Journal of Dental Research

http://jdr.sagepub.com/

Obstructive Sleep apnea Therapy A. Hoekema, B. Stegenga, P.J. Wijkstra, J.H. van der Hoeven, A.F. Meinesz and L.G.M. de Bont J DENT RES 2008 87: 882 DOI: 10.1177/154405910808700917

> The online version of this article can be found at: http://jdr.sagepub.com/content/87/9/882

Published by: **SAGE**

http://www.sagepublications.com

On behalf of: International and American Associations for Dental Research

Additional services and information for Journal of Dental Research can be found at:

Email Alerts: http://jdr.sagepub.com/cgi/alerts

Subscriptions: http://jdr.sagepub.com/subscriptions

Reprints: http://www.sagepub.com/journalsReprints.nav

Permissions: http://www.sagepub.com/journalsPermissions.nav

>> Version of Record - Sep 1, 2008

What is This?

RESEARCH REPORTS

Clinical

A. Hoekema¹*, B. Stegenga¹, P.J. Wijkstra², J.H. van der Hoeven³, A.F. Meinesz², and L.G.M. de Bont¹

¹Department of Oral and Maxillofacial Surgery, ²Department of Home Mechanical Ventilation, and ³Department of Clinical Neurophysiology, University Medical Center Groningen, University of Groningen, Hanzeplein 1, PO Box 30.001, 9700 RB Groningen, The Netherlands; *corresponding author, a.hoekema@kchir.umcg.nl

J Dent Res 87(9):882-887, 2008

ABSTRACT

In clinical practice, oral appliances are used primarily for obstructive sleep apnea patients who do not respond to continuous positive airway pressure (CPAP) therapy. We hypothesized that an oral appliance is not inferior to CPAP in treating obstructive sleep apnea effectively. We randomly assigned 103 individuals to oral-appliance or CPAP therapy. Polysomnography after 8-12 weeks indicated that treatment was effective for 39 of 51 persons using the oral appliance (76.5%) and for 43 of 52 persons using CPAP (82.7%). For the difference in effectiveness, a 95% two-sided confidence interval was calculated. Non-inferiority of oral-appliance therapy was considered to be established when the lower boundary of this interval exceeded -25%. The lower boundary of the confidence interval was -21.7%, indicating that oral-appliance therapy was not inferior to CPAP for effective treatment of obstructive sleep apnea. However, subgroup analysis revealed that oralappliance therapy was less effective in individuals with severe disease (apnea-hypopnea index > 30). Since these people could be at particular cardiovascular risk, primary oral-appliance therapy appears to be supported only for those with nonsevere apnea. *Abbreviations:* CI = confidence interval, CPAP = continuous positive airway pressure.

KEY WORDS: sleep apnea syndromes, orthodontic appliances, positive-pressure ventilation, treatment outcome, CPAP therapy.

Received June 8, 2007; Last revision February 25, 2008; Accepted May 15, 2008

A supplemental appendix to this article is published electronically only at http://jdr.iadrjournals.org/cgi/ content/ full/87/8/882/DC1.

Obstructive Sleep Apnea Therapy

INTRODUCTION

Obstructive sleep apnea is characterized by disrupted snoring and repetitive upper-airway collapse (Malhotra and White, 2002). Its neurobehavioral consequences include excessive sleepiness, an increased risk of accidents, and an impaired quality of life (Malhotra and White, 2002; Giles *et al.*, 2006). Cardiovascular consequences include hypertension and increased risk of ischemic heart disease, congestive heart failure, and stroke (Marin *et al.*, 2005; Yaggi *et al.*, 2005). Continuous positive airway pressure (CPAP), the standard treatment (Giles *et al.*, 2006), improves blood pressure (Pepperell *et al.*, 2002) and neurobehavioral outcomes (Giles *et al.*, 2006), but since it requires the wearing of an obtrusive device, individuals may abandon or adhere poorly to therapy (Barbe *et al.*, 2001; Barnes *et al.*, 2002).

Oral-appliance therapy is an alternative to CPAP that relieves upperairway collapse during sleep by modifying the position of the mandible, tongue, and pharyngeal structures (Cistulli *et al.*, 2004). Although effective, it is generally considered less effective than CPAP (Barnes *et al.*, 2004; Hoekema *et al.*, 2004; Lim *et al.*, 2006). Nevertheless, many people prefer an oral appliance to CPAP, and physiological and neurobehavioral outcomes are not substantially different between the therapies (Barnes *et al.*, 2004; Hoekema *et al.*, 2004).

