



**University of
Zurich**^{UZH}

**Zurich Open Repository and
Archive**

University of Zurich
University Library
Strickhofstrasse 39
CH-8057 Zurich
www.zora.uzh.ch

Year: 2018

Care in Chronic Obstructive Lung Disease (CAROL): a randomised trial in general practice

Markun, Stefan ; Rosemann, Thomas ; Dalla-Lana, Kaba ; Steurer-Stey, Claudia

DOI: <https://doi.org/10.1183/13993003.01873-2017>

Posted at the Zurich Open Repository and Archive, University of Zurich

ZORA URL: <https://doi.org/10.5167/uzh-152253>

Journal Article

Accepted Version

Originally published at:

Markun, Stefan; Rosemann, Thomas; Dalla-Lana, Kaba; Steurer-Stey, Claudia (2018). Care in Chronic Obstructive Lung Disease (CAROL): a randomised trial in general practice. *European Respiratory Journal*, 51(5):1701873.

DOI: <https://doi.org/10.1183/13993003.01873-2017>

Copyright Statement

This is an author-submitted, peer-reviewed version of an article that has been accepted for publication in the European Respiratory Journal, prior to copy-editing, formatting and typesetting. This version of the article may not be duplicated or reproduced without prior permission from the copyright owner, the European Respiratory Society. The publisher is not responsible or liable for any errors or omissions in this version of the article or in any version derived from it by any other parties. The final, copy-edited, published article, which is the version of record, is available online from the European Respiratory Journal without a subscription 18 months after the date of issue publication.

DOI

<https://doi.org/10.1183/13993003.01873-2017>

Care in Chronic Obstructive Lung Disease (CAROL): a randomised trial in general practice

Stefan Markun^{1*}; Thomas Rosemann¹; Kaba Dalla-Lana²; Claudia Steurer-Stey²

¹Institute of Primary Care, University and University Hospital of Zurich, Zürich, Switzerland

²Epidemiology, Biostatistics and Prevention Institute, University of Zurich, Zurich, Switzerland

Short title / running head

The CAROL Cluster Randomised Trial

***Corresponding author address**

Postal: Institute of Primary Care, Pestalozzistrasse 24, 8091 Zürich

Telephone: +41 (0)44 255 98 55

E-mail: stefan.markun@usz.ch

Take home message

Disease management using a care bundle increases guideline adherence in general practice care for COPD

Abstract

Background

Disease management of chronic obstructive pulmonary disease (COPD) is complex and shortcomings in general practice care for COPD are common. A care bundle is a disease management aid reminding and steering specific elements of care.

Objectives

To test whether a COPD care bundle delivered to general practitioners (GPs) and practice assistants (PAs) increases the implementation of key elements of COPD care.

Methods

Cluster-randomised clinical trial, 1:1 randomisation of GPs, one-year follow-up. The intervention introduced a COPD care bundle and aimed at enhancing collaboration between GPs and PAs. The control group continued usual care. The primary outcome measure was the composite score from nine key elements of COPD care measured at patient level.

Results

We enrolled thirty-five GPs and 216 patients with a median age of 69 years, 59% female, 69% GOLD group A or B. After one year, the between-group difference in change of the primary outcome measure was +2.2 (95% CI +1.5 to +2.9) in favour of the intervention group. The intervention was associated with significantly higher implementation rates in 7 out of 9 key elements of care.

Conclusion

Disease management using a COPD care bundle increased the implementation of key elements of COPD care in general practice.

Introduction

Chronic obstructive pulmonary disease (COPD) is of high and increasing prevalence and contributes importantly to worldwide years of life lost.[1, 2] COPD, however, is a preventable disease and modifiable risk factors and many effective interventions that reduce symptoms and improve prognosis have been identified. Guidelines amalgamate the existing evidence into practically applicable treatment recommendations.[3, 4] Nonetheless, we continue to observe shortcomings in COPD care delivered in general practice.[5–10] This is of special concern because the majority of COPD patients are treated in general practice and are in early disease stages when preventive interventions have the most potential to improve outcomes.[11–14]

Evidence-based care for COPD is complex because it is stage- and symptom-dependent and comprises multimodal interventions: Disease-assessment requires spirometry and collection of several variables (e.g. symptom severity and exacerbation history) to determine stage and treatment. Therapeutic measures with robust evidence-base (subsequently referred to as “key elements of COPD care”) comprise smoking cessation[15], influenza vaccination[16], appropriate pharmacologic therapy (also ensuring correct inhalation technique)[3, 17–21], pulmonary rehabilitation[22], sustaining physical activity[23], self-management education[24–26] and proactive, integrated disease management [27].

While some key elements of COPD care are straightforward to deliver such as influenza vaccination, others require time, knowledge, skills and inter-professional collaboration and coordination. The plethora of key elements and the individual implications of each one of them add up to a bundle of interventions that is complex to coordinate and deliver. This is critical, especially in general practice, where doctors

struggle with putting into practice the broad and continuously expanding field of general medicine and complex interventions are at risk of being left behind.

Organisational changes and structured disease management aids can facilitate implementation of complex care pathways. For COPD, such approaches have already been successfully tested in hospital medicine. So called “COPD care bundles” have been used as reminder lists summarising key elements of care to be implemented on the individual patient-level before hospital discharge. In hospital-based COPD care, care bundles succeeded in not only raising implementation rates of key elements of care but also in reducing readmission rates.[28] In primary care, COPD disease management trials are scarce. One trial aimed to increase implementation of best-practice guidelines by having home visits from specifically trained nurses who developed individualised care plans with COPD patients and which resulted in improved quality of care.[29] A trial implementing a COPD management guideline, monthly nurse and three-monthly GP visits, a patient-specific care plan and enhancing collaboration between healthcare providers resulted in reduced hospital admissions, less hospital days and increased implementation of some key-elements of care.[30] Previous trials’ intensive and multimodal interventions, however, render attribution of the identified effects to individual intervention components difficult.

The aim of this trial was to test, whether an intervention focussing on general practice teams including implementation of a COPD care bundle along with specific coaching to support organisational and behavioural changes would result in an increased implementation rate of key elements of COPD care.

