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Effects of two types of smartphone-based stress management programs on depression and anxiety among hospital nurses in Vietnam: a protocol for three-arm randomized controlled trial

Journal:	<i>BMJ Open</i>
Manuscript ID	bmjopen-2018-025138
Article Type:	Protocol
Date Submitted by the Author:	01-Jul-2018
Complete List of Authors:	Imamura, Kotaro Tran, Thuy Nguyen, Huong Kuribayashi, Kazuto Sakuraya, Asuka Bui, Thu Nguyen, Anh Nguyen, Quynh Nguyen, Kien Nguyen, Giang Tran, Xuyen Truong, Tien Zhang, Melvyn; National University of Singapore, Psychological Medicine Minas, Harry Sekiya, Yuki Sasaki, Natsu Tsutsumi, Akizumi; Kitasato University, Department of Public Health Kawakami, Norito; The University of Tokyo, Department of Mental Health
Keywords:	MENTAL HEALTH, OCCUPATIONAL & INDUSTRIAL MEDICINE, PUBLIC HEALTH

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Manuscripts

1 Title: Effects of two types of smartphone-based stress management programs on depression and
2 anxiety among hospital nurses in Vietnam: a protocol for three-arm randomized controlled trial

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26 22
27 23 Word count: 4,565
28 24
29 25
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1 ABSTRACT

2 **Introduction:** Due to an increasing demand to health care in low- and middle-income countries in
3 Asia, it is important to develop a strategy to manage work-related stress in health care settings,
4 particularly among nurses in these countries. The purposes of this three-arm randomized controlled
5 trial (RCT) is to examine the effects of newly developed smartphone-based Internet cognitive
6 behavioral therapy (iCBT) programs on preventing depressive and anxiety symptoms as primary
7 outcomes at 3- and 6-month follow-ups among hospital nurses in Vietnam.

8 **Methods and analysis:** The target study population will be healthy registered nurses working in a
9 large general hospital (which employs approximately about 2,000 nurses) in Vietnam. They will be
10 invited to participate in this study. Participants who fulfil the eligibility criteria will be randomly
11 allocated to the intervention group A (n = 360), the intervention group B (n = 360), or a control
12 group (n = 360). Two types of smartphone-based six-module stress management programs (A and B)
13 will be developed. Participants in the intervention groups will be required to complete the program A
14 or B within 10 weeks after the baseline survey. The primary outcomes are depressive and anxiety
15 symptoms, measured by using the Depression Anxiety and Stress Scales (DASS) at 3- and 6-month
16 follow-up.

17 **Ethics and dissemination:** The study procedures have been approved by the Research Ethics
18 Review Board of Graduate School of Medicine/Faculty of Medicine, the University of Tokyo (no
19 11991) and the Ethical review board for Biomedical research of Hanoi University of Public Health
20 (no 346/2018/YTCC-HD3). If a significant effect of the intervention programs will be found in the
21 RCT, the programs will be provided to all nurses in the hospital including the control group.

22 **Trial registration:** The study protocol is registered at the UMIN Clinical Trials Registry
23 (UMINCTR; ID=UMIN000033139). Registration date is 1st July 2018.

24 URL: https://upload.umin.ac.jp/cgi-open-bin/ctr_e/ctr_view.cgi?recptno=R000037796

25 **Key words:** iCBT, depression, anxiety, prevention, nurse

26

27 STRENGTH AND LIMITATION OF THIS STUDY

- 28 ● This randomized controlled trial will first test the effectiveness of fully automated
29 smartphone-based stress management programs on improving subthreshold depressive
30 symptoms and other work-related outcomes among healthy nurses in Vietnam.
- 31 ● This study will contribute to scaling up the primary prevention of depression and anxiety
32 among nurses in low- and middle-income countries in Asia.
- 33 ● A major weakness of this study is that all outcomes will be measured by self-report, which may
34 be affected by the perception or situational factors at work of the participants.

1

2 **INTRODUCTION**

3 Nurses can suffer from various work-related stress from various sources such as workload,
4 leadership/management style, professional conflict, emotional cost of caring, lack of reward, and
5 shift working [1]. In addition, the lack of stress management skills and/or organizational factors at
6 work may contribute to difficulty in coping with stress [2 3]. This often leads to severe psychological
7 distress (e.g., depression and anxiety) [4], burnout [5], other health problems [6 7], and deterioration
8 in quality of life and service provision [8]. A shortage of nurses, population aging, and various
9 demands from service users (i.e., patients and families) have increased pressure and stress on nurses
10 and other healthcare professionals [9-11]. Previous reports showed that deficits in the number of
11 health service providers are very large in low- and middle-income countries in Southeast Asia [12
12 13], where, despite the rapidly increasing quantitative and qualitative demands to medical care in the
13 rapidly aging society, there is a severe shortage of nurses, and many nurses lack the clinical skills to
14 adequately respond to health-care demands [13]. Work-related stress has been increasing among
15 nurses in Vietnam [14] and other Southeast Asian countries [15-18]. Moreover, work stress could
16 also affect the quality of health care service in these countries [19]. It is important to manage
17 work-related stress in health care settings, particularly among nurses, focusing on Southeast Asian
18 countries such as Vietnam.

19 For the working population, stress management based on cognitive behavioral therapy (CBT) has
20 been shown to reduce depression/anxiety symptoms among workers [20]. A recent meta-analysis
21 reported that programs combining CBT and coping flexibility showed the highest effect size ($d =$
22 1.45 at 4 months' follow-up) in the workplace [21]. Other meta-analyses showed a similar effect of
23 programs using CBT and relaxation on improving work-related stress among workers [22 23]. In the
24 healthcare worker setting, CBT interventions have been shown to be effective. For instance, CBT,
25 either with or without relaxation, showed a significant improving effect on stress symptoms among
26 healthcare workers (standardized mean difference [SMD] = -0.38) and especially nurses (SMD =
27 -0.34) at 6-month follow-up [2]. Computerized CBT delivered via the Internet (iCBT) and other
28 web-based interventions including cognitive behavioral techniques holds promise as a cost-effective
29 method to make CBT accessible to individual workers [24]. These iCBT programs provide basic
30 information and skills on the basis of CBT principles as face-to-face CBT programs do, sometimes
31 with a structured format that comprises educational lessons, homework assignments, and
32 supplementary resources. A recent literature review stated that the benefits of web-based intervention
33 in the workplace include fewer constraints with regard to time and location, the potential to access a
34 larger target group, and protection of participant anonymity—thereby reducing possible stigma with
35 regard to seeking help for stress [24]. Internet CBT interventions showed a small-to-moderate effect
36 on increasing psychological well-being including reduction of psychological distress ($g = 0.37$) and

1 effective work such as engagement and productivity ($g = 0.25$) at post intervention period, compared
2 with the control condition [25]. Another meta-analysis that examined the intervention effect at post
3 intervention period and follow-up period (around 5 months) showed that eHealth interventions had a
4 significant effect on improving mental health condition at both post intervention ($g = 0.24$) and
5 follow-up ($g = 0.23$) among employees [26]. In addition, one randomized controlled trial (RCT)
6 reported that web-based stress management programs including cognitive behavioral techniques
7 reduced perceived work-related stress among nurses in the U.S. [27]. Internet CBT interventions
8 might be useful to reduce work-related stress among nurses in low- and middle-income countries.
9 However, evidence obtained for other sector workers in high income countries was not extended to
10 nurses in low- and middle-income countries in Asia. It is necessary to develop low-cost iCBT
11 interventions for improving work stress and promoting mental health of nurses in low- and
12 middle-income countries and test its effectiveness.

13 An important challenge in applying web-based interventions is low adherence. Previous systematic
14 reviews reported that adherence to complete web-based psychological intervention program in the
15 workplace was approximately 40%, while the adherence rates varied considerably [25]. To enhance
16 adherence, tailoring the web-based intervention program might be beneficial. A useful strategy to
17 promote adherence to eHealth interventions is incorporating tailoring [28]. For instance, a previous
18 RCT showed that the attrition and adherence rate of an individually-tailored iCBT program appeared
19 favorable compared to studies that applied non-tailored iCBT programs [29]. Even programs that are
20 not fully tailored, but that allow participants to choose a module from multiple options based on their
21 preference may be useful, while a typical iCBT program provides multiple modules in a fixed
22 sequential order. A comparison of the effects of these types of iCBT programs on outcomes and
23 adherence has not been well studied before. Comparative effectiveness of these types of iCBT
24 programs may depend on the culture of the target country and the target population. The other
25 approach that becomes popular is to use smartphones as media for iCBT. Many smartphone Apps for
26 stress management use evidence-based strategies [30]. However, only a small number of such
27 programs have been evaluated with a RCT, with very limited evidence in the working population
28 [31].

30 **Objectives**

31 Two types of smartphone-based iCBT programs for primary prevention of depression and anxiety
32 with a similar number of modules and content will be developed for hospital nurses in Vietnam. The
33 objectives of this study, using a three-arm RCT design, are to examine the effects of these
34 intervention programs on improving depressive and anxiety symptoms as primary outcomes, work
35 engagement, work performance, stress symptoms, psychosocial work environment, and
36 health-related QOL as secondary outcomes at 3- and 6-month follow-ups, and to examine whether

1 a free-choice sequence multi-module stress management program (i.e., partially
2 tailored) results in better adherence than similar modules completed in a fixed
3 sequential order. We chose Vietnam as a target country because of the degree of resources and
4 challenges: improved mobile access to the Internet; and on the other hand, increasing demands to
5 medical service due to a rapidly aging population and an increasing number of cases of burnout
6 among nurses.
7

For peer review only

METHODS AND ANALYSIS

Trial design

The study will be a three-arm including two different intervention groups, parallel-group, treatment as usual (TAU)-controlled, non-blinded randomized study. The allocation ratio of the intervention groups to the control group is 1:1:1. Participants will be recruited from a large general hospital in Hanoi, Vietnam, and randomly allocated to one of three groups after they have completed a baseline questionnaire survey. Follow-up surveys will be conducted 3 and 6 months after the baseline. The study protocol was registered at the UMIN Clinical Trials Registry (UMIN-CTR; ID=UMIN000033139). The study procedures have been approved by the Research Ethics Review Board of Graduate School of Medicine/Faculty of Medicine, the University of Tokyo (no 11991) and the Ethical review board for Biomedical research of Hanoi University of Public Health (no 346/2018/YTCC-HD3). This protocol manuscript was reported according to the Standard Protocol Items: Recommendations for Interventional Trials (SPIRIT) guideline checklist [32].

Participants

The target population of this RCT will be healthy nurses (i.e., primary prevention). Registered nurses working in a large general hospital (which employs approximately about 2,000 nurses) in Vietnam will be invited to participate and selected according to the following criteria:

Inclusion criteria

1. Currently employed full-time as registered nurse.
2. Can access the internet via a mobile device such as a smartphone.

