

## **ORBITA and coronary stents:**

### **A case study in the analysis and reporting of clinical trials**

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**Acknowledgements:** We thank Doug Helmreich for bringing this example to our attention, Shira Mitchell for helpful comments, and the Office of Naval Research, Defense Advanced Research Project Agency, and the National Institutes of Health for partial support of this work.

**Competing interests:** Dr. Gelman and Dr. Carlin report no competing interests. Dr. Nallamothu is an interventional cardiologist and Editor-in-Chief of a journal of the American Heart Association but otherwise has no competing interests.

**Word Count:** 3073

## 1. Introduction

Al-Lamee et al. (2017) report results from a randomized controlled trial of percutaneous coronary intervention using coronary stents for stable angina. The study, called ORBITA (Objective Randomised Blinded Investigation With Optimal Medical Therapy of Angioplasty in Stable Angina), included approximately 200 patients and was notable for being a blinded experiment in which half the patients received stents and half received a placebo procedure in which a sham operation was performed. In follow-up, patients were asked to guess their treatment and of those who were willing to guess only 56% guessed correctly, indicating that the blinding was largely successful.

The summary finding from the study was that stenting did not “increase exercise time by more than the effect of a placebo procedure” with the mean difference in this primary outcome between treatment and control groups reported as 16.6 seconds with a standard error of 9.8 (95% confidence interval,  $-8.9$  to  $+42.0$  s) and a p-value of 0.20. In the *New York Times*, Kolata (2017) reported the finding as “unbelievable,” remarking that it “stunned leading cardiologists by countering decades of clinical experience.” Indeed, one of us (BKN) was quoted as being humbled by the finding, as many cardiologists had expected a positive result. On the other hand, Kolata noted, “there have long been questions about [stents’] effectiveness.” At the very least, the willingness of doctors and patients to participate in a controlled trial with a placebo procedure suggests some degree of existing skepticism and clinical equipoise.

ORBITA was a landmark trial due to its innovative use of blinding for a surgical procedure. However, substantial questions remain regarding the role of stenting in stable angina. It is a well-known statistical fallacy to take a result that is not statistically significant and report it as zero, as was essentially done here based on the p-value of 0.20 for the primary outcome. Had this comparison happened to produce a p-value of 0.04, would the headline have been, “‘Believable’: Heart Stents Indeed Ease Chest Pain”? A lot of certainty seems to be hanging on a small bit of data.

The purpose of this paper is to take a closer look at the lack of statistical significance in ORBITA and the larger questions it raises about statistical analyses, statistically based decision making and the reporting of clinical trials. This review of ORBITA is particularly timely in the context of the widely publicized statement released by the American Statistical Association that cautioned against the use of sharp thresholds for the interpretation of p-values (Wasserstein and Lazar, 2016). We end by offering potential recommendations to improve reporting.

## 2. Statistical analysis of the ORBITA trial

*Adjusting for baseline differences.* In ORBITA, exercise time in a standardized treadmill test—the primary outcome in the preregistered design—increased on average by 28.4 s in the treatment group compared to an increase of only 11.8 s in the control group. As noted above, this difference was not statistically significant at a significance threshold of 0.05. Hence, following conventional rules of scientific reporting it was treated as zero—an instance of the regrettably common statistical fallacy of presenting non-statistically-significant results as confirmation of the null hypothesis of no difference.

However, the estimate using gain in exercise time does not make full use of the data that were available on differences between the comparison groups at baseline (Vickers and Altman, 2001, Harrell, 2017a). As can be seen in the **Table**, the treatment and placebo groups differ in their pre-treatment levels of exercise time, with mean values of 528.0 and 490.0 s, respectively. This sort of difference is fine—randomization assures balance only in expectation—but it is important to adjust for this discrepancy in estimating the treatment effect. In the published paper, the adjustment was performed by simple subtraction of the pre-treatment values:

$$\text{Gain in exercise time: } (y_{\text{post}} - y_{\text{pre}})^{\text{T}} - (y_{\text{post}} - y_{\text{pre}})^{\text{C}}, \quad (1)$$