Methods

Study design, setting, registration and ethics statement

We conducted a parallel group cluster randomised trial with general practices working in the Swiss canton of Zurich. The local ethics committee approved the study (ethics committee of the Canton of Zurich, reference number KEK-ZH 2013-0189), informed consent was retrieved from all participating subjects and the study was conducted according to tenets of the Declaration of Helsinki and good clinical practice guidelines. The trial has been registered at ClinicalTrials.gov (NCT01921556) and the trial's study protocol is published.[31]

Participants

Recruitment of general practitioners (GPs) started in 2013 by mass mailings and visits at GP-network meetings. We enrolled 35 GPs after a nine months GP recruitment period. We trained GPs and their practice assistants in standardised spirometry to enhance accuracy of diagnostic testing for COPD. Patient recruitment started in December 2013. A detailed report of this trial's recruitment period has been published.[12]

Eligibility criteria for GPs were a) primary care physician in the canton of Zurich and b) board certification in general medicine or internal medicine. General practitioners approached consecutive patients aged at least 45 years, with at least 10 pack-years (PY) smoking history and proposed to perform spirometry. If airflow obstruction ($FEV_1/FVC < 0.7$) was confirmed, GPs gained informed consent if available and performed formal study inclusion. Exclusion criteria for patients were: emergency consultations, insufficient German language skills to complete study

questionnaires, asthma or hay fever or estimated life expectancy of less than six months.

Data collection

Data was collected using self-administered questionnaires (see supplementary material) at patient recruitment (T0) and 12 months after the intervention (T1). General practitioners completed a questionnaire about their own demographic characteristics and working environment. We pilot-tested the patient questionnaire with six COPD patients from the targeted group and made according adjustments to improve comprehensibility. The questionnaire asked for sociodemographic data, smoking status, 12-months retrospective view on delivered key elements of care (see below) and symptoms including the COPD assessment test (CAT). GPs filled in a questionnaire that asked for anthropometric patient data including current spirometry results, 12-months retrospective COPD exacerbations and COPD driven health service utilisation as well as prescribed pulmonary drugs. Table 1 shows the measured key elements of care including the levels of measurements and the applicable patient subgroups.

1

Table 1: List of measured key elements of COPD care including subgroup applicability, outcome component and measurement level

	Key elements of COPD care	Applicable patient subgroup	Component of Outcome	Measurement level
1	Smoking cessation advice	smokers only	Primary	Patient
2	Smoking cessation intervention	smokers only	Primary	Patient
3	Influenza vaccination	all patients	Primary	Patient
4	Inhalation technique ¹⁾	all patients	Primary	Patient
5	Appropriate pharmacological treatment	all patients	Primary	GP
6	Assessment of physical activity	all patients	Primary	Patient
7	Advice for physical activity	all patients	Primary	Patient
8	Patient education	all patients	Primary	Patient
9	Assessment of exacerbation frequency	all patients	Primary	GP
10	Integration of other healthcare providers	GOLD C and D patients	Secondary	Patient
11	Referral to pulmonary rehabilitation	GOLD C and D patients	Secondary	Patient
12	Action plan for exacerbation management	GOLD C and D patients	Secondary	Patient

Table 1: Key elements of care including applicable patients and measurement level

¹⁾ Performing: explanation and demonstration and assessment of patient's inhaler technique

2

3 **Intervention**

4 We delivered the intervention after the patient recruitment period in a half-day
5 workshop with GPs and their practice assistants. The intervention aimed at
6 implementing the COPD care bundle and induce organisational and behavioural
7 changes in the general practice teams: First, we refreshed knowledge about Swiss
8 COPD guidelines[4] and distributed a pocket guide. Then, GPs and practice
9 assistants were to discuss and tailor their individual pathways of COPD care. Case
10 vignettes and role-plays were used to actively involve GPs and practice assistants
11 with tasks and responsibilities. We proposed to use the COPD care bundle as a
12 checklist to remind and tick-off the individual key elements of COPD care in individual
13 patients. We expected the care bundle's design as a checklist to increase internal
14 motivation for behavior change.[32, 33] We delivered no intervention to the "usual
15 care" control group.

16 After 6 months, we delivered a three-hour refresher workshop to the practice
17 teams again using case vignettes and role-plays after conducting a survey among
18 practice teams to inform us about their specific needs for support.

19

20 **Outcomes**

21 **Primary outcome**

22 Between-group difference in the change of implemented key elements of COPD
23 care after one year (see Table 1; composite score being the sum of all implemented
24 key elements ranging from 0 to 9 in smokers and 0 to 7 in non-smokers).

25 **Secondary outcomes**

- 26 1. Between-group difference in proportions of GOLD C or D patients who
27 received referral to pulmonary rehabilitation, a written action plan for
28 exacerbation management or coordinated care.
- 29 2. Between-group difference in symptom severity measured with the CAT
30 instrument.

31

32 **Sample size**

33 Based on available data from Switzerland[5, 8], we assumed a mean number of
34 4 (SD 2.3) implemented key elements of COPD care. We assumed a 1.5 points
35 increase to be a relevant improvement and used this difference to calculate the
36 sample size: Given a power of 90% and a significance level alpha of 5%, as well as
37 an intra-cluster correlation coefficient of 0.04, we targeted at recruiting 30 GPs each
38 recruiting eight patients, resulting in 240 patients. To allow for drop-out we set a
39 recruitment target of 35 GPs.

40

41 **Randomisation**

42 The level of randomisation was the individual GP and allocation ratio was 1:1.
43 We performed randomisation of GPs six months after initiation of patient recruitment
44 to minimise the effect of the openly labelled treatment group allocation on recruitment
45 performance. To balance groups for the considerable variation in recruiting
46 performance, we ranked GPs according to their number of recruited patients and
47 assigned random group allocation with block size of two. A researcher not involved in
48 this study produced the random sequence using the statistic program STATA. This
49 randomisation method was applied to minimise risk of imbalanced allocation counts

50 due to differences in recruiting performance. Furthermore, it balanced GPs for the
51 possible confounding effect originating from the motivation to contribute to the trial,
52 which we assumed to be associated with recruiting performance. The group
53 allocations we communicated to GPs with the instruction not to pass this information
54 to their patients. Patients, however, were aware that their GP would either continue
55 usual care or start an experimental, potentially more comprehensive COPD care.

