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## Assessment of Cognitive Deterioration in Individual Patients Following Cardiac Surgery: Correcting for Measurement Error and Practice Effects\*

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### ABSTRACT

Assessment of cognitive change in individual patients may be confounded by unreliability of test scores and effects of repeated testing. An index correcting for both problems is proposed and compared with change indices that do not or do not adequately deal with measurement error and practice effects. These indices were used to examine cognitive deterioration in a sample of 63 patients undergoing cardiac surgery. It was demonstrated that for test measures with a low reliability, failure to correct for measurement error resulted in overestimation of deterioration rates. For test measures with a high reliability, but showing substantial practice effects, failure to correct for practice effects resulted in underestimation of deterioration rates. With the proposed index, cognitive deterioration shortly after cardiac surgery was most frequently observed for attention and psychomotor speed, less frequently for verbal fluency, and only occasionally for learning and memory.

Medical intervention may be accompanied by changes in cognitive functioning. Negative cognitive effects have been reported, for example, following epilepsy surgery (Chelune, 1992; Naugle, 1992), cardiac surgery involving extracorporeal circulation (Benedict, 1994; Newman, 1993), intrathecal chemotherapy or central nervous system radiation therapy (Brown & Madan-Swain, 1993; Fletcher & Copeland, 1988; Roman & Sperduto, 1995), and pharmacotherapy of Parkinson's disease (Karayanidis, 1989; Saint-Cyr, Taylor, & Lang, 1993). Positive effects have sometimes been reported after pharmacotherapy of hypertension (Waldstein, Manuck, Ryan, & Muldoon, 1991) and of AIDS or AIDS-related complex (Everall, 1995; Maj, 1990). Cognitive effects of medical intervention are most frequently studied using a pretest-posttest design. Pretest to posttest changes in

performance on neuropsychological tests are usually evaluated by means of a statistical test of the changes in group means. This method, however, is often not satisfactory for clinical practice because overall changes in group performance do not disclose changes in individual patients. Assessment of cognitive change at the individual level is important for evaluating individual risks or benefits of medical treatment and informing patients about anticipated outcomes.

Different indices for identifying individual change can be found in the literature. Most of these indices define an individual's test performance as significantly changed if the difference in test scores obtained before and after treatment (i.e., the observed change score) is larger than some criterion measure. For instance, in recent studies of the negative cognitive effects of temporal lobectomy or cardiac surgery, a decline in

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test performance was defined significant if a patient's pre- to post-operative test score decrement was at least one standard deviation (*SD*), the *SD* being generally determined on the distribution of the preoperative scores in the patient sample (Loring et al., 1995; Phillips & McGlone, 1995; Sellman, Holm, Ivert, & Semb, 1993; Shaw et al., 1986, 1987; Treasure et al., 1989). Such an *SD* criterion, however, can be criticized because it does not adequately deal with the problem of measurement error (i.e., imperfect reliability of test scores). When an unreliable test is applied, score fluctuations of more than one *SD* that are entirely due to measurement error will frequently be observed. Moreover, random score fluctuations may cause change scores of less than one *SD* when intervention effects do exist. Hence, application of the *SD* criterion may lead to both overestimation and underestimation of incidence rates.

Several suggestions have been made as to how measurement error can be taken into account in the assessment of individual change. Some authors have proposed an index in which the observed change score is divided by the standard error of measurement (*SEM*) of the pretest scores instead of the *SD* (e.g., Edwards, Yarvis, Mueller, Zingale, & Wagman, 1978; Jacobson, Follette, & Revenstorf, 1984; Shatz, 1981). More specifically, these authors suggested that a change score larger than 1.96 *SEM*, or, with rounding, 2 *SEM*, could be considered as statistically significant ( $p < .05$ ). At first sight, this *SEM* criterion seems less arbitrary than the *SD* criterion because it takes into account test reliability: the less reliable the test, the greater the amount of score change required to be significant. Yet, it does not compensate for all effects of measurement error. A first criticism concerns the fact that the *SEM* statistic does not make allowance for the unreliability of the posttest scores. Score changes should be corrected for unreliability of the instrument at both the pretest and the posttest. Accordingly, alternative standard error measures have been put forward as a more appropriate denominator in the above change index, such as the standard error of the difference between the observed pre- and post-test scores (e.g., Christensen &

Mendoza, 1986; Jacobson & Truax, 1991) and the standard error of prediction (e.g., Hsu, 1989, 1995; Knight, 1983).

A second criticism concerns the use of the observed change score in the numerator of the above change index. Unfortunately, all indices using this numerator can be criticized for having ambiguous statistical properties, irrespective of the type of standard error in the denominator. The reason is that the standard errors make, in effect, reference to estimated true change scores rather than observed change scores. Sampling distributions of statistics that are based on mixtures of observed-score and estimated-true-score characteristics are usually unknown. Consequently, the confidence intervals that are required to judge whether the individual has significantly changed cannot properly be determined. Thus, in order to correct for all effects of measurement error, the numerator of the index has also to be adapted. It is important to note that the recommendation to employ the individual's estimated true pretest score as a substitute for the observed pretest score (e.g., Knight, 1983; Speer, 1992, 1993) does not entirely solve the problem. The numerator should comprise both the estimated true pretest and the estimated true posttest score (e.g., Hageman & Arrindell, 1993). Recently, Zegers and Hafkenscheid (1994) suggested an index that adequately deals with the above criticisms with regard to both numerator and denominator. Their Reliable Change (*RC*) index is defined as the ratio of the estimated true change score to the estimated standard error of this score (details are given below).