Exclusion criteria

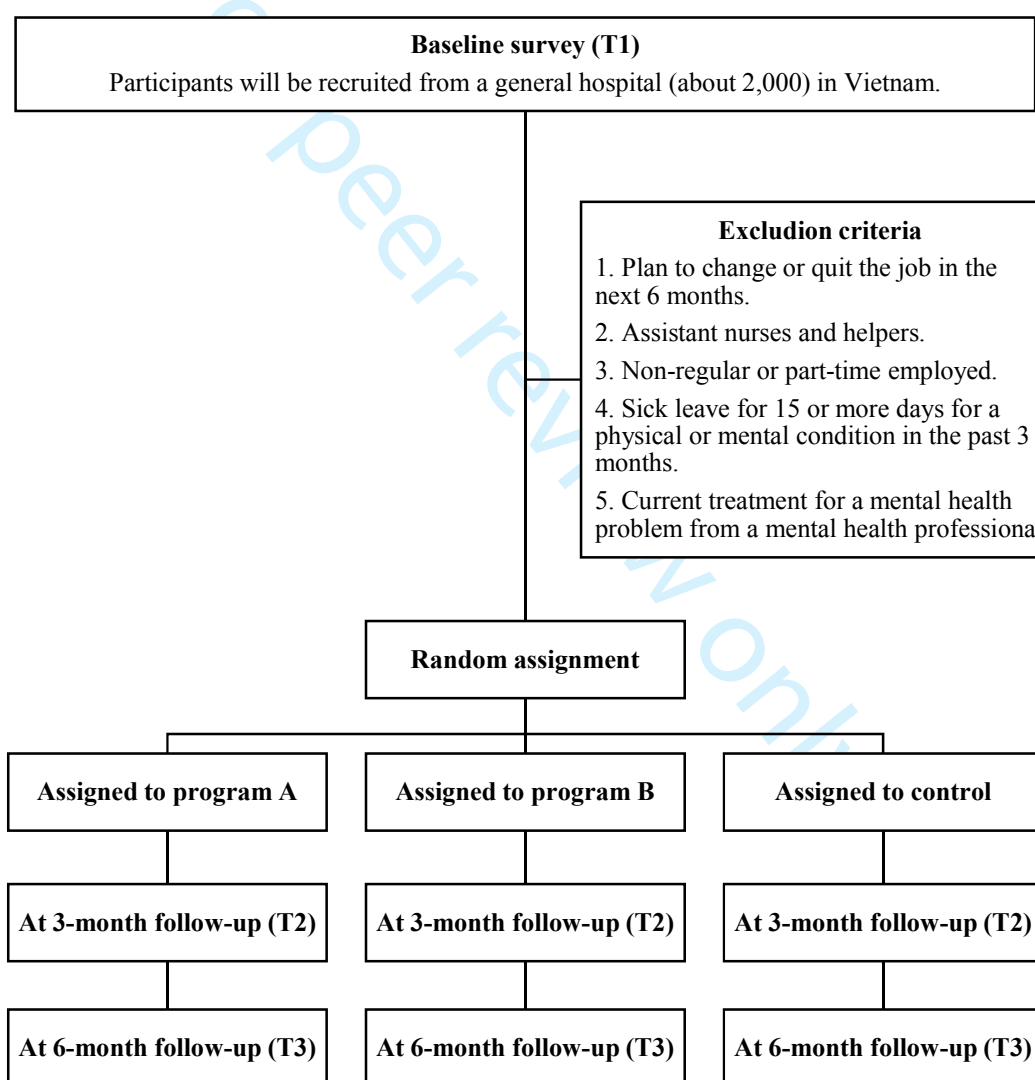
1. Plan to change or quit the job in the next 6 months.
2. Assistant nurses and helpers.
3. Non-regular or part-time employed.
4. Sick leave for 15 or more days for a physical or mental condition in the past 3 months.
5. Current treatment for a mental health problem from a mental health professional.

Procedure

Figure 1 shows the participant flow chart of this trial. Our preliminary research reported that about 60% of the nurses in the hospital have their own smartphone. In addition, a previous RCT reported that about 10% of participants had to be excluded according to two exclusion criteria, which were having sick leave for 15 or more days for own health problems in the past 3 months and receiving medical treatment for a mental health problem during the past month [33].

For this study, the clinical research coordinator (CRC) will send out invitations to 2,000 nurses, of whom 1,200 are expected to have their own smartphone and give informed consent, and 1,080 are

1 expected to be eligible. These 1,080 will be randomized to either one intervention group (n = 360),
 2 the other intervention group (n = 360), or the control group (n = 360). Participants in the two
 3 intervention groups will be required to complete the intervention programs within 10 weeks after the
 4 baseline survey.
 5 An invitation letter to all nurses will include a full explanation of the study and information for the
 6 eligibility criteria. After reading the explanation of the study, they will be asked to give their written
 7 consent to participate in the study and to answer the questions according to the eligibility criteria.
 8 Then, they will be asked to return it to CRC within a week.
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 11 Figure 1 participant flowchart.
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2 **Intervention programs**

3 In this study, two smartphone-based six-module stress management programs will be used. One
4 (program A) is a free-choice, multi-module stress management program in which respondents are
5 allowed to select one module per week based on their preference. The other (program B) is a
6 fixed-order, multi-module stress management program in which respondents are required to study
7 modules in a fixed order one per week. For both programs, it will take about 15 minutes to complete
8 each module.

9 Program A includes 6 modules that provide six evidence-based stress management skills. This
10 program is developed based on a previous web-based stress management program aimed to improve
11 psychological distress of office workers [34], but further modified based on an intensive hearing
12 from and discussion with nurses in Vietnam, e.g., replacing one module (on physical activity for
13 stress management) with another (self-compassion). Participants may choose one module per week
14 according to their preference. The program includes behavioral activation (Module 1), cognitive
15 restructuring (Module 2), problem-solving (Module 3), assertiveness (Module 4), self-compassion
16 (Module 5), and job crafting (Module 6).

17 Program B also includes 6 modules that provides CBT-based stress management skills, developed
18 based on a previous iCBT program that successfully improved depression of office workers [33].
19 The 6 modules are pre-ordered, with one module accessible per week, from the Module 1 to Module
20 6. The program has two already established CBT packages as its basis. One is the cognitive therapy
21 program developed by Beck [35]. The other is the 'Coping with Depression' program developed by
22 Lewinsohn [36]. The program includes transactional model of stress and coping (Module 1),
23 self-case formulation based on cognitive behavioral model (Module 2), behavioral activation skills
24 (Module 3), cognitive restructuring skills (Modules 4 and 5), problem-solving skills (Module 6) and
25 relaxation skills (Module 5). The program is modified so that the content fits the working situation
26 and work culture of nurses in Vietnam. For instance, case stories are modified reflecting major
27 stressors (i.e., job overload) of these nurses.

28 Table 1 shows the stress management techniques included in Program A and Program B. Behavioral
29 activation, cognitive restructuring, and problem solving techniques are included in both Program A
30 and Program B. Assertiveness, self-compassion, and job crafting techniques are only included in
31 Program A. The transactional model of stress and coping, self-case formulation based on cognitive
32 behavioral model, and relaxation techniques are only included in Program B. Details of each of the
33 components are as follows.

1

Table 1 Contents of the free-choice (Program A) and fixed-order (Program B) stress management programs

Techniques for stress management	Program A (Module No.)	Program B (Module No.)
Transactional model of stress and coping	Not included	Module 1
Self-case formulation based on cognitive behavioral model	Not included	Module 2
Behavioral activation	Module 1	Module 3
Cognitive restructuring	Module 2	Modules 4 and 5
Relaxation	Not included	Module 5
Problem solving	Module 3	Module 6
Assertiveness	Module 4	Not included
Self-compassion	Module 5	Not included
Job crafting	Module 6	Not included

2

Transactional model of stress and coping (Module 1 in Program B)

Transactional stress model is defined as perceptions that demands exceed coping strategies [37]. According to this model, an individual's reaction to stressors is determined, in part, by their own appraisal of the stressor. In keeping with this model, stress will be defined as the psychological response to a situation or stimuli whereby an individual appraises the situation or stressor as exceeding their capabilities or resources. In this module, participants learn about the relationship between stressors and stress reactions.

10

Self-case formulation based on cognitive behavioral model (Module 2 in Program B)

In this module, participants learn about a cognitive behavioral (CB) model, especially the five-part model ('five-part' refers to five areas: situation, thoughts, emotions, behavior, and physical feelings) [38] and a self-case formulation based on this model. Case formulation is a method used to understand the problem of a client [39]. Case formulation is necessary for clients to choose an appropriate approach to change the vicious circles of these five areas.

17

Behavioral activation (Module 1 in Program A and Module 3 in Program B)

Behavioral activation is one of the most readily applied techniques in the CBT and it is a process to increase pleasurable and rewarding activities using behavioral strategies such as activity scheduling [40]. This module/program provides a behavioral activation technique on enhancing participants' liveliness. Participants learn about a theory of behavioral activation and how to plan an activity schedule for increasing pleasant activities.

23

1

2 *Cognitive restructuring (Module 2 in Program A and Modules 4 and 5 in Program B)*

3 The cognitive restructuring technique is one of the standard cognitive approaches of CBT utilized to
4 change an automatic negative thought into an actual, realistic and flexible thought [35]. This module
5 gives a lecture on a cognitive ABC model (Activating/Actual event, Belief, and Consequence) [35 41
6 42] and on identifying the automatic thoughts that cause a negative mood. Participants learn
7 cognitive restructuring skills to change an automatic negative thought into an actual thought.

8

9 *Relaxation (Module 5 in Program B)*

10 Relaxation techniques are often added to the CBT intervention for workers, and they have shown
11 significant effects on improving depression [22]. In the latter half of the Module 5, Participants learn
12 a relaxation technique using a breathing method.

13

14 *Problem solving (Module 3 in Program A and Module 6 in Program B)*

15 Problem solving technique is a CB intervention that focuses on training adaptive problem-solving
16 attitudes and skills [43]. A rational problem-solving style involves the deliberate and systematic
17 application of four major problem-solving skills: (1) problem definition and formulation, (2)
18 generation of alternative solutions, (3) decision-making, and (4) solution implementation and
19 verification [44]. In this module, participants learn problem-solving skills to sort out the problem and
20 make a list of solutions.

21

22 *Assertiveness (Module 4 in Program A)*

23 Assertiveness is typically defined as the legitimate and honest expression of one's personal rights,
24 feelings, beliefs, and interests without violating or denying the rights of others [45 46]. In order to
25 communicate assertively, the DESC (Describe, Express, Specify, and Choose or Consequence) script
26 is used [47]. In this module, participants learn assertiveness skills to appropriately communicate
27 their concerns to supervisors, coworkers or subordinates, based on the DESC script.

28

29 *Self-compassion (Module 5 in Program A)*

30 Self-compassion describes a positive and caring attitude of a person toward her- or himself in the
31 face of failures and individual shortcomings [48]. As a result of this caring attitude, individuals high
32 in self-compassion are assumed to experience higher individual well-being. There are three
33 interrelated elements that determine the self-compassionate reactions to negative events and
34 experiences: self-kindness, sense of common humanity, and mindfulness [48 49]. In this module,
35 participants learn a concept of self-compassion and how to express compassion toward themselves.

36

1 *Job crafting (Module 6 in Program A)*

2 Job crafting is defined as “the physical and cognitive change individuals make in the task or
3 relational boundaries of their work” [50] and consists of the following three components: changing
4 the job’s boundaries (task crafting), changing the relational boundaries (relational crafting), and
5 changing the cognitive task boundaries (cognitive crafting) [50]. In this module, participants learn
6 about the concept of job crafting and how to craft their own job.
7

8 **Intervention groups**

9 Participants in the intervention groups will be required to complete Program A or B within 10 weeks
10 after the baseline survey. The participants will be reminded by email to complete the program if they
11 have not already done. Reminders will be sent from the research office. Before the start of the
12 intervention program, participants in the intervention groups download the Apps and view an
13 introduction module that provides general explanations of the programs. The introduction module is
14 common for the two intervention programs with brief explanations about the psychological stress
15 model, self-assessment of their own mood using Kessler’s Psychological Distress Scale (K6) [51],
16 and an introduction of the two intervention programs. Participants can contact CRC if they have a
17 trouble downloading or using the Apps. After 3 months from baseline survey, the intervention
18 programs will be closed by CRC.
19

20 **Control group**

21 Participants in the control group do not receive any intervention programs during the intervention
22 and follow-up period (6 months). Participants both in the intervention group and the control group
23 will be able to use an internal employee assistance program service. Participants in the control group
24 will be provided a chance to use the intervention programs after their 6-month follow-up.
25

26 **Outcomes**

27 Table 2 shows an overview of the outcome measures. All outcome measures will be assessed at the
28 baseline, the 3-month (the end of the intervention period) and 6-month follow-ups. Non-respondents
29 will receive reminder email from the research center for each of the follow-up surveys.
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Table 2 Overview of outcome measurements

Measurement	Aim	Baseline (T1)	3-M F/U (T2)	6-M F/U (T3)
Primary outcomes				
DASS	Severity of depression	x	x	x
DASS	Severity of anxiety	x	x	x
Secondary outcomes				
UWES	Work engagement	x	x	x
HPQ	Sickness absence (absenteeism) and reduced job performance (presenteeism)	x	x	x
DASS	Severity of stress symptoms	x	x	x
JCQ	Psychosocial work environment	x	x	x
EQ-5D	Health-related quality of life	x	x	x

Note: DASS = Depression Anxiety and Stress Scales, UWES = Utrecht Work Engagement Scale, HPQ = Health and Work Performance Questionnaire, JCQ = Job Content Questionnaire.

