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Article:

Pompili, C orcid.org/0000-0001-6746-5441, Falcoz, PE, Salati, M et al. (2 more authors) (2017) A risk score to predict the incidence of prolonged air leak after video-assisted thoracoscopic lobectomy: An analysis from the European Society of Thoracic Surgeons database. *Journal of Thoracic and Cardiovascular Surgery*, 153 (4). pp. 957-965. ISSN 0022-5223

<https://doi.org/10.1016/j.jtcvs.2016.11.064>

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1 **TITLE: A Risk Score To Predict the Incidence of Prolonged Air Leak after**
2 **Video-Assisted Thoracoscopic Lobectomy: An Analysis from the**
3 **European Society of Thoracic Surgeons Database.**

4

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17 **Funding:** This study represents an investigator sponsored study, which was
18 supported by a grant from C.R. Bard, Inc. The funder had no role in the data
19 analysis, interpretation of the data or preparation, review or approval of the
20 manuscript.

21

22 **Disclosures:** Authors have no financial conflict of interest to disclose

23 **Manuscript word count: 3,847**

24 **GLOSSARY OF ABBREVIATIONS**

25 PAL: prolonged air leak

26 ESTS: European Society of Thoracic Surgeons

27 VATS: Videoassisted thoracoscopic surgery

28 FEV1: forced expiratory volume in 1 second

29 STS: Society of Thoracic Surgeons

30 BMI: body mass index

31 ECOG: Eastern Cooperative Oncology Group score

32 CAD: coronary artery disease

33 DLCO: carbon monoxide lung diffusion capacity

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43 **ABSTRACT**

44 **Objective:** To develop an aggregate risk score for predicting the occurrence
45 of prolonged air leak (PAL) after videoassisted thoracoscopic (VATS)
46 lobectomy from patients registered in the European Society of Thoracic
47 Surgeons (ESTS) database.

48 **Methods:** Five thousands and sixty-nine patients submitted to VATS
49 lobectomy (July 2007-August 2015) were analyzed.

50 Exclusion criteria: sublobar resections or pneumonectomies, lung resection
51 associated with chest wall or diaphragm resections, sleeve resections, need
52 for postoperative assisted mechanical ventilation.

53 PAL was defined as an air leak longer than 5 days. Several baseline and
54 surgical variables were tested for a possible association with PAL using
55 univariable and logistic regression analyses, determined by bootstrap
56 resampling. Predictors were proportionally weighed according to their
57 regression estimates (assigning 1 point to the smallest coefficient).

58 **Results:** PAL was observed in 504 patients (9.9%). Three variables were
59 found associated with PAL after logistic regression: male
60 gender($p<0.0001$,score=1),FEV1<80%($p<0.0001$,score=1),body mass
61 index<18.5kg/m² ($p<0.0001$,score=2).

62 The aggregate PAL risk score was calculated for each patient by summing the
63 individual scores assigned to each variable (range 0-4). Patients were then
64 grouped into 4 classes with an incremental risk of PAL ($p<0.0001$): class A
65 (score 0 points,1,493 patients) 6.3% with PAL, class B (score 1 point,2,240

66 patients) 10% with PAL, class C (score 2 points,1,219 patients) 13% with
67 PAL, class D (score>2 points,117 patients) 25% with PAL.

68 **Conclusions:** An aggregate risk-score was created to stratify the incidence of
69 PAL after VATS lobectomy. The score can be used for patient counseling and
70 to identify those patients who can benefit from additional intraoperative
71 preventative measures.

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73 **Abstract Word Count: 250**

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86 **Perspective Statement**

87 An aggregate risk score for prolonged air leak specific for VATS lobectomy
88 has been developed. This score can be used to identify high-risk patients who
89 may benefit of intraoperative preventative measures (sealants, buttressing
90 material etc.) aimed at reducing the occurrence of this complication with a
91 potential clinical and financial benefit.

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106 **Central Message**

107 The risk score predicting prolonged air leak after VATS lobectomy can be
108 used to implement preventative measures and for patient informed
109 counseling.

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125 **Introduction**

126 Previous papers have tried to identify risk factors for prolonged air leak (PAL)
127 after lung surgery¹⁻³, however, there is no risk score for patients operated on
128 through video-assisted thoracoscopic surgery (VATS). Reliable information
129 about the risk of these patients developing PAL after lung resection would
130 help to inform the need for intraoperative preventative measures, such as
131 pleural tenting, surgical sealants, etc. to minimize the occurrence of this
132 complication. Also, this information can help set realistic expectations about
133 the duration of chest tubes and hospital stay, which remains a main driver in
134 patient satisfaction after minimally invasive operation.

