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Thomas Poulard, Damien Bachasson #, Quentin Fossé, Marie- Cécile Niérat, Jean-Yves Hogrel, et al.. Poor Correlation between Diaphragm Thickening Fraction and Transdiaphragmatic Pressure in Mechanically Ventilated Patients and Healthy Subjects. *Anesthesiology*, 2022, 136 (1), pp.162-175. 10.1097/ALN.0000000000004042 . hal-03500532

**HAL Id: hal-03500532**

**<https://hal.sorbonne-universite.fr/hal-03500532>**

Submitted on 22 Dec 2021

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# Poor correlation between diaphragm thickening fraction and transdiaphragmatic pressure in mechanically ventilated patients and healthy subjects

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**Clinical Trial number:** NCT03313141 and NCT03832231

**Prior presentations:** "Réanimation" congress, February 5<sup>th</sup> 2020, Paris, France - "Respiratory Failure and Mechanical Ventilation" congress, February 13<sup>th</sup> 2020

**Acknowledgments:** The authors thank all participants, their families, and the ICU staff for their kind support during the conduct of the study. The authors would also like to thank Dr. Philippe Aegerter for his contribution and advices regarding the statistical analysis of this work.

**Word and Element Counts:** Abstract: 280 words – Introduction: 470 words – Discussion: 1489 words – Number of Figures: 5 – Number of Tables: 2

**Abbreviated Title:** “Diaphragm ultrasound to assess diaphragm function”

**Funding:** This study was supported by the *Association Française Contre Les Myopathies* (AFM), and the *Fondation EDF* that supports the RespiMyo project at the Institute of Myology, Paris, France. The PhD fellowship of TP is funded thanks to the funds provided to the Institute of Myology by the *Fondation EDF*. QF master work was funded by 2018–2019 “*Année Recherche*”, a research grant funded by the Ile-de-France Regional Health Agency.

**Conflicts of interest:** JLG is a scientific consultant for Supersonic Imagine, Aix-en-Provence, France. MD received personal fees from Lungpacer Medical Inc., Vancouver, Canada. AD reports grants, personal fees and non-financial support from Philips, personal fees from Baxter, personal fees and non-financial support from Fisher & Paykel, grants from French Ministry of Health, personal fees from Getinge, grants, personal fees and non-financial support from Respinor, grants, personal fees and non-financial support from Lungpacer, personal fees from Lowenstein, personal fees from Gilead, outside the submitted work. The remaining authors declare no competing interest.

## Abstract

**Background.** The relationship between the diaphragm thickening fraction and the transdiaphragmatic pressure, the reference method to evaluate the diaphragm function, has not been clearly established. This study investigated the global and intra-individual relationship between the thickening fraction of the diaphragm and the transdiaphragmatic pressure. We hypothesized that the diaphragm thickening fraction would be positively and significantly correlated to the transdiaphragmatic pressure, in both healthy participants and ventilated patients.

**Methods.** Fourteen healthy individuals and 25 mechanically ventilated patients (enrolled in two previous physiological investigations) participated in the present study. The zone of apposition of the right hemidiaphragm was imaged simultaneously to transdiaphragmatic pressure recording within different breathing conditions i.e. external inspiratory threshold loading in healthy individuals and various pressure support settings in patients. A blinded offline breath-by-breath analysis synchronously computed the changes in transdiaphragmatic pressure, the diaphragm pressure-time product, and diaphragm thickening fraction. Global and intra-individual relationships between variables were assessed.

**Results.** In healthy subjects, both changes in transdiaphragmatic pressure and diaphragm pressure-time product were moderately correlated to diaphragm thickening fraction ( $R=0.40$ ,  $p<0.0001$  and  $R=0.38$ ,  $p<0.0001$ , respectively). In mechanically ventilated patients, changes in transdiaphragmatic pressure and thickening fraction were weakly correlated ( $R=0.11$ ,  $p=0.008$ ), while diaphragm pressure-time product and thickening fraction were not ( $R=0.04$ ,  $p=0.396$ ). Individually, changes in transdiaphragmatic pressure and thickening fraction were significantly correlated in 8/14 healthy subjects ( $\rho=0.30-0.85$ , all  $p<0.05$ ) and in 2/25 mechanically ventilated patients ( $\rho=0.47-0.64$ , all  $p<0.05$ ). Diaphragm pressure-time product and thickening fraction correlated in 8/14 healthy subjects ( $\rho=0.41-0.82$ , all  $p<0.02$ ) and in 2/25 mechanically ventilated patients ( $\rho=0.63-0.66$ , all  $p<0.01$ ).

**Conclusion.** Overall, diaphragm function as assessed with transdiaphragmatic pressure was weakly related to diaphragm thickening fraction. The diaphragm thickening fraction should not be used in neither healthy subjects or ventilated patients when changes in diaphragm function are evaluated.

