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Defining malnutrition: a plea to rethink

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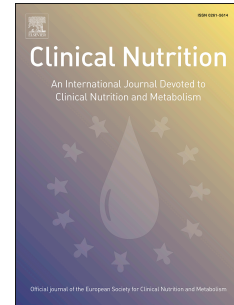
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# 1 Defining malnutrition: a plea to rethink.

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## 14 1 Introduction

15 In a recent issue of Clinical Nutrition (1) a sizeable group of knowledgeable ESPEN members  
16 published a consensus report on Diagnostic Criteria for Malnutrition in both clinical and population  
17 setting. To arrive at this report, clinical scientists were chosen to represent the clinical fields of  
18 medicine, surgery, intensive care, oncology and geriatrics. Communication occurred in several ways  
19 and after each step in the procedure confirmation was sought from the participants. Ultimately a  
20 ballot was organized among the members of ESPEN to seek approval of the statements in the report.

21 Two alternative ways to diagnose malnutrition were formulated.

22 1. BMI < 18.5 kg/m<sup>2</sup>

23 2. Unintentional weight loss > 10% of initial body weight irrespective of time or > 5% in the last  
24 3 months combined with either

25 a. BMI < 20 kg/m<sup>2</sup> if < 70 years of age, or BMI < 22 kg/m<sup>2</sup> if older than 70 years or

26 b. FFMI < 15 and 17 kg/m<sup>2</sup> in women and men respectively.

27 Despite these efforts we have serious concerns regarding the conclusions drawn because they  
28 might add to the confusion rather than bringing clarity. In this commentary we will try to point out  
29 the shortcomings of the present “consensus” in this regard, and propose to stick to the earlier  
30 consensus statements published in 2010, endorsed by ESPEN (2) and ASPEN (3), which included a  
31 rational approach to the definition and assessment of malnutrition. In our opinion this can be  
32 achieved only when etiological factors such as inflammation and under- or overnutrition are  
33 considered. We will restrict this commentary to the undernourished state and its relationship to  
34 malnutrition states. In our opinion, it is not possible to dissociate the ways to diagnose malnutrition  
35 from its definition.

## 36 2 Definition of Malnutrition

37 Part of the confusion in the nutritional world arises from the interpretation of the term  
38 “Definition”. *A definition is a precise statement of the nature of a thing or condition.* In the nutritional  
39 and metabolic world we specifically want to define nutrition related disorders. Several efforts have  
40 been made in the past to formulate a definition to describe precisely the pathophysiology of

41 undernutrition/malnutrition as it is encountered in the majority of individuals considered  
42 malnourished, both in areas with endemic malnutrition and in clinical settings.

43 A century ago two forms of undernutrition were distinguished in children in areas with endemic  
44 malnutrition. Marasmus was considered to result from lack of both energy and protein, and typically  
45 is characterized by loss of fat free mass and fat mass, without oedema and with relatively normal  
46 visceral proteins including albumin. Kwashiorkor was considered to result specifically from lack of  
47 intake of protein, and its phenomenology included oedema, disturbances in growth and colour of  
48 hair, skin lesions, fatty liver and hypoalbuminemia. The kwashiorkor children showed less growth  
49 retardation suggesting that their malnutrition was of more recent onset.(4) Later research revealed  
50 that this phenomenology was not restricted to children but also occurred in adults.(5) It has been  
51 suggested that the difference in symptomatology in endemic malnutrition resulted from the  
52 development of infectious diarrhoea: chronic in marasmus, acute in kwashiorkor and often occurring  
53 after suffering from measles or malaria (6, 7). More recently, some evidence has been published  
54 from a study of identical twins in Malawi, that differences in the gut microbiome were responsible  
55 for kwashiorkor type malnutrition occurring in one child of a pair of identical twins and marasmic  
56 malnutrition in the other. (8) Importantly the design of the study helps to confirm that it is unlikely  
57 that differences in diet were responsible for the differences in phenotype. Waterlow also questioned  
58 the postulated role of differing diets. (4)

59 In the 1960s and 1970s it became increasingly clear that the features of kwashiorkor type  
60 malnutrition in our hospitals were predominantly related to infectious or non-infectious  
61 inflammation (5). In addition, as long ago as the early 1930s Cuthbertson (9) had already pointed out  
62 that the inflammatory effects of trauma included net nitrogen losses. Although the concepts were  
63 correct and accepted by many clinicians in ESPEN, the nomenclature was not widely applied in  
64 clinical nutrition.

