



King's Research Portal

Document Version
Peer reviewed version

[Link to publication record in King's Research Portal](#)

Citation for published version (APA):

Gallifant, J., Sharell, D., Hashmi, M., Riviello, E. D., Schultz, M. J., Ulisubisya, M., & Formenti, F. (in press). Mechanical ventilators for low and middle-income countries: informing a context-specific and sustainable design. *British Journal of Anaesthesia*.

Citing this paper

Please note that where the full-text provided on King's Research Portal is the Author Accepted Manuscript or Post-Print version this may differ from the final Published version. If citing, it is advised that you check and use the publisher's definitive version for pagination, volume/issue, and date of publication details. And where the final published version is provided on the Research Portal, if citing you are again advised to check the publisher's website for any subsequent corrections.

General rights

Copyright and moral rights for the publications made accessible in the Research Portal are retained by the authors and/or other copyright owners and it is a condition of accessing publications that users recognize and abide by the legal requirements associated with these rights.

- Users may download and print one copy of any publication from the Research Portal for the purpose of private study or research.
- You may not further distribute the material or use it for any profit-making activity or commercial gain
- You may freely distribute the URL identifying the publication in the Research Portal

Take down policy

If you believe that this document breaches copyright please contact librarypure@kcl.ac.uk providing details, and we will remove access to the work immediately and investigate your claim.

1 **Mechanical ventilators for low and middle-income countries:**
2 **informing a context-specific and sustainable design**

3
4 Jack Gallifant¹, Dan Sharell², Madiha Hashmi³, Elisabeth D Riviello⁴, Marcus J Schultz^{5,6,7},
5 Mpoki Ulisubisya⁸, Federico Formenti^{1,9,10, @}

6
7 ¹ Centre for Human and Applied Physiological Sciences, School of Basic and Medical
8 Biosciences, King's College London, London, UK

9 ² Rotterdam School of Management, Erasmus University, The Netherlands

10 ³ Department of Critical Care Medicine, Ziauddin University, Karachi, Pakistan

11 ⁴ Harvard Medical School, and Division of Pulmonary, Critical Care, and Sleep Medicine,
12 Department of Medicine, Beth Israel Deaconess Medical Center, Boston, Massachusetts, USA

13 ⁵ Mahidol-Oxford Tropical Medicine Research Unit, Faculty of Tropical Medicine Mahidol
14 University, Bangkok, Thailand

15 ⁶ Department of Intensive Care & Laboratory of Experimental Intensive Care and Anesthesiology
16 (L.E.I.C.A.), Academic Medical Center, University of Amsterdam, Amsterdam, The Netherlands

17 ⁷ Centre for Tropical Medicine and Global Health, Nuffield Department of Medicine, Oxford
18 University, Oxford, UK

19 ⁸ Tanzania Ministry of Health and Social Welfare, Dar Es Salaam, Tanzania

20 ⁹ Department of Biomechanics, University of Nebraska Omaha, Omaha, NE, USA

21 ¹⁰ Nuffield Division of Anaesthetics, University of Oxford, Oxford, UK.

22
23 **@ Corresponding author:** Dr Federico Formenti, e-mail: federico.formenti@outlook.com;
24 telephone +442078486292; fax +442078486325

25 Address: Centre for Human and Applied Physiological Sciences, School of Basic and Medical
26 Biosciences, King's College London, London, SE1 1UL, United Kingdom

27
28 **Sources of funding:** None.

29
30 **Declaration of interests:** FF reports grants from the National Institute of Health Research (UK),
31 the National Association of Academic Anaesthetists, and the Wellcome/EPSRC Centre for Medical
32 Engineering; he is one of the volunteer directors of OxVent, a joint-venture social enterprise
33 between Oxford University and King's College London for mechanical ventilation. All other authors
34 declare no competing conflicts.

35
36 **Running title:** context-specific and sustainable mechanical ventilation for LMICs

37 **Key words:** Ventilators, Mechanical; Respiration, Artificial; Low Income; Survey; Health Care
38 Quality, Access, and Evaluation.

39 **Total number of words:** 1,173

40 **Total number of references:** 10

41 Editor - The COVID-19 pandemic transiently raised the need for greater intensive care mechanical
42 ventilation capacity around the world. Whilst intensive care units (ICU) were under immense
43 pressure globally, several high-income countries (HICs) did not ultimately require novel prototype
44 ventilators, as standard ventilators' supply was sufficient to meet demand. In contrast, mechanical
45 ventilation capacity was, and largely remains insufficient in the vast majority of low and middle
46 income countries (LMICs), limiting access to critical care and surgery.¹

47

48 Standard ventilators used in HIC hospitals are unaffordable and unsustainable for hospitals with
49 limited resources in LMICs. In response to the COVID-19 pandemic, some non-governmental
50 organisations specifically began work on designing ventilators for LMICs. However, to our
51 knowledge, no one has systematically surveyed a variety of LMIC sites to understand the contexts
52 and challenges that need to be addressed in ventilator design.

53

54 Here we identify the key technical requirements for the design of a context-specific and sustainable
55 mechanical ventilator for use across LMICs.

56

57 We performed a cross-sectional survey aimed at providing an overview of mechanical ventilation
58 capacity and infrastructure in LMICs. The information was requested with reference to typical
59 working patterns, not specifically to any surge in service demand like that associated with the
60 COVID-19 pandemic waves. Results from this survey and those available in the literature were
61 critically considered to identify key technical parameters to support the design of a context-specific
62 and sustainable mechanical ventilator. Ethical approval was not required for this survey because
63 it did not require patient data. The study followed EQUATOR Network guidelines and standards
64 for reporting qualitative research.

65

66 The survey (Supplementary Appendix) consisted of 63 questions, used to define respondents'
67 profiles, their hospitals' characteristics, current mechanical ventilation infrastructure and
68 environment, and the estimated need for mechanical ventilation, associated maintenance and
69 monitoring equipment. The survey was shared via email to 16 anaesthesia and critical care

70 national and international societies and healthcare institutions, and via social media, directly
71 reaching out to a convenience sample of 81 LMICs as defined by the World Bank.

72

73 Fifty respondents, mostly anaesthetists (45%) and intensivists (44%), with >6 year experience
74 (72%), from different, large teaching and public hospitals (76%) contributed from 23 LMICs in
75 Africa, Asia, Central and South America. Characteristics of respondents and their institutions are
76 presented in Supplementary Table 1, country-by-country details are listed in Supplementary Table
77 2, and the geographical distribution of responses is illustrated in Supplementary Figure 1.

78

79 Supplementary Table 3 summarizes the power and gases availability. Loss of electricity was found
80 to occur daily 19% (9/48), weekly 25% (12/48), less frequently 48% (23/48), or did not occur 8%
81 (4/48). The majority of these outages [72% (31/44)] were reported to last <2 hours, with back-up
82 power from external fossil fuel generators and batteries reported to be supplied within 1 hour in
83 91% (40/44).

84 This electricity availability is similar to that reported in a survey of 10 hospitals in Tanzania.² As
85 access to electricity varies within most LMICs, where larger hospitals typically have more reliable
86 supply,³ the design of a context-specific mechanical ventilator needs to include an emergency
87 battery to supply electricity, but our results suggest that the battery power may only be needed
88 for a few hours (Table 1), limiting the cost for this relatively expensive component.

89 Compressed air was always available in 35% of hospitals, either piped 68% (19/28) or supplied
90 via cylinders 29% (8/28) (Supplementary Figure 2). Oxygen was reported as always available in
91 74% of hospitals, at high pressure either piped 44% (20/46), or supplied via cylinders 46% (21/46),
92 or at low pressure via concentrators 11% (5/46).