All change indices described thus far have still one problem in common: They do not address the practice effects that frequently arise from repeated neuropsychological testing. In healthy subjects, improved test scores at retesting have been reported for many cognitive performance tests (e.g., Feinstein, Brown, & Ron, 1994; Macciocchi, 1990; Wing, 1980). Practice effects and measurement error should be carefully distinguished. Both reliable and unreliable tests may show practice effects. Some test measures with a high test-retest reliability, such as the Verbal IQ, Performance IQ, and Full Scale

IQ of the Wechsler Adult Intelligence Scale (WAIS) or WAIS-Revised, showed a low test-retest stability in absolute test scores (Matarazzo, Carmody, & Jacobs, 1980; Matarazzo & Herman, 1984). Thus, also with a reliable test, practice effects should be dealt with in the assessment of intervention effects in individual patients. Otherwise, negative cognitive effects of intervention could be underestimated and positive effects overestimated.

A method that considers both measurement error and practice effects was recently proposed by Chelune, Naugle, Lüders, Sedlak, and Awad (1993) in a study on cognitive change following temporal lobectomy. These authors subtracted the mean practice effect observed in a control group from the patient's pre- to post-operative change in test scores before applying the RC index as defined by Jacobson and Truax (1991). There are, however, two difficulties associated with this method. First, measurement error is not adequately dealt with because the numerator of the RC index of Jacobson and Truax includes observed change scores rather than estimated true change scores. Second, it is counterintuitive to correct individual change scores by using the mean change score of controls because there is ample evidence of marked individual differences in the magnitude of practice effects (Matarazzo et al., 1980; Matarazzo & Herman, 1984).

A method that makes allowance for individual differences in practice effects and that is more familiar in the literature was employed by the same group of authors in analyzing the same data set (McSweeney, Naugle, Chelune, & Lüders, 1993). In a linear regression model, the posttest scores of the control group were predicted on the basis of their pretest scores. The regression coefficient and intercept of the control group's regression line were then applied to obtain predicted posttest scores for individual patients. A patient was said to be significantly changed at the posttest if the difference between the observed and the predicted posttest score divided by the standard error of prediction was larger than a criterion value. Yet, this method can again be criticized for not adequately dealing with measurement error. The regression model makes the incorrect assumption that the

predictor (i.e., the pretest score) has been measured free of error. As a consequence, the unreliability of the pretest scores is not adequately taken into account (cf., Alder, Adam, & Arenberg, 1990; Blomqvist, 1977; Geenen & Van de Vijver, 1993; Jin, 1992; Myrtek & Foerster, 1986). To some extent, this criticism to the regression-based index adopted by McSweeney et al. mirrors that raised to the SEM index described above because both indices consider the measurement error of one testing occasion only.

In the current study, an alternative technique is proposed that aims to deal with the above criticisms to existing change indices. Because it is an elaboration of the RC index of Zegers and Hafkenscheid (1994), it corrects for measurement error by using estimated true change scores. In addition, it corrects for individual variations in practice effects by contrasting a patient's estimated true change score with the estimated true change scores in a matched control group (i.e., a group of controls with similar pretest scores as the patient). To illustrate the results of this technique, an empirical comparison is made among six change indices, falling into three categories: (a) the SD index, which considers neither measurement error nor practice effects; (b) the RC indices of Jacobson and Truax (1991) and Zegers and Hafkenscheid, correcting for measurement error; and (c) the indices of Chelune et al. (1993) and McSweeney et al. (1993), and the currently proposed index, correcting for both measurement error and practice effects (hereafter called reliability-stability or RST indices). The neuropsychological data analyzed for this purpose were collected in a study performed on cardiac surgery patients. An analysis of the current data in terms of group means has been published elsewhere (Bruggemans, Van Dijk, & Huysmans, 1995).

## METHOD

The data used for illustrative analysis were obtained as part of a longitudinal study of the cognitive effects of coronary artery bypass graft (CABG) surgery. A battery of neuropsychological tests was administered to 63 CABG patients 2

weeks preoperatively (T1), and 1 week (T2), 1 month (T3), and 6 months (T4) postoperatively. The effects of practice and relieved distress after surgery were controlled for by including the spouses of these patients, exposed to the same stressors associated with the operation and daily life, as a control group. A more detailed description of the methodology of this study can be found in Bruggemans et al. (1995).

### Subjects

The 63 CABG patients (55 men, 8 women) and their 63 spouses were enrolled in the study at the University Hospital of Leiden, The Netherlands. Exclusion criteria for patients and spouses were previous cardiac surgery with extracorporeal circulation; a history of neurological disorders (including cerebrovascular diseases), psychiatric illness, or alcohol or drug abuse; a preoperative Mini-Mental State Examination (MMSE; Folstein, Folstein, & McHugh, 1975) score lower than 24; and major visual or hearing deficits. Unpaired *t* tests (two-tailed) revealed no significant differences between patients and spouses for age ( $M = 58.98$  years,  $SD = 9.16$  vs.  $M = 56.22$  years,  $SD = 11.00$ ),  $t(124) = 1.53$ ,  $p > .05$ ; years of education ( $M = 10.46$ ,  $SD = 3.34$  vs.  $M = 9.63$ ,  $SD = 2.18$ ),  $t(124) = 1.64$ ,  $p > .05$ ; and MMSE score at entry ( $M = 27.50$ ,  $SD = 2.27$  vs.  $M = 27.33$ ,  $SD = 2.47$ ),  $t(121) = 0.40$ ,  $p > .05$ .

Efficacy of controlling for the effects of changes in distress was evaluated by assessing self-reported mood states in patients and spouses concurrent with the neuropsychological examinations. Changes in mood state scores were not significantly different between the two groups (Bruggemans et al., 1995).