2

3 Primary outcomes

4 *Depression and anxiety*

5 The Depression Anxiety and Stress Scales (DASS) is a widely used screening tool to assess
6 symptoms of depression, anxiety, and stress in community settings [52]. The DASS comprises three
7 subscales (i.e., depression, anxiety, and stress) The depression subscale measures dysphoria,
8 hopelessness, devaluation of life, among others. The anxiety subscale measures autonomic arousal,
9 skeletal musculature symptoms, situational anxiety, among others. The stress scale measures
10 difficulty relaxation, nervous arousal, easily upset/agitated, among others. The short 21-item version
11 (seven items in each of three subscales) has been developed [53]. Items are scored on a 4-point scale
12 ranging from 0 (*did not apply to me at all*) to 3 (*applied to me very much, or most of the time*). In
13 order to yield equivalent scores to the full version of DASS (42-item), the total score of each scale is
14 multiplied by 2 and ranges from 0 to 42 [53]. The Vietnamese version has been developed and tested,
15 and its reliability and validity have been confirmed [54]. The depression scale and the anxiety scale
16 will be used to assess the depression and anxiety symptoms as primary outcomes in this study.

17

18 Secondary outcomes

19 *Work engagement*

20 Work engagement will be assessed using the short form of the Utrecht Work Engagement Scale
21 (UWES) [55]. The UWES consists of three subscales (i.e., vigor, dedication, absorption) comprising

1 nine items. Items are scored on a 7-point scale ranging from 0 (*never*) to 6 (*always*). A total score is
2 calculated from all nine items. The Vietnamese version will be developed and validated before the
3 study.

4 *Sick leave days and self-reported work performance*

5 The WHO Health and Productivity Questionnaire (HPQ) is a self-report instrument designed to
6 estimate the workplace costs of health problems in terms of self-reported sickness absence
7 (absenteeism) and reduced job performance (presentism) [56]. Respondents will be asked to rate
8 their overall work performance during the past 4 weeks. The item will be scored on an 11-point scale
9 ranging from 0 (*worst possible performance*) to 10 (*best possible performance*). High scores indicate
10 a high degree of perceived work performance. The Vietnamese version will be developed and
11 validated before the study.

12 *Stress symptoms*

13 Stress symptoms will be assessed with the stress scales of DASS [52-54]. The details of DASS refer
14 to above.

15 *Psychosocial work environment*

16 The Job Content Questionnaire (JCQ) will be used to assess psychological job demands, control, and
17 support by coworkers and supervisors [57]. The JCQ consists of a five-item psychological demand
18 scale, a nine-item decision latitude scale, a four-item supervisor support scale, and a 4-item coworker
19 support scale. All the items were scored on a 4-point Likert scale, ranging from 1 (*strongly disagree*)
20 to 4 (*strongly agree*). The Vietnamese version will be developed and validated before the study.

21 *Health-related quality of life*

22 Health-related quality of life will be assessed with the EQ-5D-5L [58]. The EQ-5D-5L consists of
23 five items covering five dimensions (mobility, self-care, usual activities, pain/discomfort and
24 anxiety/depression), each of which is rated as causing ‘*no problems*’ to ‘*unable to*’, and a visual
25 analogue scale. It is a widely applied quality of life instrument, and its reliability and validity are
26 well established [58]. The Vietnamese version has been developed and tested for its reliability and
27 validity [59].

28 *Improvement of knowledge and self-efficacy.*

29 Respondents will be asked to rate their improvement of knowledge and self-efficacy regarding the
30 two intervention programs. Knowledge improvement will be assessed by asking participants, “How
31 much knowledge do you have about...,” and self-efficacy improvement will be assessed by asking
32

1 respondents “How confident are you that you can do...” Both items were scored on 5-point scale
2 ranging from 0 (*none*) to 4 (*enough*). This scale is originally developed and has not been validated
3 yet.

4 5 Process evaluation

6 *Program satisfaction and usage*

7 Participants in the intervention groups will be asked to rate their satisfaction with the intervention
8 program at the end of the intervention period. The usage of the intervention programs will be
9 collected from the records of the Apps system.

10 11 Contamination of information

12 To evaluate contamination of information among participants, participants will be asked at follow-up
13 survey; “During the past 3 months, have you gotten to know information on stress management from
14 your colleagues who used any smartphone-based stress management programs?”, with a response
15 option, yes/no. This scale will be originally developed.

16 17 Demographic characteristics

18 Demographic data, such as age, gender, marital status, occupation, education, chronic disease, and
19 overtime hours during the past month also will be collected.

20 21 **Sample size calculation**

22 A required sample size was calculated for one of the outcome variables, i.e., depressive symptoms
23 assessed by DASS. Previous meta-analyses of web-based psychological intervention on improving
24 workers mental health in the workplace yielded effect sizes of 0.23 to 0.37 [25 26]. To detect a small
25 effect size (i.e., 0.25) or more at an alpha error rate of 0.05 and a beta error rate of 0.10, the
26 estimated sample size was 338 participants in each group. The statistical power was calculated using
27 the G*Power 3 program [60 61].

28 29 **Randomization**

30 Participants who fulfil the inclusion criteria will be randomly allocated to each three-arm (two
31 intervention groups or control groups). Stratified permuted-block randomization will be conducted
32 as well. Participants will be stratified into two strata according to the depression subscale score of
33 DASS (10 or greater or less than 10) in the baseline survey [54]. In addition to the analysis of the
34 whole sample (to examine the universal intervention effect), we will also analyze data by a
35 priori-defined subgroups (to examine the selective intervention effect). A stratified permuted block
36 random table will be generated by an independent biostatistician. Enrollment will be conducted by a

1 CRC, and assignment will be conducted by an independent research assistant. The stratified
2 permuted-block random table will be password protected and blinded to the researcher. Only the
3 research assistant will be able to access it during the work of random allocation.
4

5 **Statistical methods**

6 *Clinical efficacy*

7 A mixed model for repeated measures conditional growth model analysis will be conducted using a
8 group (intervention and control) × time (baseline, 3-month, and 6-month follow-ups) interaction as
9 an indicator of intervention effect. An intention-to-treat principle will be applied as well. Effect sizes
10 and 95% CIs will be calculated using Cohen's *d* among those who completed the questionnaire at
11 baseline and at a follow-up. The values of 0.2, 0.5 and 0.8 are generally interpreted as being
12 suggestive of small, medium and large effects, respectively [62]. All statistical analyses will be
13 conducted using the SPSS Statistics V.22.0 (IBM Corp., USA).
14

15 *Subgroup analysis*

16 The effectiveness of the program may differ according to the initial severity of depression. We will
17 therefore use the stratification factor (i.e., participants who scored 10 or more in DASS depression
18 subscale at the baseline survey) and analyze the results according to a priori-defined subgroups
19 (selective intervention effect).
20

21 **Data monitoring**

22 A Data and Safety Monitoring Board (DSMB) will be set up, including an independent chair and at
23 least two independent members. The DSMB will meet every 3 months after the first participant is
24 randomized. The purpose of the meetings will be to review the report prepared by the CRC. The
25 CRC will prepare DSMB reports to monitor recruitment progress and data collection (e.g.,
26 percentage completing each follow-up).
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1 ETHICS AND DISSEMINATION

2 Ethical and safety considerations

3 Written informed consent will be obtained from all participants included in this study after full
4 disclosure and explanation of the purpose and procedures of the study. Candidates will be informed
5 that their participation is totally voluntary, that even after voluntarily participating they can withdraw
6 from the study at any time without stating the reason, and that neither participation nor withdrawal
7 will cause any advantage or disadvantage to them.

8 We expect no adverse health effect from this intervention, except possibly for deterioration in
9 depressive/anxiety symptoms. We will provide the emergency phone call number and e-mail address
10 at the central office. The CRC (TTran), who is a registered nurse, will then deal with the emergency
11 call or e-mail first by herself, and then consult with the clinical supervisors (NK) to provide
12 appropriate care.

14 Data confidentiality

15 Participants will complete a baseline/follow-up questionnaire with a sealed envelope and submit it to
16 the research center. After the survey, the collected data will be entered into a password-locked
17 stand-alone PC by the CRC. The collected data will be stored as linkable anonymizing data. The data
18 will be accessible only by the CRC.

20 Dissemination of research findings

21 The main findings of this study will be disseminated via publications in peer-reviewed international
22 journals. Presentations of study findings will also be offered at relevant research conferences, and
23 local academic symposia and seminars. If the significant effect of the intervention programs will be
24 found in this RCT, these programs could be available for all nurses in Vietnam in the future.

26 Strengths and limitations

27 The greatest strength of this study is its focus on the effect of the fully automated web-based
28 smartphone application intervention programs on improving subthreshold depressive symptoms
29 among Vietnamese nurses using a RCT design. This study is also intended to add evidence for the
30 effect of e-stress management programs on positive health outcomes (e.g., work engagement and
31 work performance) among healthy nurses. To our knowledge, the present study will first demonstrate
32 that the fully automated smartphone-based stress management programs would be effective on
33 improving subthreshold depressive symptoms and other positive health outcomes among healthy
34 nurses in Vietnam, a middle income country in Southeast Asia, using a well designed study protocol.
35 This study will contribute to future development of strategies in the primary prevention of
36 depression and promotion of positive mental health among nurses in the low- and middle-income

1 countries.

2 Another strength of this study is to contribute the creation of a new option for mental health service.

3 This RCT will demonstrate the effectiveness of several types of e-stress management programs that
4 were developed in this project in a low- and middle-income country context. These programs will
5 provide hospital nurses in Vietnam with an opportunity to have access to a low-cost mental health
6 service.

7 One of the major weaknesses of this study is that all outcomes will be measured by self-report,
8 which may be affected by the perception of the participants or by situational factors at work. The
9 other limitation is that the participants will be recruited from one general hospital in Vietnam.
10 Therefore, generalization of the findings to populations that do not share the characteristics of the
11 participants may be limited.

12 **ACKNOWLEDGEMENT**

13 **Authors' contribution**

14 KI, TTran, HN, KK, AS, TB, AN, QN, KN, GN, XT, TTruong, MZ, HM, YS, NS, AT, and NK
15 conceived and designed the experiments. KI, TTran, HN, KK, AS, YS, NS, and NK contributed
16 reagents/materials/analysis tools. KI, TTran, HN, HM, and NK wrote the paper. All authors read and
17 approved the final paper.

18 **Funding statement**

19 This research was supported by AMED under Grant Number JP17jk0110014. The funder had no role
20 in study design, data collection and analysis, decision to publish, or preparation of the manuscript.