## Introduction

The diaphragm acts as a piston within the chest, generating air flow as it descends and displaces the abdominal contents beneath and elevates the lower thorax. The pressure generated across the dome between the thoracic and abdominal cavities, the transdiaphragmatic pressure (Pdi), is proportional to the tension developed within the muscle fibers.<sup>1</sup> Pdi is commonly used as a surrogate of diaphragm function. Pdi is defined as the difference between esophageal (Pes) and gastric (Pga) pressures so that  $Pdi = Pga - Pes$ .<sup>2</sup> Measuring Pdi provides useful information in various clinical settings in which diaphragm dysfunction occurs as within the intensive care unit (ICU).<sup>3-8</sup> However, measuring Pes and Pga relies on the use of gastro-esophageal catheters (inserted through the nose or mouth of the patients), which explains that clinicians may be reluctant to use this technique. Alternatively, the diaphragm function can be non invasively explored by ultrasound. Through an intercostal approach, one can image the muscular layer of the diaphragm surrounded by two hyperechoic layers, i.e. the *pleura* and *peritoneum*, at the zone of apposition of the right hemidiaphragm.<sup>9-11</sup> One particular index derived from diaphragm ultrasound is known as the diaphragm thickening fraction (TFdi). The latter is calculated based on the change in diaphragm thickness during inspiration<sup>11</sup>, and was first used in 1989 by Wait *et al.*<sup>12</sup> Various studies reported that TFdi may guide clinicians in evaluating diaphragm function<sup>13</sup>, and in predicting the outcome of weaning in mechanically ventilated patients<sup>14-17</sup>, although the latter point is still debated.<sup>11</sup> Furthermore, several authors have suggested that TFdi may reflect the diaphragm function. Goligher *et al.*<sup>18</sup> reported the relationship between the changes in Pdi ( $\Delta Pdi$ ) and TFdi in 5 healthy subjects. Although statistically significant, the authors noted large variability in TFdi for a given  $\Delta Pdi$ . Similarly, Umbrello *et al.*<sup>19,20</sup> and Vivier *et al.*<sup>21</sup> showed that esophageal and diaphragm pressure-time product (PTPdi) were significantly related to TFdi with also large differences in PTPdi values for a given TFdi value. This variability may arise from interindividual differences in

the  $\Delta P_{di}$  –  $TF_{di}$  and  $PTP_{di}$  –  $TF_{di}$  relationships, that were not accounted for in the aforementioned studies. By contrast, Oppersma *et al.*<sup>22</sup> found no increase in  $TF_{di}$  during stepwise increase in inspiratory efforts from 0 to 50 % of maximal inspiratory pressure in healthy subjects. However, the aforementioned studies reported relationships between diaphragm function and  $TF_{di}$  based on averaged data for a given ventilation condition, thus ignoring  $\Delta P_{di}$  and  $TF_{di}$  variability within the condition of ventilation tested and its impact on the  $\Delta P_{di}$  –  $TF_{di}$  relationship. A breath-by-breath analysis may allow to better understand such relationships. Also, assessing the relationship between  $TF_{di}$  and diaphragm function at the patient level, instead of grouping patients altogether, could explain the high variability in  $TF_{di}$  observed in these previous works. In addition,  $TF_{di}$  has been reported to vary as much as 27 %.<sup>18</sup> This moderate reliability may affect the strength of its relationship with diaphragm function as assessed using  $P_{di}$ .<sup>18</sup> Taken together, these results emphasize that the relationship between diaphragm function and  $TF_{di}$  requires further investigation. Therefore, the objective of the study was to examine the within-individual relationship between  $\Delta P_{di}$  and  $TF_{di}$  in healthy subjects and mechanically ventilated patients. By performing a breath-by-breath analysis, we hypothesized that  $TF_{di}$  would be positively and significantly correlated to  $\Delta P_{di}$  and  $PTP_{di}$ .

## Material and Methods

The current study includes participants from two previously published studies<sup>23,24</sup> registered on ClinicalTrial.gov (NCT03313141 and NCT03832231) and approved by local ethics committees (ID RCB: 2015-A00949-40 and 2018-A022311-54). We used data prospectively collected during these two physiological studies that were primary designed to investigate a new ultrasound technology (transient shear wave elastography)<sup>23,24</sup>. In the present work, a post-hoc analysis of unpublished data pertaining to diaphragm thickness and thickening fraction are reported. Written informed consent was obtained from all participants or their relatives. The studies followed the STROBE guidelines for observational studies.

All participants had to be older than 18 years old at the time of inclusion. Healthy subjects were free from any disease and non smoker. Mechanically ventilated patients had been intubated and ventilated for a minimum of 24 h, and failed a first spontaneous breathing trial. They could be included if they met the following readiness-to-wean criteria<sup>25</sup>:  $\text{SaO}_2 > 90\%$  or  $\text{PaO}_2/\text{FiO}_2 \geq 150$  mmHg with a fraction of inspired oxygen ( $\text{FiO}_2$ )  $\leq 40\%$ , no or minimal vasopressor, and positive end-expiratory pressure (PEEP)  $\leq 8$  cmH<sub>2</sub>O. Patients under a legal protection measure, with known allergies to anesthetizing, pregnant, or with a contraindication to the insertion of a gastric-esophageal probe were not included.

### Flow and pressure measurements

Different apparatus were used in healthy subjects and mechanically ventilated patients. In healthy subjects, two 8-cm balloon catheters (C76080U; Marquat Génie Biomédical, Paris, France), connected separately to differential pressure transducers (DP45-32; Validyne, Northridge, CA) were used to measure  $P_{es}$  and  $P_{ga}$ . For flow measurement, healthy subjects wore a noseclip and were breathing through a mouthpiece, itself connected to a two-way valve and

pneumotachograph (3700 series, linearity range 0–160 L\*min<sup>-1</sup>; Hans Rudolph, Kansas City, MO). Flow and pressure signals were digitized (Powerlab, ADInstruments, Sydney, Australia) and recorded at a sampling frequency of 2 kHz (Labchart, ADInstruments). In mechanically ventilated patients, the flow was measured using a flow sensor (Hamilton Medical, Bonaduz, Switzerland) connected to a spirometer (ADInstruments, Bella Vista, Australia). A double-balloon feeding catheter (NutriVent<sup>TM</sup>, Mirandola, Modena, Italy), connected to differential pressure transducers (DP45-32, Validyne, Northridge, CA), allowed the recording of Pes and Pga. Flow and pressure signals were digitized (Powerlab, ADInstruments, Sydney, Australia) and recorded at a sampling frequency of 1 kHz (Labchart, ADInstruments). A dynamic occlusion test was performed to validate esophageal balloon position allowing the visualization of a corresponding negative deflection in esophageal pressure and airway pressure during inspiratory effort.<sup>26</sup> To validate gastric balloon position, an increase in gastric pressure had to be observed when gently pressing the patient's abdomen. In both setting, Pdi was continuously obtained by the online subtraction of Pes from Pga.

