0.6 L (p<0.05–0.01). Additional lung resistance was lower in prone/SRPP versus SRBAS at all employed VTs (p<0.01). Static lung elastance (E<sub>stat,L</sub>) was lower in prone/SRPP versus SRBAS at VTs ≥0.6 L (p<0.05–0.01).

#### Haemodynamics and gas exchange

Table 4 displays the main results. Directly determined haemodynamic variables were not significantly affected by posture change. The O<sub>2</sub>ER exhibited sequential significant decreases from SRBAS to SRPP. Left ventricular SWI became higher in SRPP versus SRBAS. All gas exchange variables (including P<sub>a,O<sub>2</sub>}/F<sub>I,O<sub>2</sub></sub>, carbon dioxide arterial tension, shunt fraction, and physiological dead space) were significantly improved in prone/SRPP versus SRBAS.</sub>

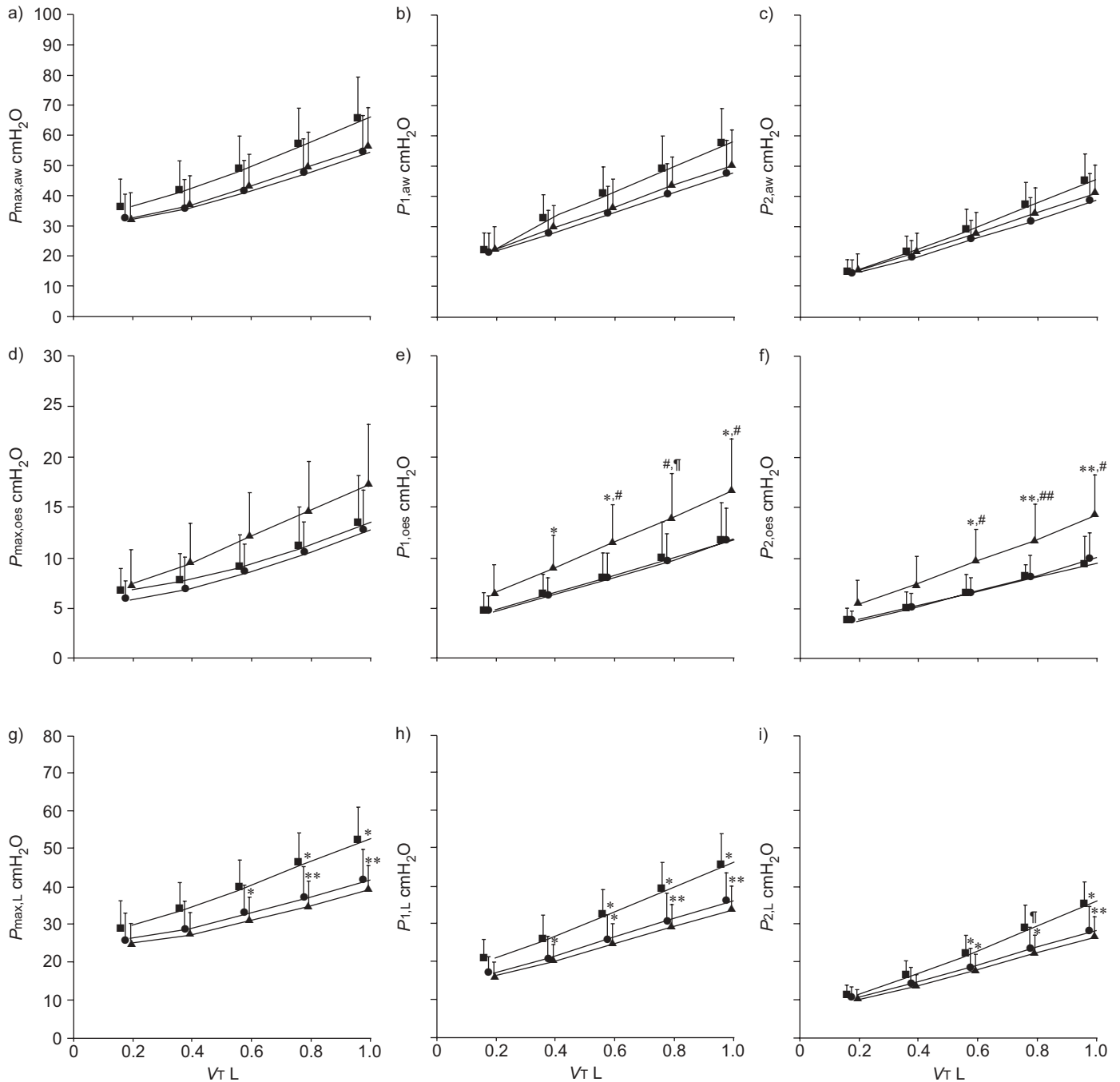
#### DISCUSSION

The present study has shown that in severe ARDS [8, 13, 14, 20], prone positioning under PEEP optimisation reduces

ventilation-induced stress (reflected by PL) and strain (reflected by VT/EELV) relative to 60° SRBAS; these effects are maintained within 2 h following return to 60° SRPP. Although only 10 patients were studied, individual response patterns of PL and VT/EELV to posture change were similar. Favourable results occur with a baseline (0.6 L) to 1.0 L VTs (range 8.2–17.6 mL·kg<sup>-1</sup> PBW for participants in the present study). The lowest of the aforementioned VTs are similar to the 8–9 mL·kg<sup>-1</sup> VTs routinely used by physicians studying/treating patients with acute lung injury/ARDS [9, 39–42]. Other pronation benefits, also maintained in SRPP, included decreased E<sub>stat,L</sub> and additional lung resistance, improved arterial oxygenation, and reduced shunt fraction and P<sub>a,CO<sub>2</sub></sub> and physiological dead space; these findings are consistent with previously published results [30, 37, 43–45].

In the present study, PEEP was optimised to 4.0±0.9 cmH<sub>2</sub>O lower values relative to the pre-study PEEP. PEEP optimisation was aimed at: 1) maintaining pre-study arterial oxygenation in SRBAS; and 2) allowing for a VT increase of 1.7±0.2 mL·kg<sup>-1</sup> PBW during the study period, without concomitant end-inspiratory stress increase to potentially injurious levels exceeding 30 cmH<sub>2</sub>O (P<sub>2,L</sub> in fig. 2c) [5, 46]. Posture change from near-supine to steep SRBAS may have facilitated the achievement of the aforementioned ventilation goals by partially relieving abdominal/cardiac compression of dependent/caudal lung regions [14].

