# How many patients in a prolonged disorder of consciousness might need a best

interests meeting about starting or continuing gastrostomy feeding?

## Author, including corresponding author:

Derick T Wade MD FRCP

Professor of Neurological Rehabilitation

OxINMAHR, and Movement Science Group,

Faculty of Health and Life Sciences

Oxford Brookes University

Headington Campus, Gypsy Lane

Oxford OX3 0BP

Email: derick.wade@ntlworld.com

**Tel:** +44-7818-452133, +44-1865-556031

2

Abstract.

- **Objective**: To estimate the number of people in a prolonged disorder of consciousness (PDOC) who may need a formal best interests decision-making process to consider starting and/or continuing life-sustaining treatment each year in the population of a developed country.
- Method: Identification of studies on people with a prolonged disorder of consciousness giving information about incidence, and/or prevalence, and/or cause ,and/or location of long-term care. Sources included systematic reviews, a new search of Medline (April 2018), and a personal collection of papers. Validating information was sought from existing data on services.
- **Results:** There are few epidemiologically sound studies, most having bias and/or missing information. The best estimate of incidence of PDOC due to acute-onset disease is 2.6/100,000/year; the best estimate of prevalence is between 2.0 and 5.0/100,000. There is evidence that prevalence in the Netherlands is about 10% of that in other countries. The commonest documented causes are cerebral hypoxia, stroke, traumatic brain injury, and tumours. There is some evidence suggesting that dementia is a common cause, but PDOC due to progressive disorders has not been studied systematically. Most people receive long-term in nursing homes, but a significant proportion (10%-15%) may be cared for at home.
- **Conclusion:** Each year about 5/100,000 people will enter a prolonged state of unconsciousness from acute onset and progressive brain damage; and at any one time there may be 5/100,000 people in that state. However, the evidence is very limited in quality and quantity. The numbers may be greater.

3

#### Introduction.

"If we develop a policy for making best interests decisions about starting or continuing gastrostomy feeding in people with a prolonged disorder of consciousness, how many patients should we expect to see within this policy each year?" This simple question has arisen in the context of developing such a policy in England and Wales. This article sets out the available evidence to give an approximate, 'good enough' estimate, which should help ensure that proposal proposed are feasible.

Decisions about starting, continuing and stopping life-sustaining treatments, especially gastrostomy feeding, in people with a prolonged disorder of consciousness are controversial [1][2][3][4] and strong views are held. [5][6] While many people say that personally they would not want treatment continued, they are nevertheless less likely to support stopping treatment for others. [7][8]

A person's attitude to limiting life-sustaining treatment is influenced by religious beliefs and other cultural factors. [8][9] Different intensive care units within one US state and system have different approaches, [10] and different countries have different approaches. [3][8][11][12] To ensure a more consistent approach, many countries are now developing policies in accordance with evidence and, often, within an ethical and/or legal framework. This includes policies for people with a prolonged disorder of consciousness. [13]

In England and Wales, legal [14][15] and clinical guidance [16] has led to an expectation that a court needs to review all decisions about life-sustaining treatments in people with a prolonged

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 4 disorder of consciousness, especially withdrawal of clinically assisted nutrition and hydration (gastrostomy feeding). Recent guidance may reduce the use of the court. [17]

Policies on people with a prolonged disorder of consciousness need to balance practical considerations, including resources used, against ensuring that the process both is and is seen to be sound and fair, and open to review. The main determinant of the feasibility and cost of a policy is the number of people likely to fall within the remit of a policy. This article estimates the number of patients likely to be affected by a policy in England and Wales. The figures are likely to be similar in most developed countries.

#### Context in England and Wales.

The first UK clinical guidance was published in 1993, [18] and the case of Tony Bland generated the first legal guidance [14]. By 1996 the difficulty in determining complete unawareness (i.e. the so-called vegetative state) was recognised [19], in 2002 the minimally conscious state was defined, [20] and in 2003 further clinical guidance emerged. [21] Practice Direction 9E [15] updated English legal guidance in 2014, but was withdrawn in December 2017. These two clinical syndromes - vegetative state and minimally conscious state - are now referred to collectively as a prolonged disorder of consciousness (PDOC) [16].

In England and Wales, there is an urgent need to review both the legal and clinical guidance in relation to people in a state of a prolonged disorder of consciousness. This need arises from:

- the lack of any clear boundary between the vegetative state and the minimally conscious state; [19][22] the original legal position [14] was predicated on the unique features of being definitively unaware, but this distinction is invalid.
- the difficulty in giving a definitive, 100% certain prognosis [22][23]

- the enactment of the Mental Capacity Act 2005,[24] which changed the legal emphasis from deciding whether a treatment was futile [14] to considering whether treatment was in a person's best interests
- the acceptance, in English law, that best interests are not synonymous with survival or with length of life [24]
- the realisation that people with progressive disorders may also enter a prolonged disorder of consciousness, well known in 1994 [25][26] but overlooked
- an increasing clinical wariness about making decisions in this situation, leading to prolonged delays [27].

Routine health service data in the UK do not give dependable information on the number of people with prolonged disorders of consciousness. This follows on from:

- the wide distribution of patients in a prolonged state of unconsciousness
  - o in many different settings, especially nursing homes
  - under the care of many different clinical teams initially, with general practitioners
     (family doctors) likely to be the lead doctor in over 80% of cases in the long-term
- the lack of any person, team, or organisation with specific responsibility for
  - o clinical care and decisions beyond the first few weeks or months
  - financing care and, especially, for any legal process or clinical process associated with making best interests decisions
- a general failure of health information systems to identify and record any consequences of illness, excepting death.

This paper has focused on identifying evidence that:

- relates to people who have a disorder of consciousness that exceeds seven days [23][28]
- allows an estimate of the:
  - o incidence, number of new cases each year and/or
  - o prevalence, the number of cases in a defined population and/or
  - o underlying causes of the clinical state and/or
  - o different care-setting people may be in.

## Method.

Studies relating to people in a prolonged disorder of consciousness (vegetative state, minimally conscious state) were identified in several ways:

- Although it was not a formal systematic review, the seminal early paper on all aspects of the Vegetative State [25] reviewed papers up to 1993-94 and references within the section on epidemiology were looked at.
- 2. Reviews and systematic reviews were found by a search on Medline, and the individual studies within these were then looked at.
- 3. An independent search of Medline was also undertaken (Appendix 1).
- 4. Last, I have collected papers on people with a prolonged disorder of conscious over many years, and other papers were found in this collection.

The studies selected were read to extract data relevant to estimating:

- prevalence (the number present in a given population at a specific time);
- incidence (the number of new cases arising within a defined population over a set time);
- diseases causing the disorder;
- location of long-term care.

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page Where possible, information on whether the state was secondary to an acute onset episode of brain damage or a progressive disease was extracted.

7

Appendix one shows the search strategies, and also lists all the papers used to show their origin within these processes. In addition, appendix one includes some unpublished information arising from a Freedom of Information request to the 213 clinical commissioning groups covering England in 2016, asking them to report how many people with a prolonged disorder of consciousness were being funded by the continuing healthcare fund; this is a fund that pays all care costs for eligible patients and people with an acute-onset prolonged disorder of consciousness should always receive this funding. [16], The data were used as a rough check on the validity of the estimated figures.

#### Appendix one

#### **Results.**

Table one shows the five review papers found: the first published in 1994, [25] two published in 2014 [29][30], a systematic review restricted to head injury [31] and a narrative review [32]. These reviews reveal how few primary studies there are, especially of incidence, and how low the quality of most studies is. Studies from the Netherlands all emphasise the low prevalence there (0.2/100,000), attributed to their particular clinical practice [11][12].

## Table one

Table two shows 16 individual studies which had a primary focus on disturbed consciousness (rather than on a specific cause of brain damage). It includes four recent studies not included in the other reviews. Table three shows information about studies that focused on specific diseases causing a prolonged disorder of consciousness.

#### Table two

Table three

## Incidence.

No studies examining the incidence arising from congenital or progressive causes were identified. Only three studies allow any estimate of incidence arising from all causes [33][41][47], and one is methodologically too weak to be dependable [41]. The strongest study [47] suggests an incidence of new patients with an acute onset prolonged disorder of consciousness at four weeks after onset of 2.6/100,000/year.

Studies on populations of people with traumatic brain injury suggest an incidence of 0.29 – 0.7/100,000/year at four weeks from this cause, and that between 3% and 7% of all incident cases of severe brain injury are in a prolonged disorder of consciousness at six months. [31][48]

#### Prevalence.

Excluding studies from the Netherlands, the estimates of prevalence vary between 1.7 – 86.9/100,000. The one very high estimate [46] came from a study that found that 63% of people in the vegetative state were aged over 80 years and 65% had cerebrovascular disease. The remaining estimates are under 5.0/100,000. The reports give insufficient information about cause to determine how inclusive the samples were, but few studies record any people with progressive disease. Appendix one shows the data from the Clinical Commissioning Groups in England, relating as far as is known to people with acute onset conditions. The data are poor, but one interpretation is that the prevalence of people with a prolonged disorder of consciousness being funded by the National Health Service is around 3.0/100,000.

#### Data relating to specific conditions.

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 9 The multi-society task force clearly listed the great variety of causes of a prolonged disorder of consciousness, [25] classifying them into three groups: acute brain injuries, degenerative and metabolic disorders, and developmental malformations.