93 This oxygen availability was lower than observed in 99 Sri Lankan ICUs where piped oxygen was
94 available,⁴ and lower than in 10 hospitals in Tanzania.² Our result on oxygen availability matches
95 a survey of 97 clinicians from public district and provincial hospitals in urban and rural areas in 19
96 countries throughout Africa, Asia and South America, where 75% reported that oxygen was
97 available most or all of the time,⁵ and is similar to that reported from 97 Ugandan anaesthetists,
98 where 63% had always access to oxygen.⁶ Overall, our results were more conservative than or

99 comparable with those obtained from a total of 293 respondents plus 10 hospitals across 22
100 LMICs, supporting the representativeness of our findings.

101 Considered together with evidence from the literature,^{2 4 6} our results on compressed air and
102 oxygen availability suggest that the design of a mechanical ventilator for hospitals with limited
103 resources may need to include an air compressor, and either a gas cylinder or an oxygen
104 concentrator (Table 1), where modular designs would allow integration of features as necessary.

105

106 Most institutions 96% (48/50) reported having emergency departments, operating theatres and
107 ICUs, and 4% (2/50) reported having only two of these three. Supplementary Figure 3 displays
108 the number of ventilators that were functioning, non-functioning, and perceived to be required for
109 each of these 3 departments. Over half of respondents (25/48) reported that ventilators were used
110 7 days a week, and 15 of these reported they were in use 24 hours per day. ICUs had the greatest
111 estimated requirement for ventilators with 28% (13/47) requiring over 15, 40% (19/47) requiring 6-
112 15, and 32% (15/47) requiring 0-5 ventilators per Unit. Emergency departments and operating
113 theatres required a relatively smaller number of ventilators, with 76% (35/46) and 50% (23/46)
114 requiring between 0-5 per Unit, and only 9% (4/46) emergency departments and 22% (10/46)
115 operating theatres requiring >10 ventilators. A lack of funds and technical maintenance support
116 combined was the most frequent reason for non-functioning or not used ventilators, where a lack
117 of funding was cited in 74% (34/46) of responses (Supplementary Figure 4).

118

119 The median reported minimum and maximum operating temperatures were 20 and 30°C, and
120 humidity was 30 and 60%. The design needs to consider the different environmental working
121 conditions, where temperature and humidity reported here were typically higher in LMICs than in
122 HICs. Testing must be performed in a relevant range of temperature, humidity and atmospheric
123 pressure, depending on flow and pressure sensors employed (Table 1).

124

125 Detailed information on the frequency of anaesthesia mode is presented in Supplementary Figure
126 5, the perceived importance of monitoring techniques in Supplementary Figure 6, and proposed

127 sustainable costs of consumables/patient/day in Supplementary Figure 7. Further results are
128 presented and discussed in the Supplementary Appendix.

129

130 Overall, based on this survey's new and confirmatory findings, on evidence available from the
131 literature,¹⁻⁹ on the authors' baseline experience of known needs, and collaborators' expert
132 opinion, Table 1 summarises the key features to be considered when designing a mechanical
133 ventilator to be useful and usable in LMICs. Inevitably, the requirements listed in this table will not
134 be fully applicable to the very wide variety of all LMIC sites. However, there will be similarities in
135 resource poor settings that are applicable to many sites. In this sense, the table considers the
136 lower end of the resource spectrum, and provides the "lowest common denominator", which we
137 think will capture some common issues of many sites. The trade-off between cost and
138 sophistication is obvious, where in-country manufacture (or at least assembly) is needed for the
139 design to be sustainable.

140 **Authors' contributions**

141 Preparation of the survey: DS, FF; Conceptualisation: MS, FF; Data analysis: JG, DS, FF;
142 Interpretation: JG, DS, MH, EDR, MJS, MU, FF; Supervision: MH, MJS, MU, FF; Preparation of
143 the manuscript: FF, JG; Critical revision and approval of the manuscript: JG, DS, MH, EDR, MJS,
144 MU, FF.

145 Authors approved the final version of the manuscript and agree to be accountable for all aspects
146 of the work in ensuring that questions related to the accuracy or integrity of any part of the work
147 are appropriately investigated and resolved. All persons designated as authors qualify for
148 authorship, and all those who qualify for authorship are listed.

149 All authors had final responsibility for the decision to submit for publication.

150

151 **Data sharing**

152 De-identified survey responses data will be made available upon request from the corresponding
153 author.

154

155 **Acknowledgements**

156 We thank all respondents for their time and contribution, expert physicians and engineers who
157 contributed to the preparation of the survey, Rafael Badell-Grau (OxVent, UK), Martin Dres
158 (Sorbonne Université, France), Andrew D. Farmery (University of Oxford, UK), and experts in
159 healthcare in LMICs for discussions and critical feedback including [alphabetical order by name]
160 Arturo Mendoza (British Embassy, Mexico), Bárbara Elena Montalvo Alvarez (Embassy of Cuba,
161 United Kingdom), Benjin Joshua (Assist International), Caroline Murphy (King's College London,
162 UK), Dylan Bould (University of Ottawa, Canada), Laura Magee (King's College London, UK),
163 Lucio Luzzatto (Muhimbili University of Health and Allied Sciences, Tanzania), Mark Ansermino
164 (Center for International Child Health and University of British Columbia, Canada), Masreshaw
165 Demelash (Addis Ababa Institute of Technology and Assist International), Paul Fenton (Formerly
166 Professor of Anaesthesia, College of Medicine, Malawi), Peter von Dadelszen (King's College
167 London, UK), Raoul Kamadjeu (Public Health Emergencies at UNICEF) and Robyn Meurant (NSF
168 International).

169 **References**

- 170 1. Baker T. Critical care in low-income countries. *Trop Med Int Heal* 2009; **14**: 143–8
- 171 2. Baker T, Lugazia E, Eriksen J, Mwafongo V, Irestedt L, Konrad D. Emergency and critical
172 care services in Tanzania: A survey of ten hospitals. *BMC Health Serv Res* 2013; **13**: 1–9
- 173 3. Adair TH, Gay WJ, Montani JP. Growth regulation of the vascular system: evidence for a
174 metabolic hypothesis. *Am J Physiol* 1990; **259**: R393-404
- 175 4. Haniffa R, De Silva AP, Iddagoda S, et al. A cross-sectional survey of critical care
176 services in Sri Lanka: A lower middle-income country. *J Crit Care* 2014; **29**: 764–8
- 177 5. Ginsburg AS, Van Cleve WC, Thompson MIW, English M. Oxygen and Pulse Oximetry in
178 Childhood Pneumonia: A Survey of Healthcare Providers in Resource-limited Settings. *J*
179 *Trop Pediatr* 2012; **58**: 389–93
- 180 6. Hodges SC, Mijumbi C, Okello M, McCormick BA, Walker IA, Wilson IH. Anaesthesia
181 services in developing countries: defining the problems. *Anaesthesia* 2007; **62**: 4–11
- 182 7. US Food and Drug Administration. Appendix B: Authorized Ventilators, Ventilator Tubing
183 Connectors, and Ventilator Accessories [Internet]. 2021 [cited 2021 Jun 24]. Available
184 from: [https://www.fda.gov/medical-devices/coronavirus-disease-2019-covid-19-](https://www.fda.gov/medical-devices/coronavirus-disease-2019-covid-19-emergency-use-authorizations-medical-devices/ventilators-and-ventilator-accessories-euas#appendixb)
185 [emergency-use-authorizations-medical-devices/ventilators-and-ventilator-accessories-](https://www.fda.gov/medical-devices/coronavirus-disease-2019-covid-19-emergency-use-authorizations-medical-devices/ventilators-and-ventilator-accessories-euas#appendixb)
186 [euas#appendixb](https://www.fda.gov/medical-devices/coronavirus-disease-2019-covid-19-emergency-use-authorizations-medical-devices/ventilators-and-ventilator-accessories-euas#appendixb)
- 187 8. Ginsburg AS, Gerth-Guyette E, Mollis B, Gardner M, Chham S. Oxygen and pulse
188 oximetry in childhood pneumonia: Surveys of clinicians and student clinicians in
189 Cambodia. *Trop Med Int Heal* 2014; **19**: 537–44
- 190 9. Klein AA, Meek T, Allcock E, et al. Recommendations for standards of monitoring during
191 anaesthesia and recovery 2021. *Anaesthesia* 2021; [anae.15501](https://doi.org/10.1093/anae/15501)
- 192 10. US Food and Drug Administration. Coronavirus Disease 2019 (COVID-19) Emergency
193 Use Authorizations for Medical Devices | FDA [Internet]. 2020 [cited 2021 Jun 10].
194 Available from: [https://www.fda.gov/medical-devices/emergency-use-authorizations-](https://www.fda.gov/medical-devices/emergency-use-authorizations-medical-devices/coronavirus-disease-2019-covid-19-emergency-use-authorizations-medical-devices)
195 [medical-devices/coronavirus-disease-2019-covid-19-emergency-use-authorizations-](https://www.fda.gov/medical-devices/emergency-use-authorizations-medical-devices/coronavirus-disease-2019-covid-19-emergency-use-authorizations-medical-devices)
196 [medical-devices](https://www.fda.gov/medical-devices/emergency-use-authorizations-medical-devices/coronavirus-disease-2019-covid-19-emergency-use-authorizations-medical-devices)
- 197