But this *over-corrects* for differences in pre-test scores, because of the familiar phenomenon of “regression to the mean”—just from natural variation, we would expect patients with lower scores at baseline to improve, relative to the average, and patients with higher scores to regress downward. The optimal linear estimate of the treatment effect is actually:

$$\text{Gain in exercise time: } (y_{\text{post}} - \beta y_{\text{pre}})^{\text{T}} - (y_{\text{post}} - \beta y_{\text{pre}})^{\text{C}}, \quad (2)$$

where  $\beta$  is the coefficient of  $y_{\text{pre}}$  in a least-squares regression of  $y_{\text{post}}$  on  $y_{\text{pre}}$ , also controlling for the treatment indicator. The estimate in (1) is a special case of the regression estimate (2) corresponding to  $\beta = 1$ . Given that the pre-test and post-test measurements have nearly identical variances (as can be seen in the **Table**), we can anticipate that the optimal  $\beta$  will be less than 1, which will reduce the correction for difference in pre-test and thus increase the estimated treatment effect while also decreasing the standard error. As a result, an adjusted analysis of these data would be expected to produce a lower p-value.

The adjusted regression analysis can be done using the information available in the

**Table**, as explained in detail in **Box 1**. The p-value from this adjusted analysis is 0.09: as expected, lower than the  $p=0.20$  from the unadjusted analysis.

*Alternative reporting.* Despite moving closer to the conventional 0.05 threshold, the p-value of 0.09 remains on the side of the conventional level of significance where one would not reject the null hypothesis. A potential blockbuster reversal with an adjusted analysis—“Statistical Sleuths Turn Reported Null Effect into a Statistically Significant Effect”—does not quite materialize.

Yet within different conventions for scientific reporting, this experiment could have been presented as positive evidence in favor of stents. In some settings, a p-value of 0.09 is considered to be statistically significant; for example, in a recent social science experiment published in the *Proceedings of the National Academy of Sciences*, Sands (2017) presented a causal effect based on a p-value of less than 0.10, and this was enough for publication in a top journal and in the popular press, with, for example, that work mentioned uncritically in the media outlet *Vox* without any concern regarding significance levels (Resnick, 2017). By contrast, *Vox* reported that ORBITA showed stents to be “dubious treatments,” a prime example of the “epidemic of unnecessary medical treatments” (Belluz, 2017). Had Al-Lamee et al. performed the adjusted analysis with their data and published in *PNAS* rather than the *Lancet*, could they have confidently reported a causal effect of stents on exercise time?

One also could consider other options. For example, one could just take the summaries from the **Table** and report them as follows: With stents, there is a statistically significant improvement of 28.4 seconds (with a 95% confidence interval that clearly excludes zero); with placebo, there is no statistically significant change. Thus, the data show that stents work and placebo has no effect. Such a conclusion would be inappropriate, as it would be making the error of comparing significance to non-significance (Gelman and Stern, 2006). But this error appears in published papers all the time, including in top journals, so it represents another way the data could have been reported (Bland and Altman 2015, Allison et al., 2016).

Our point here is not at all to suggest that Al-Lamee et al. engaged in reverse “p-hacking” (Simmons, Nelson, and Simonsohn, 2011), choosing an analysis that produced an explosive null result. In fact, the authors should be congratulated for pre-registering their study and publishing their protocol prior to performing their analyses. Rather we wish to emphasize the flexibility inherent both in data analysis and reporting—even in the case of a clean randomized experiment. We are pointing out the potential fragility of the stents-didn’t-work story in this case. Existing data could easily have been presented

as a success for stents compared to placebo by authors who were aiming for that narrative and performing more or less reasonable analyses.

*Fragility of the findings.* How sensitive were the results to slight changes in the data? To better understand this critical point, one can perform a simple bootstrap analysis, computing the results that would have been obtained from reanalyzing the data 1000 times, each time resampling patients from the existing experiment with replacement (Efron, 1979). As raw data were not available to us, we approximated using the normal distribution based on the observed z-score of 1.7. The result was that, in 40% of the simulations, stents outperformed placebo at a traditional level of statistical significance. This is not to say that stents really are better than placebo – the data also appear consistent with a null effect. The take-home point of this experiment is that the results could easily have gone “the other way”, when reporting is forced into a binary classification of statistical significance, for many different reasons.