The studies in table two illustrate the range of conditions associated with a prolonged disorder of consciousness. Among the acute conditions, the common conditions include cerebral hypoxia [26][37][45][47] and stroke [36][38][40]; traumatic brain damage accounts for a minority of cases in most studies. [54] Other conditions of uncertain frequency include brain tumours [33][34] and subarachnoid haemorrhage [51].

The importance of progressive and chronic conditions was known in 1991 [26], and has been confirmed in those studies likely to identify progressive disorders [40]. Specific conditions identified occasionally include developmental disorders [34], Parkinson's Disease [40] and dementia [40], with several studies reporting a range of other 'miscellaneous' diagnoses. Cases before the courts in England have also involved people with multiple sclerosis [55] and Huntington's disease [56]. Prolonged disorders of consciousness are most common in the elderly [38][46] and in one study the mean age was 78 years [40].

## Care setting.

Almost all studies have concentrated upon hospitals and nursing homes, but the evidence shows that patients may be at home in the community [36]; in one study from Italy, 58/345 (17%) people were at home in the long-term [44]. About 10% of cases in England funded by continuing healthcare were at home (Appendix one).

#### Discussion.

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 10 This review has demonstrated how little dependable and clinically useful published data there are about patients with prolonged disorders of consciousness, either in relation to epidemiologically-sound, descriptive matters or in relation to more practical matters such as service development and delivery.

Several factors limit the accuracy of the information presented here. Identifying relevant studies is difficult because there are no agreed specific terms for the clinical condition. In addition to the terms commonly used in England - vegetative state, minimally conscious state and prolonged disorder of consciousness - papers may use many other specific terms, such as apallic syndrome, low awareness state, and unresponsive wakefulness syndrome. Reassuringly, although a review using a much greater range of search terms in 2013 did find more studies [30], most were of low quality and the estimates were similar to those presented here. The simple search used in this review found several new studies, most published after the two more detailed systematic reviews. [29][30] It is unlikely that an existing but unidentified study will significantly alter the estimates given here.

Many of the reviewed studies suffer from weak methodology and/or poor description. The methods of case ascertainment are rarely well described and are usually weak. The basis for making a diagnosis is rarely well described. Operational definitions for the vegetative state and the minimally conscious state, or for prolonged, persistent or permanent disorders are rarely specified and may differ between studies. Trying to distinguish differences between different categories of people within the spectrum of prolonged disorder of consciousness would not be possible on the basis of any published studies.

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 11 The population at risk is often not specified or easily identified. Most studies are restricted in their scope, considering only patients selected by diagnosis, severity or other factors and/or only recruiting from selected settings. Furthermore, terms such as incidence and prevalence are used loosely and often incorrectly; they may also not be used when it would be appropriate to use them.

Bias may arise not only from the methodological weaknesses given above, but also from preexisting, often unstated or unrecognised assumptions. For example some people assume that the term, vegetative state, only applies to people who have an acute onset brain damage. Indeed, much of the research has focused on traumatic brain injury, and many clinicians only think of head injury when discussing the problem.

The almost complete absence of any published research concerning people with, for example, multiple sclerosis, Huntington's disease, Alzheimer's disease and other disorders probably reflects this bias. It is common experience that patients in the later stages of diseases such as Huntington's disease, multiple sclerosis and Parkinson's disease may enter a state of prolonged disorder of consciousness, sometimes remaining alive in that state for many years.

The one outlier study suggesting a prevalence of 87/100,000 [46] is notable for the large proportion of people aged over 80 years and the large proportion of people with stroke. While this could be secondary to a fault in the study, it is more likely that the research recruited from a population not normally considered. A high proportion of people with a prolonged disorder of consciousness was also found in the other study that specifically investigated older people. [40] Most studies have shown stroke to be common cause, [25][35][37][39] and stroke incidence increases with age. There is some evidence in support of this observed high rate. About 20% of

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 12 all nursing home residents have had a stroke. [58] Further, about 5% of nursing home residents receive gastrostomy feeding, [59] and it seems likely that a significant proportion of these have a prolonged disorder of consciousness secondary to stroke and/or dementia.

It therefore seems probable that the estimates of incidence and prevalence derived from the studies will be underestimates, probably quite significant underestimates, for the reasons detailed above:

- failure to include the whole population in most studies, and
- failure to consider and identify patients with a prolonged disorder of consciousness from all causes, in all settings, and of all ages.

The implications of the findings for any policy on making best interests decisions about lifesustaining treatment in patients who have a prolonged disorder of consciousness will now be considered; the process itself is discussed elsewhere. [23]

# How many people enter a prolonged disorder of consciousness each year, surviving sufficiently long to require formal consideration of their best interests?

The best study available [47] suggests a figure of 2.6/100,000/year, but this will be an underestimate. It did not include people with progressive disorders, and the absence of any people with damage from tumours, infection, and other rare causes suggest that the recruitment may have been incomplete.

One way to check the validity of any epidemiological data is to compare it with data collected routinely in healthcare systems. Unfortunately, there is virtually no relevant routine health service data, which probably reflects a general lack of interest in people with severe disability Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 13 requiring long-term support. Despite a recommendation that England and Wales should start registering all people entering a prolonged disorder of consciousness [16], there has been no action over four years. Some available data is considered below, including the data in Appendix one.

The UK Rehabilitation Outcomes Collaborative (UKROC) [57] did record the admission of 250 people with a prolonged disorder of consciousness to specialist rehabilitation centres in 2016; the number is increasing by 15% each year (Lynne Turner-Stokes; personal communication). Using an incidence of 2.5/100,000/year applied to the population of England and Wales (58 million) gives an annual incidence of 1450, and 250 represents 17%. This seems a high proportion of all acute cases, given that significant areas of England and Wales lack centres, and most units have more people referred than can be admitted. Therefore the true incidence may be higher, and is unlikely to be lower.

A second source of information might also help. In the UK, all people who lack mental capacity to make healthcare decisions about accommodation may be made subject to a Deprivation of Liberty Safeguarding order; most people subjected to this order will also lack capacity to make any complex healthcare decisions. In England, in 2014-2015, the rate of accepted applications for Deprivation of Liberty Safeguarding certificates was 122/100,000/year [60]. The rate in 2013-14, when regulations were less all-encompassing, was approximately 7/100,000/year. A significant proportion of these applications will relate to people with progressive disorders and, although obviously not all subjects will have a prolonged disorder of consciousness, a significant proportion will be in a state of reduced awareness.

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 14 Assuming that the best evidence on incidence [47] is nonetheless an underestimate of the acute onset incidence, and assuming that the **incidence** of people entering a prolonged disorder of consciousness from a progressive cause is at least 2.5/100,000/year (given the probable high prevalence), it would seem reasonable to plan on the basis of 5/100,000/year entering a prolonged disorder of consciousness; this does not include patients obviously in the end-of-life phase of an illness. It would also seem sensible to assume that over the first 12 months, in patients remaining alive, a further two meetings (at a minimum) should occur.

## How many people are there in the population with a prolonged disorder of consciousness?

The best estimate from research data is between 2 – 5/100,000. This is almost certainly an underestimate. As reported in the appendix, a Freedom of Information request was made to the 213 clinical commissioning groups covering England in 2016, asking them to report how many people with a prolonged disorder of consciousness were being funded by the continuing healthcare fund. Only 45 (21%) commissioners replied, and generally the quality of the information provided was very low. The prevalence rate for this selected subset of patients was between 1.7 and 3.85/100,000.

Thus planning on the basis of a prevalence of 5/100,000 is reasonably conservative, taking into account the observed high rates of prolonged unconsciousness in the elderly [40][46]. A yearly review seems reasonable, after the first year.

A policy also need to recognise that, although the great majority of people in a prolonged disorder of consciousness are in nursing homes, an unknown but significant proportion of people live in their own homes; 10% would be a reasonable estimate. In England and Wales, both patients in nursing homes and patients at home are under the care of their general

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 15 practitioner (family doctor). Therefore, any policy must recognise that patients will rarely be in a specialist hospital or rehabilitation setting beyond the first few weeks or months , and that general practitioners must play a central role in ensuring high quality management.

Given that general practitioners are already overwhelmed with responsibilities transferred to them from hospital services, and that they will have very little experience of people with a prolonged disorder of consciousness, the commissioners will need to commission a specialist service to assess and manage all patients with a prolonged disorder of consciousness in the community; this would best be provided by a neurological rehabilitation service. The role of the General Practitioner will be to identify any patient with a prolonged disorder of consciousness and to notify them to the responsible specialist rehabilitation service, who should keep a register so that yearly reviews are not forgotten.

Last, the policy must consider that most people with a prolonged disorder of consciousness, if asked, would have said beforehand that they would want treatment stopped; only 14% - 22% of the general public would definitely **not** want treatment stopped in in the vegetative or minimally conscious state [7]. In a population of healthcare professionals, only around 15% -25% would want to be kept alive if in a vegetative or minimally conscious state [8]. The reasons likely to underlie these attitudes include a prioritisation of autonomy, dignity, fair use of scarce resources, and freedom from distress and pain above remaining alive. [7][61]

Thus, planning should occur on the basis that at least 80% of cases will require a serious consideration of treatment withdrawal. No assumptions about the likely decision should be made prior to holding the decision making meeting; in other words, a uniform policy should apply to every meeting.