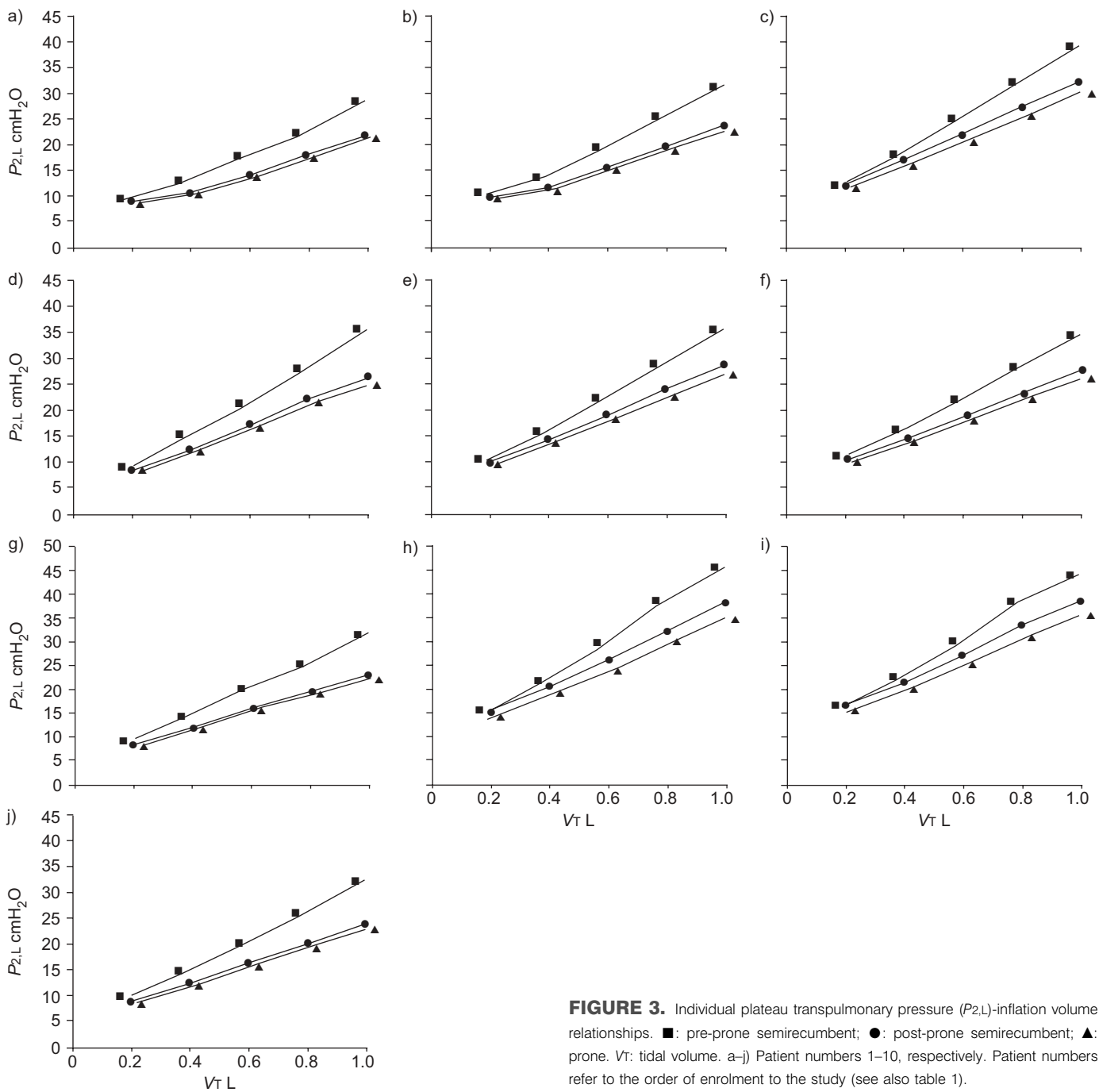
Substantial lung mechanics/gas exchange benefits were obtained only after the pronation manoeuvre. The selection of the 0.6 L baseline VT probably facilitated the intratidal alveolar recruitment [30, 47]; the optimised PEEP probably facilitated the maintenance of such recruitment [47]. Also, the employed 1.0 L sighs were probably more effective in the prone position [48]. The combined EELV and P<sub>a,O<sub>2</sub>}/F<sub>I,O<sub>2</sub></sub> increases and the shunt fraction decrease indicate effective re-aeration of well perfused, but previously collapsed lung units [18, 23, 30, 49]. The P<sub>2,L</sub> and E<sub>stat,L</sub> reductions indicate pronation-induced reversal of regional atelectasis [23, 30].</sub>