198 **Table 1.** Overview of key requirements for the design of a mechanical ventilator usable and
 199 sustainable in LMICs. Shades of blue: requirements identified by this survey; shades of green:
 200 requirements based on prior work,¹⁰ expert opinion, and on the authors' baseline experience of
 201 known needs.
 202

Parameter	Requirement
Electricity supply	AC: 100–240 V; 50/60 Hz; DC: 12–30 V; battery operation >2 hours * †
Compressed air	Air compressor *
Oxygen	Oxygen concentrator to deliver >10 L/min * or green labelled gas cylinder to support 2 hours of operation
Standards for electricity and gas supply	Match the national infrastructure (e. g. gas connectors, compatible gas pressures, electricity voltage and frequency, plugs and sockets *)
Operating temperature	15 – 35 °C
Operating humidity	20 – 70%
Patient monitoring †#	Pulse oximetry, non-invasive blood pressure, electrocardiography, airway oxygen, pressure and flow, end-tidal carbon dioxide and suction.
Internet connectivity	Network access for remote device monitoring (location, usage, self-calibration [†] and self-testing reports), firmware updates
Consumables costs	<US\$50 per patient per day
Support: technical and training	Local or in country as a priority; long-term contract for remote support; built-in self-calibration system; product life cycle
Manufacture, assembly and testing	In country as a priority, bench testing to meet regulatory standards; continuous operation over 14 days for critical care applications; built-in self-testing system †
Regulatory standards	CE marked or FDA approved (or similar)
Modes of ventilation	Pressure and/or volume control; spontaneous breathing support if ventilation is required for more than 1 day
Fraction of inspired oxygen	At least up to 80%
Respiratory rate	10 - 50 breaths per minute, increments of 1 or 2 ^δ
Positive End-Expiratory Pressure	5 to 20 cmH ₂ O, in 5 cmH ₂ O steps or less ^δ
Inspired-to-Expired ratio	1:1 to 1:3
Tidal volume	50 ^{††} to 700 mL, in steps of 50 mL or less ^δ
Inspiratory pressure limits	15 to 40 cmH ₂ O, in 5 cmH ₂ O steps or less ^δ
Alarms	Gas or electricity supply failure, switched off, tidal volumes and pressures exceeded or not reached
Filtering and Humidification	Bacterial Viral Filter; Heat and Moisture Exchanger
Display and ventilation monitoring	Set and delivered inspiratory pressure, tidal volume, respiratory rate, PEEP, fraction of inspired oxygen, ventilation mode

204 * For electricity international standards see International Electrotechnical Commission guidelines:
205 <https://www.iec.ch/world-plugs>; + 98% (135/137) LMICs have either 220 or 230 V, AC, and 84% (115/137)
206 LMICs have frequency of 50 Hz; †† 30 mL for ventilation in neonates; δ tolerance error < 10%; ‡ listed in
207 order from highest perceived importance from our survey (see supplementary figure 6 for details); # apart
208 from suction, all these monitoring priorities match the recent recommended standards of monitoring during
209 anaesthesia and recovery;⁹ † calibration and testing systems need to consider environmental conversion
210 factors (e. g. high altitude).
211 AC: Alternating current; DC: Direct current; CE: Conformité Européenne; FDA: United States Food and Drug
212 Administration; PEEP: positive end-expiratory pressure.
213

1 **Mechanical ventilators for low and middle-income countries:**
2 **informing a context-specific and sustainable design**

3
4 Jack Gallifant¹, Dan Sharell², Madiha Hashmi³, Elisabeth D. Riviello⁴, Marcus J. Schultz^{5,6,7},
5 Mpoki Ulisubisya⁸, Federico Formenti^{1,9,10, @}

6
7 ¹ Centre for Human and Applied Physiological Sciences, School of Basic and Medical
8 Biosciences, King's College London, London, UK

9 ² Rotterdam School of Management, Erasmus University, The Netherlands

10 ³ Department of Critical Care Medicine, Ziauddin University, Karachi, Pakistan

11 ⁴ Harvard Medical School, and Division of Pulmonary, Critical Care, and Sleep Medicine,
12 Department of Medicine, Beth Israel Deaconess Medical Center, Boston, Massachusetts, USA

13 ⁵ Mahidol-Oxford Tropical Medicine Research Unit, Faculty of Tropical Medicine Mahidol
14 University, Bangkok, Thailand

15 ⁶ Department of Intensive Care & Laboratory of Experimental Intensive Care and Anesthesiology
16 (L.E.I.C.A.), Academic Medical Center, University of Amsterdam, Amsterdam, The Netherlands

17 ⁷ Centre for Tropical Medicine and Global Health, Nuffield Department of Medicine, Oxford
18 University, Oxford, UK

19 ⁸ Tanzania Ministry of Health and Social Welfare, Dar Es Salaam, Tanzania

20 ⁹ Department of Biomechanics, University of Nebraska Omaha, Omaha, NE, USA

21 ¹⁰ Nuffield Division of Anaesthetics, University of Oxford, Oxford, UK

22
23
24
25 **SUPPLEMENTARY DATA**

26 **SUPPLEMENTARY METHODS**

27 **The Survey and Participants**

28 The survey was open from October 2020 to January 2021, available on Microsoft Forms in English,
29 French and Spanish, and consisted of 63 questions. It was tested with internal and external peer
30 review, both by experts and potential respondents to confirm content and face validity respectively,
31 and by potential respondents, where it was found to take 10-15 minutes to complete.

32

33 The survey form is available at

34 [https://forms.office.com/Pages/ResponsePage.aspx?id=AKImixdsUkOPBZt34Saze_s_BToYM9](https://forms.office.com/Pages/ResponsePage.aspx?id=AKImixdsUkOPBZt34Saze_s_BToYM9BCt9x04h-Ys0tUNksySVJYT1RSN0dGVktRMlpCNUIDTEpOWC4u)
35 [BCt9x04h-Ys0tUNksySVJYT1RSN0dGVktRMlpCNUIDTEpOWC4u](https://forms.office.com/Pages/ResponsePage.aspx?id=AKImixdsUkOPBZt34Saze_s_BToYM9BCt9x04h-Ys0tUNksySVJYT1RSN0dGVktRMlpCNUIDTEpOWC4u)

36

37 The target respondents were healthcare professionals, specifically physicians and nurses with
38 mechanical ventilation expertise, and who work or have worked in low and middle income country
39 (LMIC) hospitals. The survey was advertised via LinkedIn and social media, and shared via email
40 to anaesthesia and critical care national and international societies and healthcare institutions.
41 These type of target respondents and societies were chosen because they were deemed to be
42 most likely to offer an informed response based on direct experience, overall facilitating a more
43 representative outcome. The list of LMICs for inclusion in the study was taken from the World
44 Bank.