Specific indications for oral-appliance therapy are indeterminate (Cistulli *et al.*, 2004; Hoekema *et al.*, 2004; Lim *et al.*, 2006). It is prescribed primarily for persons unwilling or unable to tolerate CPAP (Lim *et al.*, 2006). Moreover, insurance regulations, as in The Netherlands, usually dictate that oral appliances be used as a secondary intervention in case CPAP fails. We hypothesized that an oral appliance is not inferior to CPAP in treating obstructive sleep apnea effectively. Because of indications that effectiveness of oral-appliance therapy is related to disease severity, we designed a randomized parallel trial to evaluate the treatment in individuals representing the entire spectrum of the disorder.

METHODS

Participant Selection

Participants were recruited through the Department of Home Mechanical Ventilation of the University Medical Center Groningen, The Netherlands. Individuals over age 20 yrs who underwent polysomnography and were diagnosed as having obstructive sleep apnea were eligible. Participants were selected based on medical, psychological, and dental criteria. The trial was approved by the Groningen University Medical Center's ethics committee. Written informed consent was obtained from participants before enrollment. Details of the trial are provided in Appendix 1.

Study Design

We used block randomization to allocate participants to groups treated with

an oral appliance or CPAP (Altman, 1991). At baseline, each person underwent a physical and neurobehavioral examination. Severity of disease was assessed based on the apnea-hypopnea index: the mean number of apneas and hypopneas per hr of sleep. Participants were classified as having non-severe (apnea-hypopnea index 5-30) or severe (apnea-hypopnea index > 30) obstructive sleep apnea.

After participants used an oral appliance or CPAP for 8 wks, the effect was assessed with a second polysomnographic study. For those whose apnea-hypopnea index was still ≥ 5 , treatment was adjusted, if possible, to improve effectiveness, and the follow-up period was extended another 4 wks. The effect was then assessed with a third polysomnographic study. This adjustment sequence continued until the apnea-hypopnea index was < 5 or until adjustments became uncomfortable for the individual. Follow-up review ended with a person's final polysomnographic evaluation or when a participant discontinued treatment because of poor tolerance or another reason. At their final follow-up review, participants again underwent the physical and neurobehavioral examinations performed at baseline.

Treatment was considered effective when the apnea-hypopnea index either was < 5 or showed "substantial reduction", defined as reduction in the index of at least 50% from the baseline value to a value of < 20 in a person who had no symptoms while using therapy (Hoekema et al., 2004). Persons not meeting these criteria at their final review were considered "non-responsive" to treatment. Those who discontinued treatment for any reason were considered "non-adherent" to treatment.

Interventions

The oral appliance (Thornton Adjustable Positioner type-1, Airway Management, Inc., Dallas, TX, USA) positioned the individual's mandible in a forward and downward position. By turning a propulsion screw incorporated anteriorly into the appliance, participants could adjust mandibular advancement in 0.2 mm increments. They advanced the mandible until symptoms abated or until further advancement caused discomfort. CPAP titration aimed at abolishing all signs of apnea, hypopneas, and snoring was performed during an afternoon nap (Hoekema et al., 2006).

Polysomnography

Polysomnography (Embla[®] A10 digital recorder, Medcare, Reykjavik, Iceland) for baseline and follow-up evaluations was conducted while participants slept at home and was evaluated according to standardized criteria (Appendix 1).

Physical and Neurobehavioral Examination

Physical examination included documentation of height, weight, neck circumference, alcohol consumption, tobacco use, and current medications. For the neurobehavioral examination, participants completed questionnaires addressing sleep apnea-related symptoms (Johns, 1991; Weaver et al., 1997), health perceptions (Ware and Sherbourne, 1992), and presence of anxiety or depression (Zigmond and Snaith, 1983). At final follow-up review, participants completed a questionnaire assessing treatment usage and grading their satisfaction with treatment on a 10 point scale.