135 Furthermore, the use of minimally invasive approaches has expanded the
136 inclusion criteria for lung resection, with an increasing proportion of patients
137 with poor lung function and advanced age being operated⁴⁻⁸. The change in
138 the case mix of surgical candidates traditionally submitted to thoracotomy
139 warrants the development of a risk model.

140 Although video-assisted thoracoscopic lung resection is associated with a
141 lower incidence of complications compared with thoracotomy⁹, the frequency
142 of PAL appears similar in the two groups of patients, as shown in the two
143 recent case matched analyses from the European Society of Thoracic
144 Surgeons¹⁰ (ESTS) and the Society of Thoracic Surgeons¹¹ (STS) general
145 thoracic surgery databases.

146 The objective of this study was to develop an aggregate risk score for
147 predicting the occurrence of PAL after VATS lobectomy from a large cohort of
148 patients registered in the ESTS database.

149 **Methods**

150 **Data Source**

151 The features and scope of the ESTS Database have been described
152 elsewhere^{10,12}. Briefly, the ESTS database is an online voluntary general
153 thoracic surgery database, free and publicly available to all ESTS members.

154 The ESTS database is compliant with the International data protection
155 assurance regulation. No Ethical Committee review is required to submit data
156 to the database. Data can be inputted into the database online by individual
157 surgeons or data managers or institutional dataset can be imported annually
158 through an automated procedure involving variable matching.

159 The database was started in 2007 and currently collects data and information
160 from more than 200 European hospitals.

161 All variables and outcomes in the database have been standardized and
162 defined a priori. Definitions of variables are reported in the joint STS-ESTS
163 paper on standardization of definition of variables in the respective
164 registries¹².

165 The ESTS database is not systematically audited and only samples of data
166 from participating centers eligible for the Institutional Accreditation Program
167 are subject to audit. These represent only 10% of all centers participating to
168 the database.

169 **Study Cohort**

170 This is a retrospective analysis performed on 5,069 VATS lobectomies (99
171 bilobectomies and 4970 lobectomies) registered in the ESTS database from

172 July 2007 to August 2015. With the aim to eliminate a learning curve effect,
173 only patients operated on in units contributing more than 20 VATS
174 lobectomies were used for this analysis (these represented 90% of the total
175 VATS lobectomies in the ESTS database). The number of VATS lobectomies
176 registered from each center varied from 21 to 360 (19 centers contributed
177 more than 100 patients). They represent 13% of all lobectomies registered in
178 the ESTS database during the same period (38,672 lobectomies in total). The
179 ESTS database does not collect information about the modality of VATS
180 approach (i.e. number of ports, anterior or posterior approach, fissureless
181 technique etc.) nor the occurrence of conversion to thoracotomy.
182 Furthermore, it does not distinguish between video-assisted and robotic-
183 assisted procedures. A more specific portion of the database dedicated to
184 minimally invasive lung resection has been only recently implemented to
185 overcome these limitations.

186 For the purpose of this investigation, patients submitted to anatomic or non-
187 anatomic sub-lobar resections or pneumonectomies were excluded from the
188 analysis. Similarly, patients submitted to VATS lobectomies and additional
189 extended procedures such as chest wall or diaphragm resections (31
190 patients), sleeve resections (25 patients) or needing postoperative mechanical
191 ventilation (34 patients) were not included in the analysis, as these
192 characteristics were thought to influence the occurrence and duration of air
193 leak or to alter the pulmonary mechanics. Additionally, forty nine patients died
194 in hospital or within 30 days from operation (30 days mortality rate 1%) and
195 were excluded from the analysis.

196 **Data Collection and Statistical Model**

197 According to the definition in the database, prolonged air leak (PAL) was
198 defined as an air leak longer than 5 days¹². PAL represents the main endpoint
199 of this analysis. The ESTS database does not collect at the moment the
200 duration of air leak expressed as continuous numeric variable.

201 The following baseline and surgical variables were screened for a possible
202 association with PAL: age, sex, forced expiratory volume in one second
203 (FEV1%) expressed in percentage of predicted value, body mass index (BMI),
204 Eastern Cooperative Oncology Group score (ECOG), diabetes, presence of
205 coronary artery disease (CAD), neoadjuvant chemotherapy, side and site of
206 lobectomy.