21 **Competing interest**

22 NK reports grants from Infocom Corp, Fujitsu Ltd, Fujitsu Software Technologies, and TAK Ltd,
23 personal fees from Occupational Health Foundation, Japan Dental Association, Sekisui Chemicals,
24 Junpukai Health Care Center, Osaka Chamber of Commerce and Industry, outside the submitted
25 work. The other authors declare that they have no competing interests.

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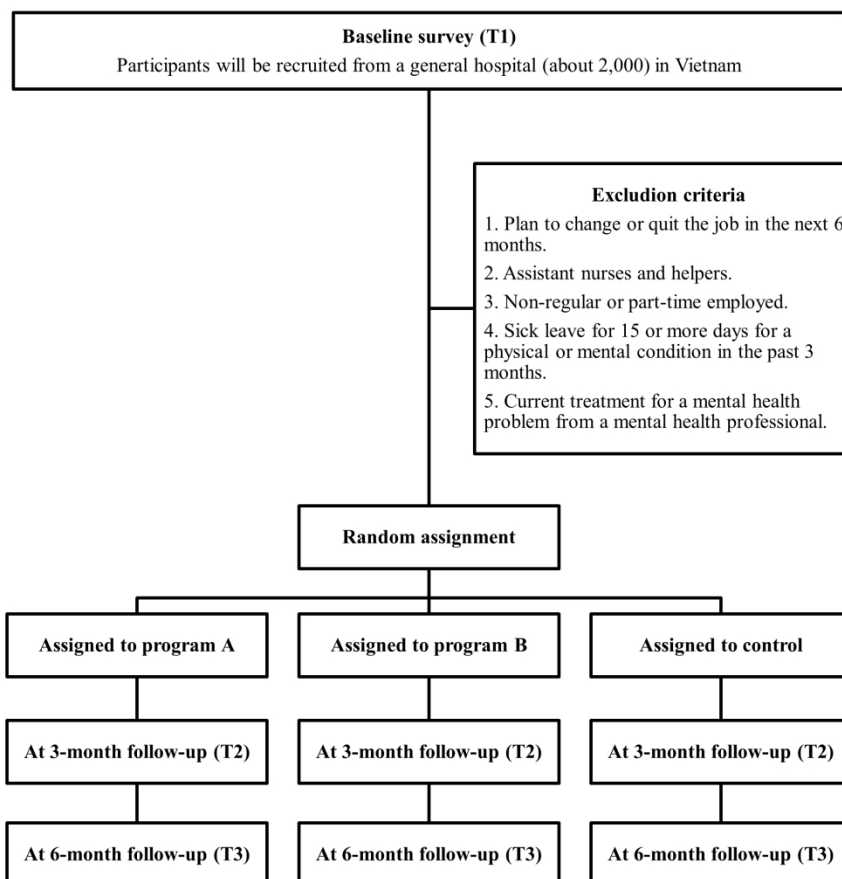


Figure 1 Participant flowchart.

190x254mm (300 x 300 DPI)



SPIRIT 2013 Checklist: Recommended items to address in a clinical trial protocol and related documents*

Section/item	Item No	Description	Addressed on page number
Administrative information			
Title	1	Descriptive title identifying the study design, population, interventions, and, if applicable, trial acronym	___ 1 ___
Trial registration	2a	Trial identifier and registry name. If not yet registered, name of intended registry	___ 3 ___
	2b	All items from the World Health Organization Trial Registration Data Set	___ N/A ___
Protocol version	3	Date and version identifier	___ 3 ___
Funding	4	Sources and types of financial, material, and other support	___ 18 ___
Roles and responsibilities	5a	Names, affiliations, and roles of protocol contributors	___ 1-2, 18 ___
	5b	Name and contact information for the trial sponsor	___ 2 ___
	5c	Role of study sponsor and funders, if any, in study design; collection, management, analysis, and interpretation of data; writing of the report; and the decision to submit the report for publication, including whether they will have ultimate authority over any of these activities	___ 18 ___
	5d	Composition, roles, and responsibilities of the coordinating centre, steering committee, endpoint adjudication committee, data management team, and other individuals or groups overseeing the trial, if applicable (see Item 21a for data monitoring committee)	___ 16 ___

Introduction

Background and rationale	6a	Description of research question and justification for undertaking the trial, including summary of relevant studies (published and unpublished) examining benefits and harms for each intervention	4-5
	6b	Explanation for choice of comparators	N/A
Objectives	7	Specific objectives or hypotheses	5-6
Trial design	8	Description of trial design including type of trial (eg, parallel group, crossover, factorial, single group), allocation ratio, and framework (eg, superiority, equivalence, noninferiority, exploratory)	7

Methods: Participants, interventions, and outcomes

Study setting	9	Description of study settings (eg, community clinic, academic hospital) and list of countries where data will be collected. Reference to where list of study sites can be obtained	7-8
Eligibility criteria	10	Inclusion and exclusion criteria for participants. If applicable, eligibility criteria for study centres and individuals who will perform the interventions (eg, surgeons, psychotherapists)	7
Interventions	11a	Interventions for each group with sufficient detail to allow replication, including how and when they will be administered	9-12
	11b	Criteria for discontinuing or modifying allocated interventions for a given trial participant (eg, drug dose change in response to harms, participant request, or improving/worsening disease)	N/A
	11c	Strategies to improve adherence to intervention protocols, and any procedures for monitoring adherence (eg, drug tablet return, laboratory tests)	12
	11d	Relevant concomitant care and interventions that are permitted or prohibited during the trial	N/A
Outcomes	12	Primary, secondary, and other outcomes, including the specific measurement variable (eg, systolic blood pressure), analysis metric (eg, change from baseline, final value, time to event), method of aggregation (eg, median, proportion), and time point for each outcome. Explanation of the clinical relevance of chosen efficacy and harm outcomes is strongly recommended	13-15
Participant timeline	13	Time schedule of enrolment, interventions (including any run-ins and washouts), assessments, and visits for participants. A schematic diagram is highly recommended (see Figure)	7-8

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3	Sample size	14	Estimated number of participants needed to achieve study objectives and how it was determined, including clinical and statistical assumptions supporting any sample size calculations	_____15_____
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5	Recruitment	15	Strategies for achieving adequate participant enrolment to reach target sample size	_____7-8_____
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8 **Methods: Assignment of interventions (for controlled trials)**

9 Allocation:

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12	Sequence generation	16a	Method of generating the allocation sequence (eg, computer-generated random numbers), and list of any factors for stratification. To reduce predictability of a random sequence, details of any planned restriction (eg, blocking) should be provided in a separate document that is unavailable to those who enrol participants or assign interventions	_____15-16_____
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17	Allocation concealment mechanism	16b	Mechanism of implementing the allocation sequence (eg, central telephone; sequentially numbered, opaque, sealed envelopes), describing any steps to conceal the sequence until interventions are assigned	_____15-16_____
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21	Implementation	16c	Who will generate the allocation sequence, who will enrol participants, and who will assign participants to interventions	_____15-16_____
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24	Blinding (masking)	17a	Who will be blinded after assignment to interventions (eg, trial participants, care providers, outcome assessors, data analysts), and how	_____N/A_____
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27		17b	If blinded, circumstances under which unblinding is permissible, and procedure for revealing a participant's allocated intervention during the trial	_____N/A_____
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31 **Methods: Data collection, management, and analysis**

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33	Data collection methods	18a	Plans for assessment and collection of outcome, baseline, and other trial data, including any related processes to promote data quality (eg, duplicate measurements, training of assessors) and a description of study instruments (eg, questionnaires, laboratory tests) along with their reliability and validity, if known. Reference to where data collection forms can be found, if not in the protocol	_____12_____
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38		18b	Plans to promote participant retention and complete follow-up, including list of any outcome data to be collected for participants who discontinue or deviate from intervention protocols	_____12_____
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3	Data management	19	Plans for data entry, coding, security, and storage, including any related processes to promote data quality (eg, double data entry; range checks for data values). Reference to where details of data management procedures can be found, if not in the protocol	_____17_____
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7	Statistical methods	20a	Statistical methods for analysing primary and secondary outcomes. Reference to where other details of the statistical analysis plan can be found, if not in the protocol	_____16_____
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10		20b	Methods for any additional analyses (eg, subgroup and adjusted analyses)	_____16_____
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12		20c	Definition of analysis population relating to protocol non-adherence (eg, as randomised analysis), and any statistical methods to handle missing data (eg, multiple imputation)	_____16_____
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15 **Methods: Monitoring**

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17	Data monitoring	21a	Composition of data monitoring committee (DMC); summary of its role and reporting structure; statement of whether it is independent from the sponsor and competing interests; and reference to where further details about its charter can be found, if not in the protocol. Alternatively, an explanation of why a DMC is not needed	_____16_____
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22		21b	Description of any interim analyses and stopping guidelines, including who will have access to these interim results and make the final decision to terminate the trial	_____N/A_____
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25	Harms	22	Plans for collecting, assessing, reporting, and managing solicited and spontaneously reported adverse events and other unintended effects of trial interventions or trial conduct	_____17_____
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28	Auditing	23	Frequency and procedures for auditing trial conduct, if any, and whether the process will be independent from investigators and the sponsor	_____N/A_____
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32 **Ethics and dissemination**

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34	Research ethics approval	24	Plans for seeking research ethics committee/institutional review board (REC/IRB) approval	_____17_____
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37	Protocol amendments	25	Plans for communicating important protocol modifications (eg, changes to eligibility criteria, outcomes, analyses) to relevant parties (eg, investigators, REC/IRBs, trial participants, trial registries, journals, regulators)	_____N/A_____
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3	Consent or assent	26a	Who will obtain informed consent or assent from potential trial participants or authorised surrogates, and how (see Item 32)	___ 17 ___
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6		26b	Additional consent provisions for collection and use of participant data and biological specimens in ancillary studies, if applicable	___ N/A ___
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8	Confidentiality	27	How personal information about potential and enrolled participants will be collected, shared, and maintained in order to protect confidentiality before, during, and after the trial	___ 17 ___
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11	Declaration of interests	28	Financial and other competing interests for principal investigators for the overall trial and each study site	___ 18 ___
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14	Access to data	29	Statement of who will have access to the final trial dataset, and disclosure of contractual agreements that limit such access for investigators	___ 17 ___
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17	Ancillary and post-trial care	30	Provisions, if any, for ancillary and post-trial care, and for compensation to those who suffer harm from trial participation	___ N/A ___
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20	Dissemination policy	31a	Plans for investigators and sponsor to communicate trial results to participants, healthcare professionals, the public, and other relevant groups (eg, via publication, reporting in results databases, or other data sharing arrangements), including any publication restrictions	___ 17 ___
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25		31b	Authorship eligibility guidelines and any intended use of professional writers	___ N/A ___
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27		31c	Plans, if any, for granting public access to the full protocol, participant-level dataset, and statistical code	___ N/A ___
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29	Appendices			
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31	Informed consent materials	32	Model consent form and other related documentation given to participants and authorised surrogates	___ N/A ___
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34	Biological specimens	33	Plans for collection, laboratory evaluation, and storage of biological specimens for genetic or molecular analysis in the current trial and for future use in ancillary studies, if applicable	___ N/A ___
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37 *It is strongly recommended that this checklist be read in conjunction with the SPIRIT 2013 Explanation & Elaboration for important clarification on the items.
 38 Amendments to the protocol should be tracked and dated. The SPIRIT checklist is copyrighted by the SPIRIT Group under the Creative Commons
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BMJ Open

Effects of two types of smartphone-based stress management programs on depressive and anxiety symptoms among hospital nurses in Vietnam: a protocol for three-arm randomized controlled trial