45

46 **Data processing and analysis**

47 Data were exported to Microsoft Excel 2016 (Microsoft, Seattle, WA), which was used for
48 analyses. Responses from participants who completed the survey in less than 8 minutes, and/or
49 completed less than 33 of the 63 questions, were deemed insufficiently complete and excluded
50 from analysis, as were duplicate responses and those from countries other than LMICs.

51

52

53

54 **SUPPLEMENTARY RESULTS**

55 A total of 60 responses were received from 23 (28%) of the 81 LMICs reached out to. Two
56 responses were identified as duplicates, 4 were insufficiently complete, and 4 from non-LMIC
57 countries, and were excluded.

58

59 Of the three possible responses offered, and an option to respond with free text, a lack of funds
60 and technical maintenance support combined was the most frequent reason for non-functioning
61 or not used ventilators, where a lack of funding was cited in 74% (34/46) of responses; the
62 distribution of these responses is presented in Supplementary Figure 3.

63

64 Supplementary Figure 7 shows the proposed sustainable costs of consumables per patient per
65 day; 57% (21/37) of respondents reported that these costs should be contained to US\$ < 50, while
66 32% (12/37) responded that these costs could be US\$ > 100.

67

68

69 **SUPPLEMENTARY DISCUSSION**

70 This study provided an overview of mechanical ventilation capacity in 50 hospitals from 23 LMICs,
71 investigating the infrastructure and resources available, and the perceived need and the
72 sustainable costs for mechanical ventilation. All of this information could help inform the design of
73 a novel context-specific and sustainable mechanical ventilator for LMICs.

74

75 **Infrastructure, environment and equipment**

76 Our work provides new information on mechanical ventilation capacity, expanding on the limited
77 data available on intensive care units in LMICs.¹ The majority of respondents were specialised
78 physicians, with several years of work in LMICs; they worked in relatively larger hospitals, where
79 the survey identified at least some mechanical ventilation capacity and supporting infrastructure.

80

81 Combining evidence on limited mechanical ventilation availability from our survey and on human
82 resources from the literature² highlights a vicious cycle between lack of sustainable equipment
83 and clinical training for its use. Even when equipment is acquired with donations, it may not
84 necessarily be usable and, when it is, its use may not be sustainable.³ For example, a generous
85 but not sufficiently well-planned donation resulted in 20 oxygen concentrators being donated with
86 the wrong voltage and frequency, resulting in overheating and breakdown, highlighting the need
87 for a technical context-specificity.⁴ Examples that highlight the need for sustainability come from
88 a report of limited local capacity to repair equipment (36%),^{aa5} and from a continuous positive
89 airway pressure trial, where the trial equipment was donated, but within 16 months had failed and
90 was not repaired (e. g. 3 in 4 generators and portable pulse oximeters).⁶ This limited sustainability
91 is in line with the findings of our survey, which identified the presence of some functioning
92 mechanical ventilators, but also several non-functioning or not used ventilators, with lack of funds
93 or replacement components and lack of technical engineering maintenance support being the
94 most common barriers (64%).

95
96 This lack of sustainable equipment, technical support and training forms the basis of a vicious
97 cycle that could be broken if more affordable technology was available, potentially increasing
98 mechanical ventilation capacity and access to surgery and critical care in LMICs.⁷ While improved
99 and more widely available training remains necessary,⁵ access to technology is likely going to
100 contribute to improve healthcare in LMICs. Internet connectivity was available to 75% of hospitals,
101 with 25% having no or frequently disrupted availability. This finding is a substantial increase
102 compared with a reported 4% in a cross-sectional survey in Sri Lanka in 2014, although only
103 asymmetric digital subscriber line for internet connection was reported.⁸ With increased internet
104 connectivity, the cost of remote technical assistance and training can be reduced dramatically.
105 Based on the published literature and on our survey, internet connectivity may enable a system to
106 support sustainability via training, technical support, ventilator monitoring and recalls, all of which
107 should be recorded.^{6 9} This approach would facilitate initial training, remote technical support,

108 identification of hardware or calibration faults, firmware updates, and data collection on location
109 and usage of the ventilator (e. g. days per week, hours per day, settings).

110

111 However, for a longer-term solution, building local manufacture, assembly capacity and technical
112 support will be required, also to break the dependency from HICs. In this longer-term perspective,
113 internet connection will also facilitate the application of artificial intelligence to the management of
114 mechanical ventilation therapy, where local experience and expertise could be complemented with
115 guidance made available through algorithms based on approaches and outcomes measured on
116 thousands of mechanically ventilated patients globally.¹⁰

117

118 **Patient monitoring**

119 Among monitoring techniques (Supplementary Figure 6), pulse oximetry is relatively economical.
120 Its availability was limited in LMICs, but has become more widely available since being
121 successfully introduced in LMICs with the Global Oximetry Project and the Lifebox Foundation.^{11–}
122 ¹³ Capnography is relatively more expensive and not as widely available in LMICs, but its
123 introduction was recently demonstrated as feasible in Malawi, where it enabled early recognition
124 of critical airway incidents,¹⁴ contributing to saving lives and further highlighting the priority this
125 monitoring technology should be given. Overall, the results on monitoring priorities from our survey
126 largely overlap with the most recent recommendations for standards of monitoring during
127 anaesthesia and recovery from the Association of Anaesthetists in the UK,¹⁵ further supporting the
128 validity of the survey.

129

130 **Strengths and limitations**

131 Our survey presents results from a broad geographical area reaching LMICs across Africa, Asia,
132 Central and South America. To the best of our knowledge, this is the first study to specifically and
133 systematically survey environment and infrastructure to provide information for a context-specific
134 and sustainable mechanical ventilator design.

135

136 The response rate was only 28% of all LMICs that were reached out to, and the majority of
137 respondents worked in larger hospitals. This respondents' self-selection intrinsically presents a
138 degree of bias, where our results could over- or underestimate the information applicable to a
139 wider scenario. Nevertheless, where the areas of investigation in this survey overlapped with
140 published surveys with larger sample sizes,^{5 8 16 17} the results were largely in agreement,
141 supporting the validity in the approach to target experienced responders and of our results.

142

143 While our survey explored the nurse-to-patient ratio, more information is required on trained staff
144 capacity. The availability of clinical staff trained to use mechanical ventilators is an important
145 consideration in design, perhaps pointing to the need for design that is simple to understand and
146 use.

147

148 Supporting the quality of the work presented here, the parameters and requirements identified by
149 our survey are in line with the current United States Food and Drug Administration, Emergency
150 Use Authorization guidelines for ventilators and ventilator accessories,¹⁸ with the United Kingdom
151 Medicines and Healthcare products Regulatory Agency guidelines for Rapidly Manufactured
152 Ventilator Systems,¹⁹ and with the recommendations from the Association of Anaesthetists of
153 Great Britain & Ireland.¹⁵

154 **Supplementary Table 1.** Characteristics of respondents and associated LMIC institutions.