Statistical Analysis

In the assessment of non-inferiority of oral-appliance to CPAP therapy, non-inferiority was defined as a difference between the proportions of treatment effectiveness of less than 25%. With a one-sided significance level of 5%, a power of 90%,



Figure. Flow diagram of participants through each stage of the trial. Of the 103 persons included, two in the oral-appliance group and in the CPAP group did not return for the follow-up polysomnography and neurobehavioral examinations (lost to follow-up review). Abbreviation: CPAP = continuous positive airway pressure.

and an assumed proportion of treatment effectiveness of 90%, a minimum of 46 participants would be required in each treatment group.

The primary outcome measure was the proportion of participants whose oral-appliance or CPAP therapy was effective (intention-to-treat analysis). Participants lost to follow-up review were considered "non-adherent" to treatment (worst-case scenario). Secondary outcome measures were polysomnographic and neurobehavioral outcomes at final follow-up review. To determine the relative effectiveness of oral-appliance therapy, we compared primary and secondary outcomes with those of CPAP. Comparison of the proportions of effectiveness between the groups was also performed as a function of disease severity to provide insight into the major indications for oral-appliance therapy (pre-specified subgroup analyses).

Means and standard deviations, and medians and interquartile ranges in skewed distributions, are reported. For the difference between the proportions of effectiveness of the therapies (oralappliance minus CPAP therapy), a 95% two-sided confidence interval was calculated. Non inferiority of oral-appliance therapy was considered established when the lower boundary of this confidence interval was less then 25 percentage points (e.g., 55% is 25 percentage points lower than 80%). We compared secondary outcomes by calculating effect sizes with two-sided 95%

883

Downloaded from jdr.sagepub.com at PENNSYLVANIA STATE UNIV on March 3, 2014 For personal use only. No other uses without permission

Table 1	. Polysomnogi	aphic Outcom	es for 103 Inc	lividuals Treated	d with an Or	al Appliance o	or CPAP
---------	---------------	--------------	----------------	-------------------	--------------	----------------	---------

	Baselinea		Follow-up Review ^a		Difference in Effect at	
Variable	Oral Appliance (n = 51)	CPAP (n = 52)	Oral Appliance (n = 47) ^b	CPAP (n = 47) ^b	Follow-up Review: Effect Size (95% CI) or <i>p</i> -value ^c	
Total sleep time (min)	408.0 ± 69.0	389.7 ± 79.9	425.0 ± 63.7	404.5 ± 68.4	0.31 (-0.10 to 0.71)	
Sleep efficiency (%) ^d	88.3 ± 9.7	85.5 ± 15.5	86.1 ± 8.1	86.2 ± 10.0	0.00 (-0.40 to 0.40)	
Apnea-hypopnea index ^e	39.4 ± 30.8	40.3 ± 27.6	7.8 ± 14.4	2.4 ± 4.2	<i>p</i> = 0.006	
			2.2 (0.0–9.5)	0.0 (0.0–3.0)		
Lowest oxyhemoglobin saturation (%)	78.0 ± 8.5	77.9 ± 9.9	87.7 ± 6.3	89.7 ± 5.8	-0.33 (-0.73 to 0.08)	
Non-rapid-eye-movement sleep stages 1 & 2 (%) ^f	65.3 ± 13.1	67.8 ± 14.7	53.2 ± 10.1	54.0 ± 10.0	-0.08 (-0.48 to 0.33)	
Non-rapid-eye-movement sleep stages 3 & 4 (%) ^f	13.7 ± 9.0	13.0 ± 11.5	20.4 ± 7.7	21.8 ± 8.0	-0.18 (-0.58 to 0.23)	
Rapid-eye-movement sleep (%) ^f	21.0 ± 7.8	19.2 ± 7.4	26.5 ± 6.7	24.1 ± 5.7	0.39 (-0.03 to 0.79)	

α

Plus-minus values are means \pm standard deviations; values with additives in parentheses are medians with interquartile ranges. The mean treatment period from baseline until final follow-up review was 78.3 \pm 26.5 (median, 68.0; interquartile range, 60.0–96.0) days in the oral-appliance group and 85.5 \pm 55.0 (median, 63.0; interquartile range, 60.0–88.0) days in the CPAP group (p > 0.05). We compared polysomnographic outcomes at follow-up review by calculating effect sizes with two-sided 95% confidence intervals (effect size reported with confidence interval in parentheses). For comparing outcomes with skewed distributions, Mann-Whitney U tests were used (p-values reported). h