207 For the purpose of this analysis, cardiopulmonary complications were
208 considered those occurring during the hospital stay or within 30 days from
209 operation and included the followings: respiratory failure requiring mechanical
210 ventilation for longer than 24 hours, pneumonia, atelectasis requiring
211 bronchoscopy, pulmonary embolism, pulmonary edema, adult respiratory
212 distress syndrome, acute myocardial infarction, atrial fibrillation requiring
213 medical or electrical cardioversion, cardiac failure, stroke.

214 Missing data were imputed by averaging the non-missing numeric values, or
215 choosing the most frequent value in the categorical variables. All variables
216 used for this analysis had less than 10% missing data. Carbon monoxide
217 lung diffusion capacity was present in only 30% of patients and could not be
218 used for constructing the model.

219 The normal distribution of numeric variables was first assessed by the Shapiro
220 Wilk normality test.

221 In order to develop a risk score for PAL, an initial screening of variables was
222 performed before applying stepwise logistic regression. The variables were
223 screened by univariable analysis and only those with a $p < 0.05$ were used as
224 independent predictors in the logistic regression model (dependent variable:
225 PAL).

226 Normally distributed variables were compared across groups using the
227 Student's t-test while those without normal distribution were tested by the
228 Mann-Whitney test. Categorical variables were tested by the Chi-square test.

229 For the purpose of developing the aggregate score, a threshold effect was
230 determined using Receiver Operating Characteristic (ROC) curves for those
231 numeric variables to be included in the logistic regression. The logistic
232 regression was validated by bootstrap analysis. Only predictors with a $p < 0.05$
233 in more than 50% of 1,000 bootstrap samples with the same number of
234 observations as the original dataset were retained in the final model¹³⁻¹⁵.

235 Bootstrap is a technique of resampling with replacement through which new
236 samples (1000 in our analysis) of patients are generated by randomly
237 selecting individuals from the original database.

238 At each step of the simulation every individual from the original database is
239 again eligible to be selected, irrespective of whether he has already been
240 sampled. Therefore, in each bootstrap sample some of the original individuals
241 may not be represented and others may be represented more than once. We
242 have previously shown that the use of the entire dataset to develop the risk
243 model and the application of bootstrap for its internal validation was superior
244 to the traditional training and testing method of randomly splitting the

245 database in a development and validation set¹⁵. When applied to an external
246 population the model developed using the entire database and validated by
247 bootstrap performed better than several models obtained by the training and
248 testing methods¹⁵. For this reason we chose to use the former approach in
249 this analysis.

250 The significant variables were used to construct an aggregate model
251 according to the methodology described in previous studies^{16,17}. A score was
252 assigned to each variable in the final model by proportionally weighting the
253 regression coefficients and assigning 1 point to the smallest one (i.e. if the
254 smallest coefficient is 1.5 and another variable has a coefficient of 3, 1 point is
255 assigned to the first variable with smallest coefficient and 2 points to the other
256 variable). A total score was then generated for each patient by summing the
257 individual points assigned to each variable. The patients were finally grouped
258 in risk classes according to their total scores and similar incidence of PAL
259 within the group.

260 The risk score was then applied to a sample of 2,454 VATS lobectomy
261 patients registered in the ESTS database from August 2015 until June 2016
262 with the aim to validate it in a population not used for its development.

263 All tests were performed using Stata 12.0 statistical software (Stata Corp.,
264 College Station, TX, USA).

265 **Results**

266 The characteristics of the patients included in this study are shown in table 1.

267 PAL was observed in 504 patients (9.9%). Patients with PAL also experienced
268 a higher rate of cardiopulmonary complications compared to those without

269 PAL (12% vs. 8.5%, $p=0.02$). In patients with no other complications the
270 presence of PAL prolonged the postoperative hospital stay by 5 days
271 compared to those without PAL (11.3 days vs. 6.2 days, $p<0.0001$).

272 The results of the univariable analysis to test the association of several
273 variables with PAL are shown in table 1.

274 In particular, patients with PAL after VATS lobectomy had lower FEV1
275 ($p<0.0001$), lower BMI ($p<0.0001$) and were more frequently males
276 ($p<0.0001$).