Variable [number of respondents]	Number of respondents (% of total)
Role [n=49]	
Physician	38 (78)
Nurse	8 (16)
Other *	3 (6)
Specialty [n=47]	
Anaesthesia	21 (45)
Emergency	11 (23)
ICU	10 (21)
Other ‡	5 (11)
LMIC work experience [n=50]	
0-2 years	6 (12)
3-5 years	8 (16)
6-8 years	9 (18)
9-11 years	8 (16)
12-20 years	12 (24)
> 20 years	7 (14)
Hospital type [n=49]	
Teaching	25 (51)
Public	12 (25)
Regional	6 (12)
District	4 (8)
Other	2 (4)
Hospital beds [n=49]	
Unsure	4 (8)
<50	4 (8)
51-100	5 (10)
101-200	7 (14)
201-300	7 (14)
301-400	4 (8)
>400	18 (37)
ICU beds [n=49]	
Unsure	5 (10)
<3	5 (10)
4-6	17 (35)
7-9	5 (10)
10-12	4 (8)
13-15	4 (8)
16-18	3 (6)
19-21	3 (6)
>21	3 (6)
Nurse-to-patient ratio [n=50]	
1:1 - 1:3	42 (84)
1:4 - 1:6	5 (10)
Other	3 (6)

155
156 Rounding to 2 sf means percentages may not sum to 100. * Clinical Officers and Emergency Medical
157 Technicians; ‡ Basic Life Support, Obstetrics and Gynaecology, Palliative Care,
158 ICU: Intensive care unit, LMIC: Low and middle income country

159
160

Supplementary Table 2. Characteristics of respondents by country

Country	Hospital type	Hospital beds	ICU beds	Respondent specialty	Respondent years of experience in LMIC
Brazil (1)	Private (1)	Unsure (1)	19-21 (1)	ICU (1)	12-20 (1)
Bulgaria (1)	UT (1)	201-300 (1)	16-18 (1)	ICU (1)	9-11 (1)
Cape Verde(1)	Public (1)	101-200 (1)	4-6 (1)	NA (1)	>20 (1)
Ecuador (1)	Public (1)	<50 (1)	<3 (1)	ICU (1)	3-5 (1)
El Salvador (1)	Public (1)	51-100 (1)	7-9 (1)	Nursing (1)	12-20 (1)
Ethiopia (7)	UT (6) Public (1)	>400 (3) 201-300 (1) 301-400 (3)	10-12 (2) 13-15 (1) 16-18 (1) 4-6 (2) 7-9 (1)	Anaest (6) Anaest,ICU (1)	>20 (1) 0-2 (4) 3-5 (1) 6-8 (1)
Fiji (1)	Public (1)	Unsure (1)	7-9 (1)	Anaest (1)	12-20 (1)
Gambia, The (1)	Public (1)	<50 (1)	7-9 (1)	ICU (1)	12-20 (1)
Ghana (10)	District (2) District; Public (1) Regional/Provincial(1) Tertiary (1) UT (2)	<50 (1) >400 (3) 101-200 (3) 201-300 (2) Unsure (1)	<3 (2) >21 (1) 10-12 (1) 13-15 (1) 19-21 (1) 4-6 (2) Unsure (2)	Basic Life Support (1) EM (6) Obstetrics (1) Palliative Care (1) Blank (1)	0-2 (1) 3-5 (2) 6-8 (4) 9-11 (1) 12-20 (2)
India (1)	Private (1)	<50 (1)	<3 (1)	OG (1)	9-11 (1)
Liberia (1)	UT (1)	Unsure (1)	Unsure (1)	Anaest (1)	3-5 (1)
Malawi (4)	Regional/Provincial(2) Tertiary Public Hospital (1) UT; Public (1)	>400 (1)	10-12 (1) 4-6 (2) 7-9 (1)	Anaest (2) ICU (2)	>20 (2) 12-20 (1) 6-8 (1)
Mexico (1)	Public (1)	201-300 (1)	4-6 (1)	EM (1)	0-2 (1)
Nepal (5)	Public (1) Regional/Provincial(1) United Mission (1) UT (2)	>400 (1) 101-200 (3) 51-100 (1)	>21 (2) 4-6 (2) Unsure (1)	Anaest (3) ICU (1) NA (1)	3-5 (1) 6-8 (2) 12-20 (1) >20 (1)
Nigeria (1)	UT; Public (1)	>400 (1)	4-6 (1)	Anaest (1)	12-20 (1)
Philippines (1)	Public (1)	>400 (1)	13-15 (1)	OG (1)	>20 (1)
Sierra Leone (1)	UT (1)	201-300 (1)	4-6 (1)	Infectious diseases (1)	3-5 (1)
Somalia (1)	UT; Private (1)	51-100 (1)	<3 (1)	Anaest (1)	6-8 (1)
Togo (1)	UT (1)	>400 (1)	13-15 (1)	Anaest (1)	9-11 (1)
Uganda (2)	District (1) UT; Public (1)	201-300 (1) 51-100 (1)	4-6 (1) Unsure (1)	Anaest (2)	3-5 (1) 9-11 (1)
Venezuela (2)	Regional/Provincial; public (2)	>400 (1) 301-400 (1)	4-6 (2)	ICU (2)	>20 (1) 9-11 (1)
Yemen (1)	District (1)	51-100 (1)	4-6 (1)	Anaest (1)	12-20 (1)
Zambia (2)	UT (1) UT; Public; National Referral Hospital (1)	>400 (2)	16-18 (1) 19-21 (1)	Anaest (2)	12-20 (2)

161

162

“Private” hospitals were not-for-profit and/or faith based; (n): number of respondents [most, but

163

not all respondents had a specialty]; Anaest: Anaesthesia; EM: Emergency Medicine; ICU:

164

Intensive Care Unit; OG: Obstetrics and Gynaecology; UT: University and Teaching hospital; NA:

165

not applicable.

