


The FEV₁/FEV₆ predicts lung function decline in adult smokers

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Abstract The use of FEV₁/FEV₆ in place of the traditional FEV₁/FVC to detect airways obstruction during spirometry testing performed by primary care providers would reduce time and patient effort. We hypothesized that the FEV₁/FEV₆ would predict the subsequent decline in FEV₁ in adult cigarette smokers who enrolled in the multicenter Lung Health Study. Ten clinical centers in the U.S. and Canada recruited 5887 male and female smokers, aged 35–60 years, with borderline to mild airways obstruction by spirometry. Those who successfully stopped smoking during the 5-yr study (usually as the result of the smoking cessation intervention) were excluded from this analysis. In those continuing to smoke, the relative strength of spirometric predictors of the change in FEV₁ during 5 years of follow-up (DFEV₁) was determined using a linear regression model. The following covariates were significant independent predictors of DFEV₁: the baseline degree of airways obstruction, age, gender, cigarettes per day, years of education, and bronchial hyperresponsiveness. The FEV₁/FEV₆ was nearly as strong an independent predictor as was the FEV₁/FVC (a traditional index of airways obstruction). The degree of airways obstruction, as determined by the FEV₁/FEV₆ from spirometry, is an independent predictor of subsequent decline in lung function; and therefore, may be used to detect smokers at higher risk of developing COPD. © 2002 Elsevier Science Ltd

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INTRODUCTION

The availability of easy-to-use lung function tests would help in developing the case for more widespread lung function testing in both primary care and sub-specialty settings. Barriers to the more widespread use of office spirometry include the expense of the equipment, the difficulty of administering and performing the test, and the perception that there is inadequate evidence that doing the test affects patient outcomes.

Ample information presently exists that spirometry results detect the adult cigarette smokers who are likely to develop clinically significant COPD. The FEV₁ is also an excellent predictor of morbidity and mortality (1,2). Due to this large evidence base, the National Lung Health Education Program recommends that primary care providers (PCPs) use office spirometry to detect airways obstruction in all adult cigarette smokers seen in their outpatient clinics, and then to use the results to promote smoking cessation (3).

Many patients have difficulty exhaling until current 'end-of-test' standards for accurately measuring FVC

are met (4). Shortening each forced exhalation maneuver to 6 sec (resulting in the FEV₆) would reduce both patient and technician effort and fatigue, and testing time, possibly making spirometry more appealing to both primary care and subspecialty providers. A shorter maneuver duration would also make it easier for office spirometers to accurately measure low flows at the end of the maneuvers, making office spirometers less expensive.

In the subgroup of continuing smokers in the multicenter Lung Health Study (LHS), several variables were independent predictors of the subsequent fall in FEV₁ over the 5-yr follow-up, including FEV₁/FVC, age, cigarettes smoked per day, bronchodilator response, and methacholine responsiveness (5). These results provided additional evidence that the FEV₁/FVC predicts decline in lung function in adult smokers, and therefore, may be used to define 'early COPD'.

Predicted reference values and lower limits of the normal range for the FEV₆ and the FEV₁/FEV₆ from a large population-based sample were recently published (6). The FEV₁/FEV₆ was found to be an accurate and reliable alternative for the FEV₁/FVC for diagnosing airways obstruction in a large group of patients referred to a pulmonary function laboratory (7). The purpose of this analysis of LHS data is to provide further evidence

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validating the substitution of FEV₁/FEV₆ for the traditional FEV₁/FVC when detecting early COPD in adult cigarette smokers.

METHODS

Design and recruitment

The Lung Health Study was a randomized multicenter clinical trial, carried out from October 1986 to April 1994, designed to test the effectiveness of intervention—smoking cessation and bronchodilator administration—in smokers thought to be in the early stages of COPD. Detailed descriptions of the design and recruitment have been published (8,9). Entry criteria were chosen to identify otherwise healthy current smokers, aged 35–65 years, who had airways obstruction and who did not have conditions that would compromise follow-up or interpretation of lung function. For the purpose of study eligibility, airways obstruction was defined as an FEV₁/FVC of 70% or less and an FEV₁ between 55 and 90% of predicted. Candidates for the study were excluded if they reported factors that might interfere with follow-up (such as more than 25 alcoholic drinks per week), or if they regularly used physician-prescribed bronchodilators, beta-blockers, nitrates for angina, corticosteroids, or insulin. The study design was approved by the Human Studies Review Boards of each participating institution, and informed consent was obtained from all study participants.