**FIGURE 2.** Results on tracheal ( $P_{aw}$ ), oesophageal ( $P_{oes}$ ) and transpulmonary ( $P_L$ ) pressures from the iso-flow experiments. a–c) Average relationships of peak  $P_{aw}$  ( $P_{\max,aw}$ ),  $P_{aw}$  immediately after end-inspiratory airway occlusion ( $P_{1,aw}$ ), and plateau  $P_{aw}$  ( $P_{2,aw}$ ) with increasing inflation volume. d–f) Average relationships of peak  $P_{oes}$  ( $P_{\max,oes}$ ),  $P_{oes}$  immediately after end-inspiratory airway occlusion ( $P_{1,oes}$ ), and plateau  $P_{oes}$  ( $P_{2,oes}$ ) with inflation volume. g–i) Average relationships of peak  $P_L$  ( $P_{\max,L}$ ),  $P_L$  immediately after end-inspiratory airway occlusion ( $P_{1,L}$ ), and plateau  $P_L$  ( $P_{2,L}$ ) with inflation volume ( $V_t$ ). Symbols represent mean values and bars represent sd. ■: pre-prone semirecumbent; ●: post-prone semirecumbent; ▲: prone. \*:  $p < 0.05$  versus pre-prone semirecumbent (SRBAS); \*\*:  $p < 0.01$  versus SRBAS; #:  $p < 0.05$  versus post-prone semirecumbent (SRPP); ##:  $p < 0.01$  versus SRPP; †: trend towards significance versus SRBAS.

The  $P_a\text{CO}_2$  and physiological dead space reductions suggest an increase in effective alveolar ventilation [23]. The additional lung resistance decrease suggests a reduced time constant inequality range, more homogenous lung inflation, and reduced numbers of atelectatic and hyperinflated/overdistended alveoli [14, 23, 30]. The reduction in regional atelectasis

attenuates the stress in neighbouring lung regions [46]. The reduction in regional hyperinflation or overdistension attenuates regional strain and reduces the regional probability of traumatic alveolar rupture [23]. Thus, although the current authors could not directly determine regional stress/strain, the combined results in the present study



**FIGURE 3.** Individual plateau transpulmonary pressure ( $P_{2,L}$ )-inflation volume relationships. ■: pre-prone semirecumbent; ●: post-prone semirecumbent; ▲: prone.  $V_t$ : tidal volume. a–j) Patient numbers 1–10, respectively. Patient numbers refer to the order of enrolment to the study (see also table 1).

strongly suggest reduced “regional probability” of VILI in the prone position.

The observed significant decreases in  $O_2ER$  were due to the simultaneous decreases in oxygen consumption and/or increases in oxygen delivery. These changes could be attributable to the effects of the probably slowly increasing plasma propofol and fentanyl concentrations throughout the study period [50]. Propofol/fentanyl anaesthesia reduces oxygen consumption in hypoxaemic respiratory failure

patients [24]. Mild and moderate maintenance infusion-induced increases in propofol and fentanyl plasma concentrations, respectively [50], should not directly affect myocardial performance [51, 52]. The observed arithmetical decreases in heart rate could be attributable to fentanyl [53]. The heart rate changes could have contributed to the observed arithmetical increases in SRPP cardiac index (table 4) by improving cardiac diastolic filling, cardiac muscle fibre length-tension relationship, and consequently, cardiac contractility [54]. The speculation for improved diastolic filling is supported by the observed

**TABLE 3** End-expiratory lung volume (in L) during baseline ventilation

Patient No.	Pre-prone semirecumbent	Prone	Post-prone semirecumbent
1	1.17	1.64	1.60
2	1.09	1.57	1.50
3	0.96	1.35	1.31
4	1.05	1.54	1.45
5	0.99	1.39	1.34
6	1.02	1.51	1.42
7	1.11	1.59	1.53
8	0.89	1.33	1.26
9	0.92	1.30	1.28
10	1.14	1.61	1.58
Mean $\pm$ sd	1.03 $\pm$ 0.09	1.48 $\pm$ 0.13**	1.43 $\pm$ 0.12**

Data are presented as individual patient values. \*\*:  $p < 0.01$  versus pre-prone semirecumbent.

increase in left ventricular SWI [55]. In SRPP, the improved haemodynamic performance could have contributed to the maintenance of the pronation gas exchange benefits relative to SRBAS. However, as in the case of the prone position, the major portion of the SRPP gas exchange improvement could still be explained by the still improved shunt fraction and physiological dead space (table 4), and thus, ventilation-perfusion matching.