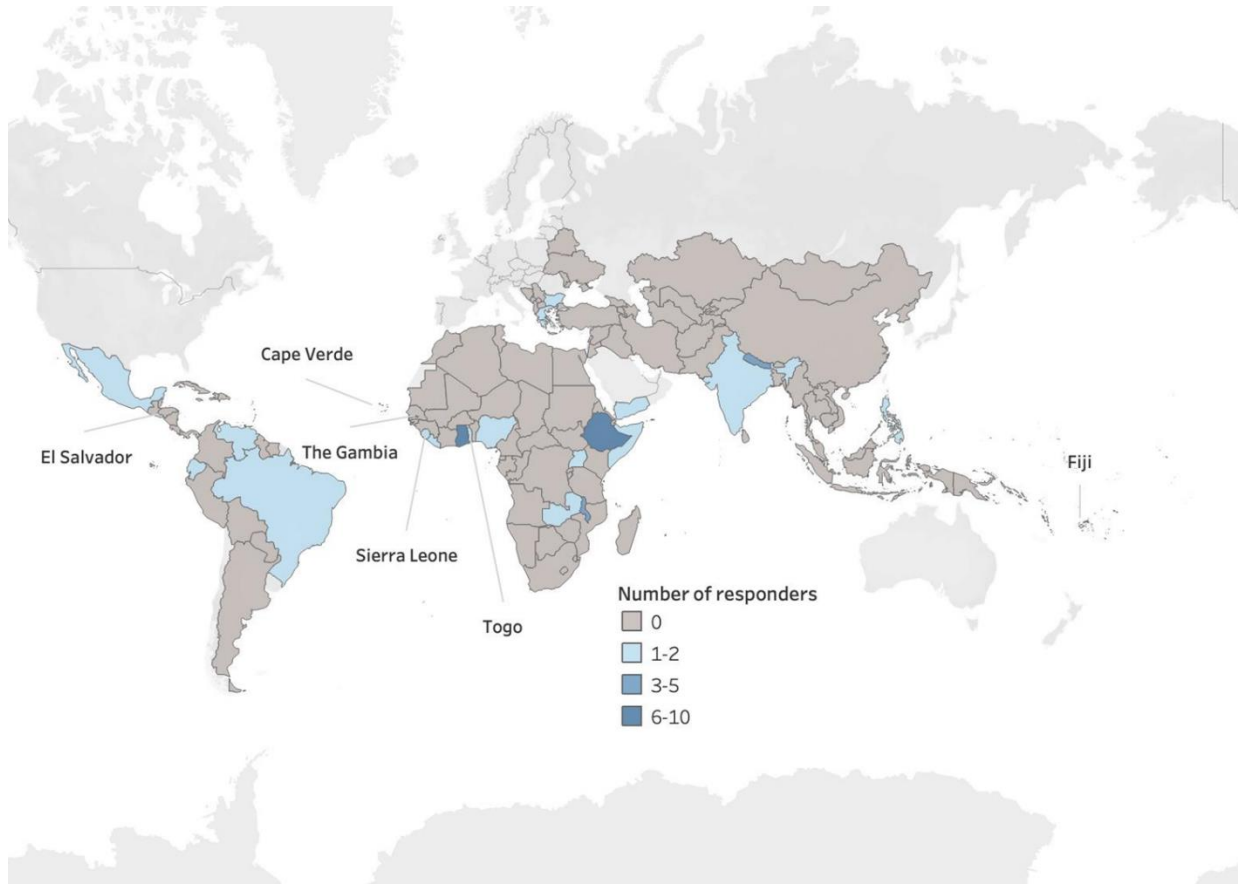
166

167 **Supplementary Table 3.** Power and gas availability details
 168

Variable [total respondents]	Number of respondents (% of total)
Power outage frequency [n=48]	
Unsure	4 (8)
Daily	9 (19)
Weekly	12 (25)
Monthly	5 (10)
Other	18 (38)
Power cut duration [n=44]	
Unsure	3 (7)
<1 hour	21 (48)
1-2 hours	10 (23)
3-8 hours	6 (14)
>8 hours	3 (7)
Back-up power supply time [n=44]	
Unsure	2 (5)
<30 min	34 (77)
30 – 60 min	6 (14)
No access	2 (5)
Back-up supply source [n=44]	
Fossil fuel	36 (82)
Fossil fuel and Battery	5 (11)
Other	3 (7)
Oxygen availability [n=49]	
Always	36 (73)
Limited	12 (24)
Not available	1 (2)
Compressed air availability [n=48]	
Always	17 (35)
Limited	12 (25)
Not available	19 (40)

169

170 **Supplementary Figure 1.** LMICs and associated number of responses included in the analysis

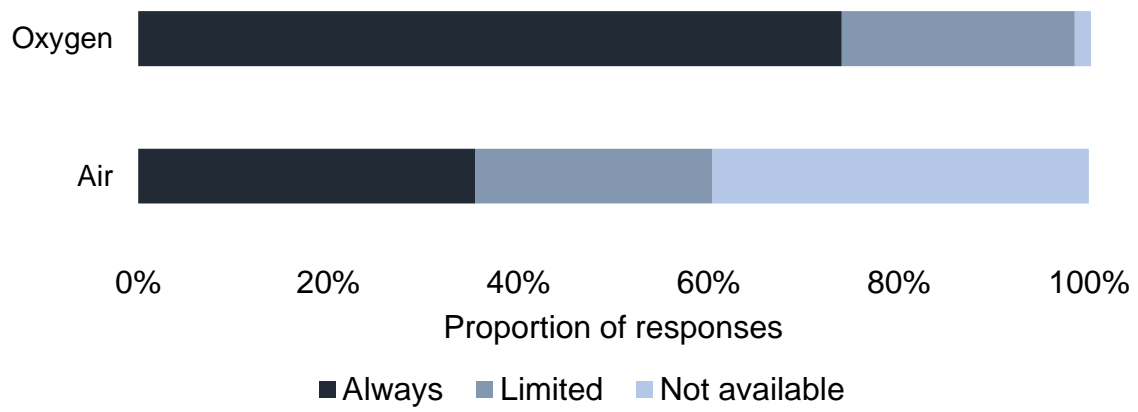


171

172

173 Dark grey and blue shadings visualise the number of responses per LMIC, and light grey indicates non-
174 LMIC. Countries where responses were collected and where land area is smaller than 100,000 sq. km are
175 annotated in the map for clarity.

176 **Supplementary Figure 2.** Availability of compressed air and oxygen for typical working patterns.
177

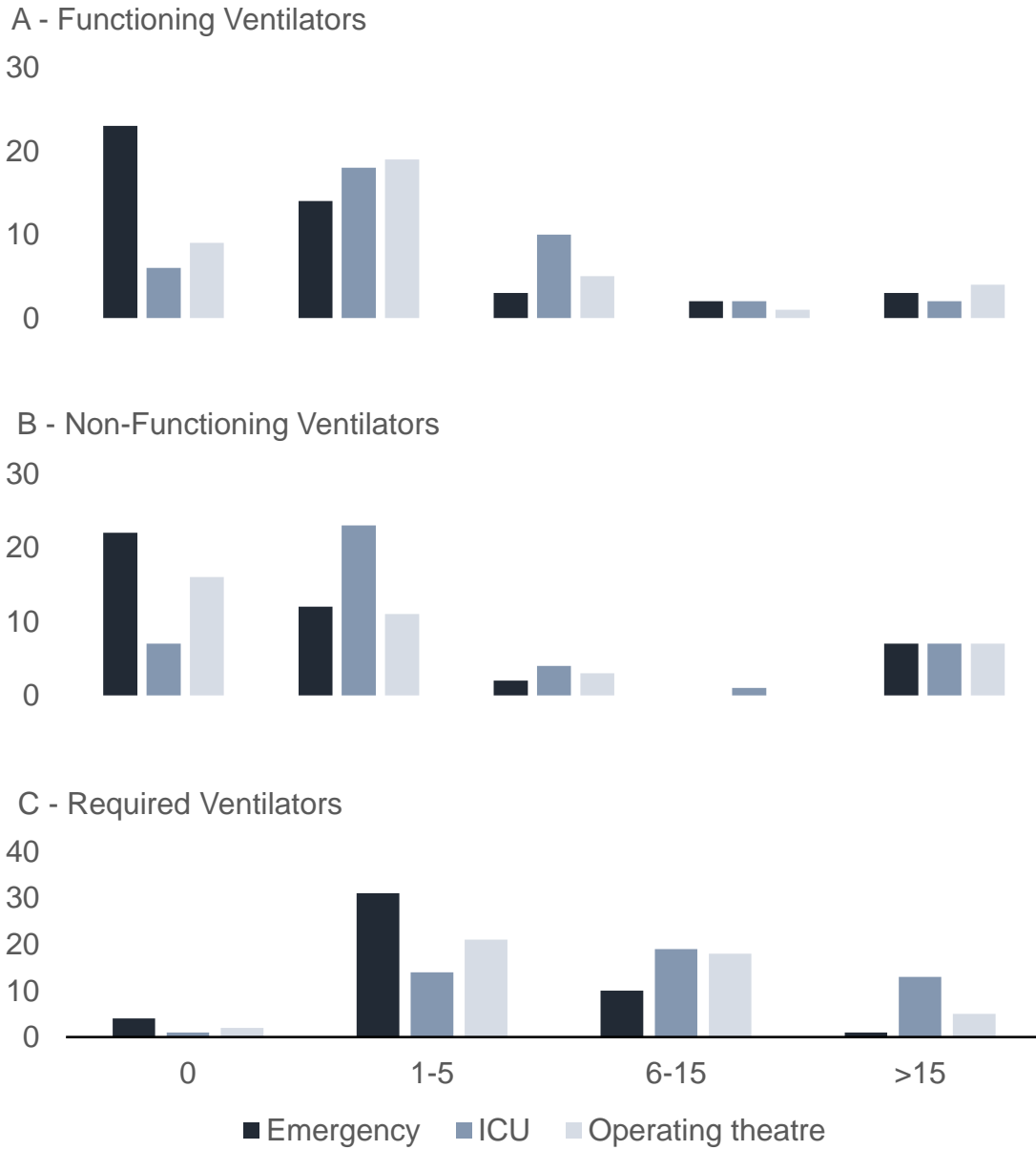


178

179 48 responses were received for compressed air and 49 for oxygen availability.