Thus, if one assumes

- a population of 58 million in England and Wales,
- a minimum incidence of prolonged disorders of consciousness of 5/100,000/year from

all causes

- with an average of three meetings over the first 12 months after onset
- a minimum prevalence of 5/100,000,
- that everyone should have treatment limitations and withdrawal considered, and
- that every prevalent case should have a yearly review,

## then one reaches the following estimates:

- 2,900 new cases a year needing an initial best interests meeting with:
  - about 5,000 further meetings over the next 12 months (allowing for deaths)
  - o about 2,300 of the 2,900 cases being considered for treatment limitation
- 2,900 additional long-term cases needing a yearly review, of whom
  - $\circ$  about 2,300 will be considered for treatment limitation when first reviewed

Converting this to a population of 500,000, which is approximately the population considered in relation to hospital services, then the commissioners will need to fund specialist services to provide support to about:

- 50 initial best interest meetings on people entering a prolonged disorder of consciousness, on an ongoing basis each year:
  - $\circ~~25$  will be on people with acute onset brain damage
  - 25 will be on people with a progressive brain damage
- 45 70 follow-up best interest meetings a year

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 17 They should fund all at a level that allows a full and confident assessment of all aspects of each case [23], so that decisions can be made without need for further delay. They should also fund, through continuing healthcare funding, the long-term care for 25 people at about £100,000 per year. This equates to £2.5M/year/500,000, or £290,000,000 per year for England and Wales.

## **Clinical Messages:**

- There is no dependable research into the clinical epidemiology of people with a prolonged disorder of consciousness;
- The best estimates are an incidence of 5/100,000/year, and a prevalence in most countries (excepting the Netherlands) of 5/100,000;
- The estimates are subject to considerable uncertainty, and are likely to be low.

## **Competing interests:**

I am sometimes asked to undertake clinical assessments on people in a prolonged disorder of consciousness for medico-legal purposes, and sometimes I am paid for this. I am also asked to speak about the topic, though usually unpaid.

#### Acknowledgements.

I acknowledge my debt to all the people who have asked me difficult questions, challenged my opinions, commented on lectures, and in other ways helped me develop my ideas. This includes many people from all walks of life, including relatives, lawyers, healthcare workers and friends and audiences. I specifically thank Celia, Jenny and Polly Kitzinger for making me think more critically and fully about the issues, and my family for keeping me based in reality.

## References.

1 Luchetti M. Eluana Englaro

Chronicle of a death foretold: ethical considerations on the recent right-to-die case in Italy.

Journal of Medical Ethics. 2010;36:333-335.

2 Preston T, Kelly M

A medical ethics assessment of the case of Terri Schiavo.

Death Studies. 2006;**30**:121–133.

- Dierickx K, Schotsmans P, Grubb A, Walsh P, Lambe N.
   Belgian Doctors' Attitudes on the Management of Patients in Persistent Vegetative State (PVS): Ethical and Regulatory Aspects.
   Acta Neurochirurgica; Wien. 1998 May;140(5):481–9.
- 4 Fenwick AJ.

Applying best interests to persistent vegetative state-a principled distortion? Journal of Medical Ethics. 1998;24:86-92.

5 von Wild K

Neuroethics with regard to treatment limiting and withdrawal of nutrition and hydration in long lasting irreversible full state Apallic Syndrome and Minimal Conscious State.

J Med Life. 2008;1:443-53.

6 Rady MY, Verheijde JL.

Nonconsensual withdrawal of nutrition and hydration in prolonged disorders of consciousness: authoritarianism and trustworthiness in medicine. Philosophy, Ethics, and Humanities in Medicine. 2014;**9**:16.

- Gipson J, Kahane G, Savulescu J
   Attitudes of Lay People to Withdrawal of Treatment in Brain Damaged Patients.
   Neuroethics. 2014;7:1–9.
- Demertzi A, Ledoux D, Bruno M-., Vanhaudenhuyse A, Gosseries O, Soddu A, et al.
   Attitudes towards end-of-life issues in disorders of consciousness: a European survey.
   Journal of Neurology 2011;258:1058–65.
- Lotto L, Manfrinati A, Rigoni D, Rumiati R, Sartori G, Birbaumer N.
   Attitudes Towards End-of-Life Decisions and the Subjective Concepts of Consciousness:
   An Empirical Analysis.
   PLoS ONE. 2012 Feb 15;7(2):e31735.
- Barnato AE, Tate JA, Rodriguez KL, Zickmund SL, Arnold RM.
   Norms of decision making in the ICU: a case study of two academic medical centers at the extremes of end-of-life treatment intensity.
   Intensive Care Medicine. 2012 Nov;38(11):1886–96.
- 11 Beljaars DEA, Valckx WJARM, Stepan C, Donis J, Lavrijsen JCM.

Prevalence Differences of Patients in Vegetative State in the Netherlands and Vienna,

Austria: A Comparison of Values and Ethics.

Journal of Head Trauma Rehabilitation. 2015;30:E57-60.

12 Gevers S.

Withdrawing life support from patients in a persistent vegetative state: the law in the Netherlands.

European journal of health law. 2005;12(4):347-355.

13 Solarino B, Bruno F, Frati G, Dell'erba A, Frati P.

A national survey of Italian physicians' attitudes towards end-of-life decisions following the death of Eluana Englaro.

Intensive Care Medicine; Heidelberg. 2011;37:542-9.

- 14 Airedale NHS Trust v Bland (1993) http://www.bailii.org/uk/cases/UKHL/1993/17.html
- Court of Protection (2015)
   Practice Direction 9E: Applications Relating to Serious Medical Treatment effective from 1 July 2015 [*withdrawn December 2017*]
   <u>https://www.judiciary.gov.uk/publications/practice-direction-9e-applications-relating-to-serious-medical-treatment-effective-from-1-july-2015/</u>
- 16 Prolonged Disorders of Consciousness. National Clinical Guidelines.

https://www.rcplondon.ac.uk/guidelines-policy/prolonged-disorders-consciousnessnational-clinical-guidelines

17 Decisions to withdraw clinically-assisted nutrition and hydration (CANH) from patients in permanent vegetative state (PVS) or minimally conscious state (MCS) following sudden-onset profound brain injury. Interim guidance for health professionals in England and Wales. (2017)

https://www.bma.org.uk/advice/employment/ethics/mental-capacity/clinicallyassisted-nutrition-and-hydration

18 British Medical Association.

Guidelines on treatment decisions for patients in the persistent vegetative state. In: Annual report. London: BMJ Publishing Group, 1993

- 19 International working party report on the vegetative state.London: Royal Hospital for Neurodisability, 1996
- Giacino JT, Ashwal S, Childs N, et al.
   The minimally conscious state: Definition and diagnostic criteria
   Neurology 2002;58;349
- 21 Royal College of Physicians

The vegetative state.

The Royal College of Physicians, London. 2003

23

## 22 Wade DT

Back to the bedside? Making clinical decisions in patients with prolonged unconsciousness.

Journal of Medical Ethics 2017;43:439-445

http://dx.doi.org/10.1136/medethics-2015-103045

## 23 Wade DT

Using best interests meetings for people in a prolonged disorder of consciousness to

improve clinical and ethical management.

Journal of Medical Ethics.

Published Online First: [14-Sept-2017]. doi:10.1136/ medethics-2017-104244

## 24 Mental Capacity Act 2005. Code of Practice

The Stationary Office, London. 2007

http://www.direct.gov.uk/prod\_consum\_dg/groups/dg\_digitalassets/@dg/@en/@dis abled/documents/digitalasset/dg\_186484.pdf

Also:

http://www.publicguardian.gov.sg/Portals/0/Guides/COP%20guide.pdf

- 25 Multi-Society Task Force on PVS.
  Medical aspects of the persistent vegetative state [first of two parts].
  N Engl J Med 1994;330:1499-1508
- 26 Treach DD, Duthie EH, Goldstein MD, Lane PS

- Prolonged disorder of consciousness incidence, prevalence, cause, care Page 24 Clinical characteristics of patients in the persistent vegetative state. Archives Internal Medicine 1991;51:930-932
- 27 Kitzinger J, Kitzinger C

Causes and consequences of delays in treatment-withdrawal from PVS patients: a case study of *Cumbria NHS Clinical Commissioning Group v Miss S and Ors* [2016] EWCOP 32 Journal of Medical Ethics 2016 Online First 23-Sept-2016 2016;0:1–10. doi:10.1136/medethics-2016-103853

28 Wade DT

How often is the diagnosis of the permanent vegetative state incorrect? A review of the evidence.

Eur J Neurol 2018;0:1-7 DOI: 10.1111/ene.13572

- Pisa FEM, Biasutti E, Drigo D, Barbone FM.
  The Prevalence of Vegetative and Minimally Conscious States: A Systematic Review and Methodological Appraisal.
  Journal of Head Trauma Rehabilitation. 2014;29:E23
- 30 van Erp WS, Lavrijsen JCM, van de Laar FA, Vos PE, Laureys S, Koopmans RTCM. The vegetative state/unresponsive wakefulness syndrome: a systematic review of prevalence studies.

European Journal of Neurology. 2014;21:1361-8.

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 25 Prevalence of persistent vegetative state in patients with severe traumatic brain injury and its trend during the past four decades: A meta-analysis. NeuroRehabilitation. 2017;40:23–31.

- Beaumont JG, Kenealy PM.
   Incidence and prevalence of the vegetative and minimally conscious states.
   Neuropsychological Rehabilitation. 2005;15:184–9.
- 33 Kodama N, Suzuki J.