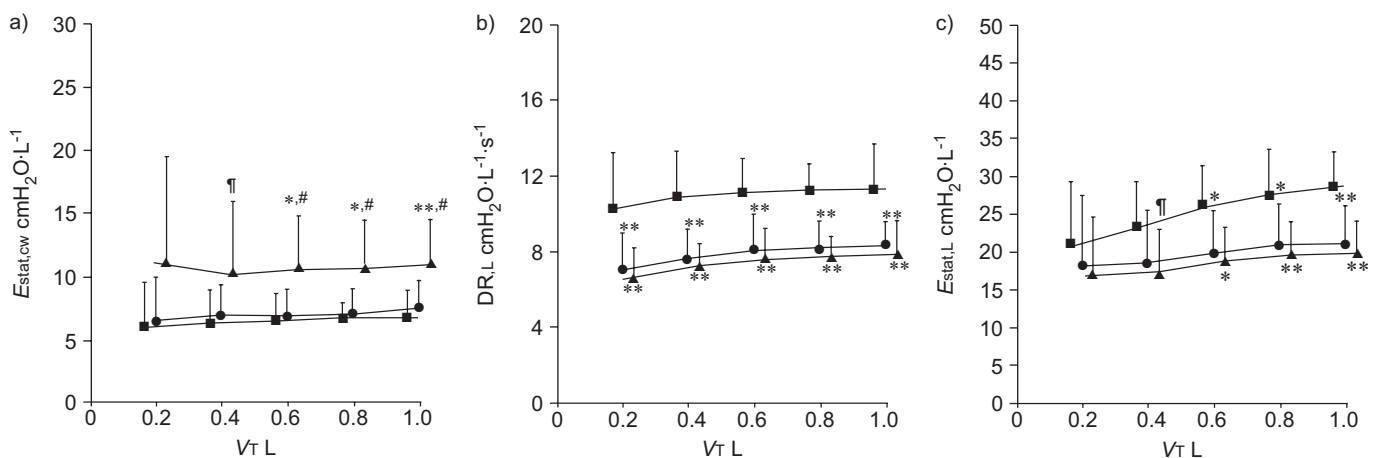
The determinations of  $P_{oes}$  in different body postures may be problematic, despite prior relevant methodological interpretations [30, 33, 35, 38], and confirmation of an unchanged pattern of transmission of intracardiac pressure changes to the oesophageal balloon [23]. Pronation causes redistribution of regional lung collapse [56]; if this occurs in lung areas adjacent to the lower oesophagus, the patterns of intrapleural pressure

transmission to the oesophageal balloon may differ between prone and semirecumbent postures, thus resulting in possible posture-related bias in  $PL$  calculations. However, regional lung collapse, although different in amount, should tend to exhibit similar distribution in SRBAS and SRPP. This should have minimised the impact of the aforementioned potential problem upon the  $PL$  results in the current study, because similar improvement in gas exchange, indicating similar amount of alveolar recruitment, was accompanied by similar reductions in  $PL$  determined in prone and SRPP relative to SRBAS. Consequently,  $PL$  was probably calculated in prone as accurately as in semirecumbent posture.

Pronation benefits were maintained during SRPP measurements; major contributory factors may include: 1) optimised PEEP-induced maintenance of overall pronation-induced alveolar recruitment, despite its posture-associated redistribution [56]; and 2) partial maintenance of a possible pronation-induced lower lung lobe decompression in steep semirecumbent posture [14]. The maintenance of lower lobe decompression could have been facilitated by the absence of abnormally raised intra-abdominal pressure and decreased abdominal compliance (table 2) [27].