Volunteers for the study were recruited in a variety of ways, including media publicity, mass mailings, and worksite and public screening. Exclusionary criteria were examined at the second screening visit. Current smokers who qualified then attended a third screening (S3) visit at which time a detailed history of respiratory symptoms, pre-existing diseases, smoking status was asked (and verified by salivary cotinine and exhaled carbon monoxide levels), and spirometry and methacholine challenge tests were performed (10,11). Participants were then randomized to one of three study groups: SIA, special intervention with an intensive smoking cessation program, plus a prescription for an ipratropium bromide inhaler to be taken four times per day; SIP, special intervention with an intensive smoking cessation program, and a placebo inhaler; or UC, no cessation program and no inhaled medication (usual care).

Interventions

The smoking cessation program was the same for all 10 clinical centers as previously described in detail (12). At the time of randomization, all SIA and SIP participants were interviewed by a physician who strongly recommended that they stop smoking, explaining in detail that they were at very high risk for symptomatic COPD.

Group smoking cessation sessions met 12 times in 10 weeks with an early quit day, behavior modification techniques, and aggressive replacement therapy using nicotine gum, provided at no cost (13). Those who quit entered a maintenance program aimed at preventing relapse. The SIA group were prescribed daily inhaled ipratropium bromide while the SIP group were given placebo inhalers.

Spirometry testing

Details of the pre and post-bronchodilator spirometry procedures have previously been published (10). A methacholine challenge test (MCT) was performed about 3 weeks after the baseline spirometry testing (11). During five annual follow-up examinations, spirometry was repeated and smoking status determined (self-reported and biochemically validated) (12).

Analyses

Only the subset of LHS participants who continued to smoke cigarettes during the 5-yr follow-up were analyzed for this report. The baseline to 5-yr follow-up change in FEV₁ (DFEV₁, in ml yr⁻¹) was the dependent variable in linear regression models. We determined which of several measures of baseline airways obstruction best predicted subsequent FEV₁ decline, when correcting for age, gender, cigarettes per day, years of education, treatment group, BD response, and MCT slope. Candidate obstruction variables included raw FEV₁, %predicted FEV₁, FEV₁/FVC, and FEV₁/FEV₆ (26). It was determined *a priori* that the R² of each model would be the criterion for comparing the five models. SAS version 6 (Cary, NC) was used for statistical analyses.

RESULTS

Selected baseline characteristics of the 1767 men and 1060 women who were classified as continuing smokers are shown in Table I. Male and female participants had similar average values for FEV₁ percent of predicted (75%), FEV₁/FEV₃ (76%), FEV₁/FEV₆ (69%), and FEV₁/FVC (63%). Men had significantly larger mean values for most of the other baseline variables in Table I, including the reported number of cigarettes smoked per day, pack-years of smoking, years of education, body mass index (BMI), and the absolute pulmonary function measures FEV₁, FEV₃, FEV₆, and FVC. Women were more likely to react to methacholine, while men had a slightly lower (and non-significant) mean percent response to the bronchodilator. Ninety four percent of the participants performed spirometry testing at the fifth year of follow-up.

The spirometry variables were highly correlated. The correlation coefficients were FVC vs. FEV₁ = 0.902; FVC

TABLE 1. Baseline characteristics of Lung Health Study participants who were classified as continuing smokers through 5 yrs of follow-up