Vegetative state patients in Japan.

Neurol Med Chir (Tokyo) 1976; 16(PT1): 155-160.

- Higashi K, Sakata Y, Hatano M, Abiko S, Ihara K, Katayama S, et al.
  Epidemiological studies on patients with a persistent vegetative state.
  Journal of Neurology, Neurosurgery & Psychiatry. 1977;40:876–85.
- Sato S, Ueki K, Arai H, et al.
   Epidemiological survey of vegetative state patients in Tohoku district in Japan.
   Neurol Med Chir (Tokyo) 1978; 18(1 Pt 1): 141–145.
- Wilson F, Harpur J, Watson T, Morrow J
   Vegetative state and minimally responsive patients -- Regional survey, long-term case outcomes and service recommendations.
   NeuroRehabilitation. 2002 Jun;17(3):231.

26

- Stepan C, Haidinger G, Binder H.
   Prevalence of persistent vegetative state/apallic syndrome in Vienna.
   European Journal of Neurology. 2004;11:461–6.
- Lavrijsen JCM, Bosch JSG van den, Koopmans RTCM, Weel C van.
   Prevalence and characteristics of patients in a vegetative state in Dutch nursing homes.
   Journal of Neurology, Neurosurgery & Psychiatry. 2005;76(:1420–4.
- Stepan C, Zaunbauer L, Haidinger G, Binder H.
   Prevalence of Apallic Syndrome (Vegetative State) in Vienna Comparison with results found in 2001 [German].
   Neurologie und Rehabilitation 2006;12:320–323.
- Jaul E, Calderon-Margalit R.
  Persistent vegetative state and dementia in the elderly.
  International Psychogeriatrics; Cambridge. 2007;19:1064–71.
- Beis J-M, Seyer J-L, Brugerolle B, Le Chapelain L, Thisse M-O, Mainard D, et al.
  Care protocol for persistent vegetative states (PVS) and minimally conscious state (MSC) in Lorraine: Retrospective study over an 18-year period.
  Annals of Physical and Rehabilitation Medicine. 2009;52:374–81.
- Saoût V, Ombredane M-P, Mouillie J-M, Marteau C, Mathé J-F, Richard I.
   Patients in a permanent vegetative state or minimally conscious state in the Maine-et-Loire county of France: A cross-sectional, descriptive study.

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 27 Annals of Physical and Rehabilitation Medicine. 2010;53:96–104.

43 Donis J, Kräftner B.

The prevalence of patients in a vegetative state and minimally conscious state in nursing homes in Austria.

Brain Injury. 2011;25:1101–7.

- Giovannetti AM, Leonardi M, Pagani M, Sattin D, Raggi A.
  Burden of caregivers of patients in Vegetative State and Minimally Conscious State.
  Acta Neurol Scand. 2013;127:10–8.
- 45 van Erp WS, Lavrijsen JCM, Vos PE, Bor H, Laureys S, Koopmans RTCM.
  The Vegetative State: Prevalence, Misdiagnosis, and Treatment Limitations.
  Journal of the American Medical Directors Association. 2015;16:85.e9-85.e14.
- Shimamura N, Munakata A, Naraoka M, Ogasawara Y, Oyama K, Ohkuma H.
  [Epidemiological Investigation of Patients in Persistent Vegetative States in Aomori, Japan].

No Shinkei Geka. 2015;43:705-8.

47 Pichler G, Fazekas F.

Cardiopulmonary arrest is the most frequent cause of the unresponsive wakefulness syndrome: A prospective population-based cohort study in Austria.

Resuscitation. 2016;103:94–8.

Young B, Runge JW, Waxman KS, Harrington T, Wilberger J, Muizelaar JP, et al.
 Effects of Pegorgotein on Neurologic Outcome of Patients With Severe Head Injury: A
 Multicenter, Randomized Controlled Trial.

JAMA. 1996;276:538–43.

- 49 Engberg AW, Liebach A, Nordenbo A.
   Centralized rehabilitation after severe traumatic brain injury a population-based study.
   Acta Neurologica Scandinavica. 2006;113:178–84.
- Godbolt A, DeBoussard C, Stenberg M, Lindgren M, Ulfarsson T, Borg J.
   Disorders of consciousness after severe traumatic brain injury: A Swedish-Icelandic study of incidence, outcomes and implications for optimizing care pathways.
   Journal of Rehabilitation Medicine. 2013;45:741–8.
- 51 Klein A-M, Howell K, Straube A, Pfefferkorn T, Bender A.
   Rehabilitation outcome of patients with severe and prolonged disorders of consciousness after aneurysmal subarachnoid hemorrhage (aSAH).
   Clinical Neurology and Neurosurgery. 2013;115(10):2136–41.
- 52 Løvstad M, Andelic N, Knoph R, Jerstad T, Anke A, Skandsen T, et al.
   Rate of Disorders of Consciousness in a Prospective Population-Based Study of Adults
   With Traumatic Brain Injury
   Journal of Head Trauma Rehabilitation. 2014;29(5):E31–43.
- 53 Spiotta AM, Vargas J, Hawk H, Turner R, Chaudry MI, Battenhouse H, et al.

Prolonged disorder of consciousness – incidence, prevalence, cause, care Page 29 Impact of the ASPECT scores and distribution on outcome among patients undergoing thrombectomy for acute ischemic stroke.

Journal of NeuroInterventional Surgery. 2015 Aug 1;7(8):551–8.

54 Leonardi M, Sattin D, Raggi A.

An Italian population study on 600 persons in vegetative state and minimally conscious state.

Brain Injury. 2013;**27**:473–84.

55 Mr Justice Hayden (2015)

Re N

Neutral Citation Number: [2015] EWCOP 76 (Fam)

http://www.bailii.org/ew/cases/EWCOP/2015/76.html

## 56 Mr Justice Jackson

Re M

Neutral Citation Number: [2017] EWCOP 19

https://www.judiciary.gov.uk/wp-content/uploads/2017/09/m-2017-ewcop-19-

<u>20170921.pdf</u>

57 UK Rehabilitation Outcomes Collaborative

http://www.ukroc.org/

58 Cowman S, Royston M, Hickey A, Horgan F, McGee H, O'Neill D.Stroke and Nursing Home care: a national survey of nursing homes.

- Wirth R, Bauer JM, Willschrei HP, Volkert D, Sieber CC.
   Prevalence of Percutaneous Endoscopic Gastrostomy in Nursing Home Residents A
   Nationwide Survey in Germany.
   Gerontology; Basel. 2010;56:371–7.
- Mental Capacity Act 2005, Deprivation of Liberty Safeguards (England), Annual Report
   2014-15

http://digital.nhs.uk/catalogue/PUB18577

Milnes S, Corke C, Orford NR, Bailey M, Savulescu J, Wilkinson D.
Patient values informing medical treatment: a pilot community and advance care planning survey.
BMJ Supportive & Palliative Care. Published Online First: 02 March 2017. doi: 10.1136/bmjspcare-2016-001177

## Table one

## Reviews of incidence and/or prevalence of prolonged disorders of consciousness.

Authors, publication	Method	<b>Results and/or conclusion</b>	Comment
date, [reference]			
Multi-society task	<b>Stated:</b> <i>"including a comprehensive</i>	"According to estimates, however, in the	19 references given. From the
force on PVS, 1994.	review of all Medline references to	United States there are 10,000 to 25,000	titles, few seem to provide
[25]	the terms 'vegetative state' and	adults and 4,000 to 10,000 children in the	primary data. Nonetheless
	'persistent vegetative state' and	<i>persistent vegetative state"</i> . Population of	probably captured all
	other sources. The reference list is	US was 263M. which gives an estimated	available data at the time.
	extensive, with many different	prevalence for adults of 4-10/100,000	
	types of literature.		
Beaumont & Kenealy,	Narrative review. No specified	Conclude that epidemiological data are of	Most sources are book
2005. [32]	search strategy. Reviews other	poor quality and likely to be biased.	chapters or opinion reviews;
	reviews and data. Covered both	Vegetative state: incidence 0.5 –	little original data referenced.
		2.5/100,000/year, prevalence 4 –	

	vegetative state and minimally	17/100,000. Minimally conscious state:	
	conscious state.	were unable to estimate.	
Pisa et al, 2014. [29]	Systematic review. Prevalence of	Only <b>five</b> cross-sectional studies on	Demonstrates very poor
	both vegetative state and	defined population. Eight "reviews or	quality of the primary
	minimally conscious state.	studies" excluded as not on a defined	evidence. Not stated whether
	Studies 1966-2012. Also	population. Vegetative state prevalence	any age restrictions or
	considered study methodology.	0.2 – 3.4/100,000. Only one study of	diagnostic limits.
		minimally conscious state; 1.5/100,000.	
		Non-traumatic cause in 46%-88%	
Van Erp et al, 2014.	Systematic review. Prevalence of	Fourteen studies included. Reporting of	Demonstrates very poor
[30]	vegetative state.	methodology in most studies poor with	quality of the primary
		major uncertainties. Terms not used	evidence.
		correctly or used inconsistently. Figures	
		varied from 0.2 to 6.1 / 100,000	
		population. Not clear if limited to acute	
		conditions.	