### Neuropsychological Test Measures

The following neuropsychological test measures, pertaining to three categories of cognitive functioning, were used in the current analysis: *Learning and memory*. (a) The total score (i.e., Forward plus Backward) of the Digit Span and Visual Memory Span subtests of the Wechsler Memory Scale-Revised (WMS-R; Wechsler, 1987); and (b) the number of words correctly recalled on the first, the fifth, and a 30-min delayed recall trial of the Rey Auditory Verbal Learning Test (RAVLT; Rey, 1964), using a Dutch version with alternate forms (Kingma & Van den Burg, 1985). No interference list was used. *Verbal fluency*. The sum of all admissible words for the letters N, K, and A used in the Controlled Oral Word Association Test (Benton & Hamsher, 1978). *Attention and psychomotor speed*. (a) The average time per line in the

Bourdon-Vos Test (Vos, 1988), a cancellation task; (b) the time required for Parts A and B of the Trail Making Test of the Halstead-Reitan Neuropsychological Battery (Reitan, 1958). This test was not included in the test battery for the first nine couples participating in this study; (c) the interference score (i.e., the time required for color-naming of color names printed in nonmatching colored inks minus the time required for color-naming of colored dots) of the Stroop Color-Word Test (Stroop, 1935). The interference score could not be obtained in 2 patients suffering from color blindness; and (d) the number of correctly placed digits in the Symbol Digit Modalities Test (Smith, 1982).

### Surgical Parameters

The following surgical parameters were registered: duration of extracorporeal circulation, aortic cross-clamp time, minimum nasopharyngeal temperature, and mean flow and mean arterial pressure during extracorporeal circulation and during aortic cross-clamping (details can be found in Bruggemans et al., 1995).

### Statistical Analysis

For the assessment of negative cognitive effects of CABG surgery in individual patients, the raw test scores obtained at times T1 and T2 of the original study were used. Cognitive deterioration in individual patients was defined according to six different change indices:

#### *The Standard Deviation Index*

According to this method, cognitive deterioration is expressed by the following formula:

$$C = \frac{X_2 - X_1}{s_1} \quad (1)$$

where  $X_1$  and  $X_2$  are the patient's observed pre- and post-operative test scores, and  $s_1$  is the standard deviation of the distribution of the preoperative scores in the patient sample. As in previous studies on the cognitive effects of cardiac surgery, cognitive deterioration in a patient was said to be significant if  $|C| > 1$ , the sign of the index being dependent on the denotation of the test score (e.g., Sellman et al., 1993; Shaw et al., 1986, 1987; Treasure et al., 1989).

#### *The Reliable Change Index of Jacobson and Truax (1991)*

This index is described by the authors by the following formula:

$$RC_{JT} = \frac{X_2 - X_1}{SE_{diff}} \quad (2)$$

in which  $X_1$  and  $X_2$  are defined as in Equation 1, and  $SE_{diff}$  denotes the standard error of the difference between the observed pre- and post-test scores. The  $SE_{diff}$  term is computed from  $SE_{diff} = [2(SEM)^2]^{1/2}$ , where  $SEM$  is the standard error of measurement, computed from  $SEM = s_1(1-r_{12})^{1/2}$ . The change in a patient's test score from pre- to post-testing is usually taken to be significant if  $|RC_{JT}| > z_{\alpha/2}$  (two-tailed), where  $\alpha$  is the Type I error rate. In the present study, it was decided to work with a one-tailed significance test ( $\alpha = .05$ ,  $z = 1.645$ ) because the interest was in cognitive deterioration.

*The Reliable Change Index of Zegers and Hafkenscheid (1994)*

This RC index is given by the following formula:

$$RC_{ZH} = \frac{(X_2 - X_1)r_{DD} + (M_2 - M_1)(1 - r_{DD})}{\sqrt{r_{DD}(1 - r_{DD})}s_D} \quad (3)$$

in which  $X_1$  and  $X_2$  are defined as in Equation 1,  $M_1$  and  $M_2$  are the observed pre- and post-operative means of the patient sample,  $r_{DD}$  denotes the reliability of the pre- to post-test change scores, and  $s_D$  denotes the standard deviation of these change scores. The  $r_{DD}$  term is computed by the formula:

$$r_{DD} = \frac{r_{11}s_1^2 + r_{22}s_2^2 - 2r_{12}s_1s_2}{s_1^2 + s_2^2 - 2r_{12}s_1s_2} \quad (4)$$

where  $r_{11}$  and  $r_{22}$  are the reliabilities of the pre- and post-test scores,  $r_{12}$  is the correlation between the pre- and post-test scores (test-retest reliability), and  $s_1$  and  $s_2$  are the standard deviations of the pre- and post-test scores. The  $s_D$  term is computed by  $s_D = (s_1^2 + s_2^2 - 2r_{12}s_1s_2)^{1/2}$ . Because the numerator of Equation 3 expresses the patient's estimated true change score and the denominator represents the error of this estimate (i.e., error of prediction; see also Hsu, 1995),  $RC_{ZH}$  is a normally distributed  $z$ -score. As for  $RC_{JT}$ , the absolute value of  $RC_{ZH}$  indicated significant cognitive deterioration when it was larger than 1.645.

In the present study, we used the data of the control group to compute the reliability ( $r_{DD}$ ) and standard deviation ( $s_D$ ) of the change scores because large variances in patients' posttest scores may reflect individual differences in surgery ef-

fects rather than test score properties. Variability in posttest scores has generally been shown to be substantially larger among cardiac surgery patients than among controls (Benedict, 1994). In order to estimate the reliabilities of the pretest ( $r_{11}$ ) and posttest ( $r_{22}$ ) scores in the control group, a factor analysis was carried out on the controls' test scores at times T1 to T4. The estimated communalities of the scores at times T1 and T2 were taken as a measure of  $r_{11}$  and  $r_{22}$ , respectively (see Crocker & Algina, 1986, p. 295).