56

57 **Statistical methods**

58 We report counts and proportions for categorical data as well as means and
59 standard deviations (SD) or medians and interquartile ranges (IQR) as appropriate.
60 For bivariate group comparisons, we used a Welch-test or a Wilcoxon rank sum test
61 for continuous data and a Chi-squared for categorical data and report p-values. The
62 primary outcome was calculated with a linear regression model. The primary
63 outcome measure at T1 was the dependent variable and, as independent variables,
64 the group allocation as well as following adjustment variables to minimise
65 confounding: count of implemented processes at T0, patient age, sex, education
66 years, COPD stage and study follow-up time (days). We report the estimated
67 between-group difference and the according 95% confidence intervals (95% CI). In a
68 separate analysis we assess for a cluster-effect by adding the cluster variable
69 (individual GPs) to the abovementioned regression model under a random effects
70 assumption. We made no adjustments for a potential contamination effect originating
71 from GPs in different study arms but located within the same group practice
72 (therefore accepting a risk of underestimating the between group-difference in the
73 trial results). To assess for selective dropout we analysed for between-group
74 differences in counts and reasons for dropout. To assess the robustness of our

75 results we carried out sensitivity analyses simulating missing data under several
76 assumptions (multiple imputation method, last observation carried forward and
77 imputing the average score of the control group). Statistical analysis we performed
78 using R version 3.2.0. (<https://www.R-project.org/>).

79

80 **Results**

81 **Study population**

82 Of the 35 GPs entering patient recruitment, 33 started recruiting and two
83 withdrew before randomisation, therefore 33 GPs were randomized (16 intervention
84 group and 17 control group). Eighteen GPs (contributing 111 patients) from
85 intervention and control group were co-located in group practices. During the one-
86 year recruitment period, GPs recruited 216 patients (90% of recruitment goal) starting
87 in December 2013. Recruitment stopped when the number of newly recruited
88 patients per month was <5. The study intervention was delivered in January 2015
89 and follow-up measures were conducted in January 2016. Patients median age was
90 69 years, 59% were female, 69% GOLD group A or B. Per chance, the intervention
91 group had less severe obstruction FEV1% (median= 70% v.s. 65%, $p=0.035$) and a
92 lower CAT summary score (median = 9 v.s. 12, $p=0.033$). Table 2 and Table 3 give
93 detailed patient and GP characteristics including study-group comparisons.

94 At T1, 161 patients completed follow-up (drop-out rate 25%) and the study
95 ended as set out in the protocol. Figure 1 depicts patient and cluster recruitment and
96 retention over the trial periods. When testing dropout counts, a significant between-
97 group difference appeared (intervention group $n=32$, control group $n=23$, $p=0.049$).
98 Active withdrawal of patients was the most common reason for discontinuation, there
99 was however, no significant between-group difference in reasons for discontinuation
100 ($p=0.165$).

101

Table 2: Characteristics of total study patient population (n=216) and comparison by group assignment

Category	Intervention group		Control group		p value
	mean, median or n	(SD), iqr or %	mean, median or n	(SD), iqr or %	
Total n	101	100%	115	100%	
Age (years)	68	63 to 75	67	60 to 73	0.260
Male	60	59.4%	68	59.1%	0.967
BMI	25.9	(5.99)	25.6	(4.63)	0.753
GOLD group A ¹⁾	68	67.3%	59	51.3%	0.101
GOLD group B	9	8.9%	13	11.3%	
GOLD group C	16	15.8%	25	21.7%	
GOLD group D	8	7.9%	18	15.7%	
FEV1 %	70	55 to 86	65	51 to 76	0.035
≥1 exacerbations in past 12 months	27	26.7%	46	40.0%	0.089
new COPD diagnosis at recruitment	37	36.6%	34	29.6%	0.270
composite score of implemented key elements of care ²⁾	4.1	(2.0)	4.6	(1.7)	0.035
CAT summary score	9	6 to 15	12	8 to 16	0.033
mMRC category 0	27	27.3%	25	22.7%	0.904
mMRC category 1	42	42.4%	48	43.6%	
mMRC category 2	23	23.2%	28	25.5%	
mMRC category 3	7	7.1%	9	8.2%	
mMRC category 4	0	0%	4	3.6%	
active smokers	56	55.4%	64	55.7%	0.976
Pack-Years	44	30 to 59	45	35 to 60	0.277
Diabetes	14	14.0%	14	12.6%	0.767
Hypertension	50	51.0%	63	55.3%	0.537
Coronary heart disease	16	16.3%	22	19.6%	0.533
Congestive heart failure	12	12.0%	9	8.0%	0.335
Depression	19	19.8%	23	20.5%	0.894
Follow-up days	410	398 to 428	440.5	410 to 481	<0.001

¹⁾ GOLD groups are classified according to the 2017 report[3]

²⁾ This T0 score comprises both patients with and without previously diagnosed COPD and is therefore not to be understood as a measure for usual care in general practice COPD care

Table 3: Characteristics of GPs randomised in the study (n=33) and comparison by group assignment

Variable	Intervention group		Control group		p value
	mean, median or n	(SD), iqr or %	mean, median or n	(SD), iqr or %	
total n	16	100%	17	100%	
age (years)	50	44 to 59	47	42 to 56	0.407
Sex (male)	13	81.2%	11	70.6%	0.438
single practice	2	12.5%	2	11.8%	1.000
group practice	14	87.5%	15	88.2%	1.000
electronic medical record	13	81.2%	13	76.5%	1.000
paper based medical record	3	18.8%	4	23.5%	1.000
practice assistants workforce- equivalents in full time jobs	2.3	1.9 to 3.4	2.7	1.8 to 4.0	0.773
estimated number of patients seen per day	25	20 to 30	25	20 to 30	0.581
patients approached	11	4 to 19	10	8 to 17	0.914
patients recruited	6	2 to 10	6	5 to 10	0.638

104 **Primary outcome**

105 After one year, the mean composite score of implemented key elements
106 changed from 4.1 to 5.1 (+1.0) in the intervention group and changed from 4.6 to 3.5
107 (-1.1) in the control group. A linear regression model adjusting for baseline
108 characteristics (Table 4) revealed a between-group difference of +2.2 (95% CI +1.5
109 to +2.9) implemented key elements in favour of the intervention group. Significantly
110 increased implementation was found in 7 out of 9 individual key elements (Figure 2).
111 We detected no significant cluster effect originating from individual GPs.