### **Ultrasound imaging**

In healthy subjects and patients, the zone of apposition of the right hemidiaphragm was imaged using the same linear transducer array (7-10 MHz, SL10-2, Supersonic Imagine, Aix-en-Provence, France) driven by an ultrasound scanner (Aixplorer, Supersonic Imagine). The diaphragm was imaged through the intercostal approach, with the probe placed on the 8<sup>th</sup>-10<sup>th</sup> intercostal space near the midaxillary line. A generous amount of gel was applied to the participant's skin to optimize acoustic coupling. The diaphragm was identified as a muscular layer in-between two hyperechoic lines (i.e. the *pleura* and *peritoneum*), superficial to the liver. Probe location was skin-marked as it is known to increase the reproducibility of TFdi measurement.<sup>18</sup> Ultrasound measurements were performed by a single trained-operator in healthy subjects (MD)



and mechanically ventilated patients (QF). Both operators had extensive experience in diaphragm ultrasound imaging and followed the aforementioned methodology to ensure the reliability of ultrasound recordings across participants and allow an accurate comparison of healthy subjects and mechanically ventilated patients.

## **Protocol**

All participants (healthy and patients) were in a semi-recumbent position throughout the entire protocol.

*Healthy subjects.* Healthy subjects first performed a maximal isovolumetric inspiratory effort (Müller maneuver<sup>27</sup>) to determine their maximal transdiaphragmatic pressure and maximal inspiratory pressure at functional residual capacity. Briefly, participants were asked to perform maximal inspiratory efforts using a unidirectional valve allowing expiration only. At least 5 trials were performed and trials were repeated until three reproducible (<10 % variance) trials were recorded. They then went through a randomized series of stepwise inspiratory threshold loading from 10 to 50 % of maximal inspiratory pressure, with 10 % steps. As previously described<sup>22,23</sup>, the inspiratory threshold loading was applied using an in-house developed apparatus modified from Chen *et al.*<sup>28</sup>, generating a constant negative pressure that the subjects had to overcome. Participants were instructed to exert an outward motion of the abdomen during each inspiration, as such breathing technique optimizes diaphragm recruitment.<sup>29</sup> Each loading task was repeated twice with at least six respiratory cycles per recording. Participants were receiving visual feedback of their effort to ensure they reach the desired inspiratory pressure target.

*Mechanically ventilated patients.* In mechanically ventilated patients, recordings were performed under different conditions of ventilation. Patients were ventilated under pressure support ventilation mode. Four conditions of ventilation were applied in a randomized order: (i) initial

ventilator settings predefined by the attending physician, (ii) pressure support increased by 25% with baseline PEEP, (iii) pressure support decreased by 25 % with baseline PEEP and (iv) baseline pressure support and zero end-expiratory pressure. Each breathing condition was maintained for 10 min with 30-s acquisitions performed at 3 and 9 min within the condition. Eventually, recordings were performed during spontaneous breathing, where no assistance from the ventilator was provided. During this maneuver, patients were still connected to the ventilator but pressure support and PEEP were set to 0 cmH<sub>2</sub>O. Maximal transdiaphragmatic pressure was measured during a Müller maneuver to assess maximal diaphragm function. Patients were briefly disconnected from the ventilator and attached to a one-way valve allowing expiration only. The occlusion was maintained for at least 20 seconds but not longer than 30 seconds, during which subsequent efforts of gradual intensity were recorded until a plateau in  $\Delta P_{di}$  was observed. Patients were then immediately reconnected to the ventilator. Patients were conscious and did not receive sedatives while light dose of analgesics was allowed.

### **Data analysis**

A controlling computer was used to trigger simultaneously the recording of the physiological signals (airway pressures, esophageal and gastric pressure) and ultrasound images. As a result during the offline analysis process, a given TFDi value could be directly compared to the  $\Delta P_{di}$  of the same respiratory cycle. An overview of the setup, along with the acquired physiological and ultrasound parameters as well as the calculated variables are displayed in Figure 1. Data were analyzed offline using Matlab (Mathworks, Natick, MA, USA) scripts developed in-house. The offline analysis was performed by an operator blinded to the participant's identity and condition of ventilation. As previously reported<sup>24</sup>, relying on the flow signal to demarcate respiratory cycles may mask the onset of inspiratory effort, especially in mechanically ventilated patients who need to overcome intrinsic PEEP.<sup>30,31</sup> For this reason, the operator delimited each

respiratory cycle by visually identifying the negative deflection in  $P_{es}$  associated with an increase in flow and  $P_{ga}$ .  $\Delta P_{di}$  was computed as the difference between the start of the increase in  $P_{di}$  and the positive peak value of  $P_{di}$  during inspiration.  $PTP_{di}$  per breath was computed as the area under the  $P_{di}$  curve during the neural inspiratory time.<sup>32</sup>  $PTP_{di}$  per minute was calculated as the product between  $PTP_{di}$  and respiratory rate for a given breathing condition. Maximum transdiaphragmatic pressure was calculated as the difference between  $P_{di}$  at functional residual capacity and maximal  $P_{di}$  during the Müller maneuver. For each breathing cycles, the Gilbert Index ( $\Delta P_{ga} / \Delta P_{di}$ )<sup>33</sup> was calculated in order to quantify diaphragm contribution to inspiratory effort. The higher is this index, the higher is diaphragm contribution to inspiratory effort.<sup>34</sup>