*The Reliability-Stability Index of Chelune et al. (1993)*

Chelune et al. used the above RC index of Jacobson and Truax (1991), with a modification to accommodate for practice effects. Their index can be described by the following formula:

$$RST_{Chel} = \frac{(X_2 - X_1) - (M_2 - M_1)}{SE_{diff}} \quad (5)$$

in which  $X_1$ ,  $X_2$ , and  $SE_{diff}$  are defined as in Equation 2, and  $M_1$  and  $M_2$  are the observed pre- and post-operative means of the control group. The absolute value of  $RST_{Chel}$  had to be larger than 1.645 in order to indicate significant cognitive deterioration.

*The Reliability-Stability Index of McSweeney et al. (1993)*

This index, based on the regression model, deals with individual differences in practice effects. A regression line is fit to the data of the control group, the posttest scores being predicted on the basis of the pretest scores. A patient's predicted posttest score is then calculated on the basis of his or her pretest score, using the regression parameters (i.e., regression coefficient and intercept) for the regression line of the control group. The regression formula for predicting a patient's posttest score,  $X'_2$ , from his or her pretest score is given by:

$$X'_2 = bX_1 + c \quad (6)$$

where  $X_1$  is defined as in Equation 1, and  $b$  and  $c$  are the regression coefficient and intercept, respectively, for the regression line to the control group data. The index of McSweeney et al. is given by:

$$RST_{McS} = \frac{X_2 - X'_2}{SE_{pred}} \quad (7)$$

in which  $X_2$  and  $X'_2$  are defined as in Equation 1 and Equation 6, respectively, and  $SE_{\text{pred}}$  is the standard error of prediction, computed by  $SE_{\text{pred}} = s_2(1-r_{12}^2)^{1/2}$ . For significant deterioration, the absolute value of  $RST_{\text{McS}}$  had to be larger than 1.645.

#### The proposed Reliability-Stability Index

The currently proposed index is an elaboration of the above RC index of Zegers and Hafkenscheid (1994), purporting to correct for individual differences in practice effects. Each patient is matched with a group of control subjects with similar pre-test scores (cf. the above regression-based index of McSweeney et al., 1993). Matching with multiple controls rather than with a single subject is carried out to minimize the effects of irrelevant idiosyncratic variations in the change scores of individual control subjects. Matched control group sizes may vary among patients, depending on the opportunities to find appropriate matches. In the present study, on average 10 matched controls were gathered for each patient. The mean change score of the matched control group is considered to represent the change score of a single ideal control subject. Analogous to the change scores of patients, change scores of ideal controls will be subject to measurement error. Consequently, the  $RC_{\text{ZH}}$  index (Equation 3) is applied to the observed mean pre- and post-test scores of the matched control (mc) subjects, that is:

$$RC_{\text{mc}} = \frac{(M_{\text{mc}_2} - M_{\text{mc}_1})r_{\text{DD}} + (M_2 - M_1)(1 - r_{\text{DD}})}{\sqrt{r_{\text{DD}}(1 - r_{\text{DD}})}s_{\text{D}}} \quad (8)$$

where  $M_{\text{mc}_1}$  and  $M_{\text{mc}_2}$  are the observed mean pre- and post-test scores of the matched controls,  $M_1$  and  $M_2$  are the observed pre- and post-test means for the entire control group,  $s_{\text{D}}$  denotes the standard deviation of pre- to post-test change scores of all control subjects, and  $r_{\text{DD}}$  denotes the reliability of these change scores. The proposed new index ( $RST_{\text{new}}$ ) is then a composite index based on two  $RC_{\text{ZH}}$  indices:

$$RST_{\text{new}} = RC_{\text{pat}} - RC_{\text{mc}} \quad (9)$$

where  $RC_{\text{pat}}$  is the  $RC_{\text{ZH}}$  index of the patient as described in Equation 3 and  $RC_{\text{mc}}$  is the  $RC_{\text{ZH}}$  index of his or her matched controls as given in Equation 8. Because  $RST_{\text{new}}$  is the difference between two z-scores, like for the other z-scores indices, its absolute value had to be larger than 1.645 in order to indicate significant cognitive deterioration.

In addition to comparing the incidence of cognitive deterioration for the six different indices, the question was addressed as to how the indices differ in their relationships with predictor variables, that is patients' age and surgical parameters. In order to answer this question, Pearson correlations were computed between, on the one hand, individual change scores as generated by the indices and, on the other hand, age and surgical parameters. The correlations were subjected to one-tailed  $t$  tests on the basis of expectations about the effects of predictor variables on cognitive deterioration.

## RESULTS

For each of the neuropsychological test measures, reliabilities and practice effects observed in the control group are reported first as they form the basis of the RC ( $RC_{\text{JT}}$  and  $RC_{\text{ZH}}$ ) and RST ( $RST_{\text{Chel}}$ ,  $RST_{\text{McS}}$ , and  $RST_{\text{new}}$ ) indices. Then, the results for the six indices will be presented.

### Test Score Reliabilities in the Control Group

For each test measure, the three reliability coefficients ( $r_{11}$ ,  $r_{22}$ , and  $r_{12}$ ) are presented in Table 1. Only for the immediate memory measure (i.e., Trial I) of the RAVLT, reliabilities were low with coefficients ranging from .32 to .49. Coefficients for the other measures ranged from .61 to .95. Reliability coefficients for the measures of learning and memory (WMS-R and RAVLT) were smaller than those for the measures of verbal fluency (Controlled Oral Word Association) and attention and psychomotor speed (Bourdon-Vos, Trail Making Test, Stroop Interference, and Symbol Digit Modalities). Similar differences in reliability coefficients have been reported in the literature (Spreen & Strauss, 1991).