Page

Tang et al, 2017. [31]	Systematic review. Prevalence of	<b>Twenty-one</b> cohort studies (in 20 papers).	Interpretation difficult: nature
	'persistent vegetative state' in	No systematic change in prevalence	of inception cohort unclear
	people at six months after	between 1975 and 2009.	and age range included in
	traumatic brain injury, with focus	Prevalence of vegetative state six months	each study not stated.
	on change in rate over several	after trauma at 2.8% of cohort studied,	
	decades.	but varied from 0.5% to 7.3%	
	uecaues.	but varieu 110111 0.5 % to 7.5 %	

# Table two

## Studies focused on disordered consciousness.

Author, year, country,	Method	Results	Comment
reference no.			
Kodama and Suziki,	Survey of Japanese neurosurgical	End 1975: 494 survivors (trauma,	<b>Incidence</b> 1.8/100,000/year;
1976. Japan. [33]	units (90% response) 1973, 74, 75.	stroke and brain tumour were main	estimated <b>prevalence</b> (Japanese
	Also figures from Miyagi	causes). Nationally 243 and in	pop 113M) 0.45 / 100,000.
	prefecture (pop approx. 2M)	Miyagi 37 new cases over 2 years.	Diagnosis not checked; number
			missed not estimated
Higashi et al, 1977,	'Simple inquiries' in 269 hospitals	110 cases in total (37 in	Prevalence (incorrectly labelled
Japan. [34]	in 16 prefectures, all examined.	Yamaguchi): trauma 38, stroke 21,	incidence in paper) of
	Relatively complete ascertainment	developmental 14, anoxia 12,	2.5/100,000. Only cases in
	Yamaguchi prefecture (pop 1.5M)	tumour 10, inflammatory disorder	hospital.
		7, other 8	

Sato et al, 1978	Postal survey, and administrative	219 patients identified. Causes:	<b>Prevalence</b> = 1.9/100,000; only
Japan. [35]	data to identify patients;	cerebrovascular 128, head trauma	patients in hospital settings.
	questionnaire on clinical data;	53, tumour 12, others 26. All ages.	Response rate 65%-87%; therefore
	population of 11.6M		an under-estimate.
Tresch et al, 1991.	Survey of 1611 residents of four	Sixty-two considered in prolonged	About 4% of residents in nursing
United States. [26]	nursing homes. Identified patients	disorder of consciousness; 51 in	homes. Emphasises range of
	assessed.	permanent vegetative state: stroke	underlying medical diagnoses
		(n = 17), dementia (n = 14), cerebral	
		anoxia (n = 10), brain trauma (n =	
		7), other (n = 4). Ages 19 – 96 years,	
		mean age 64 years	
Wilson et al, 2002.	Retrospective review of cases seen	Thirty-five cases of prolonged	Estimated <b>prevalence</b> of
Northern Ireland. [36]	in specialist centre and survey of	disorder of consciousness	prolonged disorder of
	neuroscience and rehabilitation	identified. Locations: home = 2,	consciousness = 2.1 / 100,000.
	senior doctors. Population covered	acute hospital = 6, care home = 6,	Highlights wide range of causes,
	= 1.7M (2001)	NHS long-term care home = 6	and occurrence of care at home.

		Unknown = 15. Eight separate	Identification likely to have been
		diagnostic causes, only two were	incomplete and biased
		trauma.	
Stepan et al, 2004	Survey on 28-Nov-2001 of all	78 patients identified (including 7	<b>Prevalence</b> in nursing homes or
Vienna, Austria. [37]	hospitals and nursing homes in	at home). 36 considered 'full apallic	hospital = 1.9/100,000. Report
	Vienna (pop 1.6M); limited	syndrome'. 32 residents of Vienna	unclear on exact 'loss' of patients
	prevalence to patients living in	in apallic state identified, 25 having	from 78 to 32.
	Vienna.	non-traumatic cases.	
Lavrijsen et al, 2005.	Cross-sectional survey of all Dutch	Thirty-two patients in vegetative	<b>Prevalence</b> in nursing homes of
The Netherlands. [38]	nursing homes. Initial postal	state more than four weeks. 8 aged	0.2/100,000. Low prevalence
	contact; detailed data collected by	61-80 years, 4 aged over 80 years.	attributed to cultural and legal
	phone; examination of uncertain	Causes: stroke (n = 14), trauma (n =	context in the Netherlands. [25]
	cases. September 2003	8), anoxia (n = 7), other (n = 1)	
Stephan et al, 2006.	Postal questionnaire with follow-	28 people with Apallic syndrome	<b>Prevalence</b> in hospitals and
Vienna, Austria. [39]	up examination of all Viennese	(vegetative state) identified on 27-	nursing homes = 1.7/100,000 (not
	hospitals and nursing homes.	Nov-2003.	significantly changed from 2001)

Jaul & Calderon	Cohort study on elderly patients	Eighty-eight admissions; 31 (35%)	Demonstrates high frequency of
Margalit, 2007.	admitted to a Skilled Geriatric	were in permanent vegetative state. vegetative state/minimal	
Israel. [40]	<b>Department</b> with skin pressure	Mean age 78 years. Diagnoses:	conscious state in elderly
	ulcers, nasogastric tube feeding,	Alzheimer' disease, 11; stroke, 10;	population admitted to hospital
	tracheostomy, haemodialysis, or	Parkinson's disease, 5, 'acute', 5.	(or nursing homes) for long-term
	cancer. Diagnosed on Disability	Twenty-five had Glasgow Coma	nursing care.
	Rating Scale.	Score of 9 or less	
Beis et al, 2009.	Retrospective review of	47 patients. 5-15 request/year (2.4	Paper does not define
France. [41]	admissions in prolonged disorder	admitted per year). 41 from	population, nor total number
	of consciousness to a <b>specialist</b>	Lorraine (pop. 2.1M) = incidence	referred and their status;
	<b>unit</b> in Lorraine, 1988-2006.	approximately 0.1/100,000/year	minimum estimate. Half due to
			trauma. Not a dependable
			estimate.
Saout et al, 2010.	Survey with examination of all	13 patients (4 PVS, 9 MCS); 6	Well described, well conducted
France. [42]	people with a prolonged disorder	months to 15 years post-onset. All	study. Clinical and care data.

	of consciousness in all settings in a	had severe spasticity and	Gave relative frequency of MCS
	population of 800,000.	contractures	and PVS.; <b>prevalence</b> 1.8/100,000
Donis & Kräftner, 2011	Postal and then telephone survey	269 people in vegetative state and	<b>Prevalence</b> = 3.37/100,000 for VS
Austria. [43]	of 889 long-term care facilities in	120 people in minimally conscious	and 1.5/100,000 for MCS. No
	Austria 2007-2009.	state identified.	examination or validation
Giovannetti et al, 2013.	Carers of people with PDOC	The data from the 487 patients	After one year of PDOC, 58/345
Italy. [44]	recruited by 'snowball	showed: 345/487 patients over one	(17%) are at home. Also gives
	methodology' from 78 centres in	year from onset; in long-term	relative frequency of PVS (340) &
	Italy covering 16/20 Regions. Data	group, 58/345 at home. 147 were	MCS (147)
	from patients used here.	minimally conscious, 340 were in	
		vegetative state	
Van Ern at al 2015	National survey of all bosnitals	Fifty three reported, 16 gave	<b>Bravelence</b> of prolonged disorder

		vegetative state	
Van Erp et al, 2015.	National survey of all hospitals,	Fifty-three reported; 46 gave	Prevalence of prolonged disorder
The Netherlands. [45]	nursing homes, and senior doctors	permission; 2 recovered before	of consciousness = 0.24 / 100,000.
	in relevant specialities. All	seen. Of 44, 40 in prolonged	Note: most patients have support
	identified patients examined.	disorder of consciousness: 24 in	withdrawn in the Netherlands. <sup>25</sup>
	Concerned people unconscious	vegetative state, 20 for over one	

	four or more weeks after acute-	year; 16 in minimally conscious	
	onset condition. Population = 16.7	state. Of patients in VS: 8 traumatic,	
	M in 2012	11 hypoxic, 5 other causes	
Shimamura et al, 2015	Questionnaires to 682 'medical	381 men and 817 women identified.	Abstract states calculated
Japan. [46]	institutions in Aomori prefecture	63% were aged over 80 years;	<b>prevalence</b> of 86.9/100,000. <b>Note</b> :
	(pop 1.4M); replies from 217	cerebrovascular disease most	limited abstract, only 30%
	(32%).	common cause (64%)	response rate, paper in Japanese
Pichler & Fazekas, 2016,	Prospective, cohort study from	Thirty patients at 4 weeks; 5 died	Incidence of new prolonged
State of Styria, Austria.	ITU, neuro-sciences and	before examination; 25 confirmed	disorder of consciousness from
[47]	rehabilitation settings. 2011-12.	(19 VS, 6 MCS). Causes: hypoxia =	an acute onset cause at four
	Assessed at four weeks. Diagnosis	15, trauma = 4, stroke = 6	weeks = 2.5/100,000/year; 40%
	of prolonged disorder of		over age 60 years
	consciousness. Population =		
	1.01M		