### **3. Design of the trial and clinical significance**

In a justification for their study design and sample size, Al-Lamee et al. (2017) wrote: “Evidence from placebo-controlled randomised controlled trials shows that single antianginal therapies provide improvements in exercise time of 48–55 s . . . Given the previous evidence, ORBITA was conservatively designed to be able to detect an effect size of 30 s.” The estimated effect of 21 s with standard error 12 s is consistent with the “conservative” effect size estimate of 30 s given in the published article. So although the experimental results are consistent with a null effect, they are even more consistent with a small positive effect.

One might ask, however, about the *clinical* significance of such a treatment effect., which we can discuss without relevance to p-values or statistical significance. For simplicity, suppose we take the point estimate from the data at face value. How should we think about an increase in average exercise time of 21 s? One way to conceptualize this is in terms of percentiles. The data show a pre-randomization distribution (averaging the treatment and control groups) with a mean of 509 and a standard deviation of 188. Assuming a normal approximation, an increase in exercise time of 21 s from 509 to 530 would take a patient from the 50th percentile to the 54th percentile of the distribution. Looked at that way, it would be hard to get excited about this effect size, even if it were a real population shift.

Beyond exercise time, there were other signals from ORBITA that seemed to suggest consistent improvements in the physiological parameter of ischemia through endpoints

such as fractional flow reserve, instantaneous wave-free ratio, and stress echo. Actually, findings from the stress echo highlight a potentially important avenue into an alternative presentation of these results. There is no question that some physiological changes are being made by stents, with very large and highly statistically significant ( $p < 0.001$ ) effects seen on echo measures. As is often the case, the null hypothesis that these physical changes should make absolutely zero difference to any downstream clinical outcomes seems farfetched. Thus, the sensible question to ask is “How large are the clinical differences observed?”, not “How surprising is the observed mean difference under a [spurious] null hypothesis?” The simple textbook way to tackle this question is to report confidence intervals (CIs) around the mean differences and not to focus on whether the intervals happen to include zero. The fact that the standard 95% CI for the primary outcome comfortably includes the target effect size of 30 s suggests this value should be no more “rejected” than the null value. Furthermore, without the longitudinal data to observe the outcomes that matter most to patients—health and length of life—much remains uncertain.

The larger question has to be about balancing the long-term benefits of stents with risks of the operation. It does not seem reasonable for a person to risk life and health by submitting to a surgical procedure just for a potential benefit of 21 seconds of exercise time on a standardized treadmill test—or even a hypothesized larger benefit of 50 seconds, which would still only represent a 10% improvement for an average patient in this study. Yet maybe a 5-10% increase is consequential in this case as it could improve quality of life for a patient outside of this artificial setting. Perhaps this small gain in exercise time is associated with the need for less medications, fewer functional limitations or greater mobility. If so, however, one might postulate this gain would have been apparent in assessments of angina burden, and it was not.

Part of the bigger concern here is that these patients were already doing pretty well on medications—that is, they already had a low symptom frequency before stenting. For example, angina frequency as measured by the Seattle Angina Questionnaire was 63.2 after optimizing medications and before stenting in the treatment group. This roughly translates as “monthly” angina (John Spertus, personal communication). How does a study with a follow-up of just 6 weeks expect to improve an outcome that happens this infrequently? In fact, one of the great debates surrounding ORBITA is that those who discount the trial suggest it enrolled patients who typically do not receive stents in routine practice. Those who believe ORBITA is a game-changer argue that these less symptomatic patients actually make up a large proportion of those receiving stents – and that is why we have such a large problem with their overuse.