65 When observing severely malnourished individuals in the developed world as well as those in  
66 areas with endemic malnutrition, it is clear that their functions are impaired in every imaginable  
67 respect.(10-12) Indeed, insufficient food intake can only be considered to be significant when this has  
68 led to functional disturbances. Therefore in the 1980s the concept that diminished function is an  
69 essential element of malnutrition was developed within the ESPEN community (13). The following  
70 definition was presented in courses and congresses:

71

72 1. *Malnutrition is a subacute or chronic state of nutrition, in which undernutrition has led to*  
73 *a change in body composition and diminished function.*

74

75 In the remainder of this manuscript the term “function” encompasses muscle function, cognitive  
76 function and immune function, supporting a host response leading to successful clinical outcome,  
77 appropriate growth in children, regeneration, restored quality of life and long term survival. The  
78 concept was strongly promoted by the BAPEN community (14), who added “clinical outcome” as a  
79 consequence of biological functioning to the definition. This was included in the ESPEN basic and  
80 advanced courses and in the third edition of the so-called “blue book” (12). In addition both  
81 undernutrition and overnutrition were considered to be part of the malnutrition spectrum, leading to  
82 the following definition: (15)

83

84 2. *Malnutrition is a state of nutrition in which a deficiency or excess (or imbalance) of energy,*  
85 *protein and other nutrients causes measurable adverse effects on tissue/body form (body*  
86 *shape, size, composition), body function and clinical outcome.*

87  
88 A crucial problem with this definition is that there is no linear relationship between deficiency or  
89 excess of nutrients and body composition and function. This is because the state of malnutrition in  
90 clinical practice and in areas with endemic malnutrition is not often exclusively the result of a  
91 deficiency of nutrients. It is also substantially influenced by the presence of disease, chronic infection  
92 and other stressful factors leading to inflammation, which influences body composition, function,  
93 longevity and clinical outcome.(12, 16, 17) It is equally important that the catabolic effects of non-  
94 infectious or infectious inflammation cannot be overcome by nutritional support alone. (18) At best a  
95 beneficial healing response may be supported when inflammatory activity is long standing and  
96 cannot be rapidly treated.

97 If the nutritional world therefore wants to assess not only whether the individual does not eat or  
98 absorb enough or overfeeds, but also to assess the changes in body composition and functions to  
99 which this has led, then inflammatory status should be taken into account. In this way nutritional  
100 assessment identifies the pathophysiological state of the individual, and also includes assessment of  
101 the risk not to recover well from trauma and disease, and to have a low life expectancy. This is more  
102 relevant in clinical practice. These considerations have been the underlying reasons to attribute the  
103 “mal” in malnutrition to be more than under- or overnutrition but to view it as a syndrome consisting  
104 of inadequate nutrition and inflammation. This led to the following definition (19):

105  
106 3. *Malnutrition is a subacute or chronic state of nutrition, in which a combination of varying*  
107 *degrees of under- or overnutrition and inflammatory activity has led to changes in body*  
108 *composition and diminished function.*

109  
110 Essentially inflammation has been added, but the other aspects might be adapted according to  
111 definition 2. for instance by adding “clinical outcome”. The definition was included in the ESPEN LLL  
112 module on malnutrition, is included in the fourth edition of the blue book (20), and is consistent with  
113 consensus statements published in JPEN and Clinical Nutrition, endorsed by ASPEN and ESPEN. (2, 3)