### Practice Effects in the Control Group

In order to evaluate practice effects, paired  $t$  tests (one-tailed) were carried out on the pre- to post-test change scores of the entire control group. For change scores (i.e., observed posttest minus observed pretest scores) on each test measure, the mean value, standard deviation, and associated  $t$  value are presented in Table 2. Significant improvements in performance were

Table 1. Reliability Coefficients of the Neuropsychological Test Measures in the Control Group.

Test measure	Reliability at T1 ( $r_{11}$ )	Reliability at T2 ( $r_{22}$ )	Test-retest reliability ( $r_{12}$ )
Learning and memory			
WMS-R Digit Span	.79	.82	.71
WMS-R Visual Memory Span	.68	.72	.61
RAVLT Trial I	.45	.49	.32
RAVLT Trial V	.62	.78	.62
RAVLT Delayed Recall	.70	.76	.63
Verbal fluency			
Controlled Oral Word Association	.89	.89	.85
Attention and psychomotor speed			
Bourdon-Vos	.89	.95	.89
Trail Making Test, Part A	.76	.80	.73
Trail Making Test, Part B	.80	.89	.79
Stroop Interference	.82	.84	.77
Symbol Digit Modalities	.92	.93	.90

Note. WMS-R = Wechsler Memory Scale-Revised; RAVLT = Rey Auditory Verbal Learning Test.

found for the verbal fluency measure and for all measures of attention and psychomotor speed, whereas no significant changes were obtained for the learning and memory measures.

The above mean values are the basis of the correction for practice effects as applied in the  $RST_{Chel}$  index. The other two RST indices,  $RST_{McS}$  and  $RST_{new}$ , correct for practice effects using change scores of control subjects with similar pretest scores as the patient. Table 2 presents the change scores for controls matched to the patient with the lowest and the patient with the highest pretest score on each test measure. For the  $RST_{McS}$  index, the change scores represent differences between predicted posttest and observed pretest scores. For  $RST_{new}$ , the values represent the mean estimated true change scores for the on average 10 matched controls gathered for each patient. As expected, the change scores used in both indices showed considerable variability among pretest score levels, underlining the necessity to apply level-dependent corrections of patients' scores.

## Comparison of Change Indices

### Critical values and deterioration rates

Table 3 presents critical values for significant test score deterioration (i.e., observed posttest minus observed pretest scores) for each of the six change indices. For the SD,  $RC_{JT}$ ,  $RC_{ZH}$ , and  $RST_{Chel}$  indices, the values apply to the entire patient group. For the  $RST_{McS}$  and  $RST_{new}$  indices, critical values depend on a patient's pretest score. In Table 3, the values are presented only for the patient with the lowest and the patient with the highest pretest score on each test measure.

The effects of score corrections for measurement error can be examined by comparing the results for the SD and RC indices. For the majority of test measures, both RC indices produced larger absolute critical values than the SD index, the  $RC_{ZH}$  index tending to be more conservative than the  $RC_{JT}$  index. The discrepancies between the SD and RC indices are mainly attributable to the reliability of the test scores: For test measures associated with relatively low reliability coefficients (see Table 1), the RC indices tended to be more conservative than the SD index. This behavior of the RC indices is intu-



Table 2. Change Scores in the Control Group.

Test measure	Entire control group			Matched controls			
	<i>M</i>	<i>SD</i>	<i>t</i>	<i>RST</i> <sub>McS</sub>		<i>RST</i> <sub>new</sub>	
				Lowest pretest score	Highest pretest score	Lowest pretest score	Highest pretest score
Learning and memory							
WMS-R Digit Span <sup>a</sup>	0.06	2.02	0.25	1.57	-1.46	0.40	-0.22
WMS-R Visual Memory Span <sup>a</sup>	0.21	2.28	0.72	1.63	-1.90	0.34	-0.09
RAVLT Trial I <sup>a</sup>	-0.40	1.96	-1.60	2.56	-1.79	0.01	-0.68
RAVLT Trial V <sup>a</sup>	0.17	1.74	0.80	2.31	-1.03	0.52	0.09
RAVLT Delayed Recall <sup>a</sup>	-0.38	2.31	-1.31	2.17	-1.55	0.18	-0.71
Verbal fluency							
Controlled Oral Word Association <sup>a</sup>	4.38	6.09	5.71*	7.84	2.04	4.75	3.72
Attention and psychomotor speed							
Bourdon-Vos <sup>b</sup>	-0.69	0.94	-5.79*	-0.66	-0.76	-0.58	-0.63
Trail Making Test, Part A <sup>b</sup>	-4.91	9.10	-3.96*	2.10	-11.14	4.46	-5.48
Trail Making Test, Part B <sup>b</sup>	-10.06	20.13	-3.67*	-0.24	-40.79	-8.13	-14.16
Stroop Interference <sup>b</sup>	-8.13	14.30	-4.51*	4.06	-30.65	-5.75	-10.00
Symbol Digit Modalities <sup>a</sup>	3.79	4.56	6.60*	4.89	2.56	4.24	4.05

Note. Change scores represent observed posttest minus observed pretest scores for the entire control group, predicted posttest minus observed pretest scores for matched controls in the Reliability-Stability index of McSweeney et al. (*RST*<sub>McS</sub>; 1993), and estimated true posttest minus estimated true pretest scores for the matched controls in the currently proposed Reliability-Stability index (*RST*<sub>new</sub>). WMS-R = Wechsler Memory Scale-Revised; RAVLT = Rey Auditory Verbal Learning Test.

<sup>a</sup>A positive change score indicates improvement in performance. <sup>b</sup>A negative change score indicates improvement in performance.

\*  $p < .001$ , one-tailed.

Table 3. Critical Values for Significant Test Score Deterioration.