с

d

Sleep stages are expressed as a percentage of total sleep time. Abbreviations: CI = confidence interval, CPAP = continuous positive airway pressure. t

Table 2. Neurobehavioral Outcomes for 103 Individuals Treated with an Oral Appliance or CPAP

			Bas	Baselinea		Follow-up Reviewa	
Variable	Range	Direction of Improvement	Oral Appliance (n = 51)	CPAP (n = 52)	Oral Appliance (n = 49) ^b	CPAP (n = 50) ^b	Follow-up Review: Effect Size (95% CI) or <i>p</i> -value ⁶
Epworth sleepiness scale	0–24	-	12.9 ± 5.6	14.2 ± 5.6	6.9 ± 5.5 7.0 (2.0–9.5)	5.9 ± 4.8 6.0 (3.8–12.0)	p = 0.53
Functional outcomes of sleep	question	naire					
- general productivity	1–4	+	3.0 ± 0.7	3.0 ± 0.8	3.5 ± 0.6	3.5 ± 0.7	0.10 (-0.30 to 0.49)
- social outcome	1–4	+	2.9 ± 0.9	3.0 ± 1.0	3.6 ± 0.7	3.6 ± 0.7	0.01 (-0.38 to 0.41)
- activity level	1–4	+	2.6 ± 0.8	2.7 ± 0.8	3.3 ± 0.6	3.3 ± 0.7	-0.12 (-0.52 to 0.27)
vigilanceintimate relationships	1–4	+	2.6 ± 0.8	2.4 ± 0.9	3.2 ± 0.8	3.3 ± 0.8	-0.08 (-0.47 to 0.32)
& sexual activity ^d	1–4	+	2.6 ± 1.0	2.9 ± 1.0	2.9 ± 1.1	3.1 ± 1.1	-0.21 (-0.61 to 0.20)
- total score	5–20	+	13.7 ± 3.1	13.9 ± 3.7	16.6 ± 2.8	16.7 ± 3.1	-0.05 (-0.44 to 0.34)
Medical outcomes study, 36-	item shor	t-form health s	urvey				
- physical functioning	0-100	+	71.8 ± 23.3	68.9 ± 24.2	78.8 ± 21.5	80.6 ± 18.5	-0.09 (-0.48 to 0.31)
- social functioning	0-100	+	66.4 ± 22.9	68.6 ± 23.6	79.7 ± 21.4	78.6 ± 21.1	0.05 (-0.34 to 0.45)
- role physical	0-100	+	40.7 ± 40.3	42.6 ± 41.3	67.3 ± 42.5	71.5 ± 40.4	p = 0.60
			25.0 (0.0–75.0)	25.0 (0.0–100.0)	100.0 (25.0–100.0)	100.0 (43.7-100.0)	p = 0.60
- role emotional	0–100	+	70.6 ± 41.5	70.0 ± 38.9	78.9 ± 37.1	77.2 ± 38.0	p = 0.86
			100.0 (33.0-100.0)	100.0 (33.0–100.0)	100.0 (66.8–100.0)	100.0 (58.5-100.0)	
- mental health	0-100	+	70.9 ± 17.8	68.2 ± 17.6	77.5 ± 16.5	75.0 ± 16.2	0.15 (-0.24 to 0.55)
- vitality	0-100	+	39.0 ± 18.6	39.2 ± 21.8	63.8 ± 21.2	61.3 ± 19.9	0.12 (-0.27 to 0.52)
- bodily pain	0-100	+	75.4 ± 26.6	77.6 ± 25.9	79.9 ± 26.5	82.3 ± 23.9	-0.10 (-0.49 to 0.30)
- general health perception	0-100	+	57.6 ± 21.3	54.8 ± 22.7	65.5 ± 20.6	60.9 ± 23.4	0.21 (-0.19 to 0.60)
- health change	0–100	+	39.7 ± 24.6	38.2 ± 25.2	74.0 ± 27.5	73.5 ± 26.4	0.02 (-0.38 to 0.41)
Hospital anxiety and depress	ion scale						
- anxiety	0–21	-	5.6 ± 3.8	5.4 ± 3.6	4.5 ± 3.5	4.3 ± 3.4	<i>p</i> = 0.81
	0.01		4.0 (3.0-8.0)	5.0 (3.0-8.0)	3.0 (2.0-6.5)	3.5 (1.8–7.0)	0.05
- depression	0-21	-	5.8 ± 3.8 5.0 (3.0–8.0)	7.0 (4.0–10.0)	3.8 ± 3.7 2.0 (1.0–7.0)	4.8 ± 4.5 3.0 (1.0–8.5)	p = 0.25