### 114 3 Diagnosis of Malnutrition

115 In the Shorter Oxford English Dictionary “diagnosis” is defined as “*Determination of a diseased*  
116 *condition by investigation of its symptoms*”. In medicine diagnosing a specific disease or condition  
117 requires identifying the causative micro-organism or other non-infectious causes and the typical  
118 symptoms and sequelae. Along similar lines, diagnosing malnutrition requires identifying the  
119 causative factors, their consequences for body composition and the resulting functional disturbances.  
120 Although in general more severe disease roughly corresponds with more severe inflammation, the  
121 inflammatory activity itself should be assessed specifically because some disease entities, considered  
122 “severe” and which have a major impact on nutritional intake are not associated with severe  
123 inflammation but are largely caused by (semi-)starvation alone. Examples include intestinal pseudo-  
124 obstruction, anorexia nervosa, swallowing disorders due to cerebrovascular events or dementia, all  
125 of which can produce a major reduction in nutritional intake, but with variable and sometimes only

126 minor systemic inflammation. In these situations nutritional support is far more effective in  
127 preserving muscle mass and body weight than when severe inflammation is present.

128 Inflammation is a universal reaction to disease, trauma or surgery and, when substantial and  
129 persisting, leads to substantial loss of fat free mass; moreover, it is connected with fluid retention.  
130 Even when fat free mass solids are not yet markedly decreased, pre-existing inflammation negatively  
131 influences host response, healing and survival.(21, 22) This is even truer when dealing with infectious  
132 inflammation. Consequently, it appears mandatory to assess "disease severity" not (only) on the  
133 basis of a formal diagnosis but also on the basis of the consequences of this disease entity for  
134 appetite and food intake, ability to ingest and absorb nutrients, and the inflammatory activity itself,  
135 which may be assessed for instance by general laboratory parameters like haemoglobin, negative  
136 acute phase proteins like albumin and transthyretin (prealbumin), and positive acute phase proteins  
137 such as C-reactive protein (CRP) (13, 23-26). It is noteworthy that disease severity is a component of  
138 almost all scores aiming to screen patients at risk of malnutrition, malnourished patients and those  
139 who will benefit from nutritional support.

140 Following from these views we have proposed to make this definition more practicable by  
141 weighting the different factors (inflammation, undernutrition) and their effects on outcome in  
142 defined populations, which would then allow assessment of the degree of malnutrition as a risk  
143 factor for outcome of surgical or medical treatment, growth and regeneration or quality of life and  
144 longevity (19).

145

## 146 **4 Questions regarding the Consensus Statement.**

147 The recent consensus statement (1) lacks most of the criteria outlined in the preceding  
148 paragraphs and therefore in our opinion does not meet the requirements for a definition and a  
149 diagnosis. It is rather an *agreement* as to when to call an individual malnourished, without taking into  
150 consideration its precise nature, causes and consequences. Importantly questions to answer are still  
151 how to define and diagnose malnutrition and how to arrive at consensus.

### 152 **4.1 How to arrive at consensus?**

153 When we set out to diagnose malnutrition we should first define what it actually is. Intuitively  
154 most of us consider patients in our hospitals, while we also have a vague impression of little children  
155 with swollen bellies and oedematous arms, and especially legs with very little muscle, in areas of the  
156 world with endemic malnutrition. Most of us also know that in both situations this state of  
157 malnutrition is associated with two major characteristics: undernutrition, implying a negative  
158 nutrient balance, and disease. Defining malnutrition in our view is synonymous with defining its  
159 pathophysiology. To this effect we must take the influence of both undernutrition and  
160 infectious/non-infectious inflammation into account, because only a minority of patients is  
161 exclusively undernourished. This is exactly what is claimed in the previous consensus statement  
162 endorsed by ASPEN and ESPEN (2, 3). It should also be emphasized that there is a progressive  
163 negative impact on survival depending on the degree of undernutrition and inflammation, and that  
164 therefore the thresholds which separate well-nourished and malnourished people may be in some  
165 way artificial (27).