Baseline Variable	Men (n=1767)			Women (n=1060)		
	Mean	SD	SE	Mean	SD	SE
Age, years	48.1	6.9	0.2	48.1	6.6	0.2
BMI, kg m ⁻²	26.1	3.7	0.1	24.1	3.9	0.1
Education, years	13.6	2.9	0.1	13.0	2.5	0.1
Cigarettes day ⁻¹	33.2	13.2	0.3	29.9	12.0	0.4
Pack-yrs	42.7	19.7	0.5	36.0	16.6	0.5
FEV ₁ , liters	2.95	0.48	0.01	2.09	0.36	0.01
FEV ₃ , liters	3.91	0.61	0.01	2.74	0.45	0.01
FEV ₆ , liters	4.31	0.65	0.02	3.02	0.48	0.01
FVC, liters	4.72	0.70	0.02	3.30	0.50	0.02
FEV ₁ /FEV ₃ , %	75.6	4.3	0.1	76.5	3.9	0.1
FEV ₁ /FEV ₆ , %	68.5	5.2	0.1	69.3	4.8	0.1
FEV ₁ /FVC, %	62.7	6.1	0.1	63.5	5.6	0.2
FEV ₁ % predicted	74.8	9.5	0.2	74.9	9.3	0.3
BD response, %	4.03	4.93	0.12	4.25	5.30	0.16
PC-20 ≤10 mg ml ⁻¹ , %ppts	45.1	49.8	1.1	73.6	44.1	1.4
MCT slope	-8.60	17.3	0.4	-16.7	26.1	0.8
Mean annual DFEV ₁ , ml yr ⁻¹	-60.6	54.0	1.3	-52.9	39.6	1.2

ppts; study participants; SD: standard deviation; SE: standard error; MCT slope: the degree of bronchial responsiveness from the baseline methacholine challenge test.

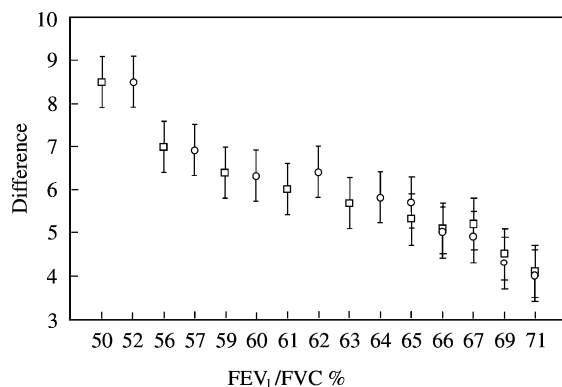


FIG. 1. The mean difference between two indices of airway obstruction, the new FEV₁/FEV₆ and the traditional FEV₁/FVC, as a function of the degree of airways obstruction, in deciles of FEV₁/FVC on the horizontal axis, for men and for women. The vertical bars approximate ± 2 standard errors. The two indices are highly correlated, but the FEV₁/FEV₆ is higher than the FEV₁/FVC (by 6–9%) in smokers with moderate airways obstruction (a ratio of 50–60%). □: Men; ○: Women.

vs. FEV₃ = 0.964; and FVC vs. FEV₆ = 0.981. On average, the FEV₆ was 112 ml smaller than the FVC. Figure 1 compares the new index of airways obstruction—the FEV₁/FEV₆—with the traditional FEV₁/FVC over the range of severity of airways obstruction. The difference between these two variables was 6–9% larger in those smokers with more severe airways obstruction.

TABLE 2. Rates of decline in FEV₁ (ml per yr) by deciles of FEV₁/FEV₆, stratified by gender

	Men (n=1767)	Women (n=1060)
FEV ₁ /FEV ₆	Mean (SD)	Mean (SD)
Lowest decile	-93.2 (71.5)	-78.2 (47.0)
2nd decile	-74.3 (57.1)	-68.3 (47.4)
3rd decile	-65.0 (55.7)	-60.0 (43.3)
4th decile	-66.1 (57.5)	-51.6 (38.0)
5th decile	-57.8 (48.6)	-56.6 (40.1)
6th decile	-51.2 (48.6)	-41.3 (31.9)
7th decile	-48.1 (44.2)	-50.5 (31.9)
8th decile	-54.9 (43.6)	-44.1 (32.1)
9th decile	-50.9 (44.9)	-40.8 (30.0)
Highest decile	-44.5 (45.4)	-37.7 (30.7)

Participants with the lowest decile of FEV₁/FEV₆ had the most severe degree of baseline airways obstruction, and the largest subsequent mean declines in lung function (indicating faster progression of COPD).