Plus-minus values are means ± standard deviations; values with additives in parentheses are medians with interquartile ranges. The mean treatment period from baseline until final follow-up review was 78.3 ± 26.5 (median, 68.0; interquartile range, 60.0–96.0) days in b the oral-appliance group and 85.5 ± 55.0 (median, 63.0; interquartile range, 60.0-88.0) days in the CPAP group (p > 0.05). We compared neurobehavioral outcomes at follow-up review by calculating effect sizes with two-sided 95% confidence intervals (effect size reported

с

with confidence interval in parentheses). For comparing outcomes with skewed distributions, Mann-Whitney U tests were used (p-values reported). At baseline, this item was completed by 48 individuals in the oral-appliance group and 47 in the CPAP group. At follow-up review, this item was d completed by 47 persons in the oral-appliance group and 46 in the CPAP group. Abbreviations: CI = confidence interval, CPAP = continuous positive airway pressure.

confidence intervals. For comparing outcomes with skewed distributions, Mann-Whitney U tests were used. All tests were two-sided, and p-values < 0.05 indicated significance.

RESULTS

Between September 2002 and May 2005, 103 people were enrolled (Appendix 2). Randomization yielded an oral-appliance group of 51 and a CPAP group of 52 (Fig.). Of the oral-appliance group, 47 completed polysomnographic evaluation; seven required adjustment of their appliance after 8 wks of treatment. At final follow-up review, mean advancement of the mandible was $81.0 \pm 18.7\%$ of maximum advancement. Of those using CPAP, 47 completed

polysomnographic evaluation; seven required pressure adjustment after 8 wks of treatment. At final review, mean pressure was 8.1 ± 1.9 cm H₂O.

a

Treatment Effectiveness

Polysomnographic outcomes were available for 47 people in each group. At final review, the CPAP group had a significantly lower apnea-hypopnea index than the oral-appliance group (Table 1). Two participants using oral-appliance therapy had an increase in their apnea-hypopnea index, from 15 to 17 and from 9 to 19, respectively. No other adverse events occurred. There were no significant differences in other polysomnographic outcomes at final review (Table 1).

Neurobehavioral outcomes were available for 49 people in the oral-appliance group and 50 in the CPAP group; none was available for two persons lost to follow-up review in each group. There were no significant differences between groups at final review (Table 2).

Oral-appliance therapy was effective for 39 participants (76.5%); of the other 12, eight were "non-responsive", two were "non-adherent", and two were lost to follow-up review. In the CPAP group, treatment was effective for 43 participants (82.7%); of the other nine, two were "non-responsive", five were "non-adherent", and two were lost to follow-up review. The difference in effectiveness was -6.2%, and the lower boundary of the confidence interval was 21.7%, indicating that oral-appliance therapy met the criterion for non-inferiority (Table 3).

Satisfaction and Treatment Usage

In each group, 41 participants were "satisfied" or "very satisfied" with treatment. On the 10 point scale, participants graded their satisfaction as a mean 7.6 ± 1.9 points in the oral-appliance group and 7.4 ± 2.1 points in the CPAP group (p > 0.05). There were no significant differences in reported treatment usage. Of the 49 participants completing follow-up review of oral-appliance therapy, 42 reported wearing the appliance 7 nights each wk (mean for all participants, 6.7 ± 1.0 days); 46 wore it ≥ 5 hrs each night (mean for all participants, 6.9 ± 1.0 hrs). Of the 50 participants completing follow-up review of CPAP therapy, 42 reported using CPAP for 7 nights each wk (mean for all participants, 6.7 ± 0.8 days); 44 used

Table 3. Proportions of Effective Treatments with an Oral Appliance or with CPAP.