112

Table 4: Coefficients of the primary outcome's linear regression model

	Estimate	Std. Error	95% confidence interval
intervention group (ref=control group)	2.2	0.64	1.5 to 2.9
primary outcome at T0	0.4	0.38	0.2 to 0.6
Age	0.0	0.11	-0.1 to 0
sex (ref=female)	0.2	0.02	-0.5 to 0.9
10 to 12 years education years (ref=<12)	-0.5	0.36	-1.2 to 0.3
>=13 years education years (ref=<12)	0.2	0.38	-0.7 to 1.1
number of exacerbations in one year	0.0	0.46	-0.2 to 0.2
fev1 %	0.0	0.09	0 to 0
CAT summary score at T1	0.0	0.00	0 to 0.1
Follow-up time (days)	0.0	0.01	0 to 0

113

114 **Secondary outcomes**

115 In GOLD C and D patients (n=67; 31%), no significant between-group difference
116 appeared in the outcomes: integration of other healthcare providers, referral to
117 pulmonary rehabilitation, or delivery of exacerbation action plans (Figure 2).

118 After one year, the mean CAT summary score decreased from 10.7 to 9.5 (-1.2)
119 in the intervention group and increased from 12.8 to 13.9 (+1.1) in the control group.
120 Linear regression model adjusting for baseline disparities showed an estimated
121 difference in change of -1,1 (95% CI = -3.3 to +1.1, p=0.32) in the intervention group.

122 **Additional analyses**

123 Regarding intervention effects on individual key elements of COPD care, we
124 identified different patterns. Implementation of certain key elements primarily
125 increased in the intervention group (i.e. smoking cessation intervention, inhalation
126 technique, patient education), while in other key elements between-group differences
127 were primarily due to an attrition in the control group (i.e. smoking cessation advice,
128 physical activity assessment and advice). Figure 3 illustrates net differences of
129 implementation rates between T0 and T1 per studied group.

130 The intervention effect on the primary outcome was stable and remained
131 relevant in all sensitivity analyses: Multiple imputation method (imputed datasets
132 n=5): between-group difference of +1.6 (95% CI +0.8 to +2.4); last observation
133 carried forward method: +2.3 (95% CI +1.5 to +3.1), imputation of control group
134 average: +2.0 (95% CI +1.3 to +2.8).

135 To further explore the adoption of the intervention, we asked the GPs in the
136 intervention group how they implemented the COPD care bundle in the T1
137 questionnaire. In 47 (69%) patients, the GPs used the care bundle as the intended
138 checklist to complete, but in 9 (13%) as a recall list only and in 12 (18%) the care
139 bundle was not used at all. To further explore the intervention's effects on health
140 service utilisation, we assessed the 1-year frequency of planned and emergency
141 COPD-driven practice visits as well as emergency department stays and
142 hospitalisations at T1. A significant between-group difference appeared in the median
143 number of planned practice visits: intervention group median = 3 (IQR 0 to 4) versus
144 control group median = 1 (IQR 0 to 3; p=0.04) but not within the other modes of
145 health service utilisation.

146

147 **Discussion**

148 This cluster-randomised trial showed that a multifaceted intervention introducing
149 a COPD care bundle to general practice teams increased the implementation rates of
150 key elements of care compared to usual care based on patient self-report and
151 previous 12-months recall. The between-group difference in implemented key
152 elements of care was composed of an almost equal net increase in the intervention
153 group and net decrease in the control group. The intervention therefore increased
154 implementation rates of some key elements but also prevented the otherwise
155 occurring attrition of others. More than two thirds of the patients were in early disease
156 stages, significant intervention effects on disease-specific quality of life (CAT score)
157 were not observed after one year.

158 Care bundles are effective on relevant outcomes such as disease progression,
159 quality of life or exacerbation rates in hospital based COPD care.[28] In our study, we
160 detected significantly improved implementation of key elements recommended by
161 guidelines and based on robust evidence.[15–25, 27] We were unable to detect a
162 direct impact on quality of life. However, owing to early disease stages and the slowly
163 progressing natural course of the disease, a longer surveillance period may be
164 required to demonstrate effects on patient outcomes. Yet, particularly in early disease
165 stages of COPD, interventions retain the greatest potential for effects and should
166 therefore be cornerstone of care.[14, 34] In this context, it is noteworthy that we
167 found the largest effects of our intervention for measures with strong evidence for
168 improving prognosis including smoking cessation interventions, physical activity
169 promotion, patient education and influenza vaccination.

170 Complexity of care is associated with variation of care and integrated
171 standardised pathways of care are advocated to improve quality and outcomes.[35]

172 Integration of care brings potential benefits to COPD patients and initiatives aim at
173 fostering integrated care approaches in disease management for COPD.[27, 36]
174 Integrated care is, however, an umbrella term for heterogeneous components of
175 care organisation and not an unambiguously defined one-size-fits-all model.[37]
176 Interestingly, the recent and so far largest trial testing integrated care for COPD by
177 Kruis et. al. found no relevant effects on patient outcomes. This does not question
178 integrated care in general but it illustrates that little is known about the effect of the
179 individual components aligning under the term.[38] In this study, we promoted
180 horizontal integration: redesigning COPD workflows handled by GPs and practice
181 assistants and implementing a care bundle as a pragmatic, flexible and collaborative
182 disease management aid. The significant increase of planned consultations in the
183 intervention group can be interpreted as redesign towards more proactive care
184 culture in the targeted practices.[39]

185 We regard this study as a first and promising COPD care bundle
186 implementation trial in general practice. However, subsequent research in the field is
187 needed to better understand the potential of this approach. A direct integration of the
188 care bundle in electronic medical records may increase its adoption by physicians,
189 and further contribute to closing the gap in general practice health service delivery for
190 COPD patients. Furthermore, relevant outcomes should be directly measured but
191 longer surveillance periods should be required to enable this. The number of
192 patients withdrawing from the study may be related to dissatisfaction with intensified
193 healthcare delivery, possibly mediated by increasing costs and time expenditures. In
194 Switzerland, only healthcare costs exceeding a patient-dependent minimum are
195 reimbursed by statutory health insurance, therefore increased financial expenditures
196 may have indeed contributed to dissatisfaction of a minority of patients. This effect
197 may strongly vary according to financial coverage in different countries. The patient

198 experience of the intervention should be examined and the costs associated with any
199 benefits gained should be considered before conclusions about net benefits of
200 intensified disease-management can be drawn.