39

- PDOC = prolonged disorder of consciousness
- PVS = permanent vegetative state

## Table three

# Studies focused on specific conditions

Author, year, country,	Method	Results	Comment
[reference no]			
Young et al, 1996.	Data from a large randomised trial	At 3 months, 37/463 in vegetative	Good data. Outcome assessed on
USA. [48]	in people with <b>severe head injury</b>	state, 85/463 severely disabled. At	Glasgow Outcome Scale.
	(Glasgow Coma Scale 8 or less after	6 months, 24/463 in vegetative	Equivalent to 7% of all surviving
	resuscitation). Base population	state (108/463 dead, 64/463	patients vegetative at 6 months,
	unknown.	severely disabled)	5% of incident cases.
Engberg et al, 2006.	Prospective study of all severe	117 patients registered: 21	Prolonged disorder of
Denmark. [49]	<b>traumatic brain injuries</b> in	vegetative state at 4 weeks, eight	consciousness / 100,000
	Copenhagen health area, Denmark	at 3 months, five at 6 months, four	population / year = 0.29 at one
	(pop = 2.4M). 01-Oct-2000 to 30-Sep-	at one year	month, and 0.06 at one year
	2003		

Godbolt et al, 2013.	Prospective recruitment from	103 identified over 18 months (102	Only included young acute brain
Sweden and Iceland.	rehabilitation doctors of people with	followed). Prolonged disorder of	trauma. Rate of prolonged
[50]	'severe' traumatic brain injury	consciousness (PDOC) at 3 weeks	disorder of consciousness in
	(worst Glasgow Coma Scale score	= 47, at 3 months = 20, at 12	people aged 16-65 years with
	8/15 or less), age 16-65 years only, in	months = 10. Population covered	severe head injury was per
	Sweden. Follow up 3 weeks, 3	= 4.7 M.	100,000/year: 0.7 at three weeks,
	months, 12 months after injury.		0.3 at three months, and 0.15 at
			one year
Klein et al, 2013.	Retrospective study on admissions	481 admitted after SAH, 63 had	Demonstrates a significant
Germany. [51]	to a specialist rehabilitation centre;	disordered consciousness at mean	frequency (8% at discharge) of
	all patients with disordered	26 days after onset: 38 (60%)	prolonged disorder of
	consciousness on admission after	remained disordered at discharge	consciousness after sub-arachnoid
	sub-arachnoid haemorrhage 2005-10	mean 76 days later	haemorrhage. But data not clearly
			presented or easily interpreted.
Løvstad et al, 2014.	Prospective study of <b>traumatic brain</b>	359 patients identified over two	Incidence = 0.09/100,000/year at 3
Norway. [52]	<b>injury</b> recruiting from all four major	years (2009, 2010). Prolonged	months and 0.05/100,000/year at

	trauma centres in Norway. Follow-	disorder of consciousness: at three	12 months. Note that this is a very
	up at three months. Excluded people	months seven, at 12 months four.	selected, very unrepresentative
	who also had alcohol/drug		sample.
	problems (n = 16) psychiatric		
	disorder (n = 11), or progressive		
	disorder (n = 19). Two year cohort.		
	Population = 3.8M		
Spiotta et al, 2015.	Retrospective analysis of a data-base	149 patients; 137 had data at 90	Patients with modified Rankin
USA [53]	of all <b>stroke</b> patients give	days: At 90 days, 23 had died, 9	scale of 5 not necessarily
	thrombectomy for anterior	were in the vegetative state	vegetative, but same clinical and
	circulation stroke. Modified Rankin		ethical situation.
	Score of 5 equated to PVS		

## Appendix one

Contents:	Page	Comment
Table one	2	List of primary data sources compiled from reviews and searching, giving how each was identified
References	7	For the studies in table one
Table two	11	Search strategy: Medline Database (07-Apr-2018)
NHS survey	12	Methods and results of a Freedom of Information request (October 2016)
Table three	16	Specific data from the Freedom of Information request (October 2016)

# Table one List of primary data sources compiled from reviews and searching, giving how each was identified

Year, Author	Title	Source	Comment
1976 Kodama & Suziki	Vegetative state patients in Japan	C	Table 2.National survey of neurosurgery units (90%response). 494 alive 1975. 108-135 new each year.Trauma, stroke and brain tumour main causes.Miyagi prefecture (pop 2M) had 37 new cases over2 years
1977 Higashi et al	Epidemiological studies on patients with a persistent vegetative state.	А, В, С	Table 2Response to 'simple inquiries' in 16 prefectures in1973; said to be complete in Yamaguchi prefecture(pop 1.5M) where 37 identified. Prevalence2.5/100,000. Of 110 total, causes trauma 28, stroke21, developmental 14, anoxia 12, tumour 10,inflammatory disorder 7, others 8
1978 Sato et al	Epidemiological survey of vegetative state patients in Tohoku district in Japan.	A, C	Table 2.Recruited by postal survey and administrative data;clinical data collect by questionnaire; response rate65%-87%. 219 patients; prevalence 1.9/100,000
1985 Minderhoud & Braakman	The vegetative existence	A, C	<b>Not included in main table.</b> Paper in Dutch. <b>Report</b> by van Erp et al says: methods very unclear and diagnosis uncertain. 53 cases found, prevalence of 0.37/100,000.
1991 Tresch et al	Clinical characteristics of patients in the persistent vegetative state.	A	Table 2.Survey of four nursing homes (1611 residents): 62in PDOC, of whom 51 in permanent vegetativestate. Stroke, dementia and anoxia main causes.(Ages 19-92 years)

Year, Author	Title	Source	Comment
1996 Young et al	Effects of Pegorgotein on Neurologic Outcome of Patients With Severe Head Injury: A Multicenter, Randomized Controlled Trial.	F	<b>Table 3</b> Considers frequency of PDOC after severe head injury. Selection and base population unknown. 5% of incident severe head injuries vegetative at 1 year.
2002 Wilson et al	Vegetative state and minimally responsive patients - - Regional survey, long-term case outcomes and service recommendations.	D	Table 2.Survey of doctors and follow-up of patientsdischarged from unit. 35 cases identified frompopulation 1.7M. Prevalence 2.1/100,000
2004 Stepan et al	Prevalence of persistent vegetative state/apallic syndrome in Vienna.	В, Е	Table 2.Survey on 28-Nov-2001 of all people from Vienna(pop 1.6M) in a nursing home or hospital. 78 peopleidentified: 36 'full-stage apallic syndrome', four notfrom Vienna. [Note that seven of 78 were at home.]Prevalence = 2/100,000 (Viennese residents). 25/32(75%) were non-traumatic
2004 Engberg & Teasdale	A population-based study of survival and discharge status for survivors after head injury	С, Е	Not included in main tables. Random retrospective sample of admissions in Denmark with head trauma 1979-1993. No specific analysis of vegetative state. Not a prevalence or incidence study.
2005 Lavrijsen et al	Prevalence and characteristics of patients in a vegetative state in Dutch nursing homes.	В, Е	Table 2.Survey of all nursing homes in the Netherlands(pop 16.2M). 32 cases identified of people invegetative state four weeks or more. Prevalence0.2/100,000
2006 Stepan et al	Prevalence of Apallic Syndrome (Vegetative State) in Vienna – Comparison with results found in 2001	С	Table 2.Text in German; all data from English abstract.Prevalence in Vienna 27-Nov-2003 (samepopulation as Stephan (2004). 28 patients.Prevalence = 1.7/100,000

Year, Author	Title	Source	Comment	
2006 Engberg et al	Centralized rehabilitation after severe traumatic brain injury - a population-based study.	F	Table 3.Prospective study in Copenhagen health area (pop2.4M) of all severe traumatic head injuries over 3years 2000-03. Of 117 recorded, 21 vegetative at 4weeks, four at one year. Incidence =0.29/100,000/year and 0.06/100,000/year at 4 weekand one year.	
2007 Jaul & Calderon- Margalit	Persistent vegetative state and dementia in the elderly.	F	<b>Table 2.</b> Prospective study of all admissions to a skilled nursing facility for elderly. 31 (35%) of 88 admissions in vegetative state. Many causes.	
2009 Beis et al	Care protocol for persistent vegetative states (PVS) and minimally conscious state (MSC) in Lorraine: Retrospective study over an 18-year period.	F	Table 2.Retrospective review over 18 years of admissions to a 12 bedded specialist unit of people with PDOC.41/47 admitted in PDOC. Incidence =0.1/100,000/year. Very selected admissions (2-3 each year only)	
2010 Saoût et al	Patients in a permanent vegetative state or minimally conscious state in the Maine-et-Loire county of France: A cross-sectional, descriptive study.	B, C	Table 2.Survey of hospitals and nursing homes in a countyin France. 13 patients in PDOC found. Prevalence= 1.8/100,000	
2011 Donis & Kräftner	The prevalence of patients in a vegetative state and minimally conscious state in nursing homes in Austria.	В, С, Е	Table 2.Telephone and questionnaire survey of Austrianlong-term care facilities. 269 patients in VS and120 patients in MCS found. Prevalence =3.36/100,000 (VS) and 1.5/100,000 (MCS)	
2013, Leonardi et al	An Italian population study on 600 persons in vegetative state and minimally conscious state.	E	Not included in main tables. Survey (unspecified) of 600 people with PDOC in Italy. 64%-77% were non-traumatic. No specific data.	