Oral Appliance ^a	CPAPa	Difference (95% CI) ^b
39 / 51 (76.5%)	43 / 52 (82.7%)	-6.2% (-21.7 to 9.4)
21 / 25 (84.0%)	20 / 25 (80.0%)	4.0% (-17.7 to 25.4)
18 / 26 (69.2%)	23 / 27 (85.2%)	-16.0% (-37.1 to 6.8)
	Oral Appliance ^a 39 / 51 (76.5%) 21 / 25 (84.0%) 18 / 26 (69.2%)	Oral Appliance ^a CPAP ^a 39 / 51 (76.5%) 43 / 52 (82.7%) 21 / 25 (84.0%) 20 / 25 (80.0%) 18 / 26 (69.2%) 23 / 27 (85.2%)

Values are the number of effective treatments divided by the total number of persons in the treatment group. Values in parentheses are the percentages of effective treatments.

^b Differences in effectiveness between oral-appliance and CPAP therapy (oral-appliance minus CPAP therapy) are reported as percentages with two-sided 95% confidence intervals in parentheses.

Treatment was considered effective when the apnea-hypopnea index (*i.e.*, mean number of apneas and hypopneas *per* hr of sleep) either was < 5 or showed "substantial reduction", defined as reduction in the index of at least 50% from the baseline value to a value of < 20 in a person who had no symptoms while using therapy. Abbreviations: CI = confidence interval, CPAP = continuous positive airway pressure.

CPAP \geq 5 hrs each night (mean for all participants, 6.5 ± 1.6 hrs).

Treatment Effectiveness in Relation to Severity of Sleep Apnea

For non-severe obstructive sleep apnea, treatment was effective for 21 of the 25 individuals using oral-appliance therapy (84.0%) and 20 of the 25 individuals using CPAP (80.0%). Within this subgroup, oral-appliance therapy met the criterion for non-inferiority (Table 3). For severe obstructive sleep apnea, oral-appliance therapy did not meet the criterion for non-inferiority; oral appliance therapy was effective for 18 of 26 individuals (69.2%) and CPAP for 23 of 27 individuals (85.2%) (Table 3).

DISCUSSION

Our results showed a relatively more positive effect of oralappliance therapy than those in previous studies. Variables correlating with increased effectiveness of oral appliances have included being female, being young, being non-obese, and having non-severe disease (Liu et al., 2001; Mehta et al., 2001; Marklund et al., 2004). However, our patients, while demographically comparable with those in most of these studies (Barnes et al., 2004; Hoekema et al., 2004), were generally more obese and had more severe disease. Two other factors may explain the difference. First, effectiveness of oral appliances usually increases with greater advancement of the mandible, and mean mandibular advancement in our study was generally more extended than in most previous studies (Hoekema et al., 2004). Second, our definition of "effective treatment" consisted of criteria based on polysomnographic and clinical outcomes. If the rigid criterion of an index < 5 defines effective treatment, analysis of our data suggests non-inferiority of oral-appliance therapy only in those with non-severe obstructive sleep apnea (see Appendix 3). However, all previous studies comparing oral-appliance and CPAP therapy used an index < 10 as the criterion for effective treatment (Barnes et al., 2004; Hoekema et al., 2004). Had we used that criterion for our patients with a baseline index ≥ 10 , we would have obtained similar results in terms of effectiveness of oral-appliance therapy. Finally, since polysomnographic measurements that formed the basis for

Downloaded from jdr.sagepub.com at PENNSYLVANIA STATE UNIV on March 3, 2014 For personal use only. No other uses without permission.

inclusion were also used as baseline values, a regression to the mean-effect may also have affected the outcomes in this study. However, we propose that the relatively more positive effect of oral-appliance therapy we observed is best explained by greater mandibular advancement.

Three factors distinguish our study from previous trials comparing these therapies. First, we included individuals with severe obstructive sleep apnea. Although oral appliances tend to decrease in effectiveness with increasingly severe disease (Ferguson et al., 2006), recent studies suggest a future role for oral-appliance therapy of severe sleep apnea (Henke et al., 2000; Mehta et al., 2001). Second, we used a parallel study design rather than a crossover design (Barnes et al., 2004; Hoekema et al., 2004). Crossover studies may not permit derivation of an unbiased estimate of treatment effect (Woods et al., 1989). Moreover, carry-over effects and failure to return to baseline status may be anticipated when oral-appliance and CPAP therapy are compared in crossover studies. Third, we evaluated the effectiveness of treatment with an intention-totreat analysis. Since only one previous study appropriately used an intention-to-treat analysis (Barnes et al., 2004), most reported trials may have incorporated bias when comparing these therapies (Hoekema et al., 2004).