### Clinical implications

According to the lung stress/strain results presented in the current study, ventilation with standard  $V_T$ s ( $0.6 \text{ L} = 9.0 \pm 0.9 \text{ mL} \cdot \text{kg}^{-1} \text{ PBW}$ ) [9, 39–42] in prone/SRPP is equally protective as ventilation with low  $V_T$ s ( $0.4 \text{ L} = 6.0 \pm 0.6 \text{ mL} \cdot \text{kg}^{-1} \text{ PBW}$ ) [25] in SRBAS. Indeed, in prone and SRPP,  $P_{2,L}$  and  $P_{max,L}$  values at baseline ( $0.6 \text{ L}$ )  $V_T$  were similar to SRBAS  $P_{2,L}$  and  $P_{max,L}$  values at  $0.4 \text{ L}$   $V_T$  (fig. 2c).  $V_T/\text{EELV}$  (strain) was also similar in prone and SRPP at  $0.6 \text{ L}$   $V_T$  and SRBAS at  $0.4 \text{ L}$   $V_T$  ( $0.39 \pm 0.04$ ). Consequently, if in severe ARDS, low  $V_T$ s are accepted as the “gold standard” in SRBAS [12, 25, 57], pronation may provide considerable “ $V_T$ -liberation capability” by allowing a 50% ( $3 \text{ mL} \cdot \text{kg}^{-1} \text{ PBW}$ )  $V_T$  increase, without appreciable increase in the VILI risk. Under PEEP optimisation, such  $V_T$  liberation may be allowable in SRPP for at least 2 h.



**FIGURE 4.** Partitioned respiratory mechanics. Data are presented as mean  $\pm$  sd. ■: pre-prone semirecumbent; ●: post-prone semirecumbent; ▲: prone. Symbols represent mean values and bars represent sd.  $E_{stat}$ : static elastance; cw: chest wall; DR: additional resistance; L: lung. \*:  $p < 0.05$  versus pre-prone semi-recumbent; \*\*:  $p < 0.01$  versus pre-prone semirecumbent; #:  $p < 0.05$  versus post-prone semirecumbent; †: trend towards significance versus pre-prone semirecumbent.



**TABLE 4** Haemodynamic and gas exchange variables. Gas exchange results correspond to baseline ventilation.

	Body posture		
	BAS semirecumbent	Prone	Post-prone semirecumbent
<b>Haemodynamic variables</b>			
HR beats·min <sup>-1</sup>	119±14	113±13	111±13
MAP mmHg	71±7	75±7	76±7
CVP mmHg	9±2	10±2	10±2
MPAP mmHg	27±4	28±4	28±4
PAWP mmHg	11±2	11±2	12±2
CI L·min <sup>-1</sup> ·m <sup>-2</sup>	4.3±0.6	4.4±0.7	4.6±0.10
SVRI dynes·s·cm <sup>-5</sup> ·m <sup>-2</sup>	1181±242	1218±278	1215±312
PVRI dynes·s·cm <sup>-5</sup> ·m <sup>-2</sup>	293±50	302±56	300±68
V'O <sub>2</sub> mL·min <sup>-1</sup> ·m <sup>-2</sup>	142±22	148±25	145±24
O <sub>2</sub> ER	0.38±0.03	0.35±0.02 <sup>#</sup>	0.32±0.02 <sup>#, *</sup>
LVSWI g·m <sup>-1</sup>	29.4±3.3	33.2±4.3	35.7±6.6 <sup>*</sup>
<b>Gas exchange</b>			
P <sub>a,O<sub>2</sub></sub> /F <sub>i,O<sub>2</sub></sub> mmHg	86±7	133±13 <sup>#</sup>	128±13 <sup>#</sup>
P <sub>a,CO<sub>2</sub></sub> mmHg	49.4±1.6	42.8±1.2 <sup>#</sup>	43.9±1.2 <sup>#</sup>
pHa	7.33±0.02	7.40±0.01 <sup>#</sup>	7.39±0.01 <sup>#</sup>
P <sub>v,O<sub>2</sub></sub> mmHg	36.2±1.8	41.5±1.7 <sup>#</sup>	43.2±2.1 <sup>#</sup>
S <sub>v,O<sub>2</sub></sub> %	57±2	66±2 <sup>#</sup>	69±2 <sup>#</sup>
P <sub>v,CO<sub>2</sub></sub> mmHg	55.4±1.6	48.1±1.3 <sup>#</sup>	49.4±1.3 <sup>#</sup>
pHv	7.28±0.02	7.35±0.01 <sup>#</sup>	7.34±0.01 <sup>#</sup>
Qs·Qt <sup>-1</sup>	0.36±0.03	0.24±0.03 <sup>#</sup>	0.26±0.03 <sup>#</sup>
V <sub>d</sub> ·V <sub>t</sub> <sup>-1</sup>	0.48±0.06	0.33±0.08 <sup>#</sup>	0.35±0.07 <sup>#</sup>