Journal:	<i>BMJ Open</i>
Manuscript ID	bmjopen-2018-025138.R1
Article Type:	Protocol
Date Submitted by the Author:	07-Jan-2019
Complete List of Authors:	Imamura, Kotaro; The University of Tokyo, Department of Mental Health Tran, Thuy; Hanoi University of Public Health, Department of Occupational Health and Safety Nguyen, Huong; Hanoi University of Public Health, Faculty of Social Sciences - Behavior and Health Education Kuribayashi, Kazuto; The University of Tokyo, Department of Psychiatric Nursing Sakuraya, Asuka; The University of Tokyo, Department of Mental Health Nguyen, Anh; Bach Mai Hospital, General Director Bui, Thu; Bach Mai Hospital, Nursing Office Nguyen, Quynh; Hanoi University of Public Health, Department of Occupational Health and Safety Nguyen, Kien; Hanoi University of Public Health, Faculty of Social Sciences - Behavior and Health Education Nguyen, Giang; Bach Mai Hospital, Nursing Office Tran, Xuyen; Bach Mai Hospital, Nursing Office Truong, Tien; Hanoi University of Public Health, Faculty of Social Sciences - Behavior and Health Education Zhang, Melvyn; National University of Singapore, Psychological Medicine Minas, Harry; The University of Melbourne, Melbourne School of Population and Global Health Sekiya, Yuki; The University of Tokyo, Department of Mental Health Sasaki, Natsu; The University of Tokyo, Department of Mental Health Tsutsumi, Akizumi; Kitasato University, Department of Public Health Kawakami, Norito; The University of Tokyo, Department of Mental Health
Primary Subject Heading:	Mental health
Secondary Subject Heading:	Occupational and environmental medicine, Public health
Keywords:	MENTAL HEALTH, OCCUPATIONAL & INDUSTRIAL MEDICINE, PUBLIC HEALTH

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1 Title: Effects of two types of smartphone-based stress management programs on depressive and
2 anxiety symptoms among hospital nurses in Vietnam: a protocol for three-arm randomized controlled
3 trial

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- 19 Word count: 4,565
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1 ABSTRACT

2 **Introduction:** Due to an increasing demand for health care in low- and middle-income countries in
3 Asia, it is important to develop a strategy to manage work-related stress in health care settings,
4 particularly among nurses in these countries. The purpose of this three-arm randomized controlled
5 trial (RCT) is to examine the effects of a newly developed smartphone-based multi-module stress
6 management programs on reducing severity of depressive and anxiety symptoms as primary outcomes
7 at 3- and 7-month follow-up among hospital nurses in Vietnam.

8 **Methods and analysis:** The target study population will be registered nurses working in a large
9 general hospital (which employs approximately about 2,000 nurses) in Vietnam. They will be invited
10 to participate in this study. Participants who fulfil the eligibility criteria will be randomly allocated to
11 the a free-choice, multi-module stress management (intervention group A, n = 360), the Internet
12 cognitive behavioral therapy (iCBT), i.e., fixed-order, stress management (intervention group B, n =
13 360), or a treatment as usual control group (n = 360). Two types (free-choice and fixed sequential
14 order) of smartphone-based six-module stress management programs will be developed. Participants
15 in the intervention groups will be required to complete one of the programs within 10 weeks after the
16 baseline survey. The primary outcomes are depressive and anxiety symptoms, measured by using the
17 Depression Anxiety and Stress Scales (DASS) at 3- and 7-month follow-up.

18 **Ethics and dissemination:** The study procedures have been approved by the Research Ethics Review
19 Board of Graduate School of Medicine/Faculty of Medicine, the University of Tokyo (no 11991) and
20 the Ethical Review Board for Biomedical research of Hanoi University of Public Health (no
21 346/2018/YTCC-HD3). If a significant effect of the intervention programs will be found in the RCT,
22 the programs will be made available to all nurses in the hospital including the control group. If the
23 positive effects are found in this RCT, the e-stress management programs will be disseminated to all
24 nurses in Vietnam.

25 **Trial registration:** The study protocol is registered at the UMIN Clinical Trials Registry (UMINCTR;
26 ID=UMIN000033139). Registration date is 1st July 2018.

27 URL: https://upload.umin.ac.jp/cgi-open-bin/ctr_e/ctr_view.cgi?recptno=R000037796

28 **Key words:** iCBT, depression, anxiety, prevention, nurse

29 STRENGTH AND LIMITATION OF THIS STUDY

- 30 ● This will be the first randomized controlled trial to test the effectiveness of fully automated
31 smartphone-based stress management programs on improving depressive and anxiety symptoms
32 and work-related outcomes among nurses in Vietnam.
- 33 ● This study also intends to add evidence for the effect of e-stress management programs on
34 positive health and work-related outcomes (e.g., work engagement and work performance)
35 among nurses.
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- 1 ● A limitation of this study is that all outcomes will be measured by self-report, which may be
2 affected by the perceptions or situational factors at work of the participants.

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For peer review only

1 INTRODUCTION

2 Nurses can suffer from various work-related stresses related to factors such as workload,
3 leadership/management style, professional conflict, emotional cost of caring, lack of reward, and shift
4 work [1]. In addition, lack of stress management skills and/or organizational factors at work may
5 contribute to difficulty in coping with stress [2 3]. This often leads to severe psychological distress
6 (e.g., depression and anxiety) [4], burnout [5], other health problems [6 7], and deterioration in quality
7 of life and service provision [8]. A shortage of nurses, population aging, and demands from service
8 users (i.e., patients and families) have increased pressure and stress on nurses and other healthcare
9 professionals [9-11]. Previous reports showed that deficits in the number of health service providers
10 are very large in low- and middle-income countries in Southeast Asia [12 13], where, despite the
11 rapidly increasing quantitative and qualitative demands to medical care in the rapidly aging society,
12 there is a severe shortage of nurses, and many nurses lack the clinical skills to adequately respond to
13 health-care demands [13]. Work-related stress has been increasing among nurses in Vietnam [14] and
14 other Southeast Asian countries [15-18]. Moreover, work stress could also affect the quality of health
15 care service in these countries [19]. It is important to manage work-related stress in health care settings,
16 particularly among nurses, focusing on Southeast Asian countries such as Vietnam.

17 For the working population, stress management based on cognitive behavioral therapy (CBT) has been
18 shown to reduce depression/anxiety symptoms among workers [20]. A recent meta-analysis reported
19 that programs combining CBT and coping flexibility showed the highest effect size ($d = 1.45$ at 4
20 months' follow-up) in the workplace [21]. Other meta-analyses showed a similar effect of programs
21 using CBT and relaxation on improving work-related stress among workers [22 23]. In the healthcare
22 worker setting, CBT interventions have been shown to be effective. For instance, CBT, either with or
23 without relaxation, showed a significant improving effect on stress symptoms among healthcare
24 workers (standardized mean difference [SMD] = -0.38) and especially nurses (SMD = -0.34) at 6-
25 month follow-up [2]. Computerized CBT delivered via the Internet (iCBT) and other web-based
26 interventions including cognitive behavioral techniques holds promise as a cost-effective method to
27 make CBT accessible to individual workers [24]. These iCBT programs provide basic information and
28 skills on the basis of CBT principles as face-to-face CBT programs do, sometimes with a structured
29 format that comprises educational lessons, homework assignments, and supplementary resources. A
30 recent literature review stated that the benefits of web-based intervention in the workplace include
31 fewer constraints with regard to time and location, the potential to access a larger target group, and
32 protection of participant privacy—thereby reducing possible stigma with regard to seeking help for
33 stress [24]. Internet CBT interventions showed a small-to-moderate effect on increasing psychological
34 well-being including reduction of psychological distress ($g = 0.37$) and effective work outcomes such
35 as engagement and productivity ($g = 0.25$) at post intervention period, compared with the control
36 condition [25]. Another meta-analysis that examined the intervention effect at post intervention period

1 and follow-up period (around 5 months) showed that eHealth interventions had a significant effect on
2 improving mental health condition at both post intervention ($g = 0.24$) and follow-up ($g = 0.23$) among
3 employees [26]. In addition, one randomized controlled trial (RCT) reported that web-based stress
4 management programs including cognitive behavioral techniques reduced perceived work-related
5 stress among nurses in the U.S. [27]. Internet CBT interventions might be effective in reducing work-
6 related stress among nurses in low- and middle-income countries. However, evidence obtained for
7 other sector workers in high income countries was not extended to nurses in low- and middle-income
8 countries in Asia. It is necessary to develop low-cost iCBT interventions for improving work stress
9 and promoting mental health of nurses in low- and middle-income countries and test its effectiveness.
10 An important challenge in applying web-based interventions is low adherence. Previous systematic
11 reviews reported that completion of web-based psychological intervention programs in the workplace
12 was approximately 40%, while the adherence rates varied considerably [25]. A useful strategy to
13 promote adherence to eHealth interventions is incorporating tailoring [28]. For instance, a previous
14 RCT showed that the attrition and adherence rate of an individually-tailored iCBT program appeared
15 favorable compared to studies that applied non-tailored iCBT programs [29]. Even programs that are
16 not fully tailored, but that allow participants to choose a module from multiple options based on their
17 preference may be useful, while a typical iCBT program provides multiple modules in a fixed
18 sequential order. A comparison of the effects of these different types of iCBT programs on adherence
19 and outcomes has not been well studied before. Comparative effectiveness of these types of iCBT
20 programs may depend on the culture of the target country and the target population. The other
21 approach that has become popular is to use smartphones as media for iCBT. Many smartphone apps
22 for stress management use evidence-based strategies [30]. However, only a small number of such
23 programs have been evaluated with a RCT, with very limited evidence in the working population [31].

24 25 **Objectives**

26 Two types of smartphone-based multi-module stress management intervention programs for reduction
27 in symptoms of depression and anxiety with a similar number of modules and content will be
28 developed for hospital nurses in Vietnam. The objectives of this study, using a three-arm RCT design,
29 are:

- 30 • to examine the effects of these intervention programs on improving depressive and anxiety
31 symptoms as primary outcomes, and on work engagement, work performance, stress symptoms,
32 psychosocial work environment, and health-related quality of life (QOL) as secondary outcomes
33 at 3- and 7-month follow-up; and
- 34 • to examine whether a free-choice sequence (i.e., partially tailored) program results in better
35 adherence than completion of similar modules in a fixed sequential order.

36 We chose Vietnam as a target country because of the degree of resources and challenges, improved

1 mobile access to the Internet, the increasing demands on medical services due to a rapidly aging
2 population, and an increasing number of cases of burnout among nurses.

3 The hypotheses of this study are;

4 H1: The newly developed smartphone-based multi-module stress management intervention programs
5 will significantly improve the primary outcomes (i.e., depressive and anxiety symptoms) among
6 participants in the intervention groups compared with participants in the control group.

7 H2: The newly developed smartphone-based multi-module stress management intervention programs
8 will significantly improve the secondary outcomes (i.e. work engagement, work performance, stress
9 symptoms, psychosocial work environment, and health-related QOL) among participants in the
10 intervention groups compared with participants in the control group.

11 H3: Participants will show significantly better adherence (i.e., completion rate of the program) to the
12 free-choice program than the fixed-sequence program.

13

METHODS AND ANALYSIS

Trial design

The study will be a three-arm (including two different intervention groups), parallel-group, treatment as usual (TAU)-controlled, non-blinded randomized study. The allocation ratio of the intervention groups to the control group is 1:1:1. Participants will be recruited from a large general hospital in Hanoi, Vietnam, and randomly allocated to one of three groups after they have completed a baseline questionnaire survey. Follow-up surveys will be conducted 3 and 7 months after the baseline. The study protocol was registered at the UMIN Clinical Trials Registry (UMIN-CTR; ID=UMIN00033139). The study procedures have been approved by the Research Ethics Review Board of Graduate School of Medicine/Faculty of Medicine, the University of Tokyo (no 11991) and the Ethical Review Board for Biomedical research of Hanoi University of Public Health (no 346/2018/YTCC-HD3). This protocol manuscript is written in accordance with the Standard Protocol Items: Recommendations for Interventional Trials (SPIRIT) guideline checklist [32].