Test measure	SD index	RC indices (Correcting for measurement error)		RST indices (Correcting for measurement error and practice effects)				
		$RC_{JT}$	$RC_{ZH}$	$RST_{Chel}$	$RST_{McS}$		$RST_{new}$	
		Lowest pretest score	Highest pretest score	Lowest pretest score	Highest pretest score	Lowest pretest score	Highest pretest score	
<b>Learning and memory</b>								
WMS-R Digit Span <sup>a</sup>	-2.97	-3.18	-4.78	-3.12	-1.63	-4.65	-3.58	-5.45
WMS-R Visual Memory Span <sup>a</sup>	-2.38	-3.64	-5.69	-3.44	-1.85	-5.38	-4.24	-6.07
RAVLT Trial I <sup>a</sup>	-1.52	-3.46	-7.19	-3.86	0.14	-4.21	-7.15	-10.30
RAVLT Trial V <sup>a</sup>	-2.25	-2.74	-4.93	-2.56	-0.38	-3.71	-2.64	-4.54
RAVLT Delayed Recall <sup>a</sup>	-2.74	-3.60	-3.87	-3.98	-1.43	-5.15	-3.22	-6.36
<b>Verbal fluency</b>								
Controlled Oral Word Association <sup>a</sup>	-11.10	-9.77	-20.48	-5.39	-2.06	-7.86	-2.16	-6.13
<b>Attention and psychomotor speed</b>								
Bourdon-Vos <sup>b</sup>	2.38	1.43	1.39	0.75	0.90	0.80	-0.26	-0.43
Trail Making Test, Part A <sup>b</sup>	10.83	14.99	26.31	10.08	16.11	2.87	4.09	-0.96
Trail Making Test, Part B <sup>b</sup>	37.09	33.01	30.17	22.95	31.43	-9.12	1.19	-20.31
Stroop Interference <sup>b</sup>	17.07	24.87	29.13	16.75	20.56	-14.15	13.84	2.54
Symbol Digit Modalities <sup>a</sup>	-9.30	-7.31	-3.74	-3.51	-2.62	-4.94	14.73	13.88

Note. Critical values represent posttest minus observed pretest scores.  $RC_{JT}$  = Reliable Change index of Jacobson and Truax (1991);  $RC_{ZH}$  = Reliable Change index of Zegers and Hafkensheid (1994);  $RST_{Chel}$  = Reliability-Stability index of Chetune et al. (1993);  $RST_{McS}$  = Reliability-Stability index of McSweeney et al. (1993);  $RST_{new}$  = currently proposed Reliability-Stability index;  $WMS-R$  = Wechsler Memory Scale-Revised;  $RAVLT$  = Rey Auditory Verbal Learning Test. <sup>a</sup>A positive change score indicates improvement in performance. <sup>b</sup>A negative change score indicates improvement in performance.

itively appealing in that they correct for the increased uncertainty by enlarging their critical value. In general, for test measures having a low reliability, critical values for the RC indices can become much larger than for the SD index.

Comparison of the results for the RC and RST indices reflects the influence of correcting for practice effects. As could be expected, all three RST indices produced in general much less conservative critical values than the RC indices for test measures showing significant practice effects (i.e., the measures of verbal fluency and attention and psychomotor speed; see Table 2), the  $RST_{new}$  index being less conservative than the  $RST_{Chel}$  and  $RST_{McS}$  indices. Correction for practice effects may lead to seemingly counter-intuitive behavior of the RST indices. According to the  $RST_{McS}$  and  $RST_{new}$  indices, for example, a score improvement up to 9 or 20 points, respectively, on the Trail Making Test, Part B, could mean a net worsening. In general, for test measures showing substantial practice effects, even a score improvement might imply a significant cognitive deterioration.

Table 4 presents the deterioration rates for the six indices, based on the critical values in Table 3. In Table 4, once again, the impact of score corrections for measurement error and practice effects is reflected. For test measures having a relatively low reliability and not showing significant score improvements due to practice (i.e., the learning and memory measures), the SD index generated larger deterioration rates than the RC and RST indices. On the other hand, for test measures with a relatively high reliability but showing significant practice effects (i.e., the measures of verbal fluency and attention and psychomotor speed), the RST indices revealed in general much larger deterioration rates than the SD and RC indices, with the  $RST_{new}$  index by far showing the largest rates. The most salient example of this concerns the Symbol Digit Modalities measure. According to the  $RST_{new}$  index, all patients were deteriorated on this test measure.

It can be concluded from Table 4 that the six indices showed different results regarding the negative effects of CABG surgery on cognitive functioning. When using the SD index, moderate

deterioration rates were found for the measures of learning and memory and those of attention and psychomotor speed (8–29%), whereas deterioration on verbal fluency occurred in only 3% of the patients. The two RC indices produced generally low deterioration rates for the learning and memory measures and for verbal fluency (0–18%). They showed moderate rates for the measures of attention and psychomotor speed, the  $RC_{ZH}$  index showing a larger variation in rates (2–48%) than the  $RC_{JT}$  index (5–19%). Like the RC indices, the RST indices generally resulted in low deterioration rates for the learning and memory measures (0–21%). However, moderate to high rates were obtained for the attention and psychomotor speed measures, with moderate rates (12–48%) for the  $RST_{Chel}$  and  $RST_{McS}$  indices, and high rates (25–100%) for  $RST_{new}$ . Verbal fluency was affected in a moderate number of patients (16–24%) for the RST indices.

#### *Correlations with age and surgical parameters*

Table 5 presents the correlations between individual change scores as generated by the six indices and relevant predictor variables. Because intercorrelations among the SD index, the two RC indices, and the  $RST_{Chel}$  index by definition are equal to one (since they all imply a linear transformation of the observed change score), their correlations with predictor variables are identical.