For every recording, a time-motion (M-Mode) image was generated, on top of which the onset and end of inspiration for a given cycle were plotted (Figure 1). Subsequently, an experimented operator (TP), blinded to the condition of ventilation and participant identity, manually positioned a vertical electronic caliper at the internal border of the *pleura* and *peritoneum* membranes. Diaphragm thickness at end-expiration ( $T_{di,ee}$ ) and peak inspiration ( $T_{di,pi}$ , i.e. maximal diaphragm thickness during inspiration) were defined as the distance between the internal border of the *pleura* and *peritoneum* membranes.  $TF_{di}$  was defined as the percentage change between  $T_{di,ee}$  and  $T_{di,pi}$ , such that:

$$TF_{di} (\%) = \frac{T_{di,pi} - T_{di,ee}}{T_{di,ee}} \times 100 \quad (\text{Eq. 1})$$

Recordings of mechanically ventilated patients were potentially affected by cough, body movement, interfering with  $P_{di}$  and ultrasound recordings. For this reason, the 3 cycles with the least variation in  $\Delta P_{di}$  were considered as representative of a given ventilatory condition and selected for further analysis.<sup>24</sup> Asynchronous breaths, define as a mismatch between patient's effort and the ventilator, were excluded from the analysis. In healthy subjects, cycles that were affected by cough

or poor image quality were discarded. In both populations, breathing cycles for which any data was missing or not measurable were discarded so that a complete case analysis could be performed.

### **Statistical analysis**

Descriptive statistics are expressed as median (25 to 75<sup>th</sup> percentile) unless stated otherwise. Since we used data pertaining to patients enrolled in two previous studies,<sup>23,24</sup> we estimated the sample size a posteriori. We calculated that at least 13 patients were needed to demonstrate a correlation of 0.70 between  $\Delta P_{di}$  and  $TF_{di}$ . All statistical analysis were two-tails tested. Repeated measure correlations (R, 95 % CIs) were computed to determine overall  $\Delta P_{di}$  –  $TF_{di}$  and  $PTP_{di}$  –  $TF_{di}$  relationships, using the ‘rmcorr’ R package.<sup>35</sup> This technique accounts for the inter-individual variability and the independence of repeated measures between individuals. Within-individual relationships were assessed using the non-parametric Spearman correlation coefficient ( $\rho$ ), as variables failed the Shapiro-Wilk normality test. Spearman correlation coefficients were calculated using the base R ‘cor.test’ function. A mixed effect model was run to examine the Gilbert index  $\times$   $TF_{di}$  interaction effect on  $\Delta P_{di}$  using the ‘lme4’ package in R.<sup>36</sup> If a significant interaction effect was found, repeated measure correlations were computed for breaths with a Gilbert index  $> 0.3$  and for breaths with a Gilbert index  $< 0.3$ .<sup>37</sup> Reproducibility of  $TF_{di}$ ,  $\Delta P_{di}$  and  $PTP_{di}$  was assessed through each breathing condition by calculating standard errors of measurement and intraclass correlation coefficients to report absolute and relative reliability, respectively.<sup>38</sup> Analyses were performed separately in healthy participants and patients. Analyses were performed in the computing environment R.<sup>39</sup> Significance was set at  $p < 0.05$  for all tests.

## Results

### Population

Fourteen healthy subjects and 25 mechanically ventilated patients were studied. Table 1 presents the characteristics of participants at inclusion. ICU patients had been ventilated for 4 (3 – 7) days and were receiving a pressure support level of 10 (9 – 13) cmH<sub>2</sub>O and a PEEP level of 5 (5 – 5) cmH<sub>2</sub>O. In mechanically ventilated patients, 3878 respiratory cycles were recorded and 815 were considered for the analysis (i.e. corresponding to the 3 respiratory cycles with the least variation in  $\Delta P_{di}$ ). Of those, 383 were withdrawn from the analysis because of poor image quality, cough, expiratory muscles recruitment during prior expiration or patient movement. In healthy subjects, 813 cycles were recorded and 129 were discarded because of poor image quality, body movement or lung artefact. Eventually, a total of 684 and 587 respiratory cycles were analyzed for healthy subjects and mechanically ventilated patients, respectively. Maximal transdiaphragmatic pressure was 119 (108 – 142) cmH<sub>2</sub>O in healthy subjects and 24 (15 – 35) cmH<sub>2</sub>O in mechanically ventilated patients.

### Group level relationship between TFdi and diaphragm function

TFdi,  $\Delta P_{di}$  and PTPdi at all ventilatory condition in mechanically ventilated patients are presented in Figure 2. Likewise, Figure 3 displays TFdi,  $\Delta P_{di}$  and PTPdi at all inspiratory load in healthy subjects. TFdi significantly correlated with  $\Delta P_{di}$  in healthy subjects ( $R = 0.40$ , 95 % CIs [0.34 0.47],  $p < 0.0001$ ) and in mechanically ventilated patients ( $R = 0.11$ , 95 % CIs [0.03 0.19],  $p = 0.008$ ). Regarding TFdi – PTPdi relationships, a significant relationship was found at the group level in healthy subjects ( $R = 0.38$ , 95 % CIs [0.31 0.44],  $p < 0.0001$ ) but not in mechanically ventilated patients ( $R = 0.04$ , 95 % CIs [-0.05 0.12],  $p = 0.396$ ). Group level relationships between TFdi and  $\Delta P_{di}$ , and between TFdi and PTPdi are shown in Figure 4 and 5, respectively.