Participants

The target population of this RCT will be registered nurses working in a large general hospital (which employs approximately 2,000 nurses) in Vietnam who will be invited to participate and selected according to the following criteria:

Inclusion criteria

1. Currently employed full-time as registered nurse.
2. Can access the internet via a mobile device such as a smartphone.

Exclusion criteria

1. Plan to change or quit the job in the next 7 months.
2. Assistant nurses and helpers.
3. Non-regular or part-time employed.
4. Sick leave for 15 or more days for a physical or mental condition in the past 3 months.
5. Current treatment for a mental health problem from a mental health professional.

Procedure

Figure 1 shows the participant flow chart of this trial. Our preliminary research reported that about 60% of the nurses in the hospital have their own smartphone. In addition, a previous RCT reported that about 10% of participants had to be excluded according to two exclusion criteria, which were having sick leave for 15 or more days for own health problems in the past 3 months and receiving medical treatment for a mental health problem during the past month [33].

For this study, the clinical research coordinator (CRC) will send invitations to 2,000 nurses, of whom 1,200 are expected to have their own smartphone and give informed consent, and 1,080 are expected

1 to be eligible. These 1,080 will be randomized to either one intervention group (n = 360), the other
2 intervention group (n = 360), or the control group (n = 360). Participants in the two intervention groups
3 will be required to complete the intervention programs within 10 weeks after the baseline survey.

4 An invitation letter to all nurses will include a full explanation of the study and information on the
5 eligibility criteria. After reading the explanation of the study, potential participants will be invited to
6 give their written consent to participate in the study, and to complete and return the baseline survey to
7 CRC within a week.

8
9 < Insert Figure 1 about here >

10 11 12 **Intervention programs**

13 In this study, two smartphone-based six-module stress management programs will be used. One
14 (program A) is a free-choice, multi-module stress management program in which respondents are
15 allowed to select one module per week in any order they prefer. The other (program B) is a fixed-
16 sequence, multi-module stress management program in which respondents are required to study
17 modules in a fixed order, one module per week. For both programs, it will take about 15 minutes to
18 complete each module.

19 Program A includes 6 modules that provide six evidence-based stress management skills. This
20 program is based on a previous web-based stress management program aimed to improve
21 psychological distress of office workers [34], and modified on the basis of intensive consultation with
22 nurses in Vietnam, e.g., replacing one module (on physical activity for stress management) with
23 another (self-compassion). Participants may choose one module per week in any order they prefer.
24 The program includes behavioral activation (Module 1), cognitive restructuring (Module 2), problem-
25 solving (Module 3), assertiveness (Module 4), self-compassion (Module 5), and job crafting (Module
26 6).

27 Program B also includes 6 modules that provide CBT-based stress management skills, developed
28 based on a previous iCBT program that successfully improved depression in office workers [33]. The
29 6 modules are presented in fixed order, with one module accessible per week, from Module 1 to
30 Module 6. The program has two already established CBT packages as its basis. One is the cognitive
31 therapy program developed by Beck [35]. The other is the 'Coping with Depression' program
32 developed by Lewinsohn [36]. The program includes transactional model of stress and coping (Module
33 1), self-case formulation based on cognitive behavioral model (Module 2), behavioral activation skills
34 (Module 3), cognitive restructuring skills (Modules 4 and 5), problem-solving skills (Module 6) and
35 relaxation skills (Module 5). The program is modified so that the content relevant to and appropriate
36 for the working situation and work culture of nurses in Vietnam. For instance, case stories are modified

1 reflecting major stressors (i.e., job overload) of these nurses.

2 Table 1 shows the stress management techniques included in Program A and Program B. Behavioral
3 activation, cognitive restructuring, and problem solving techniques are included in both Program A
4 and Program B. Assertiveness, self-compassion, and job crafting techniques are only included in
5 Program A. The transactional model of stress and coping, self-case formulation based on cognitive
6 behavioral model, and relaxation techniques are only included in Program B. Details of each of the
7 components are as follows.

8

Table 1 Contents of the free-choice (Program A) and fixed-order (Program B) stress management programs

Techniques for stress management	Program A (Module No.)	Program B (Module No.)
Transactional model of stress and coping	Not included	Module 1
Self-case formulation based on cognitive behavioral model	Not included	Module 2
Behavioral activation	Module 1	Module 3
Cognitive restructuring	Module 2	Modules 4 and 5
Relaxation	Not included	Module 5
Problem solving	Module 3	Module 6
Assertiveness	Module 4	Not included
Self-compassion	Module 5	Not included
Job crafting	Module 6	Not included

9

10 *Transactional model of stress and coping (Module 1 in Program B)*

11 Transactional stress model is defined as perceptions that demands exceed coping strategies [37].
12 According to this model, an individual's reaction to stressors is determined, in part, by their own
13 appraisal of the stressor. In keeping with this model, stress will be defined as the psychological
14 response to a situation or stimuli whereby an individual appraises the situation or stressor as exceeding
15 their capabilities or resources. In this module, participants learn about the relationship between
16 stressors and stress reactions.

17

18 *Self-case formulation based on cognitive behavioral model (Module 2 in Program B)*

19 In this module, participants learn about a cognitive behavioral (CB) model, especially the five-part
20 model (situation, thoughts, emotions, behavior, and physical feelings) [38] and a self-case formulation
21 based on this model. Case formulation is a method used to understand the problem of a client [39].
22 Case formulation is necessary for clients to choose an appropriate approach to change the vicious
23 circles of these five areas.

24

25 *Behavioral activation (Module 1 in Program A and Module 3 in Program B)*

26 Behavioral activation, one of the most readily applied techniques in CBT, is a process to increase
27 pleasurable and rewarding activities using behavioral strategies such as activity scheduling [40]. This

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1 module/program provides a behavioral activation technique on enhancing participants' liveliness.
2 Participants learn about a theory of behavioral activation and how to plan an activity schedule for
3 increasing pleasant activities.
4

5 *Cognitive restructuring (Module 2 in Program A and Modules 4 and 5 in Program B)*

6 The cognitive restructuring technique is one of the standard cognitive approaches of CBT utilized to
7 change an automatic negative thought into an actual, realistic and flexible thought [35]. This module
8 gives a lecture on a cognitive ABC model (Activating/Actual event, Belief, and Consequence) [35 41
9 42] and on identifying the automatic thoughts that cause a negative mood. Participants learn cognitive
10 restructuring skills to change an automatic negative thought into an actual thought.
11

12 *Relaxation (Module 5 in Program B)*

13 Relaxation techniques are often added to the CBT intervention for workers, and they have shown
14 significant effects on improving depression [22]. In the latter half of the Module 5, participants learn
15 a relaxation technique using a breathing method.
16

17 *Problem solving (Module 3 in Program A and Module 6 in Program B)*

18 Problem solving technique is a CB intervention that focuses on training adaptive problem-solving
19 attitudes and skills [43]. A rational problem-solving style involves the deliberate and systematic
20 application of four major problem-solving skills: (1) problem definition and formulation, (2)
21 generation of alternative solutions, (3) decision-making, and (4) solution implementation and
22 verification [44]. In this module, participants learn problem-solving skills to sort out the problem and
23 make a list of solutions.
24

25 *Assertiveness (Module 4 in Program A)*

26 Assertiveness is typically defined as the legitimate and honest expression of one's personal rights,
27 feelings, beliefs, and interests without violating or denying the rights of others [45 46]. In order to
28 communicate assertively, the DESC (Describe, Express, Specify, and Choose or Consequence) script
29 is used [47]. In this module, participants learn assertiveness skills to appropriately communicate their
30 concerns to supervisors, coworkers or subordinates, based on the DESC script.
31

32 *Self-compassion (Module 5 in Program A)*

33 Self-compassion describes a positive and caring attitude of a person toward her- or himself in the face
34 of failures and individual shortcomings [48]. As a result of this caring attitude, individuals high in
35 self-compassion are assumed to experience higher individual well-being. There are three interrelated
36 elements that determine the self-compassionate reactions to negative events and experiences: self-

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6 1 kindness, sense of common humanity, and mindfulness [48 49]. In this module, participants learn a
7 2 concept of self-compassion and how to express compassion toward themselves.
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4 *Job crafting (Module 6 in Program A)*

5 Job crafting is defined as “the physical and cognitive change individuals make in the task or relational
6 6 boundaries of their work” [50] and consists of the following three components: changing the job’s
7 7 boundaries (task crafting), changing the relational boundaries (relational crafting), and changing the
8 8 cognitive task boundaries (cognitive crafting) [50]. In this module, participants learn about the concept
9 9 of job crafting and how to craft their own job.
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11 **Intervention groups**

12 Participants in the intervention groups will be required to complete Program A or B within 10 weeks
13 13 after the baseline survey. Participants will be provided with their own ID and password to sign in to
14 14 the program and asked not to tell anyone else this information. The participants will be reminded by
15 15 email to complete the program if they have not already done so. Reminders will be sent from the
16 16 research office. Before the start of the intervention program, participants in the intervention groups
17 17 download the apps and view an introduction module that provides general explanations of the
18 18 programs. The introduction module is common for the two intervention programs with brief
19 19 explanations about the psychological stress model, self-assessment of their own mood using Kessler’s
20 20 Psychological Distress Scale (K6) [51], and an introduction of the two intervention programs.
21 21 Participants can contact CRC if they have trouble downloading or using the apps. After 3 months from
22 22 baseline survey, the intervention programs will be closed by CRC.
23

24 **Control group**

25 Participants in the control group do not receive any intervention programs during the intervention and
26 26 follow-up period (7 months). Participants both in the intervention group and the control group will be
27 27 able to use an internal employee assistance program service as a treatment as usual. Participants in the
28 28 control group will be provided the opportunity to use the intervention programs after the 7-month
29 29 follow-up.
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31 **Outcomes**

32 Table 2 shows an overview of the outcome measures. All outcome measures will be assessed at
33 33 baseline, the 3-month (the end of the intervention period) and 7-month follow-ups. Non-respondents
34 34 will receive reminder email from the research center for each of the follow-up surveys. All participants
35 35 will receive a paper-based survey questionnaire from CRC at baseline and each follow-up. Completed
36 36 questionnaires will be returned to CRC in a sealed envelope.

Table 2 Overview of outcome measurements

Measurement	Aim	Baseline (T1)	3-M F/U (T2)	7-M F/U (T3)
Primary outcomes				
DASS	Severity of depressive symptoms	x	x	x
DASS	Severity of anxiety symptoms	x	x	x
Secondary outcomes				
UWES	Work engagement	x	x	x
HPQ	Sickness absence (absenteeism) and reduced job performance (presenteeism)	x	x	x
DASS	Severity of stress symptoms	x	x	x
JCQ	Psychosocial work environment	x	x	x
EQ-5D	Health-related quality of life	x	x	x

Note: DASS = Depression Anxiety and Stress Scales, UWES = Utrecht Work Engagement Scale, HPQ = Health and Work Performance Questionnaire, JCQ = Job Content Questionnaire.

Primary outcomes

Depression and anxiety

The Depression Anxiety and Stress Scales (DASS) is a widely used screening tool to assess symptoms of depression, anxiety, and stress in community settings [52]. The DASS comprises three subscales (i.e., depression, anxiety, and stress). The depression subscale measures dysphoria, hopelessness, devaluation of life, among others. The anxiety subscale measures autonomic arousal, skeletal musculature symptoms, situational anxiety, among others. The stress scale measures difficulty relaxation, nervous arousal, easily upset/agitated, among others. The short 21-item version (DASS 21, seven items in each of the three subscales) [53] will be used in this study. Items are scored on a 4-point scale ranging from 0 (*did not apply to me at all*) to 3 (*applied to me very much, or most of the time*). In order to yield equivalent scores to the full version of DASS (42-item), the total score of each scale is multiplied by 2 and ranges from 0 to 42 [53]. A Vietnamese version of DASS 21 has been developed and tested, and its reliability and validity have been confirmed [54]. The depression scale and the anxiety scale will be used to assess the depression and anxiety symptoms as primary outcomes in this study.