166 The next step is to agree whether we only want to diagnose undernutrition, implying weight loss  
167 due to inadequate intake or digestion and intestinal absorption of food, or if we truly want assess the  
168 state patients/individuals are in with its consequences for body composition and function. If we only

169 want to know whether the individual is failing to ingest or absorb enough, we must realize that we  
170 will establish only one of the two major factors leading to diminished functional capacity in most of  
171 the people we treat, without establishing the often overriding influence of inflammation. What is  
172 worse is that we will not be able to set priorities for treatment, and that we will not know what  
173 benefit will be likely to result from nutritional support. The earlier consensus guidelines endorsed by  
174 ASPEN and ESPEN rightly underline that the benefit of nutritional support is blunted in the presence  
175 of severe inflammation, and that this knowledge should lead to prioritizing treatment of  
176 inflammatory causes, notwithstanding instituting nutritional support. Precise assessment, for  
177 instance of inflammatory markers like CRP, orosomucoid ( $\alpha_1$ -glycoprotein acid) and albumin in a  
178 composite approach with (negative) nutrient balance, fat free mass and clinical signs of inflammation  
179 will also permit the determination of whether a patient is improving or deteriorating (28, 29). It is  
180 therefore important to assess the two major elements leading to malnutrition.

181 A pitfall of the chosen approach described in the new consensus document (1) is that consensus  
182 conferences and voting sessions threaten not to arrive at the truth. If at the time of Galileo a vote  
183 had established whether the sun turns around the earth or vice versa, the consensus would have  
184 been that the earth is the centre of the universe.(30) When talking about science, the experts should  
185 have a decisive influence on the foundations on which an ultimate decision must be based. The  
186 participants in the voting sessions are obviously experts in several fields, but these do not always  
187 include pathophysiology and/or nutritional assessment methods.

188

#### 189 **4.2 How to detect nutritional risk and how to diagnose malnutrition?**

190 Several screening methods have been devised, and within ESPEN the Nutritional Risk Screening  
191 (NRS 2002) method has been developed and has become popular (31, 32). It includes weight loss,  
192 diminished nutritional intake, BMI and disease severity. The equally popular MUST score includes  
193 similar elements and is also adequate (33). Of note, abnormalities in these factors are graded  
194 according to their severity. The numbers acquired add up to a score reflecting the risk of  
195 malnourishment. Patient cohorts with a high risk score have been shown to benefit more often from  
196 nutritional support than patient cohorts with a low risk (34). It is a concern that these scores and  
197 others mix causes (diminished food intake, disease severity) and consequences (weight loss, low  
198 BMI). If we wanted to know only whether an individual can generate an optimal immune and healing  
199 response, assessment of muscle, cognitive and immune function would suffice. When we also want  
200 to know what causes a decrease in these functions we must assess the two major causes: nutritional  
201 intake/digestion and/or the presence of inflammation. These last factors give guidance on how to  
202 treat. (Figure 1)

203 The accuracy of the screening methods and proposed diagnostic methods may also vary  
204 depending on whether we want to predict the outcome of surgery, chemotherapy or other types of  
205 non-nutritional treatment, the effect of nutritional treatment itself, growth and regeneration, long  
206 term survival or to assess quality of life. Consequently, the term "nutritional risk" is confusing  
207 because it is unclear which risks (i.e. risk of malnutrition or risk of nutrition-related complications)  
208 are assessed in the screening methods.

209 The diagnosis of malnutrition proposed on the basis of the new consensus procedure does  
210 contain BMI and weight loss, and, in principle, fat free mass index (fat free mass corrected for body  
211 size: FFMI). However, in most institutions this index will not be assessed routinely, although  
212 anthropometry and impedance measurements would be feasible. More sophisticated measures like  
213 CT scanning, MRI or DEXA are costly but may be adapted to a simpler and less costly application in  
214 nutritional assessment. Also PET-scanning will become increasingly available. At present these

215 methods to assess body composition are not used routinely anywhere, except in research (35). It  
216 should be pointed out however that most cancer patients undergo routine CT scanning to establish  
217 the stage of cancer before treatment and it would only require an adaptation in the software to  
218 obtain a similarly routine measure of fat free mass versus fat mass. Such methods might therefore in  
219 the future be validated and routinely employed in cancer patients, including establishment of normal  
220 values using large cohorts of healthy subjects.