201

202 **Strengths and limitations of the study**

203 Some strengths and limitations must be mentioned: To our knowledge, this is
204 the first report of a COPD care bundle implementation in general practice with a
205 cluster randomised design. So far in this context the only available evidence was
206 derived from hospital care or from general practice studies with different disease
207 management interventions.[28–30] Another strength lies in the outcome assessment
208 at the patient side: patient-recalled processes of care presumably reflect the
209 successfully delivered elements of care better than the non-recalled ones. On the
210 other hand, this implies the limitation that the trial presumably underestimates the
211 actually delivered elements of care. This potential recall bias, however, does not
212 invalidate the between group difference we detected. The trial’s open label design is
213 clearly a limitation to the study. In the control group, GPs might have felt discouraged
214 knowing about their allocation to the usual care group, biasing the between group
215 difference in favour to the intervention group. Also, there is a risk for contamination
216 bias because half of the patients were treated in group practices where GPs from
217 both study arms were collocated. Contamination, however, would have biased our
218 results towards zero and therefore rather strengthens our positive findings. The
219 significantly higher drop-out rate in the intervention group is another important
220 concern: even if reasons for drop-out were similar it is still possible that a subgroup of
221 patients felt uncomfortable with intensified healthcare provided in the intervention
222 group leading to undesirable self-deprivation from medical care. Lastly, despite

223 randomisation, we found a small but statistically significant difference in disease
224 severity variables between the study groups with the intervention group being less
225 severely affected by COPD. We believe, however, that the influence on disease
226 management originating from this difference would have most likely resulted in
227 intensified treatment in the more severely ill control group – again strengthening the
228 trial’s positive finding. Ultimately, we must keep in mind that we attribute the study
229 effects to a multifaceted and therefore “impure” intervention. Besides the care bundle
230 or the team approach other factors delivered to the intervention group during the
231 workshops (mainly knowledge about the key elements of COPD care) may have
232 been important active components in the trial.

233

234 **Conclusions**

235 A disease management intervention for general practice care teams introducing
236 a COPD care bundle increased the adherence to recommended key elements of
237 care. Subsequent beneficial effects on relevant patient outcomes are plausible but
238 may require years until they become apparent given the insidious disease
239 progression and the early disease stages of COPD patients in general practice.

240 **Acknowledgements**

241 Our thanks go to practice teams who contributed to this study as well as to S.
242 Groth (study nurse) who supported the study conducting outreach telephone calls
243 and providing technical assistance. Also, we thank MSc Isaac Gravestock (Horten
244 Centre for Patient Oriented Research and Knowledge Transfer) for editing the
245 manuscript as a native English speaker.

246 **Funding**

247 This project was supported by grants from the Swiss Federal Office of Public
248 Health (BAG), the Swiss Medical Association (FMH) and the Department of
249 Health of the Canton of Zurich, further, by unrestricted grants for Chronic
250 Care and Patient Education from AstraZeneca Switzerland, Boehringer
251 Ingelheim Switzerland and Novartis Switzerland.

252 **Contributions**

253 CSS, TR and KDL conceived and designed the study; SM, CSS, and KDL
254 acquired the data; SM and CSS analysed and interpreted the data and drafted the
255 manuscript to be revised critically by TR and KDL; SM, TR, KDL and CSS approved
256 the final version to be published and agree to be accountable for all aspects of the
257 study.

258 **Competing interests**

259 The authors SM, TR and KDL declare that no competing interests exist

260 CSS received fees for participation in advisory boards organised by Boehringer
261 Ingelheim, Astra Zeneca and Novartis. CSS provided consultancy or gave talks
262 around the topic to Boehringer Ingelheim, AstraZeneca and GSKe

263 **References**

- 264 1. Wang H, Naghavi M, Allen C, Barber RM, Bhutta ZA, Carter A, Casey DC,
265 Charlson FJ, Chen AZ, Coates MM, Coggeshall M, Dandona L, Dicker DJ,
266 Erskine HE, Ferrari AJ, Fitzmaurice C, Foreman K, Forouzanfar MH, Fraser MS,
267 Fullman N, Gething PW, Goldberg EM, Graetz N, Haagsma JA, Hay SI, Huynh
268 C, Johnson CO, Kassebaum NJ, Kinfu Y, Kulikoff XR, et al. Global, regional, and
269 national life expectancy, all-cause mortality, and cause-specific mortality for 249
270 causes of death, 1980–2015: a systematic analysis for the Global Burden of
271 Disease Study 2015. *The Lancet* 2016; 388: 1459–1544.
- 272 2. Buist AS, McBurnie MA, Vollmer WM, Gillespie S, Burney P, Mannino DM,
273 Menezes AM, Sullivan SD, Lee TA, Weiss KB, Jensen RL, Marks GB, Gulsvik A,
274 Nizankowska-Mogilnicka E. International variation in the prevalence of COPD
275 (the BOLD Study): a population-based prevalence study. *Lancet* 2007; 370:
276 741–750.
- 277 3. GOLD 2017 Global Strategy for the Diagnosis, Management and Prevention of
278 COPD [Internet]. Glob. Initiat. Chronic Obstr. Lung Dis. - GOLD [cited 2017 Feb
279 2]. Available from: [http://goldcopd.org/gold-2017-global-strategy-diagnosis-
280 management-prevention-copd/](http://goldcopd.org/gold-2017-global-strategy-diagnosis-management-prevention-copd/).
- 281 4. Russi EW, Karrer W, Brutsche M, Eich C, Fitting JW, Frey M, Geiser T, Kuhn M,
282 Nicod L, Quadri F, Rochat T, Steurer-Stey C, Stolz D, Swiss Respiratory S.
283 Diagnosis and management of chronic obstructive pulmonary disease: the Swiss
284 guidelines. Official guidelines of the Swiss Respiratory Society. *Respiration*
285 2013; 85: 160–174.
- 286 5. Jochmann A, Neubauer F, Miedinger D, Schafroth S, Tamm M, Leuppi JD.
287 General practitioner’s adherence to the COPD GOLD guidelines: baseline data
288 of the Swiss COPD Cohort Study. *Swiss Med Wkly* [Internet] 2010; Available
289 from: <http://www.ncbi.nlm.nih.gov/pubmed/20407960>.
- 290 6. Salinas G, Williamson C, Kalhan R, Thomashow B, Scheckermann J, Walsh JW,
291 Abdolrasulnia M, Foster J. Barriers to adherence to chronic obstructive
292 pulmonary disease guidelines by primary care physicians. *Int. J. Chron.*
293 *Obstruct. Pulmon. Dis.* 2011; : 171.
- 294 7. Johnston KN, Young M, Grimmer-Somers KA, Antic R, Frith PA. Why are some
295 evidence-based care recommendations in chronic obstructive pulmonary
296 disease better implemented than others? Perspectives of medical practitioners.
297 *Int J Chron Obstruct Pulmon Dis* 2011; 6: 659–667.
- 298 8. Steurer-Stey C, Dallalana K, Jungi M, Rosemann T. Management of chronic
299 obstructive pulmonary disease in Swiss primary care: room for improvement.
300 *Qual Prim Care* 2012; 20: 365–373.
- 301 9. Kaufmann C, Markun S, Hasler S, Dalla Lana K, Rosemann T, Senn O, Steurer-
302 Stey C. Performance Measures in the Management of Chronic Obstructive
303 Pulmonary Disease in Primary Care – A Retrospective Analysis. *PRAXIS* 2015;
304 104: 897–907.