### **Within individual relationships between TFdi and diaphragm function**

Individual relationship, including all data points, between TFdi and  $\Delta P_{di}$ , and between TFdi and PTPdi are presented in Figures SDC1-4. Individual correlations between TFdi and  $\Delta P_{di}$  were significant in 8 (57 %) healthy subjects ( $\rho = 0.30 - 0.85$ , all  $p < 0.05$ ) and in 2 (8 %) mechanically ventilated patients ( $\rho = 0.47 - 0.64$ , all  $p < 0.05$ ). Individual TFdi – PTPdi relationship was significant in 8 (57 %) healthy subjects ( $\rho = 0.28 - 0.84$ , all  $p < 0.05$ ) and in two (8 %) mechanically ventilated ( $\rho = 0.63 - 0.66$ , all  $p < 0.01$ ). Table 2 displays the overall results of the relationships between TFdi and  $\Delta P_{di}$  and between TFdi and PTPdi. Tables SDC1 and SDC2 present the standard error of measurement and intraclass correlation coefficients of TFdi,  $\Delta P_{di}$  and PTPdi across breathing conditions in healthy subjects and mechanically ventilated patients, respectively.

### **Diaphragmatic contribution to inspiratory work**

In healthy subjects, the mixed models did not reveal a significant interaction effect of the Gilbert index and TFdi on  $\Delta P_{di}$  ( $\beta = 0.02$ ,  $p = 0.648$ ). In patients, a significant and negative interaction effect of the Gilbert index and TFdi was found on  $\Delta P_{di}$  ( $\beta = -0.27$ ,  $p < 0.001$ ). Repeated measure correlation between  $\Delta P_{di}$  and TFdi was not significant for breaths with a Gilbert index  $> 0.3$  ( $R = 0.08$ , 95 % CIs [-0.06 0.22],  $p = 0.255$ ), but was significant for breaths with a Gilbert index  $< 0.3$  ( $R = 0.18$ , 95 % CIs [0.08 0.28],  $p < 0.001$ ).

## Discussion

This study investigated the relationship between simultaneously recorded diaphragm thickening fraction and diaphragm pressure production, both in healthy subjects and mechanically ventilated patients. Our results indicate that, at the group level, significant  $\Delta P_{di}$  – TFdi relationships exist in both populations, although being only moderate in healthy subjects and weak in mechanically ventilated patients hampering the possibility to infer pressure output from ultrasound recordings. PTPdi – TFdi relationships exist in healthy subjects only. When considering the intraindividual relationship between diaphragm thickening fraction and diaphragm function, a significant relationship was found in approximately 50 % of healthy subjects and in less than 10 % of mechanically ventilated patients.

TFdi is the magnitude of the increase in diaphragm thickness during inspiration.<sup>11</sup> Several authors showed that TFdi increased with lung volumes<sup>12,40,41</sup>, suggesting a relationship between TFdi and the intensity of diaphragm contraction. However, despite its extensive use in the ICU<sup>3,10,11</sup>, little is known on the extent to which TFdi may reflect the transdiaphragmatic pressure, that is the physiological estimate of the diaphragm function.<sup>42</sup> Very few studies reported correlation values for the TFdi –  $\Delta P_{di}$  relationship.<sup>18,22</sup> Goligher *et al.*<sup>18</sup> reported a significant TFdi –  $\Delta P_{di}$  correlation from five pooled healthy subjects. On the other hand, Oppersma *et al.*<sup>22</sup> showed no effect of stepwise increase of inspiratory load on the change in TFdi. Our results show that, at the group level, TFdi was significantly correlated to  $\Delta P_{di}$  in healthy participants. Nonetheless, one should note the moderate power of this relationship (i.e.  $R = 0.40$ ). This result confirms previous findings, that either found a weak correlation between TFdi and  $\Delta P_{di}$ <sup>18</sup>, or no correlation at all.<sup>22</sup> Also, high inter-individual variability in TFdi was found for a given  $\Delta P_{di}$  value, which may explain the moderate correlation found in healthy subjects (i.e.  $R = 0.40$ ). Although significant, the