Finally, are stents really being given to patients with stable angina just to improve fitness or to reduce symptoms? Or is there a continued expectation that stents have long-term benefits for patients, despite earlier data from studies like the Clinical Outcomes Utilizing Revascularization and Aggressive Drug Evaluation (COURAGE) study (Boden, 2007)? This would seem to be the key question, in which case the short-term effects, or lack thereof, found in the ORBITA study are largely irrelevant. Other larger trials, such as International Study of Comparative Health Effectiveness With Medical and Invasive Approaches (ISCHEMIA, see: <https://clinicaltrials.gov/ct2/show/NCT01471522>) are considering this more fundamental question but will not have a placebo procedure.

#### **4. Recommendations for statistical reporting of trials**

The search for better medical care is an incremental process, with incomplete evidence accumulating over time. There is unfortunately a fundamental incompatibility between that core idea and the common practice, both in medical journals and the news media, of up-or-down reporting of individual studies based on statistical significance. We offer some recommendations summarized in **Box 2** that we believe will be helpful to authors and editors moving forward.

At this point it's not clear how best to incorporate this recent experiment into routine practice despite its novel and provocative study design, so the forced reporting of the primary outcome as "positive" or "negative" is unhelpful. A reanalysis of the summary data from Al-Lamee et al. (2017) reveals a stronger estimated effect that is closer to the conventional boundary of statistical significance, indicating that the study could rather easily have generated and reported evidence in favor of, rather than against, the effectiveness of stents for patients with stable angina. And from our brief flurry of excitement over the possibility that a simple reanalysis could change the significance level, we are again reminded of the sensitivity of headline conclusions to decisions in statistical analysis. In any case, though, the observed increases in exercise time, even if statistically significant, do not appear at first glance to be of much clinical importance, compared to the much more relevant long-term health outcomes that remain uncertain.

In the design, evaluation, and reporting of experimental studies, there is a norm of focusing on the statistical significance of a primary outcome – in this case, change in average exercise time on a standardized treadmill test. In general, the resulting conclusions will be fragile because p-values are extremely noisy unless the underlying effect is huge. An experiment may be designed to have 80% power, but this doesn't eliminate the fragility, as illustrated by our bootstrap re-analysis. It is also often conditional on an overestimated effect size (Schulz and Grimes, 2005, Gelman, 2018)

and does not address the important question of variation in treatment effects. Examination of the *Lancet* paper suggests that it exhibits a classic case of “significantitis” or “dichotomania” (Greenland, 2017), with frequent repetition of phrases such as “there was no significant difference.” We suggest that the phrase used by these authors, “We deemed a p value less than 0.05 to be significant,” should be strongly discouraged, rather than actively demanded as is currently the case by many journal editors. To their credit, the ORBITA authors themselves have recognized these critical issues (see online: <https://twitter.com/ProfDFrancis/status/952008644018753536>).

In the case of stents, an important disconnect appears between the findings emphasized in the recent study—however presented—and the larger context of treatments for heart disease. From a statistical perspective, this appears to reflect a problem with the framing of clinical trials as attempts to discover whether a treatment has a statistically significant effect—commonly misinterpreted to be equivalent to a real (non-zero) population mean difference. Power calculations are used in an attempt to assure stable estimates and a good chance of the experiment being “successful”, although within these constraints there can be a push toward convenience rather than relevance of outcome measures—which is perhaps an inevitable compromise. ORBITA shows us the confusion that arises when a treatment is reported as a success or failure in statistical terms that are divorced from clinical context.

ORBITA was never meant to be definitive in a broad sense—it was designed to find a statistically significant physiological effect of stenting on mean exercise time, without clarity on the clinical relevance of anticipated effects on this outcome measure. Indeed, a likely reason why the study was limited in its size and design of these surrogate outcomes was because this is all that could have passed an ethical board given the novelty of the placebo procedure in this setting. Further background on these topics from Darrel Francis, the senior author on the study, appears at Harrell (2017b). Beyond immediate news reports, one positive impact of ORBITA is that bigger trials of stenting with placebo procedures are now much more likely with a more definitive set of measured outcomes that are meaningful for patients.

We don’t see any easy answers here—long-term outcomes would require a long-term study, after all, and clinical decisions need to be made right away, every day—but perhaps we can use our examination of this particular study and its reporting to suggest practical directions for improvement in heart treatment studies and in the design and reporting of clinical trials more generally.



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