277 For the purpose of this study, the numeric variables FEV1 and BMI were
278 categorized by using ROC analysis and selecting the best cutoff associated
279 with PAL. The best cutoff values were 80% for FEV1 and 18.5 kg/m² for BMI,
280 respectively.

281 As a consequence, the variables used as independent predictors in the
282 logistic regression analysis were FEV1<80% predicted value, BMI<18.5 kg/m²
283 and male sex.

284 Two thousands and one hundred-thirty seven patients in this sample (35% of
285 total) had a FEV1 lower than 80%. Their PAL incidence was 12%, while PAL
286 occurrence in those with higher FEV1 was 7%. PAL incidence in patients with
287 FEV1<70%, 60% and 50% were 13%, 14% and 17%, respectively.

288 One hundred and eighty patients (3.6% of the total) had a BMI lower than
289 18.5 kg/m². The PAL incidence in this group was 21%. The PAL incidences in
290 patients with BMI between 18.5 and 25 kg/m² or greater than 25 kg/m² were
291 11.3% and 8.3%, respectively.

292 All three variables were found to be associated with PAL after logistic
293 regression analysis (table 2).

294 The variables were proportionally scored according to their regression
295 coefficients as follows: male sex, score=1; FEV1<80% score=1; body mass
296 index<18.5kg/m² score=2 (table 3).

297 A PAL score was calculated for each patient by summing the individual scores
298 assigned to each variable and ranged from 0 to 4.

299 According to their scores, patients were grouped into 4 classes with an
300 incremental risk of PAL (Chi square test, p<0.0001): class A (score 0 point,
301 1,493 patients) 6.3%, class B (score 1 point, 2,240 patients) 9.9%, class C
302 (score 2 points, 1,219 patients) 13%, class D (score>2 points, 117 patients)
303 25% (Figure 1). Table 3 shows the distribution of patients with the three
304 factors associated with PAL within each class of risk.

305 As expected, patients in the higher risk classes had longer postoperative
306 hospital stays (includes all patients in the analysis) (class A 6.4 days, class B
307 7.1 days, class C 8.4 days, class D 9.5 days; Kruskal-Wallis test, p=0.0001).

308 Dunn's pairwise comparison (with Bonferroni adjustment for multiple
309 comparisons) of postoperative stay between risk groups, showed that all
310 differences between groups had p values lower than 0.0001 except for the
311 difference between group C and D, which had a p value of 0.02.

312 Bootstrap analysis showed that patients in classes A (lowest risk class) and D
313 (highest risk class) had a PAL incidence less than 7% in 86% of samples and
314 greater than 20% in 87% of samples, respectively.

315 Finally, the score was applied to an independent sample of 2,454 VATS
316 lobectomy patients registered in the ESTS database following the completion
317 of the analysis (from August 2015 to June 2016). In this group of patients not
318 used to develop the model, the different classes of risk showed an
319 incremental incidence of PAL ($p=0.001$): class A (score 0 point, 440 patients)
320 7%, class B (score 1 point, 1,071 patients) 8.8%, class C (score 2 points, 869
321 patients) 12.1%, class D (score >2 points, 74 patients) 17.5% (Figure 1).

322 When the logistic model was applied to the validation set, the classification
323 accuracy for a predicted probability of PAL equal or greater than 13%
324 (corresponding to the incidence of PAL in class C of the derivation set) was
325 88%.

326 **Discussion**

327 **Background and objective**

328 The application of VATS has been shown to reduce the incidence of morbidity
329 rates particularly in high risk patients^{4-8,10} allowing for expansion of operability
330 criteria in patients with early stage lung cancer¹⁸. The different case mix and
331 some VATS-related technical modifications during the lobectomy procedure
332 (i.e. different approach to the fissures, more extensive use of blunt dissection
333 of hilar structures, more liberal use of endostaplers, etc.) may have an impact
334 on the occurrence of PAL.

335 Hence there is a need to develop a specific risk model for this VATS cohort of
336 patients, with the aim of selecting those at higher risk for PAL as potential
337 candidates for the application of intraoperative preventative measures.

338 The aim of this study was to develop an aggregate risk score for predicting
339 the occurrence of PAL after VATS lobectomy based on the patients registered
340 in the ESTS database.