Secondary outcomes

Work engagement

Work engagement will be assessed using the short form of the Utrecht Work Engagement Scale (UWES) [55]. The UWES consists of three subscales (i.e., vigor, dedication, absorption) comprising nine items. Items are scored on a 7-point scale ranging from 0 (*never*) to 6 (*always*). A total score is calculated from all nine items. The Vietnamese version will be developed and validated before the study.

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1 *Sick leave days and self-reported work performance*

2 The WHO Health and Productivity Questionnaire (HPQ) is a self-report instrument designed to
3 estimate the workplace costs of health problems in terms of self-reported sickness absence
4 (absenteeism) and reduced job performance (presenteeism) [56]. Respondents will be asked to rate
5 their overall work performance during the past 4 weeks. The item will be scored on an 11-point scale
6 ranging from 0 (*worst possible performance*) to 10 (*best possible performance*). High scores indicate
7 a high degree of perceived work performance. The Vietnamese version will be developed and
8 validated before the study.

9 10 *Stress symptoms*

11 Stress symptoms will be assessed with the stress scales of DASS 21 [52-54], above.

12 13 *Psychosocial work environment*

14 The Job Content Questionnaire (JCQ) will be used to assess psychological job demands, control, and
15 support by coworkers and supervisors [57]. The JCQ consists of a five-item psychological demand
16 scale, a nine-item decision latitude scale, a four-item supervisor support scale, and a 4-item coworker
17 support scale. Items are scored on a 4-point Likert scale, ranging from 1 (*strongly disagree*) to 4
18 (*strongly agree*). The Vietnamese version will be developed and validated before the study.

19 20 *Health-related quality of life*

21 Health-related quality of life will be assessed with the EQ-5D-5L [58]. The EQ-5D-5L consists of five
22 items covering five dimensions (mobility, self-care, usual activities, pain/discomfort and
23 anxiety/depression), each of which is rated as causing ‘*no problems*’ to ‘*unable to*’, and a visual
24 analogue scale. It is a widely applied quality of life instrument, and its reliability and validity are well
25 established [58]. The Vietnamese version has been developed and tested for its reliability and validity
26 [59].

27 28 *Improvement of knowledge and self-efficacy.*

29 Respondents will be asked to rate their improvement of knowledge and self-efficacy regarding the two
30 intervention programs. Knowledge improvement will be assessed by asking participants, “How much
31 knowledge do you have about...,” and self-efficacy improvement will be assessed by asking
32 respondents “How confident are you that you can do...” Both items are scored on 5-point scale
33 ranging from 0 (*none*) to 4 (*enough*). This scale is originally developed and has not yet been validated.

34 35 *Process evaluation*

36 *Program satisfaction and usage*

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6 1 Participants in the intervention groups will be asked to rate their satisfaction with the intervention
7 2 program at the end of the intervention period. To evaluate any difference in adherence to the two
8 3 intervention programs, the usage of the intervention programs will be collected from the records of
9 4 the apps system. It is technically difficult to make the content of the two intervention programs
10 5 identical; the adaptation and modification process following the consultation with nurses in Vietnam
11 6 make it more difficult. However, we still use the same CBT components (i.e., behavioral activation,
12 7 cognitive restructuring, and problem solving) in both of the programs, keeping 50% of the content
13 8 overlapping (see Table 1).
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20 Contamination of information

21 To evaluate contamination of information among participants, participants will be asked at follow-up
22 12 survey; “During the past 3 months, have you got to know information on stress management from
23 13 your colleagues who used any smartphone-based stress management programs?”, with a response
24 14 option, yes/no. This scale will be originally developed.
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29 Demographic characteristics

30 17 Demographic data, such as age, gender, marital status, occupation, education, chronic disease, and
31 18 overtime hours during the past month also will be collected.
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35 Sample size calculation

36 21 A required sample size was calculated for one of the outcome variables, i.e., depressive symptoms
37 22 assessed by DASS. Previous meta-analyses of web-based psychological intervention on improving
38 23 workers mental health in the workplace yielded effect sizes of 0.23 to 0.37 [25 26]. To detect a small
39 24 effect size (i.e., 0.25) or more at an alpha error rate of 0.05 and a beta error rate of 0.15, the estimated
40 25 sample size was 289 participants in each group. With an anticipated dropout rate of 25 %, the necessary
41 26 sample size was 361 participants per arm. The statistical power was calculated using the G*Power 3
42 27 program [60 61].
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48 Randomization

49 30 Participants who fulfil the inclusion criteria will be randomly allocated to one of the three trial arms
50 31 (two intervention groups or control groups). Stratified permuted-block randomization will be
51 32 conducted as well. The block sizes of this study will be fixed to three. Participants will be stratified
52 33 into two strata according to the depression subscale score of DASS (10 or greater or less than 10) in
53 34 the baseline survey [54]. In addition to the analysis of the whole sample (to examine the universal
54 35 intervention effect), we will also analyze data by a priori-defined subgroups (to examine the selective
55 36 intervention effect). A stratified permuted block random table will be generated by an independent
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6 1 biostatistician. Enrollment will be conducted by a CRC, and assignment will be conducted by an
7 2 independent research assistant. The stratified permuted-block random table will be password protected
8 3 and blinded to the researcher. Only the research assistant will be able to access it during the work of
9 4 random allocation.
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12 5 13 6 **Statistical methods**

14 7 *Clinical efficacy*

15 8 For the main pooled analysis, a mixed model for repeated measures conditional growth model analysis
16 9 with an unstructured covariance matrix will be conducted using a group (intervention and control) ×
17 10 time (baseline, 3-month, and 7-month follow-ups) interaction as an indicator of intervention effect.
18 11 For sensitivity analysis, a similar mixed model for repeated measures, but using the analysis of
19 12 variance model. with an unstructured covariance matrix will be conducted. Missing values will be
20 13 imputed applying the maximum likelihood estimation using the MIXED procedure. An intention-to-
21 14 treat principle will be applied as well. The effect size indicators are two-fold. We will estimate a
22 15 regression coefficient for a group (each of the two intervention groups vs. the control group) x time
23 16 (baseline and two follow-ups) interaction using the MIXED procedure, that will be converted an effect
24 17 size by dividing by a pooled SD at baseline and at follow-ups. Second, we will calculate Cohen's *d*
25 18 among completers at baseline for each follow-up. The level of statistical significance for all analyses
26 19 in this study will be set at 0.05 (two-tailed), and 95% CIs will be calculated. For Cohen's *d*, the values
27 20 of 0.2, 0.5 and 0.8 are generally interpreted as being suggestive of small, medium and large effects,
28 21 respectively [62]. For process measures, the chi-square test will be performed to examine the
29 22 difference between the two intervention groups. All statistical analyses will be conducted using the
30 23 SPSS Statistics V.22.0 (IBM Corp., USA).
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42 25 *Subgroup analysis*

43 26 The effectiveness of the program may differ according to the initial severity of depressive symptoms.
44 27 We will therefore use the stratification factor (i.e., participants who scored 10 or more in DASS
45 28 depression subscale at the baseline survey) and analyze the results according to a priori-defined
46 29 subgroups (selective intervention effect).
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51 31 **Data monitoring**

52 32 A Data and Safety Monitoring Board (DSMB) will be set up, including an independent chair and at
53 33 least two independent members. The DSMB will meet every 3 months after the first participant is
54 34 randomized. The purpose of the meetings will be to review the report prepared by the CRC. The CRC
55 35 will prepare DSMB reports to monitor recruitment progress and data collection (e.g., percentage
56 36 completing each follow-up).
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12**Patient and Public Involvement**

In the present study, the research question, the study design, and the outcome measures were determined based on a discussion with representatives of hospital nurses in the target hospital (chief nurses). Senior nurses of the target hospital (who were not participants of the study) were invited to a meeting with researchers to review and comment on the intervention programs based on their priorities, experience, and preferences. The representatives of hospital nurses in the target hospital will help recruiting and conducting the study. The results of the study will be disseminated to all nurses in the hospital via a newsletter or with other media, after the study is done, with an opportunity for them to enjoy the intervention programs. In this RCT, the burden of the intervention will be assessed by participants themselves.

For peer review only

ETHICS AND DISSEMINATION

Ethical and safety considerations

Written informed consent will be obtained from all participants included in this study after full disclosure and explanation of the purpose and procedures of the study. Candidates will be informed that their participation is totally voluntary, that even after voluntarily participating they can withdraw from the study at any time without stating the reason, and that neither participation nor withdrawal will cause any advantage or disadvantage to them.

We expect no adverse health effect from this intervention, except possibly for deterioration in depressive/anxiety symptoms. We will provide the emergency phone call number and e-mail address at the central office. The CRC (TTran), who is a registered nurse, will then deal with the emergency call or e-mail first by herself, and then consult with the clinical supervisors (NK) to provide appropriate care.

Data confidentiality

Participants will complete a baseline/follow-up questionnaire with a sealed envelope and submit it to the research center. After the survey, the collected data will be entered into a password-locked stand-alone PC by the CRC. The collected data will be stored as linkable anonymizing data. The data will be accessible only by the CRC.

Dissemination of research findings

The main findings of this study will be disseminated via publications in peer-reviewed international journals. Presentations of study findings will also be offered at relevant research conferences, and local academic symposia and seminars. If the intervention programs are found to produce a significant positive effect in this RCT, these programs can be made available for all nurses in Vietnam in the future.

Strengths and limitations

The greatest strength of this study is its focus on the effect of the fully automated web-based smartphone application intervention programs on improving depressive and anxiety symptoms among Vietnamese nurses using RCT design. This study is also intended to add evidence for the effect of e-stress management programs on positive work outcomes (e.g., work engagement and work performance) among nurses. To our knowledge, the present study will be the first to determine whether a fully automated smartphone-based stress management programs is effective in improving depressive and anxiety symptoms and relevant work outcomes among nurses in Vietnam, a middle income country in Southeast Asia, using a well designed study protocol. This study will contribute to future development of strategies in the primary prevention of depression and anxiety and promotion of

1 positive mental health among nurses in the low- and middle-income countries.

2 Another strength of this study is to contribute to the creation of a new option for mental health services
3 if this RCT will demonstrates the effectiveness of e-stress management programs developed in this
4 project in a low- and middle-income country context. Such programs would provide hospital nurses
5 in Vietnam with an opportunity to have access to a low-cost mental health service.

6 One of the major weaknesses of this study is that all outcomes will be measured by self-report, which
7 may be affected by the perceptions of the participants or by situational factors at work. Next,
8 participants will be recruited from full-time nurses of one big general hospital in Vietnam. Therefore,
9 generalization of the findings to nurses working under different contract and work environments may
10 be limited. Third, a slight difference in the content between the two intervention programs may be also
11 a limitation in comparing the adherence between the free-choice program and the fixed-order program.

12 13 **ACKNOWLEDGEMENT**

14 **Authors' contribution**

15 KI, TTran, HN, KK, AS, TB, AN, QN, KN, GN, XT, TTruong, MZ, HM, YS, NS, AT, and NK
16 conceived and designed the experiments. KI, TTran, HN, KK, AS, YS, NS, and NK contributed
17 reagents/materials/analysis tools. KI, TTran, HN, HM, and NK wrote the paper. All authors read and
18 approved the final paper.