The data show that the relationships with age and surgical parameters were essentially similar for all indices. Only a limited number of significant correlations were found. Low mean flow during extracorporeal circulation as well as during aortic cross-clamping and low minimum nasopharyngeal temperature appeared to be the most pertinent predictors of cognitive deterioration. The neuropsychological test measures most affected by these surgical parameters were the delayed recall measure of the RAVLT and the Symbol Digit Modalities measure. These two test measures have in common that they make a demand on memory retrieval.

Table 4. Deterioration Rates (as percentages).

Test measure	SD index	RC indices (Correcting for measurement error)		RST indices (Correcting for measurement error and practice effects)		
		$RC_{JT}$	$RC_{ZH}$	$RST_{Chel}$	$RST_{McS}$	$RST_{new}$
<b>Learning and memory</b>						
WMS-R Digit Span	10	0	0	0	3	0
WMS-R Visual Memory Span	16	7	2	7	5	5
RAVLT Trial I	18	2	0	2	0	0
RAVLT Trial V	14	14	3	14	11	3
RAVLT Delayed Recall	29	18	18	18	21	11
<b>Verbal fluency</b>						
Controlled Oral Word Association	3	6	0	18	16	24
<b>Attention and psychomotor speed</b>						
Bourdon-Vos	11	19	21	35	32	73
Trail Making Test, Part A	15	11	2	15	15	33
Trail Making Test, Part B	15	19	19	28	33	67
Stroop Interference	8	5	5	12	28	25
Symbol Digit Modalities	10	13	48	48	46	100

Note.  $RC_{JT}$  = Reliable Change index of Jacobson and Truax (1991);  $RC_{ZH}$  = Reliable Change index of Zegers and Hafkenscheid (1994);  $RST_{Chel}$  = Reliability-Stability index of Chelune et al. (1993);  $RST_{McS}$  = Reliability-Stability index of McSweeney et al. (1993);  $RST_{new}$  = currently proposed Reliability-Stability index; WMS-R = Wechsler Memory Scale-Revised; RAVLT = Rey Auditory Verbal Learning Test.



## DISCUSSION

The interpretation of individual changes in neuropsychological test scores is hampered by problems of measurement error and practice effects. In this study, six different indices of individual change were applied to assess cognitive deterioration in patients following CABG surgery: the SD index, which considers neither measurement error nor practice effects; the RC indices of Jacobson and Truax (1991) and Zegers and Hafkenscheid (1994), correcting for measurement error; and the RST indices of Chelune et al. (1993) and McSweeney et al. (1993), and the currently proposed RST index, correcting for both measurement error and practice effects. Results for these indices were compared on various neuropsychological test measures. The purpose was to examine the impact of score corrections for measurement error and practice effects in the assessment of individual change and to evaluate the consequences for the incidence of cognitive deterioration in CABG patients.

The indices showed marked differences in deterioration rates on the various test measures due to measurement error and practice effects, as may be expected. For test measures with a relatively low reliability and showing no significant practice effects (the learning and memory measures), the SD index produced higher deterioration rates than did the RC and RST indices. In contrast, for test measures with a relatively high reliability but showing significant score improvements due to practice (the verbal fluency and attention and psychomotor speed measures), the RST indices produced higher deterioration rates than did both the SD index and the RC indices. These findings are consistent with the mathematical differences among the indices that imply that the discordance of the SD index versus the RC and RST indices will increase when tests become less reliable, and that the discordance of both the SD index and the RC indices versus the RST indices will increase when tests show larger practice effects.

Although the  $RC_{ZH}$  index more adequately corrects for measurement error than does the  $RC_{JT}$  index, systematic differences in deterioration rates between these two indices were not

found in the present study. It should, however, be emphasized that with other data sets the indices may yield a larger discrepancy. This can be explained by the fact that the mathematical difference between the indices is not merely a function of test reliability. In comparison with the  $RC_{JT}$  index, the  $RC_{ZH}$  index involves additional sample statistics, such as the mean of the observed pretest scores, and the mean and standard deviation of the observed posttest scores. Therefore, the discordance between the two RC indices will depend on the characteristics of the study sample.

Analogous reasoning holds for the behavior of the three RST indices. In the present study, the statistically more adequate  $RST_{new}$  index revealed considerably higher deterioration rates than the  $RST_{Chel}$  and  $RST_{McS}$  indices on the measures of attention and psychomotor speed, the latter two indices showing almost equal rates. As for the RC indices, however, application of the RST indices in other study samples may result in other incongruities. Because the three RST indices employ partially different sample statistics, their discordance may vary with the characteristics of the study sample.

The current results clearly show that conclusions about the incidence of cognitive change after medical intervention strongly depend on the index utilized. Because of their psychometric shortcomings, application of the SD index, the two RC indices, and the  $RST_{Chel}$  and  $RST_{McS}$  indices may lead to fallacious conclusions. Thus, with the SD index, presumably too many CABG patients in the present sample were considered as significantly deteriorated on learning and memory (i.e., false positives), whereas too few patients were considered as significantly deteriorated on verbal fluency and attention and psychomotor speed (i.e., false negatives). The major problem of the two RC indices concerned false negatives on verbal fluency and attention and psychomotor speed. Finally, false negatives on attention and psychomotor speed were also observed for the  $RST_{Chel}$  and  $RST_{McS}$  indices.