180

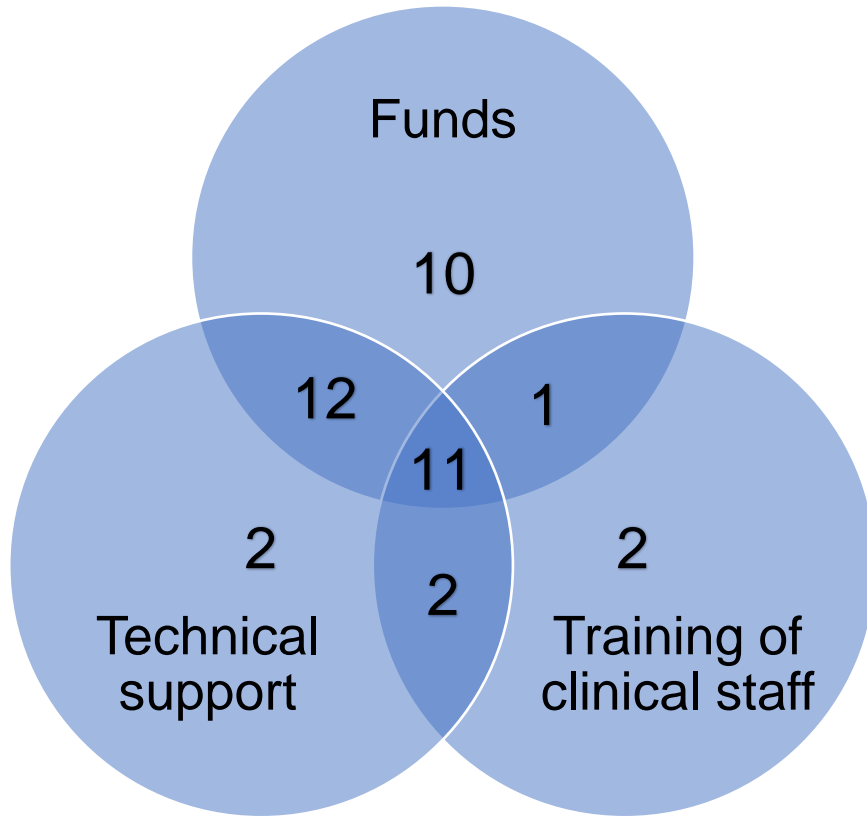
181 **Supplementary Figure 3.** Distribution of ventilators' available and requirement in LMIC emergency
 182 departments, ICU and operating theatres.
 183



(A) number of functioning ventilators in each department (n = 45, 38, 38 respectively); (B) number of non-functioning ventilators in each department (n = 43, 42, 34) include those not used due to lack of trained clinical staff (Figure 4); (C) number of ventilators perceived as required from each department (n = 46, 47, 46). ICU: Intensive care unit.

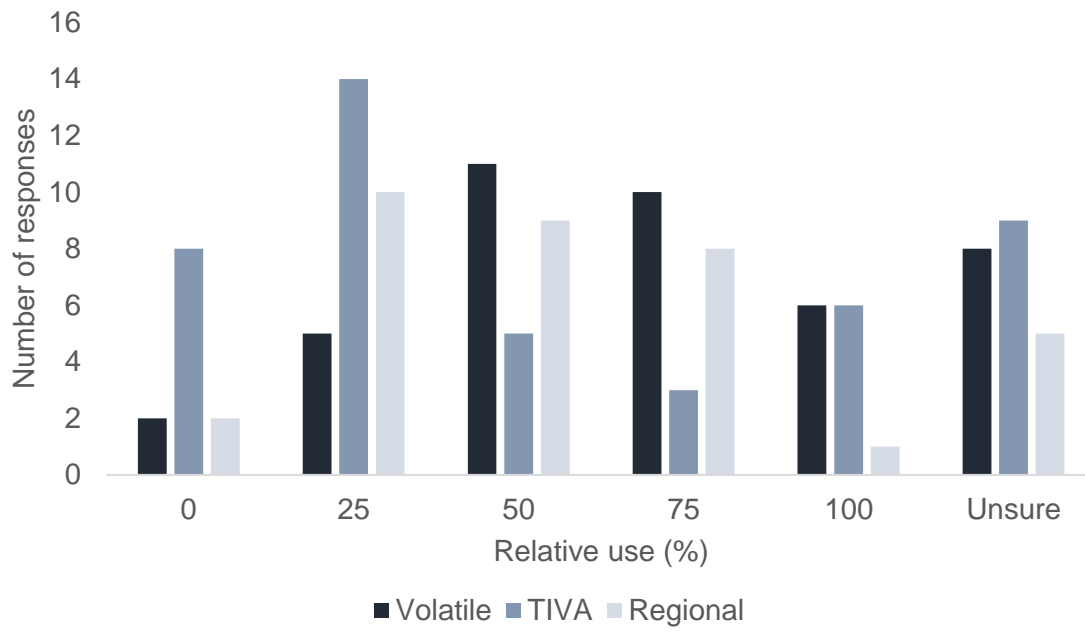
184
 185

186 **Supplementary Figure 4.** Number of responses for reasons for non-functioning or not used ventilators
187 across LMICs hospitals surveyed here.
188