341 **Database**

342 The choice to use a societal multi-institutional database has pros and cons.
343 Certainly, when performing aggregate analyses on relatively rare events (such
344 as PAL after VATS lobectomy) the utilization of a population of thousands of
345 patients allows the development of a more reliable predictive model.
346 Moreover, the findings from analyses performed on large organizational
347 databases (such as ESTS database) are widely generalizable to the “real
348 world” and represent contemporary information¹⁹. On the other hand, the
349 ESTS database was not designed for research purposes, but rather for quality
350 improvement initiatives. As such, when performing specific analyses on
351 selected outcomes many critical variables potentially associated with the
352 outcome of interest may be missing in the dataset. Moreover, as in all multi-
353 institutional retrospective analyses patient selection, surgical technique and
354 postoperative management may be variable in the different participating
355 centers introducing inherent biases into the analysis. However, the ESTS
356 database include most of the common risk factors associated with PAL in
357 previously published single center investigations and has a high data quality
358 as shown in previous specific investigations evaluating the quality of data in
359 this specific database²⁰.

360

361 **Main Findings**

362 In the present study PAL was observed in 504 patients (9.9%) of the total
363 patients submitted to VATS lobectomies.

364 This result is in line with previous papers focusing on the comparison of VATS
365 and open approaches^{10-11,21-23}.

366 PAL has already been demonstrated to be one of the most important factors
367 contributing to increased hospitalization length and overall hospital costs²⁴. In
368 a recent paper, Farjah and colleagues found that 90-day costs after VATS
369 lobectomy are associated with prolonged hospital stay rather than health care
370 use after discharge²⁵. One of the most important findings of the present
371 analysis was that in patients with no other complications, the simple presence
372 of PAL was associated with a postoperative hospital stay 5 days longer
373 compared to those without PAL. In addition, patients in the highest class of
374 risk remained in the hospital 3 days longer than those in the lowest class of
375 risk. The use of intraoperative measures to reduce the incidence of PAL or the
376 volume of air leak (hence favoring earlier discharge with domiciliary chest
377 drainage systems) in high risk patients seems therefore warranted even from
378 a financial point of view.

379 The added cost of these measures, such as buttress material or surgical
380 sealants, may become negligible in higher PAL risk groups because the cost
381 of the measures may be increasingly offset by avoided hospital stay.
382 Formalized economic analyses evaluating such measures in different PAL risk
383 groups will be important to conduct in the future for hospital decision-makers.

384 The main finding of this study was the development of a simple PAL risk score
385 based on 3 weighted factors: male gender, FEV1<80%, body mass
386 index<18.5 kg/m².

387 The score is seemingly effective at stratifying patients into 4 classes of risk.
388 Patients with no risk factors had an incidence of PAL of 6% whereas patients
389 in the highest classes of risk (classes C and D) had 2-fold and 4-fold
390 increases in PAL occurrence, respectively. This, as stated above, translated
391 into a longer hospital stay for those in the highest classes of risk. Although a
392 detailed financial analysis was not possible due to different economic systems
393 present across countries contributing to the database, hospital stay is
394 reputedly the main driver of hospital costs and can be taken as an indirect
395 financial estimator.

396 As mentioned above, PAL scores have been already published for open
397 lobectomies. A few years ago Brunelli and coll. developed a four factor
398 weighted aggregate score from a single center database³. Some of the
399 variables were similar to the ones included in the present score. For instance,
400 they found that low FEV1 and low BMI were significantly associated with PAL.
401 A reduced pulmonary function has been consistently reported as a risk factor
402 for PAL^{3, 26,27}. The association between PAL and impaired pulmonary function
403 can be explained by the increased susceptibility of a more fragile lung
404 parenchyma to tear during lung dissection or manipulation and by a slower
405 healing process.

406 Similarly, a low BMI, a marker of malnutrition and reduced healing capacity,
407 was found associated with increased risk of PAL by many authors^{3,10,28,29}.

408 Nutritional assessment should be included in the routine preoperative
409 selection to identify patients who can benefit from nutritional support
410 programs.

411 Male gender and low BMI along with 7 other variables have been found to be
412 associated with PAL in a previous risk model developed from the French
413 Society of Cardiovascular and Thoracic Surgery database². These variables
414 were also recently validated in a population of VATS lobectomy patients¹,
415 however, a specific score for VATS patients was not generated. The
416 association between male gender and PAL is not entirely clear. In the present
417 study male gender likely represent a surrogate for other unaccounted for
418 variables such as smoking history or chronic obstructive pulmonary disease,
419 which were not available in the database at the time of this analysis.