Utilization of the  $RST_{new}$  index in the analysis of the current data indicated differential effects of CABG surgery on cognitive functioning, with deterioration frequently occurring on atten-

tion and psychomotor speed (25–100%), to a smaller degree on verbal fluency (24%), and only occasionally on learning and memory (0–11%). This pattern of early cognitive dysfunctioning (i.e., deterioration detectable 1 week following CABG surgery) is consistent with that quantified in terms of group means for this patient sample (Bruggemans et al., 1995). At 1 week postoperatively, patients' mean scores on attention and psychomotor speed as well as on verbal fluency were significantly deteriorated compared with the mean scores of spouses, whereas mean change scores for memory and learning showed no differences between both groups. This pattern is also consistent with the early pattern revealed by other controlled studies reporting group means (e.g., Hammeke & Hastings, 1988; Townes et al., 1989). On the other hand, there is little agreement with studies that analyzed group means but did not include a control group (e.g., Fish et al., 1987; Zeitlhofer et al., 1993). These studies in general did not show important differences in deterioration among different cognitive functions and sometimes even suggested improvement in functioning, probably due to practice effects.

As mentioned before, the SD index has been commonly used to report on the incidence of cognitive deterioration following CABG surgery. In two studies applying this index, the deterioration rates on the various test measures were inconsistent and also differed considerably from those of the  $RST_{new}$  index in the current study. In one study, learning and memory were slightly more often affected than attention and psychomotor speed (Shaw et al., 1986, 1987), whereas this pattern was not replicated in the other study (Harrison et al., 1989). The other studies applying the SD index (see introduction), however, can in general be criticized for underrating the influence of the composition of the test battery. In these studies, cognitive deterioration in a patient was generally said to occur in case of a drop in test performance of at least one SD on two or more of the administered tests (see also Mahanna et al., 1996). Even though using this additional criterion may well reduce the influence of random score fluctuations on the diagnosis of cognitive deterioration,

the differential pattern of deterioration is neglected in this definition. Hence, the likelihood of assessing cognitive deterioration will depend on the homogeneity of the test battery.

In the present study, relationships between relevant predictor variables (i.e., patients' age and surgical parameters) and individual change scores showed much correspondence for the six indices, indicating high intercorrelations among the indices. As stated before, the SD index, the two RC indices, and the  $RST_{Chel}$  index by definition show a perfect intercorrelation. The corrections for practice effects as applied in the  $RST_{McS}$  and  $RST_{new}$  indices, however, may entail a nonlinear transformation of the observed change score because these corrections depend on a patient's pretest score. Nevertheless, Pearson correlations between observed change scores and the  $RST_{McS}$  and  $RST_{new}$  indices were high, ranging from .80 to 1.00 and from .91 to .99, respectively, and thus suggest almost linear corrections for practice effects. Empirical studies have frequently shown that estimated true change scores ( $RST_{new}$ ) are linearly related to initial scores (e.g., Alder et al., 1990; Fahrenberg, Foerster, & Wilmers, 1995; Myrtek & Foerster, 1986). The same holds probably for residualized change scores ( $RST_{McS}$ ). It may, therefore, be assumed that individual score corrections for practice effects tend to amount to an almost linear transformation of observed change scores and that, in general, correlations for the  $RST_{McS}$  and  $RST_{new}$  indices with external variables will only slightly deviate from those for the SD index, the two RC indices, and the  $RST_{Chel}$  index.

The above findings have implications for choosing the most appropriate index in the assessment of individual change. If one is interested in the incidence of cognitive change rather than in its prediction, the use of the  $RST_{new}$  index is to be preferred over the use of the other indices. Application of this new index will reduce the likelihood of incorrect decisions about the significance of change scores because of the corrections for both measurement error and practice effects. If one is primarily interested in predicting cognitive change on the basis of external variables, then the different indices will

frequently yield similar results and, therefore, there is no need to select among the indices.

Three practical problems may be encountered in applying the  $RST_{new}$  index. First, the different reliability coefficients (i.e.,  $r_{11}$ ,  $r_{22}$ , and  $r_{12}$ ) may not always be available. When using standardized neuropsychological tests, useful reliability estimates may be found in the test manual or reports in the literature. Here the question may arise as to what types of estimates are appropriate for inclusion in the index. For both  $r_{11}$  and  $r_{22}$ , one could use one of the various estimates of internal consistency, such as the alpha coefficient, the split-half coefficient, or the communality derived from factor-analysis as employed in the present study. The only meaningful estimate for  $r_{12}$  is the test-retest correlation coefficient. It is important to note that the intraclass correlation coefficient as a measure of agreement (cf., McGraw & Wong, 1996; Shrout & Fleiss, 1979), which in other circumstances may be considered a very useful reliability estimate (cf., Brown, Rourke, & Cicchetti, 1989), cannot be employed here. A high value of this coefficient indicates both a reliable and a stable (in absolute test scores) measurement. A low value reflects poor reliability, instability, or both. The  $RST_{new}$  index, however, assumes reliability estimates that only reflect the influence of measurement error.

Second, in some cases estimates of internal consistency such as the split-half coefficient will seriously underestimate the true reliability of the instrument. In such cases, the value of the test-retest correlation can be almost as high as the internal consistency estimates and, as a consequence, the reliability of the change score can become close to or even equal to zero. The value of the  $RST_{new}$  index will then be mainly determined by the difference in group means at both test occasions, thereby underrating the relevance of the change in the individual. In such a case, however, the use of the other indices may not lead to more appropriate results.

The third problem in applying the  $RST_{new}$  index may involve the lack of information about practice effects. As for test reliability, test manuals or reports in the literature may provide useful data on test-retest stability. It is highly un-

likely, however, that these will contain data on groups with a pretest score similar to the patient's. Applying corrections for mean practice effects such as those applied in the  $RST_{Chel}$  index will then be the only viable option.

In summary, six different indices for assessing individual change, differing in the extent that corrections were made for measurement error and practice effects, have been examined. The present findings suggest that when one is interested in incidence rates, the  $RST_{new}$  index will be very useful. This index enables a statistically adequate test of individual change both when measurement error and practice effects jeopardize the validity of classical approaches. The index was applied here to assess the negative cognitive effects of cardiac surgery but the domain of application is broader and includes all pretest-posttest designs in which individual change is examined.

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