Data are presented as mean±SD. BAS: baseline; HR: heart rate; MAP: mean arterial pressure; CVP: central venous pressure; MPAP: mean pulmonary artery pressure; PAWP: pulmonary artery wedge pressure; CI: cardiac index; SVRI: systemic vascular resistance index; PVRI: pulmonary vascular resistance index; V'O<sub>2</sub>: oxygen consumption; O<sub>2</sub>ER: oxygen extraction ratio; LVSWI: left ventricular stroke work index; P<sub>a,O<sub>2</sub></sub>: arterial oxygen tension; F<sub>i,O<sub>2</sub></sub>: inspired oxygen fraction; P<sub>a,CO<sub>2</sub></sub>: carbon dioxide arterial tension; pHa: arterial pH; P<sub>v,O<sub>2</sub></sub>: mixed venous oxygen partial pressure; S<sub>v,O<sub>2</sub></sub>: mixed venous oxygen saturation; P<sub>v,CO<sub>2</sub></sub>: mixed venous carbon dioxide partial pressure; pHv: mixed venous pH; Qs·Qt<sup>-1</sup>: shunt fraction; V<sub>d</sub>·V<sub>t</sub><sup>-1</sup>: physiological dead space. #: p<0.01 versus SRBAS; \*: p<0.05 versus pre-prone semirecumbent (SRBAS); †: p<0.05 versus prone. 1 mmHg=0.133 kPa.

Sighs frequently improve oxygenation in ARDS [34, 48, 58]. The present authors administered 1.0-L sigh-test VTs (15.0±1.5 mL·kg<sup>-1</sup> PBW), which resulted in significantly lower PL (fig. 3) and VT/EELV in prone/SRPP. These results indicate a decreased probability of traumatic alveolar rupture, especially during frequent sigh administration (1–3·min<sup>-1</sup>) [34, 48].

**Conclusions**

Prone positioning of patients with early and severe acute respiratory distress syndrome reduces lung parenchyma stress and strain during mechanical ventilation. This suggests a reduced risk of ventilator-induced lung injury. Pronation also improves sigh safety and gas exchange efficiency. Under positive end-expiratory pressure optimisation, pronation benefits may be maintained in a post-prone semirecumbent position.

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**APPENDIX 1: INSPIRATORY MECHANICAL VARIABLES**

For the respiratory system, chest wall, and lung the following inspiratory mechanics-variables were determined: 1) maximal, interrupter, and additional resistances, computed respectively as P<sub>max</sub>-P<sub>2</sub>, P<sub>max</sub>-P<sub>1</sub>, and P<sub>1</sub>-P<sub>2</sub> differences divided by the preceding inspiratory flow; and 2) dynamic, and static elastances, computed as respective P<sub>1</sub>-PEEP<sub>tot</sub> and P<sub>2</sub>-PEEP<sub>tot</sub> differences divided by the administered V<sub>T</sub>. Lung interrupter resistance reflects “ohmic” airway resistance; lung additional resistance reflects lung tissue stress relaxation tension and time constant inequality.