relationship between TFdi and  $\Delta$ Pdi was very weak in mechanically ventilated patients at the group-level ( $R = 0.11$ ). Several factors may explain this finding. First, mechanically ventilated patients exhibited a much narrower range of  $\Delta$ Pdi values (0 – 40 cmH<sub>2</sub>O) as compared to healthy subjects (0 – 120 cmH<sub>2</sub>O). This may result in subtle changes in diaphragm function that TFdi may be not able to detect. Second, it cannot be ruled out that inspiratory work is redistributed across the various inspiratory muscles<sup>29</sup>, which may partially explain the high inter-individual variability of TFdi.<sup>43</sup> This point highlights that Pdi does not solely depend on diaphragm activation<sup>44</sup>, while TFdi does. Besides  $\Delta$ Pdi, PTPdi is another common index of diaphragm function. Other studies investigated the relationships between PTPdi and TFdi on pooled data at the group level. For instance, Vivier *et al.*<sup>21</sup> reported a significant PTPdi - TFdi correlation ( $\rho = 0.74$ ,  $p < 0.001$ ) in non-invasively ventilated patients. Likewise, Umbrello *et al.*<sup>19</sup> reported similar results in mechanically ventilated patients ( $r = 0.70$ ,  $p < 0.001$ ). Our findings partially support these studies as PTPdi - TFdi relationship at the group-level was significant in healthy subjects only. However, this relationship was not significant in mechanically ventilated patients. As illustrated in Figure 2, very little variation in diaphragm function were observed when varying ventilator settings in patients. This may partly explain why little to no changes were observed in TFdi from one condition of ventilation to another in this context whereas another study reported a significant change in TFdi in recently extubated patients, presumably characterized by high respiratory resistances.<sup>21</sup> Here again, the range of PTPdi being much wider in healthy subjects (3 – 279 cmH<sub>2</sub>O.s/breath) than in mechanically ventilated patients (0 – 22 cmH<sub>2</sub>O.s/breath), coupled with a possible redistribution of the inspiratory work across inspiratory muscles may partially explain why the TFdi – PTPdi relationship was not significant in patients. Also, it must be noted that, contrary to  $\Delta$ Pdi and TFdi, PTPdi is time-dependent. This means that the correlation between PTPdi and TFdi not only relies



on the level of Pdi but also on the inspiratory time. This may contribute to explain the weak correlation between the two parameters.

Group-level analyses provide a broad picture of the relationship between two variables. However, they do not account for the interindividual variability, which could partly explain the difference in  $\Delta P_{di}$  or  $PTP_{di}$  for a given  $TF_{di}$  value. For this reason, we also performed a breath-by-breath analysis of the relationship between  $TF_{di}$  and physiological indices of diaphragm function. By doing so, we were able to investigate the direct link between the change in transdiaphragmatic pressure during a respiratory cycle and the  $TF_{di}$  for the very same respiratory cycle. To the best of our knowledge, this is seemingly the first study to conduct such an analysis. We found that intra-individual  $\Delta P_{di}$  –  $TF_{di}$  relationships were significant in 8 (57 %) healthy subjects and 2 (8 %) mechanically ventilated patients. Accordingly, our findings suggest to be cautious when using  $TF_{di}$  as a surrogate of Pdi. Also, one must note that high intraindividual  $TF_{di}$  variability was observed for a given  $\Delta P_{di}$ , even in participants exhibiting a significant  $\Delta P_{di}$  -  $TF_{di}$  relationship. Beside, the slope of the relationship between  $\Delta P_{di}$  and  $TF_{di}$  greatly differed from one participant to another, even when a significant correlation was found between the two parameters. Figure SDC5 illustrates the  $\Delta P_{di}$  –  $TF_{di}$  relationship in two participants with a significant correlation, but distinct relationship slope. Likewise, seven healthy subjects and two mechanically ventilated patients presented with a significant  $PTP_{di}$  -  $TF_{di}$  relationship. Several reasons may be brought to explain these results.  $\Delta P_{di}$  is not an actual force but rather the pressure change resulting from diaphragm contraction. Indeed, as the diaphragm contracts, its caudal displacement increases  $P_{ga}$ , which acts as a reacting pressure to this caudal displacement.<sup>45</sup> In turn, different abdominal conformation would result in different gastric pressure reactions for a given diaphragm force production.<sup>44</sup> Also, and as mentioned above, intercostal and neck inspiratory muscles may be

responsible for a partial increase in the swing of Pes during inspiration, which would impact  $\Delta P_{di}$  without affecting TFdi. One may also question whether the zone imaged is representative of the whole diaphragm. Previous research showed that the zone of apposition is the region of the diaphragm displaying the highest amount of active shortening.<sup>46</sup> Nonetheless, it cannot be ruled out that the force generated by the diaphragm may not be uniform across the muscle, particularly in patients.<sup>47</sup> In such case, imaging the zone of apposition may be inadequate to monitor diaphragm function. Finally, another source of uncertainty lies in the fact that TFdi depends on the manual measurement of diaphragm thickness. Goligher *et al.*<sup>18</sup> showed that TFdi was moderately repeatable, with an intra-operator variability of 16 %. Our results suggest that TFdi across respiratory cycles recorded in a given breathing condition are moderately to highly reliable, as demonstrated with intraclass correlation coefficients ranging between 0.50 and 0.93 (Table 3 and 4). Nonetheless, standard error of measurement for TFdi varied from 9.8 to 29.1 % in healthy subjects and from 6.4 to 11.6 % in mechanically ventilated patients, supporting previous studies reporting moderate repeatability of TFdi.<sup>18</sup> Both in healthy subjects and mechanically ventilated patients, we carefully skin-marked the position of the probe to ensure consistent imaging across trials. In addition, a single operator proceeded to the measurement of TFdi as between-operator variability is higher than within-operator variability.<sup>18</sup> Taken altogether, these factors may explain why  $\Delta P_{di}$  - TFdi or PTPdi - TFdi relationships were not significant in a majority of participants.