19 20 **Funding statement**

21 This research was supported by AMED under Grant Number JP17jk0110014. The funder had no role
22 in study design, data collection and analysis, decision to publish, or preparation of the manuscript.

23 24 **Competing interest**

25 NK reports grants from Infocom Corp, Fujitsu Ltd, Fujitsu Software Technologies, and TAK Ltd,
26 personal fees from Occupational Health Foundation, Japan Dental Association, Sekisui Chemicals,
27 Junpukai Health Care Center, Osaka Chamber of Commerce and Industry, outside the submitted work.
28 The other authors declare that they have no competing interests.

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30 **Figure 1** Participant flowchart.

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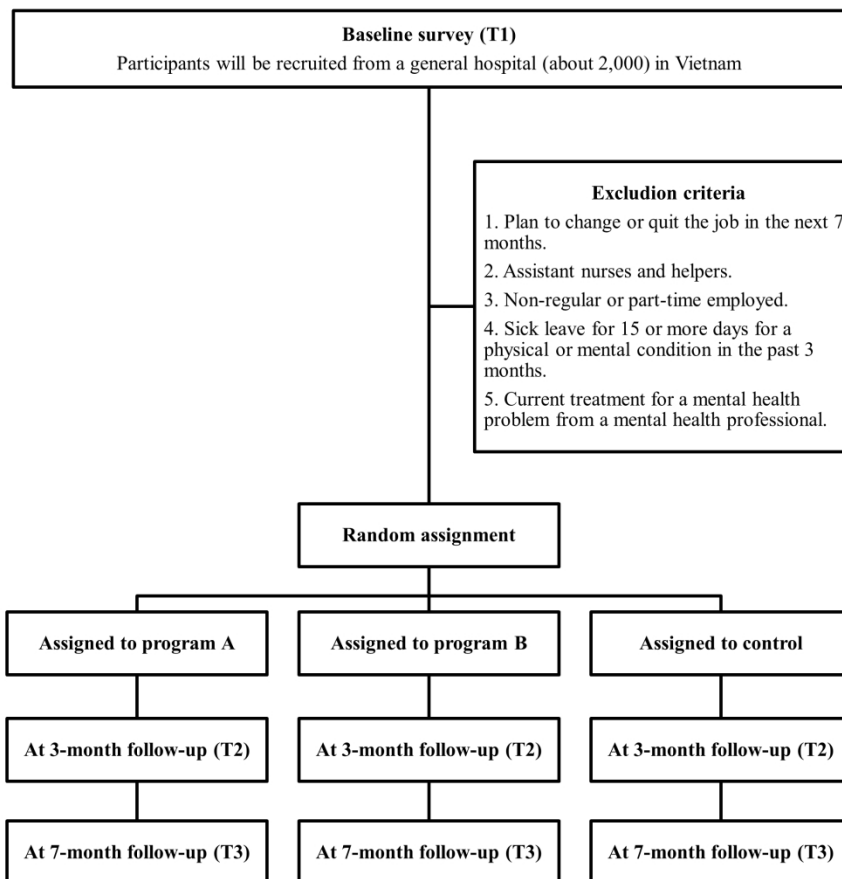


Figure 1 Participant flowchart.

190x254mm (300 x 300 DPI)



SPIRIT 2013 Checklist: Recommended items to address in a clinical trial protocol and related documents*

Section/item	Item No	Description	Addressed on page number
Administrative information			
Title	1	Descriptive title identifying the study design, population, interventions, and, if applicable, trial acronym	___ 1 ___
Trial registration	2a	Trial identifier and registry name. If not yet registered, name of intended registry	___ 3 ___
	2b	All items from the World Health Organization Trial Registration Data Set	___ N/A ___
Protocol version	3	Date and version identifier	___ 3 ___
Funding	4	Sources and types of financial, material, and other support	___ 18 ___
Roles and responsibilities	5a	Names, affiliations, and roles of protocol contributors	___ 1-2, 18 ___
	5b	Name and contact information for the trial sponsor	___ 2 ___
	5c	Role of study sponsor and funders, if any, in study design; collection, management, analysis, and interpretation of data; writing of the report; and the decision to submit the report for publication, including whether they will have ultimate authority over any of these activities	___ 18 ___
	5d	Composition, roles, and responsibilities of the coordinating centre, steering committee, endpoint adjudication committee, data management team, and other individuals or groups overseeing the trial, if applicable (see Item 21a for data monitoring committee)	___ 16 ___

Introduction

Background and rationale	6a	Description of research question and justification for undertaking the trial, including summary of relevant studies (published and unpublished) examining benefits and harms for each intervention	4-5
	6b	Explanation for choice of comparators	N/A
Objectives	7	Specific objectives or hypotheses	5-6
Trial design	8	Description of trial design including type of trial (eg, parallel group, crossover, factorial, single group), allocation ratio, and framework (eg, superiority, equivalence, noninferiority, exploratory)	7

Methods: Participants, interventions, and outcomes

Study setting	9	Description of study settings (eg, community clinic, academic hospital) and list of countries where data will be collected. Reference to where list of study sites can be obtained	7-8
Eligibility criteria	10	Inclusion and exclusion criteria for participants. If applicable, eligibility criteria for study centres and individuals who will perform the interventions (eg, surgeons, psychotherapists)	7
Interventions	11a	Interventions for each group with sufficient detail to allow replication, including how and when they will be administered	9-12
	11b	Criteria for discontinuing or modifying allocated interventions for a given trial participant (eg, drug dose change in response to harms, participant request, or improving/worsening disease)	N/A
	11c	Strategies to improve adherence to intervention protocols, and any procedures for monitoring adherence (eg, drug tablet return, laboratory tests)	12
	11d	Relevant concomitant care and interventions that are permitted or prohibited during the trial	N/A
Outcomes	12	Primary, secondary, and other outcomes, including the specific measurement variable (eg, systolic blood pressure), analysis metric (eg, change from baseline, final value, time to event), method of aggregation (eg, median, proportion), and time point for each outcome. Explanation of the clinical relevance of chosen efficacy and harm outcomes is strongly recommended	13-15
Participant timeline	13	Time schedule of enrolment, interventions (including any run-ins and washouts), assessments, and visits for participants. A schematic diagram is highly recommended (see Figure)	7-8

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2
3 Sample size 14 Estimated number of participants needed to achieve study objectives and how it was determined, including _____15_____

4 clinical and statistical assumptions supporting any sample size calculations
5
6 Recruitment 15 Strategies for achieving adequate participant enrolment to reach target sample size _____7-8_____

7
8 **Methods: Assignment of interventions (for controlled trials)**

9
10 Allocation:

11 Sequence generation 16a Method of generating the allocation sequence (eg, computer-generated random numbers), and list of any _____15-16_____

12 factors for stratification. To reduce predictability of a random sequence, details of any planned restriction
13 (eg, blocking) should be provided in a separate document that is unavailable to those who enrol participants
14 or assign interventions
15
16 Allocation concealment mechanism 16b Mechanism of implementing the allocation sequence (eg, central telephone; sequentially numbered, _____15-16_____

17 opaque, sealed envelopes), describing any steps to conceal the sequence until interventions are assigned
18
19 Implementation 16c Who will generate the allocation sequence, who will enrol participants, and who will assign participants to _____15-16_____

20
21 Blinding (masking) 17a Who will be blinded after assignment to interventions (eg, trial participants, care providers, outcome _____N/A_____

22 assessors, data analysts), and how
23
24 17b If blinded, circumstances under which unblinding is permissible, and procedure for revealing a participant's _____N/A_____

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31 **Methods: Data collection, management, and analysis**

32
33 Data collection methods 18a Plans for assessment and collection of outcome, baseline, and other trial data, including any related _____12_____

34 processes to promote data quality (eg, duplicate measurements, training of assessors) and a description of
35 study instruments (eg, questionnaires, laboratory tests) along with their reliability and validity, if known.
36 Reference to where data collection forms can be found, if not in the protocol
37
38 18b Plans to promote participant retention and complete follow-up, including list of any outcome data to be _____12_____

39 collected for participants who discontinue or deviate from intervention protocols
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3	Data management	19	Plans for data entry, coding, security, and storage, including any related processes to promote data quality (eg, double data entry; range checks for data values). Reference to where details of data management procedures can be found, if not in the protocol	_____17_____
4				
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7	Statistical methods	20a	Statistical methods for analysing primary and secondary outcomes. Reference to where other details of the statistical analysis plan can be found, if not in the protocol	_____16_____
8				
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10		20b	Methods for any additional analyses (eg, subgroup and adjusted analyses)	_____16_____
11				
12		20c	Definition of analysis population relating to protocol non-adherence (eg, as randomised analysis), and any statistical methods to handle missing data (eg, multiple imputation)	_____16_____
13				
14				
15	Methods: Monitoring			
16				
17	Data monitoring	21a	Composition of data monitoring committee (DMC); summary of its role and reporting structure; statement of whether it is independent from the sponsor and competing interests; and reference to where further details about its charter can be found, if not in the protocol. Alternatively, an explanation of why a DMC is not needed	_____16_____
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22		21b	Description of any interim analyses and stopping guidelines, including who will have access to these interim results and make the final decision to terminate the trial	_____N/A_____
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25	Harms	22	Plans for collecting, assessing, reporting, and managing solicited and spontaneously reported adverse events and other unintended effects of trial interventions or trial conduct	_____17_____
26				
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28	Auditing	23	Frequency and procedures for auditing trial conduct, if any, and whether the process will be independent from investigators and the sponsor	_____N/A_____
29				
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32	Ethics and dissemination			
33				
34	Research ethics approval	24	Plans for seeking research ethics committee/institutional review board (REC/IRB) approval	_____17_____
35				
36				
37	Protocol amendments	25	Plans for communicating important protocol modifications (eg, changes to eligibility criteria, outcomes, analyses) to relevant parties (eg, investigators, REC/IRBs, trial participants, trial registries, journals, regulators)	_____N/A_____
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3	Consent or assent	26a	Who will obtain informed consent or assent from potential trial participants or authorised surrogates, and how (see Item 32)	___ 17 ___
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6		26b	Additional consent provisions for collection and use of participant data and biological specimens in ancillary studies, if applicable	___ N/A ___
7				
8	Confidentiality	27	How personal information about potential and enrolled participants will be collected, shared, and maintained in order to protect confidentiality before, during, and after the trial	___ 17 ___
9				
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11	Declaration of interests	28	Financial and other competing interests for principal investigators for the overall trial and each study site	___ 18 ___
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14	Access to data	29	Statement of who will have access to the final trial dataset, and disclosure of contractual agreements that limit such access for investigators	___ 17 ___
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17	Ancillary and post-trial care	30	Provisions, if any, for ancillary and post-trial care, and for compensation to those who suffer harm from trial participation	___ N/A ___
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20	Dissemination policy	31a	Plans for investigators and sponsor to communicate trial results to participants, healthcare professionals, the public, and other relevant groups (eg, via publication, reporting in results databases, or other data sharing arrangements), including any publication restrictions	___ 17 ___
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25		31b	Authorship eligibility guidelines and any intended use of professional writers	___ N/A ___
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27		31c	Plans, if any, for granting public access to the full protocol, participant-level dataset, and statistical code	___ N/A ___
28				
29	Appendices			
30				
31	Informed consent materials	32	Model consent form and other related documentation given to participants and authorised surrogates	___ N/A ___
32				
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34	Biological specimens	33	Plans for collection, laboratory evaluation, and storage of biological specimens for genetic or molecular analysis in the current trial and for future use in ancillary studies, if applicable	___ N/A ___
35				
36				

37 *It is strongly recommended that this checklist be read in conjunction with the SPIRIT 2013 Explanation & Elaboration for important clarification on the items.
 38 Amendments to the protocol should be tracked and dated. The SPIRIT checklist is copyrighted by the SPIRIT Group under the Creative Commons
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