420 Another factor consistently associated with PAL in previous studies was the
421 presence of pleural adhesions^{10,30}. Unfortunately this variable is currently not
422 recorded in the ESTS database and could not be factored into the present
423 analysis. However, this study focuses on VATS lobectomies only, and
424 extensive pleural adhesions may be a contraindication to VATS in some
425 centers.

426 The other important use of this risk score may be as an informational tool
427 during the preoperative information-provision process. The risk score may
428 inform preoperative patient counseling, and allow clinicians to discuss the risk
429 of developing a PAL and the likelihood of having a chest tube in place for a
430 longer time, or being discharged with a chest drain with the patient. Although
431 we have shown that patient satisfaction is not directly related to postoperative

432 complications³¹, the importance of a tailored, informed, shared-decision
433 making process may contribute to setting realistic expectations for VATS
434 patients, and may have further implication in their overall satisfaction with
435 care.

436 Finally, a PAL risk score specific to VATS lobectomies would also simplify the
437 selection of patients for future efficacy studies on preventative interventions or
438 chest tube management, making the interpretation of results across different
439 investigations more consistent and reproducible, especially in the presence of
440 paucity of randomized trials in this area.

441 **Clinical Implications and future perspectives**

442 The main clinical implication of this study is the possibility to apply this score
443 to select VATS lobectomy patients at high risk of developing PAL. This may
444 serve a clinical and investigational purpose:

- 445 - With a VATS approach the submersion test to verify air leak at the end
446 of the procedure is sometime unreliable and the use of this risk score
447 can help in selecting patients at increased risk of PAL who may benefit
448 most of the application of sealants or other intraoperative preventative
449 measures. A financial analysis should be performed in each local
450 health care system to estimate whether the cost of applying
451 preventative measures in all high risk patients would be off set by the
452 reduction of PAL incidence and hospital stay costs in the 15%-25% of
453 patients in whom PAL is expected to occur.
- 454 - The score can be used to select high risk patients to be included in
455 future randomized trials investigating the cost effectiveness of sealants

456 or other measures aimed at reducing the incidence of air leak,
457 improving the reliability and meaningfulness of these analyses.

458 **Limitations of the study**

459 This study has potential limitations.

460 As discussed above, all the results generated from multi-institutional
461 databases should be interpreted taking into consideration the restraints and
462 structural limitations of these datasets (such as the lack of specific variables
463 of interest, variability in patient selection, surgical technique and postoperative
464 management across participating centers).

465 For the purpose of this study we did not have access to information regarding
466 specific VATS techniques or modalities, regarding for instance the rate of
467 conversion, the approach to the fissures, etc. Furthermore, in the ESTS
468 database at the moment there is no information regarding the number and
469 type of endostaplers used or the use of energy devices to develop the
470 fissures. Another important aspect that is missing from the ESTS database is
471 the utilization of intraoperative measures to minimize air leakage, such as
472 pleural tenting, the application of buttressed staple devices or the use of
473 sealants. Similarly, the ESTS database does not contain any information
474 regarding the type of chest drainage systems used (digital vs. traditional) nor
475 the type of postoperative chest tube management (suction vs. no suction).

476 The future implementation of a specific section for minimally invasive
477 procedures will likely obviate these problems.

478 Another limitation of the database is the absence of the duration of air leak
479 expressed as numeric variable, which would have allowed to test different
480 thresholds of prolonged air leak.

481 A low BMI was present in only 3.5% of patients. This may represent a critical
482 factor as this predictor may be under-represented in certain population strata.
483 In the current dataset, the value of 18.5 represented the best cut off, however,
484 future analyses are warranted aimed at redefining this threshold to increase
485 its representativeness.

486 Finally, the ESTS database is a voluntary database. Although more than 200
487 European Hospitals contribute data into the registry, they represent less than
488 30% of all centers practicing thoracic surgery in Europe. This may introduce
489 some problems of representativeness and generalizability of the data used for
490 the analysis.

491 **Strengths of the study**

492 The study is based on a large multicenter organizational database, which
493 ensures that the findings are contemporary and reflect the real clinical world.
494 In addition, we performed an external validation using a sample of patients not
495 used to develop the original model. This validation confirmed the
496 generalizability of the risk score.

497 The model developed and validated in this study includes only three readily
498 available variables making it very user-friendly and easy to implement in the
499 clinical practice.