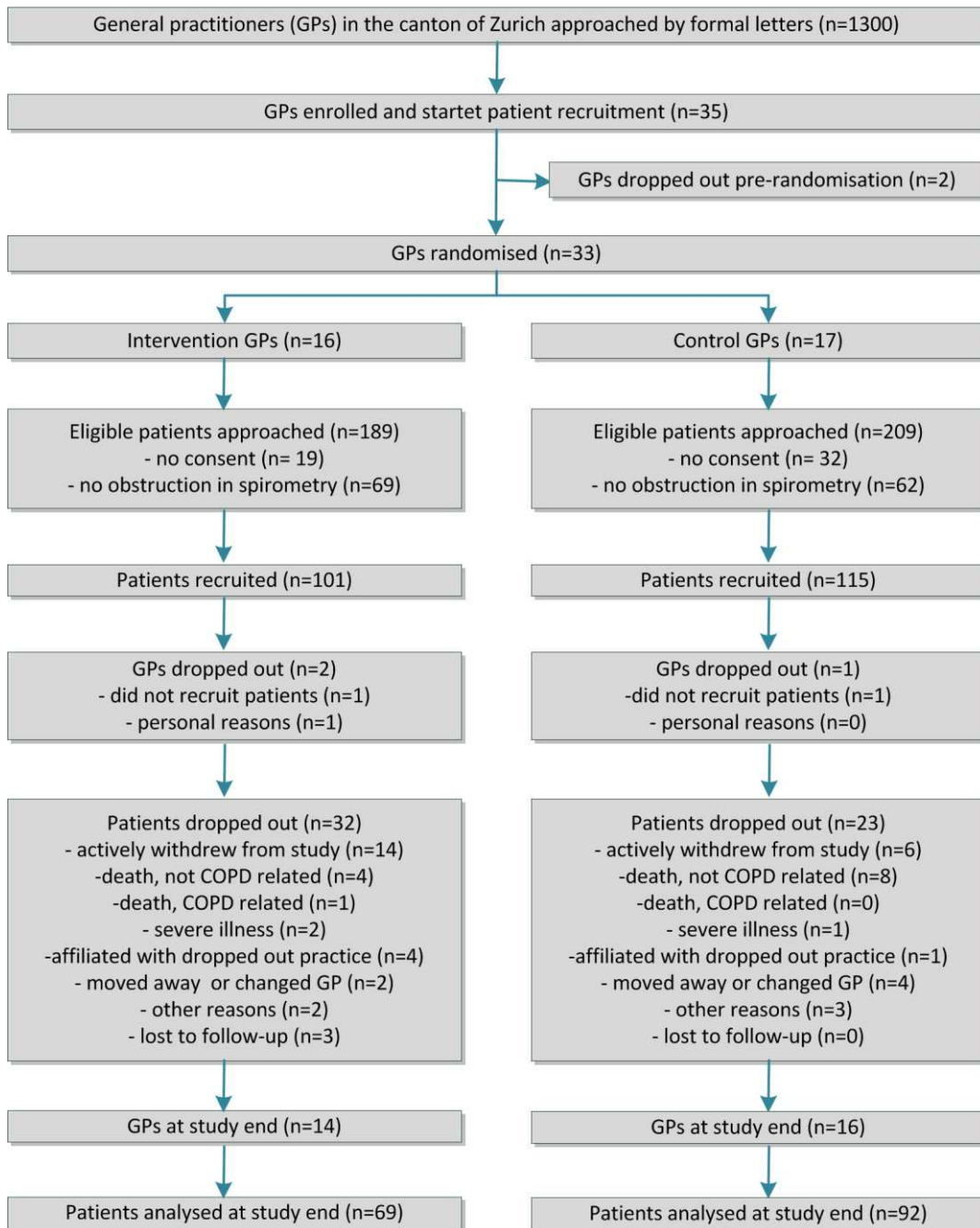
- 305 10. Belletti D, Liu J, Zacker C, Wogen J. Results of the CAPPS: COPD –
306 Assessment of Practice in Primary Care Study. *Curr. Med. Res. Opin.* 2013; 29:
307 957–966.
- 308 11. Brill SE, El-Emir E, Allinson JP, Donaldson GC, Nazareth I, Wedzicha JA.
309 Community-based recruitment of patients with COPD into clinical research.
310 *Thorax* 2014; 69: 951–952.
- 311 12. Markun S, Rosemann T, Dalla-Lana K, Steurer-Stey C. The Impact of Case
312 Finding on the Recruitment Yield for COPD Research in Primary Care: An
313 Observational Study. *Respiration* 2016; 92: 308–315.
- 314 13. Kruis AL, Ställberg B, Jones RCM, Tsiligianni IG, Lisspers K, van der Molen T,
315 Kocks JWH, Chavannes NH. Primary Care COPD Patients Compared with
316 Large Pharmaceutically-Sponsored COPD Studies: An UNLOCK Validation
317 Study. Schooling CM, editor. *PLoS ONE* 2014; 9: e90145.
- 318 14. Vasankari TM, Impivaara O, Heliövaara M, Heistaro S, Liippo K, Puukka P,
319 Saarelainen S, Kanervisto M, Jousilahti P. No increase in the prevalence of
320 COPD in two decades. *Eur. Respir. J.* 2010; 36: 766–773.
- 321 15. van Eerd EA, van der Meer RM, van Schayck OC, Kotz D. Smoking cessation
322 for people with chronic obstructive pulmonary disease. In: The Cochrane
323 Collaboration, editor. *Cochrane Database Syst. Rev.* [Internet] Chichester, UK:
324 John Wiley & Sons, Ltd; 2016 [cited 2017 Feb 3]. Available from:
325 <http://doi.wiley.com/10.1002/14651858.CD010744.pub2>.
- 326 16. Poole PJ, Chacko E, Wood-Baker RW, Cates CJ. Influenza vaccine for patients
327 with chronic obstructive pulmonary disease. *Cochrane Database Syst Rev* 2006;
328 : Cd002733.
- 329 17. Kew KM, Mavergames C, Walters JA. Long-acting beta₂-agonists for chronic
330 obstructive pulmonary disease. In: The Cochrane Collaboration, editor.
331 *Cochrane Database Syst. Rev.* [Internet] Chichester, UK: John Wiley & Sons,
332 Ltd; 2013 [cited 2017 Feb 3]. Available from:
333 <http://doi.wiley.com/10.1002/14651858.CD010177.pub2>.
- 334 18. Appleton S, Jones T, Poole P, Lasserson TJ, Adams R, Smith B, Muhammed J.
335 Ipratropium bromide versus long-acting beta-2 agonists for stable chronic
336 obstructive pulmonary disease. In: The Cochrane Collaboration, editor.
337 *Cochrane Database Syst. Rev.* [Internet] Chichester, UK: John Wiley & Sons,
338 Ltd; 2006 [cited 2017 Feb 3]. Available from:
339 <http://doi.wiley.com/10.1002/14651858.CD006101>.
- 340 19. Yang IA, Clarke MS, Sim EH, Fong KM. Inhaled corticosteroids for stable
341 chronic obstructive pulmonary disease. In: The Cochrane Collaboration, editor.
342 *Cochrane Database Syst. Rev.* [Internet] Chichester, UK: John Wiley & Sons,
343 Ltd; 2012 [cited 2017 Feb 3]. Available from:
344 <http://doi.wiley.com/10.1002/14651858.CD002991.pub3>.
- 345 20. Barr RG, Bourbeau J, Camargo Jr CA. Tiotropium for stable chronic obstructive
346 pulmonary disease. In: The Cochrane Collaboration, editor. *Cochrane Database*