The mean declines in FEV₁ among continuing smokers were 61 ml yr⁻¹ in men and 53 ml yr⁻¹ in women. Table 2 shows the bivariate association of the degree of baseline airway obstruction (as measured by the FEV₁/FEV₆, in deciles) and the subsequent mean rates of decline in FEV₁ in men and women. Those with the most severe

degree of airways obstruction at the baseline exam (the lowest decile of FEV₁/FEV₆) lost more than twice as much lung function over the next 5 yrs when compared to those with the least baseline airways obstruction (for instance, FEV₁ fell 93.2 ml yr⁻¹ vs. 44.5 ml yr⁻¹ for men).

Table 3 shows the results of the linear regression analysis used to determine the independent predictors of the annual change in FEV₁ from baseline to Year 5, for continuing smokers. A negative coefficient for a given variable implies that an increase in that variable is associated with a faster rate of decline in FEV₁. Thus, since age has coefficient of minus 0.47, an increase of 10 yrs in age predicts 4.7 ml yr⁻¹ additional loss of FEV₁. Men had faster rates of decline than women (probably an effect of larger body size). Most of the baseline variables entered in this analysis were significant predictors of subsequent changes in FEV₁. Higher baseline values for age, baseline cigarettes per day, bronchodilator response, and greater methacholine reactivity were associated with larger rates of decline in FEV₁, while being in treatment group SIA (vs. UC) and having a higher baseline FEV₁/FEV₆ % were associated with slower rates of FEV₁ decline.

The overall R² for the regression model that included FEV₁/FEV₆ was 11.3%. This means that the model predicts about 11% of the variance in subsequent change in lung function. Unmeasured factors (perhaps genetic) account for most of the variation in lung function decline. Table 4 indicates the R² values for regression models done separately in men and women, in which one of the following baseline spirometry variables was entered: FEV₁ % predicted, FEV₁/FEV₆, or FEV₁/FVC. The 'best' models, in the sense of having the largest R², were those which included FEV₁/FVC, but the difference in R² between these models and those in which FEV₁/FEV₆ was entered was not significant. On the other hand, FEV₁ percent predicted was clearly a significantly weaker predictor of subsequent decline in FEV₁.

DISCUSSION

Our results confirm the 'horse-racing effect' first described by Fletcher *et al.* (14): the baseline degree of airways obstruction is a predictor of the subsequent worsening in airways obstruction (decline of FEV₁) in adult cigarette smokers. Burrows *et al.* found that one can reasonably predict a relatively rapid decline in lung function by finding low lung function (a low FEV₁/FVC) in male (but not female) current cigarette smokers (15). The analogy is that if you glance at horses midway through a race, those horses which are ahead probably got there by running faster during the first half of the race, and they are more likely to finish ahead of the other horses. Burrows concluded that 'there appears to be overwhelming evidence supporting the value of early detection of obstructive airways disease to allow the institution of vigorous antismoking efforts among those with early airway obstruction.'

Our results also confirm those of Fletcher's and extend them to include female smokers. Burrows' study included 141 male and 152 female smokers, with a mean of 5.4 FEV₁ measurements over 10 yrs (15), while we studied approximately 10 times as many continuing male and female smokers with six FEV₁ measurements over 5 yrs, giving us considerably more power to detect an effect in

TABLE 4. Comparison of the strength (linear model R²×100%) of various baseline (S3 visit) spirometric measures of airways obstruction in predicting mean change in FEV₁ in continuing smokers. The model includes age, cigarettes smoked per day, education level, study treatment group, BD response, and methacholine responsiveness

	Men	Women
FEV ₁ %pred	6.9	8.6
FEV ₁ /FEV ₆	10.7	14.0
FEV ₁ /FVC	11.4	14.0

TABLE 3. Linear regression model predicting mean change in FEV₁ (ml yr⁻¹) in continuing smokers over 5 yrs of follow-up

Predictor	Estimate	T Statistic	P value	SE
Gender (men vs. women)	-6.71	-3.58	0.0003	1.87
Age	-0.47	-3.64	0.0003	0.13
Cigarettes day ⁻¹ (baseline)	-0.33	-4.72	0.0001	0.07
BD response %	-0.95	-5.32	0.0001	0.18
MCTslope	0.23	5.32	0.0001	0.04
FEV ₁ /FEV ₆ % (baseline)	2.24	12.52	0.0001	0.18
Education (yrs)	-0.05	-0.15	NS	0.32
Treatment group (SIA vs. UC)	6.60	3.12	0.0018	2.12
Treatment group (SIP vs. UC)	0.12	0.06	NS	2.12

R²: 11.3%; n: 1767 men and 1060 women; NS: not significant (P > 0.05)

women as well as in men. Both studies excluded those with very low baseline FEV₁ and those with known asthma. Burrows' study also found that the FEV₁/FVC ratio was the best spirometric predictor of subsequent change in FEV₁.