**APPENDIX 2: FORMULAS USED TO DERIVE HAEMODYNAMIC AND GAS EXCHANGE VARIABLES**

Formulas used to derive haemodynamic and gas exchange variables [59, 60]

1. Cardiac index=CO/BSA
2. Systemic vascular resistance index=(MAP-CVP) × 80 × CI<sup>-1</sup>
3. Pulmonary vascular resistance index=(MPAP-PAWP) × 80 × CI<sup>-1</sup>
4. Oxygen consumption per m<sup>2</sup> BSA=CI × 1.36 × Hgb × (Sa<sub>O<sub>2</sub></sub>-SvO<sub>2</sub>)
5. Oxygen delivery per m<sup>2</sup> BSA=CI × 1.36 × Hgb × Sa<sub>O<sub>2</sub></sub>
6. Oxygen extraction ratio=(Sa<sub>O<sub>2</sub></sub>-SvO<sub>2</sub>) × Sa<sub>O<sub>2</sub></sub><sup>-1</sup>
7. SVI=CI × (heart rate)<sup>-1</sup>[61]
8. Right ventricular stroke work index=(MPAP-CVP) × SVI × 0.0136 [61]
9. Left ventricular stroke work index=(MAP-PAWP) × SVI × 0.0136 [61]
10. Respiratory Quotient=(FEY of carbohydrate intake) × 1.0+(FEY of protein intake) × 0.8+(FEY of lipid intake) × 0.7 [62]
11. Alveolar PO<sub>2</sub>=P<sub>i,O<sub>2</sub></sub>-P<sub>A,CO<sub>2</sub></sub> × [F<sub>i,O<sub>2</sub></sub>-(1-F<sub>i,O<sub>2</sub></sub>) × R<sup>-1</sup>]; P<sub>i,O<sub>2</sub></sub>=F<sub>i,O<sub>2</sub></sub> × (PB-47); P<sub>A,CO<sub>2</sub></sub>~P<sub>a,CO<sub>2</sub></sub>
12. O<sub>2</sub> content of blood=Hgb × 1.36 × SO<sub>2</sub> × 10<sup>-1</sup>+0.003 × PO<sub>2</sub>
13. Shunt fraction=(Cc<sub>O<sub>2</sub></sub>-Ca<sub>O<sub>2</sub></sub>) × (Cc<sub>O<sub>2</sub></sub>-Cv<sub>O<sub>2</sub></sub>)<sup>-1</sup>

CO: cardiac output (L·min<sup>-1</sup>); BSA: body surface area (m<sup>2</sup>); MAP: mean arterial pressure (mmHg); CVP: central venous pressure (mmHg); 80: transformation factor of Wood units (mmHg·L<sup>-1</sup>·min) to standard metric units (dynes·s·cm<sup>-5</sup>); CI: cardiac index (L·min<sup>-1</sup>·m<sup>-2</sup>); MPAP: mean pulmonary artery pressure (mmHg); PAWP: pulmonary artery wedge pressure (mmHg); 1.36: O<sub>2</sub> combining power of 1 g of haemoglobin (mL); Hgb: haemoglobin concentration in g·L<sup>-1</sup>; Sa<sub>O<sub>2</sub></sub>: arterial O<sub>2</sub> saturation; SvO<sub>2</sub>: mixed venous O<sub>2</sub> saturation; SVI: stroke volume index (mL per heart beat); 0.0136: conversion factor pressure and volume units to work units (g·m); FEY: fractional energy yield relative to total of prescribed nutritional support; P<sub>i,O<sub>2</sub></sub>: inspired O<sub>2</sub> partial pressure (mmHg); P<sub>A,CO<sub>2</sub></sub>: alveolar CO<sub>2</sub> partial pressure (mmHg); R: respiratory quotient; PB: barometric pressure (mmHg); 47: water saturated vapour pressure at 37°C (mmHg); 0.003: O<sub>2</sub> solubility coefficient at 37°C (mL·dL<sup>-1</sup>·mmHg); PO<sub>2</sub>: O<sub>2</sub> partial pressure (mmHg); SO<sub>2</sub>: oxygen

saturation;  $C_cO_2/C_aO_2/C_vO_2$ :  $O_2$  content in end-capillary/arterial/mixed-venous blood, respectively.

1 mmHg=0.133 kPa.

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