221 The remaining items to diagnose malnutrition (or its risk) proposed in the consensus statement do  
222 not include food intake, inflammation or function. Measuring only BMI and weight loss will be far  
223 less discriminative than the NRS 2002 or the MUST (32). **It seems to be highly illogical first to use a**  
224 **risk screening tool that contains a number of crucial elements and subsequently to make the more**  
225 **precise diagnosis of malnutrition by assessing only a few of the same elements.**

226 On a population basis, body weight increases in the course of life until approximately 5-7 years  
227 before death due to an increase in fat mass, while fat free mass starts to decrease after  
228 approximately 30 years of age, leading to a gradual decrease of functional capacity.(36, 37) The  
229 decrease in fat free mass will develop unnoticed when only weight or BMI is taken into account. It is  
230 the result of comorbidity, inadequate composition of the diet, low physical activity, and very likely  
231 also due to the aging process itself and is therefore not completely preventable. Nevertheless, there  
232 are indications that exercise and increased protein intake may be beneficial (38). In the phase of  
233 increasing body weight the proposed diagnostic approach in the consensus statement, assessing only  
234 weight loss and BMI will not detect (the development of) low fat free mass and the resulting loss of  
235 functional abilities.

236 In another clinical scenario many individuals in younger age groups with sub-acute or chronic  
237 disease lose weight due to the catabolic influence of disease-related inflammation. This leads to  
238 shrinkage of fat free mass, even when nutritional intake is energetically adequate.(39) The  
239 Cederholm's et al consensus statement (1) on how to diagnose malnutrition will in this situation  
240 mistakenly lead to the conclusion that the individual is malnourished due to inadequate intake. This  
241 situation is even more complex, because weight loss with shrinkage of fat free mass solids may be  
242 obscured by oedema maintaining body weight. This phenomenon will not necessarily be detected by  
243 DEXA, CT scanning, MRI or impedance measurements. Only sophisticated methods like total  
244 potassium or nitrogen measurements would be adequate, but they cannot be performed routinely.  
245 This oedema results from increased capillary leakage caused by disease or trauma related  
246 inflammation and leads to an increase in extravascular interstitial space, and the distribution volume  
247 of albumin.(40) Albumin dilutes in this volume, leading to hypalbuminaemia, which therefore largely  
248 reflects inflammation and also indicates that the concentration of solids in this volume is decreased  
249 compared with healthy states.(25) Further research may establish the validity of hypalbuminaemia as  
250 a correction factor to compute fat free mass solids from morphometric fat free mass as, for example,  
251 measured by CT scanning. Management of such patients requires full understanding of the  
252 pathophysiology leading to the changes in body composition.

253

## 254 **5 Consequences of the chosen approach to diagnose malnutrition.**

255

256 Several problems may arise from the published consensus on "diagnostic criteria for malnutrition"  
257 (24). The consensus deviates from views expressed for decades in ESPEN (see **2. Definition of**  
258 **Malnutrition**). In clinical practice the presence of inflammation is known to influence symptoms and  
259 function significantly. This has been taught in the ESPEN advanced and basic courses, has been

260 published in nutrition and general journals and is included in the ESPEN blue book (fourth  
261 edition)(20). Similarly, the consensus statement significantly deviates from views present in other  
262 parts of the world and developed in collaboration with ESPEN, and could cause confusion. Even more,  
263 countries and nutrition societies have in recent years come close to agreement on how to define  
264 malnutrition, underlining the role of nutrition and inflammation. This led in 2010 to the two parallel  
265 papers with authors from 5 continents that were published in the JPEN and Clinical Nutrition and  
266 endorsed by ASPEN and ESPEN (2, 3). In these papers an identical statement was given regarding the  
267 definition/pathophysiology of malnutrition as given in italics in the third definition in section “**2.**  
268 **Definition of Malnutrition**”. The present ESPEN Consensus Statement deviates significantly from the  
269 papers and the other ESPEN endorsed activities mentioned. Finally, in a recent consensus meeting in  
270 ASPEN, the views expressed by ESPEN representatives as described in the Cederholm et al paper (1)  
271 were qualified as a controversy with views expressed by representatives of ASPEN, PENSA and  
272 FELANPE.(Jensen GL. Global Leadership Conversation: Addressing Malnutrition. JPEN 2016 Mar 18)  
273 We must also realize that ESPEN has changed its name from reflecting artificial nutrition alone, to  
274 ‘Clinical Nutrition and Metabolism’. Malnutrition is our main “disease” of interest and our practice  
275 will be handicapped when rejecting clinical and metabolic effects to be considered when diagnosing  
276 malnutrition. Only when we can adequately diagnose the cause and degree of malnutrition,  
277 quantitate the risk it carries for adequate host response, tissue function, growth and long term  
278 survival, establish priorities for treatment and offer adequate treatment, will we have more impact  
279 on clinical practice.