The Gilbert index is commonly used to determine the diaphragmatic contribution to total inspiratory work.<sup>34</sup> Our mixed model analysis showed that there was a negative and significant interaction effect of the Gilbert index and TFdi on  $\Delta P_{di}$ . This means that TFdi increases less and less as the Gilbert index increases. In other words, additional diaphragmatic contribution to inspiratory effort results in smaller and smaller increases in TFdi. When stratifying our correlation

analysis between breaths with a Gilbert index  $> 0.3$  and breaths with a Gilbert index  $< 0.3$ <sup>37</sup>, we showed that the repeated measure correlation was only significant for breaths with a Gilbert index  $< 0.3$ . Three main factors can explain such findings. First, the different correlations may be simply related to the low number of breathing cycles with a Gilbert index  $> 0.3$  ( $n=221$ ) as compared to breaths with a Gilbert index  $< 0.3$  ( $n=363$ ). Second, the range of  $\Delta P_{di}$  and TFdi was substantially greater for cycles with a Gilbert index  $< 0.3$  compared to cycles with a Gilbert index  $> 0.3$  (0-40 cmH<sub>2</sub>O vs. 0-20 cmH<sub>2</sub>O for  $\Delta P_{di}$  and 0-98 % vs. 0-73 % for TFdi, respectively). Third, the low albeit significant interaction effect of the Gilbert index and TFdi on  $\Delta P_{di}$  is not powerful enough, restricting TFdi ability to detect an increase in diaphragmatic contribution to inspiratory work.

### **Strength and limitations**

This work performed a breath-by-breath analysis of the diaphragm thickening fraction and transdiaphragmatic pressure prospectively collected during two previously published studies investigating the use of transient shear wave elastography to evaluate the diaphragm function. By synchronizing ultrasound images with the physiological signals, we were able to perform a straightforward comparison of TFdi and other indices of diaphragm function such as PTPdi. Data were analyzed offline, with the operator blinded to the condition of ventilation and participant identity, using standardized scripts allowing repeatable analysis across respiratory cycles. This study has several limitations. The first limitation is inherent to TFdi measurement, which is its moderate repeatability<sup>18</sup>, although high care was taken to limit its impact on TFdi measurement. One should note that the correlation between two variables depends on the reliability of the correlated variables.<sup>48</sup> The poor relationship between TFdi and diaphragm function can therefore be related to the absence of relationship with diaphragm function, but also to the moderate reliability of its measurement. Therefore, the lower relationship between TFdi and diaphragm function in patients compared to healthy subjects may be partially attributed to the lower intraclass

correlation coefficients of TFdi in patients (Tables SDC1 and SDC2). In addition, potential bias may have influenced the measured correlations. One of them is the cycle selection in mechanically ventilated patients. Although we ensured that the selected cycles were representative of a given ventilatory condition, the observed relationships may slightly differ if different breathing cycles had been analyzed. For instance, cycle selection may have limited the range of  $\Delta P_{di}$  and TFdi measured, which would ultimately affect the relationship between these variables. Various factor may also influence the magnitude of a relationship between two variables, such as the variability of the data.<sup>49</sup> As previously stated, the range of  $\Delta P_{di}$  and PTPdi measured in patients was much narrower as compared to healthy subjects, which could partially explain why the relationships between TFdi and diaphragm function were weaker in patients. Still, these data represent what ICU clinicians are faced with, and we reason this work could clear up the importance that should be given to TFdi when used for gauging diaphragm effort. Finally, we solely imaged the right hemidiaphragm, but previous studies reported that extra-diaphragmatic inspiratory muscles, such as the parasternal intercostal muscles, also thicken during inspiration in healthy subjects<sup>50</sup> and mechanically ventilated patients.<sup>42</sup> Because some individuals naturally excessively use their accessory inspiratory muscles<sup>29</sup>, a sonographic evaluation of these accessory muscles may improve our understanding of the relationship between inspiratory muscles thickening and diaphragm function.

### **Generalization of findings**

These findings have important implications in various research and clinical settings involving routine diaphragm monitoring. Because TFdi was related to  $\Delta P_{di}$  in less than 10 % of mechanically ventilated patients, our results suggest that one should not use this ultrasound index as a surrogate of diaphragm function. One may argue that TFdi may be used for qualitative comparisons of diaphragm function within a given patient, but the large variability in TFdi for a

given  $\Delta P_{di}$  hinders this approach. Also, it could be argued that more participants could have presented with significant relationships between TFdi and diaphragm function if an increased number of breathing cycles would have been analyzed. Although this is true, one must keep in mind that beside the presence or not of a significant relationship between two parameters, its magnitude may better depicts the actual relationship between them. In the present work, the magnitude of the relationships presented was only moderate, and especially in mechanically ventilated patients. Our results highlight the fact that TFdi poorly reflects transdiaphragmatic pressure. TFdi has been extensively studied as a potential criteria for predicting weaning outcome in mechanically ventilated patients<sup>14,16,17</sup>, with cutoff TFdi values ranging from 25 to 36 % that have not been prospectively validated so far. Predicting weaning outcome based on TFdi is beyond the scope of this work, and our results do not reject any conclusion drawn from these latter works. However, the variability of TFdi for a given  $\Delta P_{di}$  across patients may partially explain the different cutoff TFdi obtained in previous work. In addition, we showed that the TFdi was poorly related to the pressure generated by the diaphragm, although other measures are available to quantify diaphragm activity, such as diaphragm electrical activity. Recent work showed that the later was significantly related to TFdi ( $R^2 = 0.62$ ).<sup>51</sup> TFdi may be more related to diaphragm electrical activity than the pressure it generates, although within-individual analysis are yet to be performed. We strongly encourage future studies to thoroughly describe respiratory cycles selection and analysis to provide readers with an exhaustive and reproducible method. We believe this may, at least partially, improve the comparison of TFdi-related results across studies. Combining TFdi with other ultrasound-based techniques such as shear wave elastography<sup>23,24</sup>, speckle tracking<sup>22,46</sup>, tissue doppler imaging<sup>52,53</sup>, or ultrafast ultrasound imaging<sup>54</sup>, may contribute to improving the non-invasive monitoring of the diaphragm function.