It could be reasoned that the definition for effectiveness used in this study is not compatible with the goals of CPAP titration. Participants with an apnea-hypopnea index ≥ 5 at follow-up review, and for whom treatment was nonetheless considered effective, had an index in the range of 5 to 20. These individuals may be at risk of a cardiovascular event (Shamsuzzaman *et al.*, 2003). This situation applied to 10 persons in the oral-appliance group and three in the CPAP group, all with severe apnea (see Appendix 3). Evidence that individuals with severe apnea could be at particular cardiovascular risk may support primary oral-appliance therapy only for persons with non-severe apnea (Marin *et al.*, 2005; Yaggi *et al.*, 2005).

We believe that the non-inferiority margin we used met the two major requisite conditions (Gomberg-Maitland et al., 2003): that the smallest expected effect of a control treatment (*i.e.*, CPAP) over placebo should exceed the non-inferiority margin (Giles et al., 2006); and that the non inferiority margin should not exceed the difference between active treatments judged clinically important. Most previous studies comparing these therapies showed differences in effectiveness \geq 25% (Barnes et al., 2004; Hoekema et al., 2004), and all but one concerned only non-severe obstructive sleep apnea (Engleman et al., 2002). We also accounted for the variability in the difference of effectiveness, because we used the lower boundary of the corresponding confidence interval to decide on non-inferiority. Moreover, oral-appliance and CPAP therapy are reversible treatments that can be evaluated by polysomnography and discontinued readily should treatment fail. Considering these factors, we deemed the non inferiority margin of 25% appropriate.

This randomized parallel trial showed that an oral appliance was not inferior to CPAP for effective treatment of obstructive sleep apnea. Non-inferiority of oral-appliance therapy was supported by a lack of significant differences in most polysomnographic and all neurobehavioral outcomes. However, CPAP was more effective in improving the apneahypopnea index and was superior to oral-appliance therapy for persons with severe disease. Since these findings suggest that oral-appliance therapy is indicated primarily for those with non severe obstructive sleep apnea, we recommend that it be considered, alongside CPAP therapy, as treatment for persons with mild to moderate disease. Among those with severe disease, oral-appliance therapy should be considered for individuals unwilling or unable to tolerate CPAP.

ACKNOWLEDGMENTS

The authors thank Ms. E.M. Ten Vergert, PhD, from the Medical Technology Assessment Bureau of the University Medical Centre Groningen for her critical appraisal of the manuscript. We are indebted to Ms. S. Eastwood, ELS(D), for her contribution in editing the manuscript. The authors also thank dental laboratory Goedegebuure (Ede, The Netherlands) for their assistance in manufacturing the oral appliances. Financial support for the present study was granted by the Netherlands Organization for Health Research and Development. This paper is based on a thesis submitted to the University Medical Center Groningen, University of Groningen, in partial fulfilment of the requirements for a PhD degree. A preliminary report of the study was presented at the World Congress on Sleep Apnea (Montreal, Canada, September 27-30, 2006).