Year, Author	Title		Comment
2013 Godbolt et al	Disorders of consciousness after severe traumatic brain injury: A Swedish-Icelandic study of incidence, outcomes and implications for optimizing care pathways.	E	Table 3.Prospective observational study of severe traumaticbrain injury over 18 months. 102 patients: 32PDOC at 3 weeks, 6 at one year. Incidence ofPDOC at ; at 3 weeks = 0.7 and at 1 year =0.15/100,000/year
2013 Giovannetti et al	Burden of caregivers of patients in Vegetative State and Minimally Conscious State	E	Table 2.Snowball method of recruitment from 16/20 ItalianRegions. 487 caregivers - 17% of patients were athome.
2013 Klein et al	Rehabilitation outcome of patients with severe and prolonged disorders of consciousness after aneurysmal subarachnoid hemorrhage (aSAH).	F	Table 3.Retrospective data analysis from rehabilitationcentre of patients with subarachnoid haemorrhage.38/481 (8%) in PDOC at discharge
2014 Løvstad et al	Rate of Disorders of Consciousness in a Prospective Population-Based Study of Adults With Traumatic Brain Injury	E	Table 3.National prospective survey in Norway of all severehead injuries. Excluded many patients likely todevelop PDOC; incidence of PDOC 0.09 and0.05/100,000/year at 3 and 12 months respectively.
2015 Van Erp et al	The Vegetative State: Prevalence, Misdiagnosis, and Treatment Limitations.	Е	Table 2.National survey; all patients assessed using ComaRecovery Scale – Revised. 53 patients identified in16.7M population. PDOC prevalence 0.2/100,000
2015 Spiotta et al	Impact of the ASPECT scores and distribution on outcome among patients undergoing thrombectomy for acute ischemic stroke.	F	Table 3.Retrospective data analysis of a stroke populationhaving thrombectomy. 9/149 in vegetative state at90 days
2015 Shimamura et al	Epidemiological Investigation of Patients in Persistent Vegetative States in Aomori, Japan	E	Table 2.Japanese; English Abstract used. Questionnaire toall 682 'medical institutions' in Aomori prefecture.Prevalence calculated 86.9/100,000

Year,	Title	Source	Comment
Author			
2016	Cardiopulmonary arrest is the most frequent cause	F	Table 2.
Pichler & Fazekas	of the unresponsive wakefulness syndrome: A		Prospective 12 month cohort study (2011-12) in an
	prospective population-based cohort study in		Austrian state (pop 1.0M). 25 in PDOC 30-50 days
	Austria.		after onset. Incidence 2.5/100,000/year
Abbreviations			·

#### Abbreviations:

M = million

MCS = minimally conscious state

PDOC = prolonged disorder of consciousness

pop = population

VS = vegetative state

#### Sources:

- A = Multi-Society Task Force on PVS.
   Medical aspects of the persistent vegetative state [first of two parts].
   N Engl J Med 1994;330:1499-1508
- B = Pisa FEM, Biasutti E, Drigo D, Barbone FM.
   The Prevalence of Vegetative and Minimally Conscious States: A Systematic Review and Methodological Appraisal.
   Journal of Head Trauma Rehabilitation. 2014;29:E23
- C = van Erp WS, Lavrijsen JCM, van de Laar FA, Vos PE, Laureys S, Koopmans RTCM. The vegetative state/unresponsive wakefulness syndrome: a systematic review of prevalence studies. European Journal of Neurology. 2014;21:1361–8.
- D = Beaumont JG, Kenealy PM. (referred to in B)
   Incidence and prevalence of the vegetative and minimally conscious states. Neuropsychological Rehabilitation. 2005;15:184–9.
- E = Search strategy shown

49

F = Author's own collection of papers. Papers found in searches undertaken for many other reasons or found accidentally.

#### References for studies in table one.

Page

Beis J-M, Seyer J-L, Brugerolle B, Le Chapelain L, Thisse M-O, Mainard D, et al. Care protocol for persistent vegetative states (PVS) and minimally conscious state (MSC) in Lorraine: Retrospective study over an 18-year period.

Annals of Physical and Rehabilitation Medicine. 2009;52:374-81.

Donis J, Kräftner B. The prevalence of patients in a vegetative state and minimally conscious state in nursing homes in Austria. Brain Injury. 2011 Oct 1;25(11):1101–7.

Engberg AW, Teasdale TW. A population-based study of survival and discharge status for survivors after head injury Acta Neurologica Scandinavica. 2004;110:281–90.

Engberg AW, Liebach A, Nordenbo A. Centralized rehabilitation after severe traumatic brain injury - a population-based study. Acta Neurologica Scandinavica. 2006;113:178–84.

Giovannetti AM, Leonardi M, Pagani M, Sattin D, Raggi A. Burden of caregivers of patients in Vegetative State and Minimally Conscious State. Acta Neurol Scand. 2013;**127**:10–8.

Godbolt A, DeBoussard C, Stenberg M, Lindgren M, Ulfarsson T, Borg J. Disorders of consciousness after severe traumatic brain injury: A Swedish-Icelandic study of incidence, outcomes and implications for optimizing care pathways. Journal of Rehabilitation Medicine. 2013;45:741–8.

Higashi K, Sakata Y, Hatano M, Abiko S, Ihara K, Katayama S, et al.

50

1.

Epidemiological studies on patients with a persistent vegetative state. Journal of Neurology, Neurosurgery & Psychiatry. 1977;40:876–85.

Jaul E, Calderon-Margalit R. Persistent vegetative state and dementia in the elderly. International Psychogeriatrics; Cambridge. 2007;**19**:1064–71.

Klein A-M, Howell K, Straube A, Pfefferkorn T, Bender A.

Rehabilitation outcome of patients with severe and prolonged disorders of consciousness after aneurysmal subarachnoid hemorrhage (aSAH).

Clinical Neurology and Neurosurgery. 2013;115(10):2136-41.

Kodama N, Suzuki J. Vegetative state patients in Japan. Neurol Med Chir (Tokyo) 1976; 16(PT1): 155–160.

Lavrijsen JCM, Bosch JSG van den, Koopmans RTCM, Weel C van. Prevalence and characteristics of patients in a vegetative state in Dutch nursing homes. Journal of Neurology, Neurosurgery & Psychiatry. 2005 Oct 1;76(10):1420–4.

Leonardi M, Sattin D, Raggi A. An Italian population study on 600 persons in vegetative state and minimally conscious state. Brain Injury. 2013;**27**:473–84.

Løvstad M, Andelic N, Knoph R, Jerstad T, Anke A, Skandsen T, et al. Rate of Disorders of Consciousness in a Prospective Population-Based Study of Adults With Traumatic Brain Injury Journal of Head Trauma Rehabilitation. 2014;29(5):E31–43.

Minderhoud JM, Braakman R. The vegetative existence. Ned Tijdschr Geneeskd 1985;129:2385–2388. Pichler G, Fazekas F. Cardiopulmonary arrest is the most frequent cause of the unresponsive wakefulness syndrome: A prospective population-based cohort study in Austria. Resuscitation. 2016;103:94–8.

Saoût V, Ombredane M-P, Mouillie J-M, Marteau C, Mathé J-F, Richard I. Patients in a permanent vegetative state or minimally conscious state in the Maine-et-Loire county of France: A cross-sectional, descriptive study. Annals of Physical and Rehabilitation Medicine. 2010;53:96–104.

Sato S, Ueki K, Arai H, et al. Epidemiological survey of vegetative state patients in Tohoku district in Japan. Neurol Med Chir (Tokyo) 1978; 18(1 Pt 1): 141–145.

Shimamura N, Munakata A, Naraoka M, Ogasawara Y, Oyama K, Ohkuma H. [Epidemiological Investigation of Patients in Persistent Vegetative States in Aomori, Japan]. No Shinkei Geka. 2015;43:705–8.

Spiotta AM, Vargas J, Hawk H, Turner R, Chaudry MI, Battenhouse H, et al. Impact of the ASPECT scores and distribution on outcome among patients undergoing thrombectomy for acute ischemic stroke. Journal of NeuroInterventional Surgery. 2015;7:551–8.

Stepan C, Haidinger G, Binder H. Prevalence of persistent vegetative state/apallic syndrome in Vienna. European Journal of Neurology. 2004;11:461–6.

Stepan C, Zaunbauer L, Haidinger G, Binder H. Prevalence of Apallic Syndrome (Vegetative State) in Vienna – Comparison with results found in 2001 [German]. Neurologie und Rehabilitation 2006;12:320–323.

van Erp WS, Lavrijsen JCM, Vos PE, Bor H, Laureys S, Koopmans RTCM. The Vegetative State: Prevalence, Misdiagnosis, and Treatment Limitations. Journal of the American Medical Directors Association. 2015;**16**:85.e9-85.e14.

Wilson F, Harpur J, Watson T, Morrow J

Vegetative state and minimally responsive patients -- Regional survey, long-term case outcomes and service recommendations. NeuroRehabilitation. 2002;17:231.

Young B, Runge JW, Waxman KS, Harrington T, Wilberger J, Muizelaar JP, et al.

Effects of Pegorgotein on Neurologic Outcome of Patients With Severe Head Injury: A Multicenter, Randomized Controlled Trial. JAMA. 1996;276:538–43.

## Table two

## Search strategy: Medline Database (07-Apr-2018)

Ν	Search Terms	Number
1	(Prevalence OR Incidence OR Frequency).ti,ab	1,763,502
2	(state AND (vegetative OR (minimal* AND conscious*))).ti,ab	4,021
3	(1 AND 2)	316
	Selected	15

Report on a survey of Health Commissioners about patients with prolonged disorder of consciousness. Number funded, care location, and cost.