Airways obstruction in smokers, in addition to predicting subsequent rapid decline in lung function, was also a strong independent predictor of morbidity and mortality from cardiovascular disease and COPD (and all-cause mortality) in several large longitudinal studies (1,2,16–18). Based on such evidence, one group of investigators suggested over 10 yrs ago that 'perhaps it is time that this test (spirometry) was more generally applied' (17).

Many factors are associated with an increase in the risk of a cigarette smoker developing COPD (objectively measured as reduced lung function). These include heredity and genetic factors (19), childhood respiratory infections (20), the age of onset, intensity, and duration of smoking (21), environmental particulate exposures (22), and the presence of airway hyper-responsiveness (11). It is difficult to accurately measure all of these factors in a given patient. The smoking history is subject to recall bias. Occupational and environmental exposures are rarely measured for a single patient, and methacholine challenge testing is time consuming and often unavailable in smaller communities. Measurement of spirometry, on the other hand, is relatively quick and easy to perform in the outpatient setting, and an objective predictor of the patient developing COPD.

Currently available diagnostic spirometers usually cost more than (U.S.) \$2000, inhibiting their widespread purchase by primary care physicians (PCPs). One of the factors keeping the cost high is the need for relatively expensive flow sensors to measure the very low flows that occur towards the end of FVC maneuvers. Forced expiratory maneuvers in patients with airway obstruction often last for 10–20 sec before a plateau is reached (23) in order to meet current ATS spirometry specifications for an acceptable end-of-test (25). This makes the spirometry test session more difficult for the patient and the technician, and more time-consuming, further inhibiting its widespread use by PCPs for detecting COPD in adult smokers. Shorter duration maneuvers make spirometry easier and faster. The use of the FEV₆ instead of the FVC for the detection of airflow limitation allows all the maneuvers to be shortened to only 6 sec. This study demonstrates that the use of the FEV₁/FEV₆ is a good substitute for the FEV₁/FVC when screening smokers for the presence of airways obstruction and predicting an abnormal rate of decline in lung function (which would eventually become clinical COPD).

In order to use the FEV₁/FEV₆ ratio to detect airways obstruction in middle-aged smokers, and minimize the false positive and false negative rates, the results from a given patient must be compared to an age, gender, and

race adjusted predicted value (and lower limit of the normal range) for the FEV₁/FEV₆ (25). Studies providing spirometry reference equations which are currently used in North America have not published predicted values for the FEV₁/FEV₆. However, recently published spirometry reference equations from the third National Health and Nutrition Examination Survey (NHANES III), a sample of the general United States population, includes FEV₁/FEV₆ reference equations for both men and women aged 8–80, and three major race/ethnic groups (6). The lower limit of the normal range for the FEV₁/FEV₆ for 40–60-year-old smokers is about 73% (range 70–76%). The exact value depends on age, gender, and race. When spirometer manufacturers change the prediction equations and automated interpretations to utilize the FEV₁/FEV₆, most clinicians will probably not notice because these internal functions are like a 'black box'.

Characteristics of our study may affect generalization of our results to all patients seen in the outpatient practices of PCPs. We used spirometry technicians who were highly trained and motivated to obtain maximal and reproducible results, which may not be the case in some primary care settings. We used very accurate diagnostic-quality volume-sensing spirometers with customized automated maneuver quality checks, and flow–volume curves were superimposed on a large computer monitor. These features may not be available in lower cost office spirometers. Our cohort consisted largely of middle-class, middle-aged Caucasian smokers, in contrast to the majority of patients seen in many inner-city clinics. Nevertheless, manufacturers are developing relatively low cost, yet accurate office spirometers, with automated quality checks, which incorporate the new FEV₁/FEV₆ reference equations. These new instruments should then allow primary care providers to easily detect mild airways obstruction in cigarette smokers, with acceptable positive and negative predictive power, in order to determine their risk of developing COPD.

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