- 347 *Syst. Rev.* [Internet] Chichester, UK: John Wiley & Sons, Ltd; 2005 [cited 2017
348 Feb 3]. Available from: <http://doi.wiley.com/10.1002/14651858.CD002876.pub2>.
- 349 21. Press VG, Arora VM, Shah LM, Lewis SL, Charbeneau J, Naureckas ET,
350 Krishnan JA. Teaching the Use of Respiratory Inhalers to Hospitalized Patients
351 with Asthma or COPD: a Randomized Trial. *J. Gen. Intern. Med.* 2012; 27:
352 1317–1325.
- 353 22. McCarthy B, Casey D, Devane D, Murphy K, Murphy E, Lacasse Y. Pulmonary
354 rehabilitation for chronic obstructive pulmonary disease. *Cochrane Database*
355 *Syst Rev* 2015; 2: Cd003793.
- 356 23. Paneroni M, Simonelli C, Vitacca M, Ambrosino N. Aerobic Exercise Training in
357 Very Severe Chronic Obstructive Pulmonary Disease: A Systematic Review and
358 Meta-Analysis. *Am. J. Phys. Med. Rehabil.* 2017; : 1.
- 359 24. Cannon D, Buys N, Sriram KB, Sharma S, Morris N, Sun J. The effects of
360 chronic obstructive pulmonary disease self-management interventions on
361 improvement of quality of life in COPD patients: A meta-analysis. *Respir. Med.*
362 2016; 121: 81–90.
- 363 25. Zwerink M, Brusse-Keizer M, van der Valk PD, Zielhuis GA, Monninkhof EM,
364 van der Palen J, Frith PA, Effing T. Self management for patients with chronic
365 obstructive pulmonary disease. *Cochrane Database Syst Rev* 2014; 3:
366 CD002990.
- 367 26. Mitchell KE, Johnson-Warrington V, Apps LD, Bankart J, Sewell L, Williams JE,
368 Rees K, Jolly K, Steiner M, Morgan M, Singh SJ. A self-management
369 programme for COPD: a randomised controlled trial. *Eur. Respir. J.* 2014; 44:
370 1538–1547.
- 371 27. Kruis AL, Smidt N, Assendelft WJ, Gussekloo J, Boland MR, Rutten-van Mólken
372 M, Chavannes NH. Integrated disease management interventions for patients
373 with chronic obstructive pulmonary disease. In: The Cochrane Collaboration,
374 editor. *Cochrane Database Syst. Rev.* [Internet] Chichester, UK: John Wiley &
375 Sons, Ltd; 2013 [cited 2017 Feb 3]. Available from:
376 <http://doi.wiley.com/10.1002/14651858.CD009437.pub2>.
- 377 28. Ospina MB, Mrklas K, Deuchar L, Rowe BH, Leigh R, Bhutani M, Stickland MK.
378 A systematic review of the effectiveness of discharge care bundles for patients
379 with COPD. *Thorax* 2017; 72: 31–39.
- 380 29. Zwar NA, Hermiz O, Comino E, Middleton S, Vagholkar S, Xuan W, Wilson SF,
381 Marks GB. Care of patients with a diagnosis of chronic obstructive pulmonary
382 disease: a cluster randomised controlled trial. *Med. J. Aust.* 2012; 197: 394–398.
- 383 30. Rea H, McAuley S, Stewart A, Lamont C, Roseman P, Didsbury P. A chronic
384 disease management programme can reduce days in hospital for patients with
385 chronic obstructive pulmonary disease. *Intern. Med. J.* 2004; 34: 608–614.
- 386 31. Steurer-Stey C, Markun S, Lana KD, Frei A, Held U, Wensing M, Rosemann T.
387 The improving care in chronic obstructive lung disease study: CAROL improving