500

501 **Conclusions**

502 We created an aggregate risk-score to stratify the incidence of PAL after
503 VATS lobectomy. The score can be used for patient counseling and to identify
504 those patients who can benefit of additional intraoperative preventative
505 measures.

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668 **Table 1: Characteristics of the patients included in the analysis and**
669 **comparison of baseline and surgical variables between those with and**
670 **without PAL after VATS lobectomies**

Variables	Entire cohort (n=5,069)	With PAL (504 patients)	Without PAL (4,565 patients)	Odds ratio (95% CI)	p-value (between patients with and without PAL)
Age	64 (57-71)	65.0 (58-72)	64.0 (57-71)		0.2
Sex male (n,%)	2,862 (56%)	332 (66%)	2530 (55%)	1.55 (1.3-1.9)	<0.0001
BMI (kg/m ²)	25.5 (22.5-28)	24.3 (21.5-26.0)	25.6 (22.7-28.2)		<0.0001
BMI<18.5 (n,%)	180 (3.6%)	37 (7.3%)	143 (3.1%)	2.45 (1.6-3.6)	<0.0001
FEV1%	84.4 (72.9-96)	81 (66.8-93.1)	84.4 (73-96)		<0.0001
FEV1<80% (n,%)	1,838 (36%)	234 (46%)	1604 (35%)	1.6 (1.3-1.9)	<0.0001

CAD (n,%)	417 (8.2%)	48 (9.5%)	369 (8.1%)	1.2 (0.9- 1.6)	0.3
ECOG score	0 (0-1)	0 (0-1)	0 (0-1)		0.4
Diabetes (n,%)	188 (3.7%)	18 (3.5%)	170 (3.7%)	0.95 (0.5- 1.6)	0.9
Side right (n,%)	3,035 (60%)	307 (61%)	2,728 (60%)	1.04 (0.9- 1.3)	0.6
Site upper (n,%)	3,215 (63%)	315 (63%)	2,900 (64%)	0.96 (0.8- 1.2)	0.7

671 Results are expressed as medians and interquartile ranges for numeric
672 variables and numbers and percentages of patients within the group for
673 categorical variables. CAD: coronary artery disease; ECOG: Eastern
674 Cooperative Oncology Group score; BMI: body mass index; FEV1: forced
675 expiratory volume in one second.

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680 **Table 2: Results of the regression analysis (dependent variable: PAL)**

Predictors	Coefficients	SE	p-value	Bootstrap frequency	Score
Intercept	-2.7	0.09			
Male sex	0.44	0.2	<0.0001	99.7%	1
FEV1<80%	0.4	0.1	<0.0001	99%	1
BMI<18.5	0.96	0.2	<0.001	99%	2

681 BMI: body mass index; FEV1: forced expiratory volume in one second.

682 Bootstrap frequency: percentage of samples in which the variable resulted

683 with $p < 0.05$

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695 **Table 3:** Breakdown of patient characteristics leading to class assignment

Variables	Class A n=1,493	Class B n=2,240	Class C n=1,219	Class D n=117
Male sex (n,%)	0	1,647 (74%)	1,156 (95%)	59 (50%)
FEV1<80% (n,%)	0	593 (26%)	1,156 (95%)	89 (76%)
BMI<18.5 kg/m ² (n,%)	0	0	63 (5.2%)	117 (100%)

696 Results are expressed as numbers and percentages of the total number of
 697 patients in that class of risk. BMI: body mass index; FEV1: forced expiratory
 698 volume in one second.

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710 **Figure Legend:**

711 **Figure 1:** Incidence of prolonged air leak after video assisted thoracoscopic
712 lobectomy according to the class of risk in the derivation and validation sets.
713 Numbers in the Y axis indicate percentage of patients with prolonged air leak.

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715 **Video Legend:**

716 Dr. Alessandro Brunelli, senior author and consultant thoracic surgeon in
717 Leeds, UK, describes the rationale, main finding and implications of this study.

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721 **ACKNOWLEDGEMENT**

722 The Authors are most indebted to all centers contributing to the ESTS
723 Database for their continuous commitment and active participation
724 (http://www.ests.org/collaboration/database_contributors_list.aspx). Their
725 contribution is pivotal to the advancement of science in our specialty and to
726 ensure high quality of care to our patients. The Authors are grateful to Dr.
727 Danilo Pellicano for his invaluable help in managing the data.

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