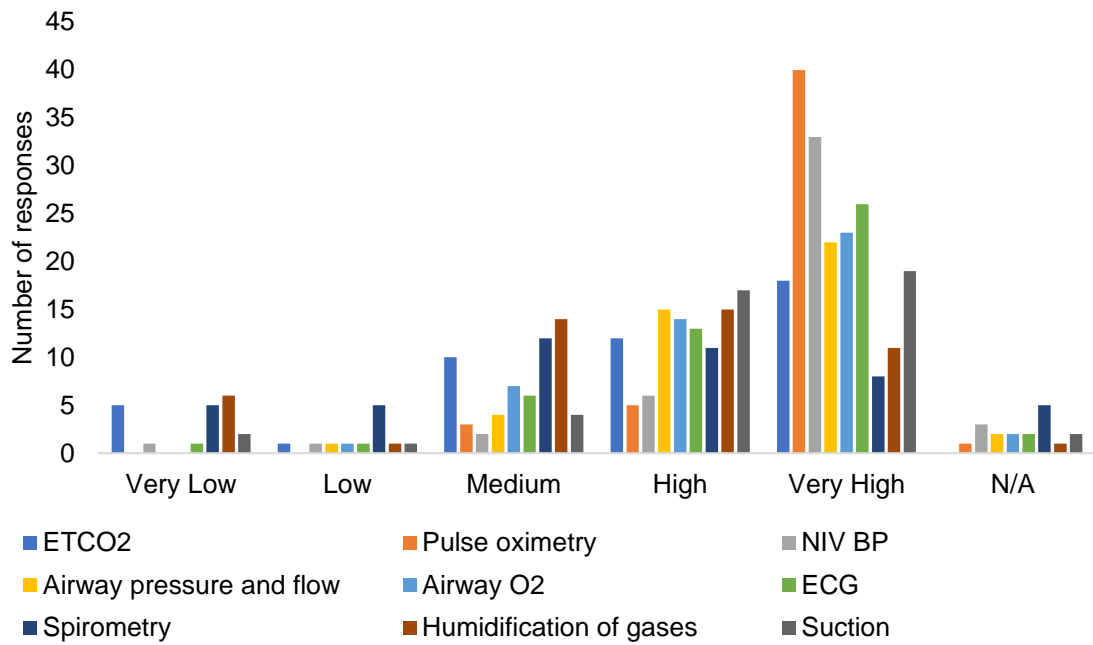
189

190 **Supplementary Figure 5.** Reported methods of anaesthesia.
191



192
193 TIVA: Total intravenous anaesthesia.
194

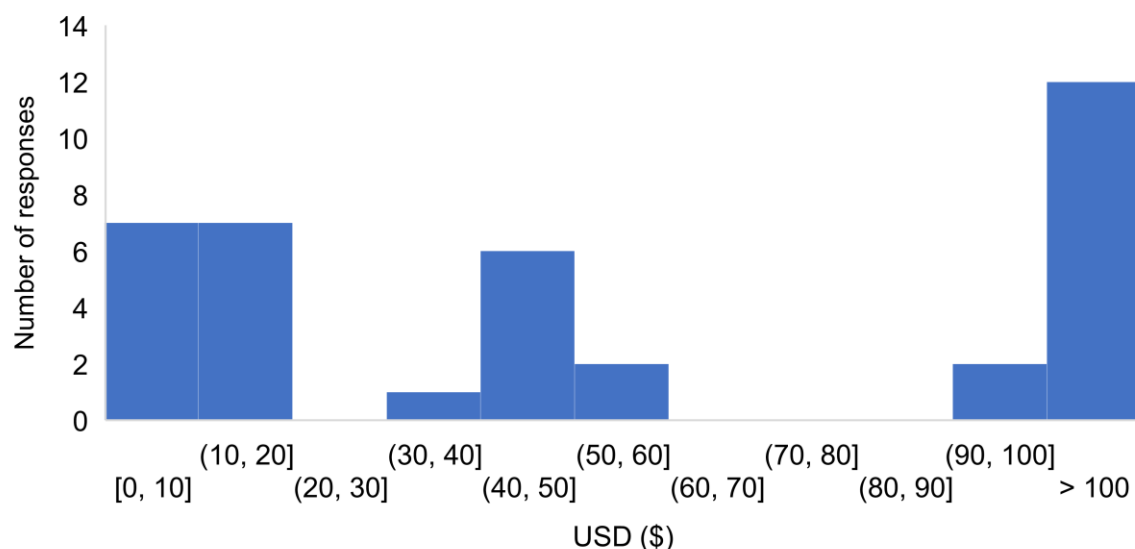
195 **Supplementary Figure 6.** Perceived importance of monitoring techniques.
 196



197
 198
 199 E_TCO₂: End-tidal CO₂, NIV BP: non-invasive blood pressure.
 200

201 **Supplementary Figure 7.** Reasonably sustainable cost of consumables per patient per day in US
202 dollars.

203



204

205 USD: US Dollars

206

207

208

209

210 REFERENCES

- 211 1. Murthy S, Leligdowicz A, Adhikari NKJ. Intensive Care Unit Capacity in Low-Income
212 Countries: A Systematic Review. Azevedo LCP, editor. *PLoS One* 2015; **10**: e0116949
- 213 2. Ulisubisya MM. The critical condition of anaesthesia provision in low-income and middle-
214 income countries. *Lancet Glob Heal* 2016; **4**: e597–8
- 215 3. Perry L, Malkin R. Effectiveness of medical equipment donations to improve health
216 systems: how much medical equipment is broken in the developing world? *Med Biol Eng*
217 *Comput* 2011; **49**: 719–22
- 218 4. Howie S. Beyond good intentions: lessons on equipment donation from an African
219 hospital. *Bull World Health Organ* 2008; **86**: 52–6
- 220 5. Hodges SC, Mijumbi C, Okello M, McCormick BA, Walker IA, Wilson IH. Anaesthesia
221 services in developing countries: defining the problems. *Anaesthesia* 2007; **62**: 4–11
- 222 6. Wilson PT, Brooks JC, Otupiri E, Moresky RT, Morris MC. Aftermath of a clinical trial:

- 223 evaluating the sustainability of a medical device intervention in Ghana. *J Trop Pediatr*
224 2014; **60**: 33–9
- 225 7. Meara JG, Leather AJM, Hagander L, et al. Global Surgery 2030: evidence and solutions
226 for achieving health, welfare, and economic development. *Lancet* 2015; **386**: 569–624
- 227 8. Haniffa R, De Silva AP, Iddagoda S, et al. A cross-sectional survey of critical care
228 services in Sri Lanka: A lower middle-income country. *J Crit Care* 2014; **29**: 764–8
- 229 9. Adams CE, Dobson M. Anaesthetic equipment in low and low-middle income countries.
230 *Anaesth Intensive Care Med* 2019; **20**: 518–21
- 231 10. Kiyasseh D, Zhu T, Clifton D. The Promise of Clinical Decision Support Systems
232 Targetting Low-Resource Settings. *IEEE Rev Biomed Eng* 2020; **PP**: 1–1
- 233 11. Walker IA, Merry AF, Wilson IH, et al. Global oximetry: An international anaesthesia
234 quality improvement project. *Anaesthesia* 2009; **64**: 1051–60
- 235 12. Ginsburg AS, Gerth-Guyette E, Mollis B, Gardner M, Chham S. Oxygen and pulse
236 oximetry in childhood pneumonia: Surveys of clinicians and student clinicians in
237 Cambodia. *Trop Med Int Heal* 2014; **19**: 537–44
- 238 13. Albert V, Mndolo S, Harrison EM, O’Sullivan E, Wilson IH, Walker IA. Lifebox pulse
239 oximeter implementation in Malawi: evaluation of educational outcomes and impact on
240 oxygen desaturation episodes during anaesthesia. *Anaesthesia* 2017; **72**: 686–93
- 241 14. Jooste R, Roberts F, Mndolo S, et al. Global Capnography Project (GCAP):
242 implementation of capnography in Malawi – an international anaesthesia quality
243 improvement project. *Anaesthesia* 2019; **74**: 158–66
- 244 15. Klein AA, Meek T, Allcock E, et al. Recommendations for standards of monitoring during
245 anaesthesia and recovery 2021. *Anaesthesia* 2021; **76**: 1212–23
- 246 16. Baker T, Lugazia E, Eriksen J, Mwafongo V, Irestedt L, Konrad D. Emergency and critical
247 care services in Tanzania: A survey of ten hospitals. *BMC Health Serv Res* 2013; **13**: 1–9
- 248 17. Ginsburg AS, Van Cleve WC, Thompson MIW, English M. Oxygen and Pulse Oximetry in
249 Childhood Pneumonia: A Survey of Healthcare Providers in Resource-limited Settings. *J*
250 *Trop Pediatr* 2012; **58**: 389–93

- 251 18. US Food and Drug Administration. Coronavirus Disease 2019 (COVID-19) Emergency
252 Use Authorizations for Medical Devices | FDA [Internet]. 2020 [cited 2021 Jun 10].
253 Available from: [https://www.fda.gov/medical-devices/emergency-use-authorizations-
254 medical-devices/coronavirus-disease-2019-covid-19-emergency-use-authorizations-
255 medical-devices](https://www.fda.gov/medical-devices/emergency-use-authorizations-
254 medical-devices/coronavirus-disease-2019-covid-19-emergency-use-authorizations-
255 medical-devices)
- 256 19. MHRA. Rapidly Manufactured Ventilator System (RMVS) Document RMVS001. 2020
257
258