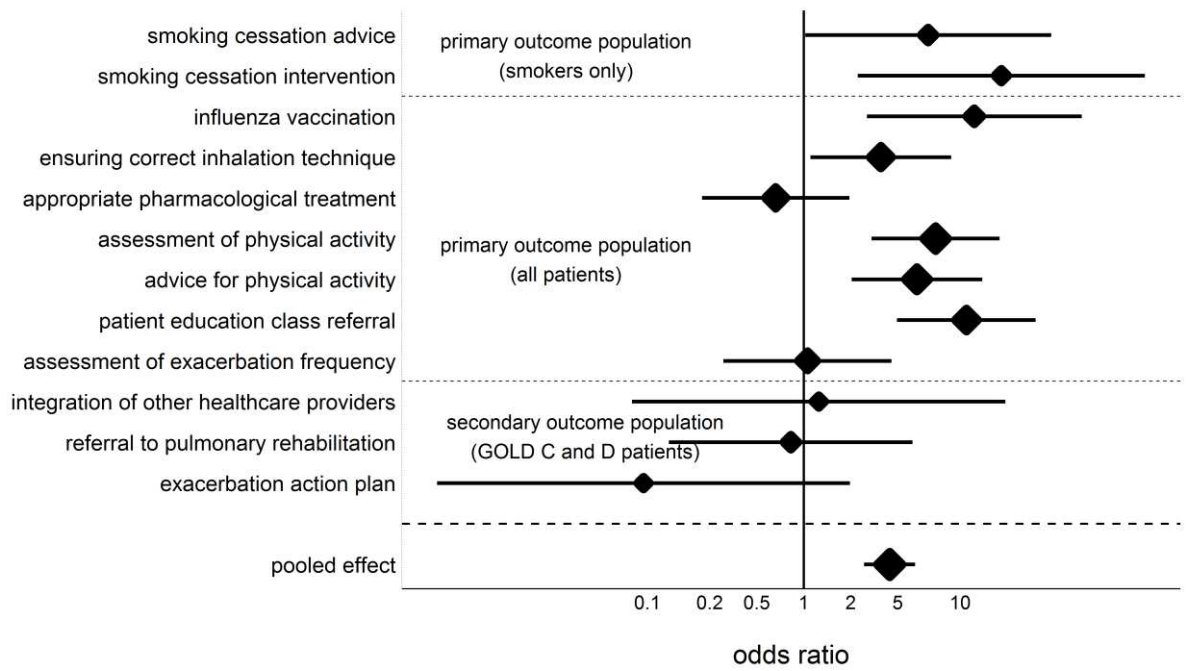
- 388 processes of care and quality of life of COPD patients in primary care: study
389 protocol for a randomized controlled trial. *Trials* 2014; 15: 96.
- 390 32. Grimshaw JM, Shirran L, Thomas R, Mowatt G, Fraser C, Bero L, Grilli R,
391 Harvey E, Oxman A, O'Brien MA. Changing provider behavior: an overview of
392 systematic reviews of interventions. *Med Care* 2001; 39: li2-45.
- 393 33. Grol R, Wensing M. What drives change? Barriers to and incentives for
394 achieving evidence-based practice. *Med J Aust* 2004; 180: S57-60.
- 395 34. Josephs L, Culliford D, Johnson M, Thomas M. Improved outcomes in ex-
396 smokers with COPD: a UK primary care observational cohort study. *Eur. Respir.*
397 *J.* 2017; 49.
- 398 35. Institute of Medicine (US) Committee on Quality of Health Care in America.
399 Crossing the Quality Chasm: A New Health System for the 21st Century
400 [Internet]. Washington (DC): National Academies Press (US); 2001 [cited 2017
401 Sep 1]. Available from: <http://www.ncbi.nlm.nih.gov/books/NBK222274/>.
- 402 36. Bousquet J, Addis A, Adcock I, Agache I, Agustí A, Alonso A, Annesi-Maesano I,
403 Anto JM, Bachert C, Baena-Cagnani CE, Bai C, Baigenzhin A, Barbara C,
404 Barnes PJ, Bateman ED, Beck L, Bedbrook A, Bel EH, Benezet O, Bennoor KS,
405 Benson M, Bernabeu-Wittel M, Bewick M, Bindeslev-Jensen C, Blain H, Blasi F,
406 Bonini M, Bonini S, Boulet LP, Bourdin A, et al. Integrated care pathways for
407 airway diseases (AIRWAYS-ICPs). *Eur. Respir. J.* 2014; 44: 304–323.
- 408 37. Suter E, Oelke ND, Adair CE, Armitage GD. Ten key principles for successful
409 health systems integration. *Healthc. Q. Tor. Ont* 2009; 13: 16.
- 410 38. Kruis AL, Boland MRS, Assendelft WJJ, Gussekloo J, Tsiachristas A, Stijnen T,
411 Blom C, Sont JK, Rutten-van Molken MPH, Chavannes NH. Effectiveness of
412 integrated disease management for primary care chronic obstructive pulmonary
413 disease patients: results of cluster randomised trial. *BMJ* 2014; 349: g5392–
414 g5392.
- 415 39. Fromer L. Implementing chronic care for COPD: planned visits, care
416 coordination, and patient empowerment for improved outcomes. *Int J Chron*
417 *Obstruct Pulmon Dis* 2011; 6: 605–614.

418

419



Intervention effects on individual key elements of COPD care



423

424