## **Conclusion**

Overall, diaphragm function as assessed with transdiaphragmatic pressure was weakly related to diaphragm thickening fraction. The diaphragm thickening fraction should not be used in neither healthy subjects or ventilated patients when changes in diaphragm function are evaluated.

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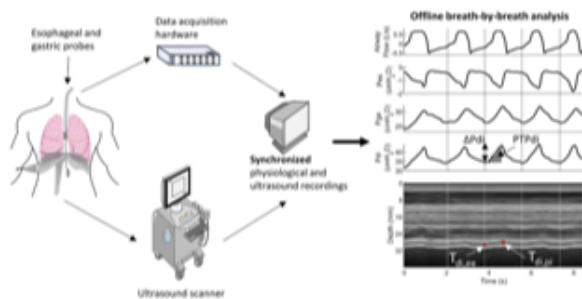
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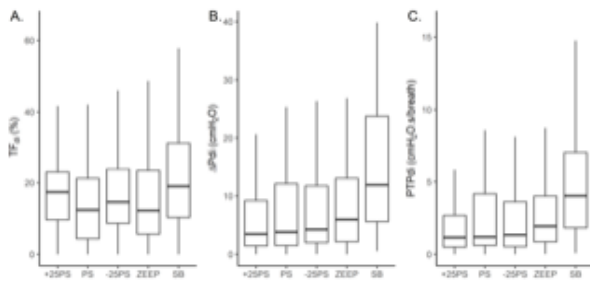
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## Figure captions

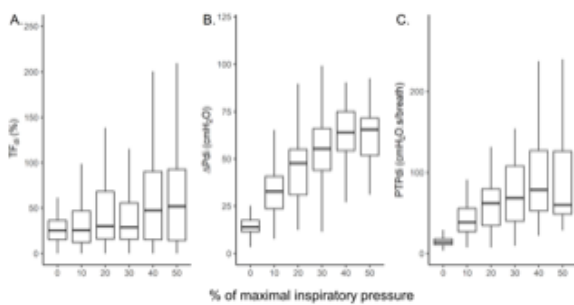
**Figure 1.** Experimental setup used to synchronize the physiological parameters with the ultrasound recordings. The physiological and ultrasound recordings were simultaneously acquired using a controlling computer triggering both recordings. All data were then saved on the controlling computer in order to perform the offline blinded analysis. Changes in transdiaphragmatic pressure ( $\Delta P_{di}$ ) were computed as the difference between the start of the increase in  $P_{di}$  and the positive peak value of  $P_{di}$  during inspiration. Transdiaphragmatic pressure time product (PTP $_{di}$ ) per breath was calculated as the area under the  $P_{di}$  curve during the neural inspiratory time. For each respiratory cycle, delimited by the vertical dotted lines, diaphragm thickness at end-expiration ( $T_{di,ee}$ ) and at peak-inspiration ( $T_{di,pi}$ ) were manually measured. TF $_{di}$  was defined as the percentage change between  $T_{di,ee}$  and  $T_{di,pi}$ .



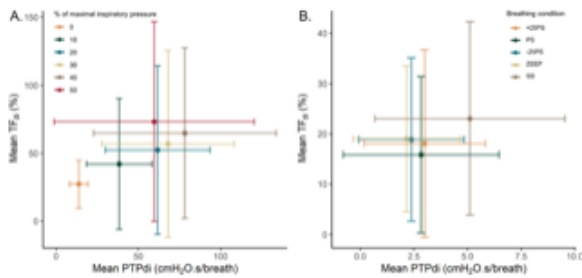
**Figure 2.** Diaphragm thickening fraction (TFdi, panel A.), changes in transdiaphragmatic pressure ( $\Delta P_{di}$ , panel B.) and diaphragm pressure-time product per breath (PTPdi, panel C.) according to the condition of ventilation in mechanically ventilated patients. Box plots display the median and interquartile range. Whiskers represent the range. PS, Initial pressure support settings; +25PS, pressure support increased by 25 %; -25PS, pressure support decreased by 25 %; ZEEP, zero end-expiratory pressure with initial pressure support. SB, spontaneous breathing.



**Figure 3.** Diaphragm thickening fraction (TFdi, panel A.), changes in transdiaphragmatic pressure ( $\Delta P_{di}$ , panel B.) and diaphragm pressure-time product per breath (PTPdi, panel C.) according to the inspiratory load in healthy subjects. Box plots display the median and interquartile range. Whiskers represent the range.



**Figure 4.** Group level relationships between diaphragm thickening fraction (TFdi) and changes in transdiaphragmatic pressure ( $\Delta P_{di}$ ) in healthy subjects (panel A.) and in mechanically ventilated patients (panel B.). Data are presented as mean  $\pm$  SD. PS, Initial pressure support settings; +25PS, pressure support increased by 25 %; -25PS, pressure support decreased by 25 %; ZEEP, zero end-expiratory pressure with initial pressure support. SB, spontaneous breathing.



**Figure 5.** Group level relationships between diaphragm thickening fraction (TFdi) and diaphragm pressure-time product (PTPdi) in healthy subjects (panel A.) and in mechanically ventilated patients (panel B.). Data are presented as mean  $\pm$  SD. PS, Initial pressure support settings; +25PS, pressure support increased by 25 %; -25PS, pressure support decreased by 25 %; ZEEP, zero end-expiratory pressure with initial pressure support. SB, spontaneous breathing.