#### Data from Sanchia Berg

#### Introduction.

In 2016 a court case about a patient in a prolonged disorder of consciousness was heard. Among other issues raised was the prolonged delay in bringing the case. [1][2] The matter was investigated by Sanchia Berg, a BBC reporter, and it was discussed on the Victoria Derbyshire programme on BBC on 23 September 2016. As part of the background investigation, Sanchia Berg initiated a Freedom of Investigation request to determine the number of people with a prolonged disorder of consciousness being whose care was being funded by the NHS.

#### Method.

The Clinical Commissioning Groups (in England), Local Health Boards (in Wales), Health and Social Care Trusts (in Northern Ireland), and local NHS organisations in Scotland responsible for administering Continuing Healthcare funding [3] in the UK were identified. Each was contacted asking for information about the patients with a prolonged disorder of consciousness they were responsible for. Data requested included:

#### 1. Numbers cared for (funded)

- a. total, and
- b. number within the first six months since onset
- 2. Location of patients cared for:
  - a. NHS hospital
  - b. Residential care/nursing home
  - c. Own home
  - d. Other
- 3. Cost:
  - a. total
  - b. as percentage of continuing healthcare budget
- 4. Length of funding up to that point

Data were entered into an Excel spreadsheet, and analysed descriptively. As the return rate was very low in Wales, Scotland and Northern Ireland, and so only the data from England were analysed.

## **Results.**

Replies with data were received from 45 (21%) of 213 clinical commissioning groups. Much of the information was imprecise, making it difficult even to estimate numbers. However, it has been assumed that "less than five" refers to one person unless the associated funding suggested a higher number. The data are shown in the table, **table three**, at the end. The main features are:

- a total of 114 people (but actual number uncertain)
  - 5 in hospital
  - 66 in nursing homes
  - $\circ$  10 at home
  - o 7 in 'other'
  - o 26 not specified or data too unclear
- a total expenditure of £9.8M per year
- 11/45 groups stated that they were not funding any patients with a prolonged disorder of consciousness

The huge variation, including many specifically reporting no patients (which is not credible) suggests the data are not valid except as a minimum.

However, three clinical commissioning groups appeared to have good data:

- Gloucester: population = 635,000; number = 11 (including 5 at home); prevalence = 1.17/100,000
- Lambeth; population = 370,000; number = 11; prevalence = 2.98/100,000
- Southwark; population = 285,000; number = 11; prevalence = 3.85/100,000

Cost data were given on an estimated 105 patients, which gives an average expenditure of £92,168 each year in care costs.

## Discussion

The majority of commissioning organisations did not respond, and a significant number responded stating that they did not spend any money and they had no such patients. The data suggest a prevalence of 1.17 - 3.85 people with a prolonged disorder of consciousness being funded through continuing healthcare in each 100,000 of the population. Around 8%-10% are cared for at home.

The failure to respond by 80% of commissioners is not surprising. The replies stating that a clinical commissioning group did not fund any either means that they did not look, or that they had no way of identifying such patients. The zero responses from 11 commissioners of the 45 who did reply should not be treated as meaning that they had no such patients, or that they were not funding such patients.

Information was difficult to interpret. A significant minority of funding organisations stated that they had '<5' (less than five) patients. The number has been guessed, and this is indicated by a '?' by the number. Occasionally they have given the duration that individuals have been funded, without admitting their number; again, an estimated number has been used

The cost being paid per case per year is roughly similar to the estimate made in a recent economic paper. [4] However the data do suggest quite considerable variation. Some of the variation must be secondary to clinical needs, which can differ considerably, and the rest probably arises from variation in cost in proving care in different geographic areas. This would suggest that the figures given are accurate, and that the economic assumptions made in the paper were reasonable.

Whilst it is obviously difficult to know anything about the sources of data, and thus it is difficult to know with any certainty what the actual numbers are, it is notable that the minority of commissioning authorities that gave detailed information tended to have the higher numbers of patients. The combination of (a) taking the trouble to provide better data and (b) the credibility of their figures when judged against the research-based estimated suggests that their data is reasonably dependable.

Thus, the figures from three commissioning groups - Gloucester, Lambeth, and Southwark - giving the most plausible information have been used to estimate prevalence of people with a prolonged disorder of consciousness **who are funded** by the NHS continuing care budget. This will inevitably be only a proportion, probably a minority of all patients in this clinical state. Nevertheless the figures are consistent with the suggested estimates in the main paper.

If the prevalence of funded care is 3.0/100,000 across England and Wales, the cost to NHS England and NHS Wales is £160,000,000 each year

I think that these figures provide reasonable evidence that the NHS is probably spending very large sums of money on caring for people with a prolonged disorder of consciousness, often for very many years. It is also notable that there is a significant variation in the cost per case. It is quite probable that this simply reflects variation in patient need, and variations in local care costs but this may be worth investigating.

Last, the severe lack of available data, for whatever reason, again highlights the need for prospective registration of all patients if only to identify the number of people being supported by the NHS, the cost of that care, and where they are being supported.

## **References:**

1 Kitzinger J, Kitzinger C.

Causes and consequences of delays in treatment-withdrawal from PVS patients: a case study of *Cumbria NHS Clinical Commissioning Group v Miss S and Ors* [2016] EWCOP 32. Journal of Medical Ethics. 2016 Sep 23;medethics-2016-103853.

- 2 Mr Justice Hayden Re: S Neutral Citation number: [2016] EWCOP 32
- 3 <u>https://www.nhs.uk/conditions/social-care-and-support/nhs-continuing-care/</u>
- 4 Formby A, Cookson R, Halliday S

Cost analysis of the legal declaratory relief requirement for withdrawing clinically assisted nutrition and hydration from patients in the permanent vegetative state (PVS) in England and Wales.

Centre for Health Economics Paper 108, University of York (2015)

https://www.york.ac.uk/media/che/documents/papers/researchpapers/CHERP108\_cost\_analysis\_CANH\_PVS\_declaratory\_relief.pdf

## Table three

Page

Data of people with a prolonged disorder of consciousness from a survey of commissioning authorities in England

CCG	No.	Hosp/NH	Home/other	Cost	comment
Barnsley	1	1	0	123,343	Two years; 0.08 %(? Budget = £12M)
Basildon	1 <b>-2</b>	2	0	227,698	
Bexley	1	-	-	-	
Blackpool	5	5	0	427,857	2/12 to 7 yrs; 4.0% (budget = £10M)
Bolton	0				
Bury	5	-	-	498,420	Over 3 years; 6% (budget = £M8.3)
Cambridge	2	1	1	-	
Camden	0				
Central London	<5 (?1)			?	2 – 8 years; average cost £120,000/year
Dartford	4	3	1	329,588	1 – 7 years; 4.39% (budget = £7.5M)
Ealing	6	6 (1,5)	0	356,695	1 – 6 years; 2.4% (budget = £14.9M)
Gloucester	11	5	6	960,460	1 – 17yrs; 1.26% (budget = £76M)
Great Yarmouth	6	6 (3,3)	0	366,438	NK; 1.64% (budget = £22.3M)
Huddersfield	<5 (?3)	-	-	294,229	NK; 1% (budget = £29M)
Greenwich	7	-	-	804,813	NK; 4.8% (budget = £16.7)
Guildford	0				
Halton	0				
Hammersmith	<5 (?1)	-	-	?	2 – 8 years
Hereford	0				
Heywood	1(?)	-	-	98,992	NK; 1.5% (budget = £6.6M)
Ipswich	1	1	0	?	55 days
Isle of Wight	0				
Kingston	<5 (?4)	-	-	470,719	2 and 7 years; 6% (budget = £7.8M)
Knowsley	0				
Lambeth	11	11	0	1,131,936	1 – 5 yrs; 7.5% (budget = £15.0M)
Luton	0				

Medway	4	2	2 (0,2)	427,419	3-11 yrs; 4.59% (budget = £9.3M)
Milton Keynes	5	5	0	410,307	Upto 10yrs; 3.59 (budget = £11.4M)
N Lincoln	1 (?)	1	0	127,193	3yrs; 0.89% (budget = £14M)
N Norfolk	1 (?)	-	-	61,906	NK; 0.03% (budget = £207M)
Norwich	1 (?)	-	-	131.508	NK; 0.06% (budget = £220M)
Nottingham	5	5	0	292,502	1 – 8 yrs; 2% (budget = £14.6M)
Somerset	0				
S Norfolk	0				
Southampton	2 (?)	-	-	198,886	NK
Southend	1 (?)	1	0	97,770	NK
Southwark	11	11	0	1,068,957	NK; 9% (budget = £11.9M)
Swale	1	0	1 (0,1)	139,880	4 yrs; 2.25% (budget = £6.2M)
Tameside	3	1	2 (0,2)	335,235	1-2yrs; 3.76% (budget = £8.9M)
Telford	1 (?)	1	0	146,143	NK; 4% (budget = £3.6M)
Warrington	4	1	3 (2,1)	148,763	1-4 yrs; 1.23% (budget = £12.1M)
W London	?			?	2 – 8 years
W Norfolk	0				
W Suffolk	1	0	1	?	1 year
Wigan	1 (?)	0	1 (0,1)	102,870	NK; 0,48% (budget = £21.5M)
totals	114	5 + 66	10 + 7	£9,677,657	= 92,000 per person per year

CCG = Clinical Commissioning Group

M = million

N = North

NH = Nursing home

NK = not known

No = number

S = South

W = West

?n = the estimated number used