REFERENCES

- Altman DG (1991). Designing research. In: Practical statistics for medical research. Altman DG, editor. London, England: Chapman & Hall, pp. 74-106.
- Barbe F, Mayoralas LR, Duran J, Masa JF, Maimo A, Montserrat JM, *et al.* (2001). Treatment with continuous positive airway pressure is not effective in patients with sleep apnea but no daytime sleepiness. a randomized, controlled trial. *Ann Intern Med* 134:1015-1023.
- Barnes M, Houston D, Worsnop CJ, Neill AM, Mykytyn IJ, Kay A, et al. (2002). A randomized controlled trial of continuous positive airway pressure in mild obstructive sleep apnea. Am J Respir Crit Care Med 165:773-780.
- Barnes M, McEvoy RD, Banks S, Tarquinio N, Murray CG, Vowles N, et al. (2004). Efficacy of positive airway pressure and oral appliance in mild to moderate obstructive sleep apnea. Am J Respir Crit Care Med 170:656-664.
- Cistulli PA, Gotsopoulos H, Marklund M, Lowe AA (2004). Treatment of snoring and obstructive sleep apnea with mandibular repositioning appliances. *Sleep Med Rev* 8:443-457.
- Engleman HM, McDonald JP, Graham D, Lello GE, Kingshott RN, Coleman EL, *et al.* (2002). Randomized crossover trial of two treatments for sleep apnea/hypopnea syndrome: continuous positive airway pressure and mandibular repositioning splint. *Am J Respir Crit Care Med.* 166:855-859.
- Ferguson KA, Cartwright R, Rogers R, Schmidt-Nowara W (2006). Oral appliances for snoring and obstructive sleep apnea: a review. *Sleep* 29:244-262.
- Giles T, Lasserson T, Smith B, White J, Wright J, Cates C (2006). Continuous positive airways pressure for obstructive sleep apnoea in adults. *Cochrane Database Syst Rev* 3:CD001106.
- Gomberg-Maitland M, Frison L, Halperin JL (2003). Active-control clinical trials to establish equivalence or noninferiority: methodological and statistical concepts linked to quality. *Am Heart J* 146:398-403.
- Henke KG, Frantz DE, Kuna ST (2000). An oral elastic mandibular advancement device for obstructive sleep apnea. Am J Respir Crit Care Med 161:420-425.
- Hoekema A, Stegenga B, de Bont LG (2004). Efficacy and co-morbidity of oral appliances in the treatment of obstructive sleep apnea-hypopnea: a systematic review. *Crit Rev Oral Biol Med* 15:137-155.
- Hoekema A, Stegenga B, van der Aa JG, Meinesz AF, van der Hoeven JH,

Wijkstra PJ (2006). Nap-titration: an effective alternative for continuous positive airway pressure titration. *Respir Med* 100:705-713.

- Johns MW (1991). A new method for measuring daytime sleepiness: the Epworth sleepiness scale. *Sleep* 14:540-545.
- Lim J, Lasserson T, Fleetham J, Wright J (2006). Oral appliances for obstructive sleep apnoea. *Cochrane Database Syst Rev* 1:CD004435.
- Liu Y, Lowe AA, Fleetham JA, Park YC (2001). Cephalometric and physiologic predictors of the efficacy of an adjustable oral appliance for treating obstructive sleep apnea. *Am J Orthod Dentofacial Orthop* 120:639-647.
- Malhotra A, White DP (2002). Obstructive sleep apnoea. Lancet 360:237-245.
- Marin JM, Carrizo SJ, Vicente E, Agusti AG (2005). Long-term cardiovascular outcomes in men with obstructive sleep apnoeahypopnoea with or without treatment with continuous positive airway pressure: an observational study. *Lancet* 365:1046-1053.
- Marklund M, Stenlund H, Franklin KA (2004). Mandibular advancement devices in 630 men and women with obstructive sleep apnea and snoring: tolerability and predictors of treatment success. *Chest* 125:1270-1278.
- Mehta A, Qian J, Petocz P, Darendeliler MA, Cistulli PA (2001). A randomized, controlled study of a mandibular advancement splint for

obstructive sleep apnea. Am J Respir Crit Care Med 163:1457-1461.

- Pepperell JC, Ramdassingh-Dow S, Crosthwaite N, Mullins R, Jenkinson C, Stradling JR, et al. (2002). Ambulatory blood pressure after therapeutic and subtherapeutic nasal continuous positive airway pressure for obstructive sleep apnoea: a randomised parallel trial. *Lancet* 359:204-210.
- Shamsuzzaman AS, Gersh BJ, Somers VK (2003). Obstructive sleep apnea: implications for cardiac and vascular disease. J Am Med Assoc 290:1906-1914.
- Ware JE Jr, Sherbourne CD (1992). The MOS 36-item short-form health survey (SF-36). I. Conceptual framework and item selection. *Med Care* 30:473-483.
- Weaver TE, Laizner AM, Evans LK, Maislin G, Chugh DK, Lyon K, et al. (1997). An instrument to measure functional status outcomes for disorders of excessive sleepiness. Sleep 20:835-843.
- Woods JR, Williams JG, Tavel M (1989). The two-period crossover design in medical research. Ann Intern Med 110:560-566.
- Yaggi HK, Concato J, Kernan WN, Lichtman JH, Brass LM, Mohsenin V (2005). Obstructive sleep apnea as a risk factor for stroke and death. N Engl J Med 353:2034-2041.
- Zigmond AS, Snaith RP (1983). The hospital anxiety and depression scale. Acta Psychiatr Scand 67:361-370.