## 280 **6 Conclusions and Recommendations**

281  
282 We suggest that the ESPEN community rethinks its views on how to define malnutrition and how  
283 to diagnose it. (see ways to diagnose malnutrition in Introduction; ref 1) The new statement may  
284 confuse the nutrition world. It is unsuitable to define treatment priorities and to predict effects of  
285 nutritional support.

286 The essence of our argument is that malnutrition is a condition involving a nutritional status  
287 which is “mal”, that is bad for the patient in terms of impairing function and hence clinical outcome.  
288 It is therefore entirely appropriate, and indeed essential, that the diagnosis of malnutrition must  
289 include some aspect of function/clinical outcome. Cederholm has noted in his reply to a letter to the  
290 Editor (Mokaddem F. Clin Nutr.2016;35(1):237) that the consensus group required objective criteria  
291 for a diagnosis of malnutrition and that functional criteria are too non-specific. (Clin Nutr. 2016;  
292 35(1):237) The objective criteria we propose include an assessment of nutritional state and  
293 inflammation (by plasma CRP and albumin), which if present will impair function more than poor  
294 nutritional state alone. By linking inflammation only to cachexia, Cederholm et al have ignored the  
295 importance of inflammation in the vast majority of malnourished patients, who require to have their  
296 inflammation controlled before nutritional support can be fully effective.

297 The participants of the consensus conference have not produced a set of criteria to diagnose  
298 malnutrition. They have produced a limited set of criteria to screen for malnutrition. Despite their  
299 stated intention, they note themselves that individuals identified by their criteria will require more  
300 detailed investigation to identify the subset with a true diagnosis of malnutrition, and with an  
301 understanding of the causes to ensure that appropriate treatment is commenced. They recommend  
302 first using a well-established screening tool such as NRS 2002, and then following this up with their  
303 diagnostic tool. Nowhere else in medicine when a disease is screened for using a number of tests, is  
304 the diagnosis confirmed by using only two of the same tests already included in the screening



305 procedure. To reach a diagnosis, more specific tests are needed than the screening criteria so that  
306 the screening data can be correctly interpreted.

307 For this purpose consensus should be reached which techniques to use to diagnose malnutrition  
308 and to assess function, to predict the capacity to overcome the metabolic and nutritional burden of  
309 disease treatment and define priorities for treatment.

310 A final recommendation regards nomenclature. In the consensus statement apparently no  
311 agreement was reached to use “undernutrition” or “malnutrition” to describe the malnourished  
312 state of our patients. In definition 3 in the subsection “**3 Definition of Malnutrition**” the term  
313 “malnutrition” is used for the state of nutrition of all our patients. The term “undernutrition” may  
314 then be used exclusively to indicate that the individual is or has been in a negative nutrient balance.  
315 We can opt to call such an individual “malnourished” but should specify that there is no or little  
316 accompanying inflammatory activity.

317 In summary, we propose that ESPEN reconfirms its earlier position that the definition of  
318 malnutrition should contain the following elements:

319 ***“Malnutrition is a state of disordered nutrition, in which a combination of varying degrees of over-  
320 or undernutrition and inflammatory activity has led to a change in body composition, diminished  
321 function and outcome.”***

322 Having agreed this definition, we recommend that tools be suggested and validated in different  
323 populations to make the diagnosis, based on the elements included in the definition.

324

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326 All authors contributed equally to the manuscript.

327

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#### 331 **Conflict of interest**

332 The authors have no conflict of interest related to this opinion paper.

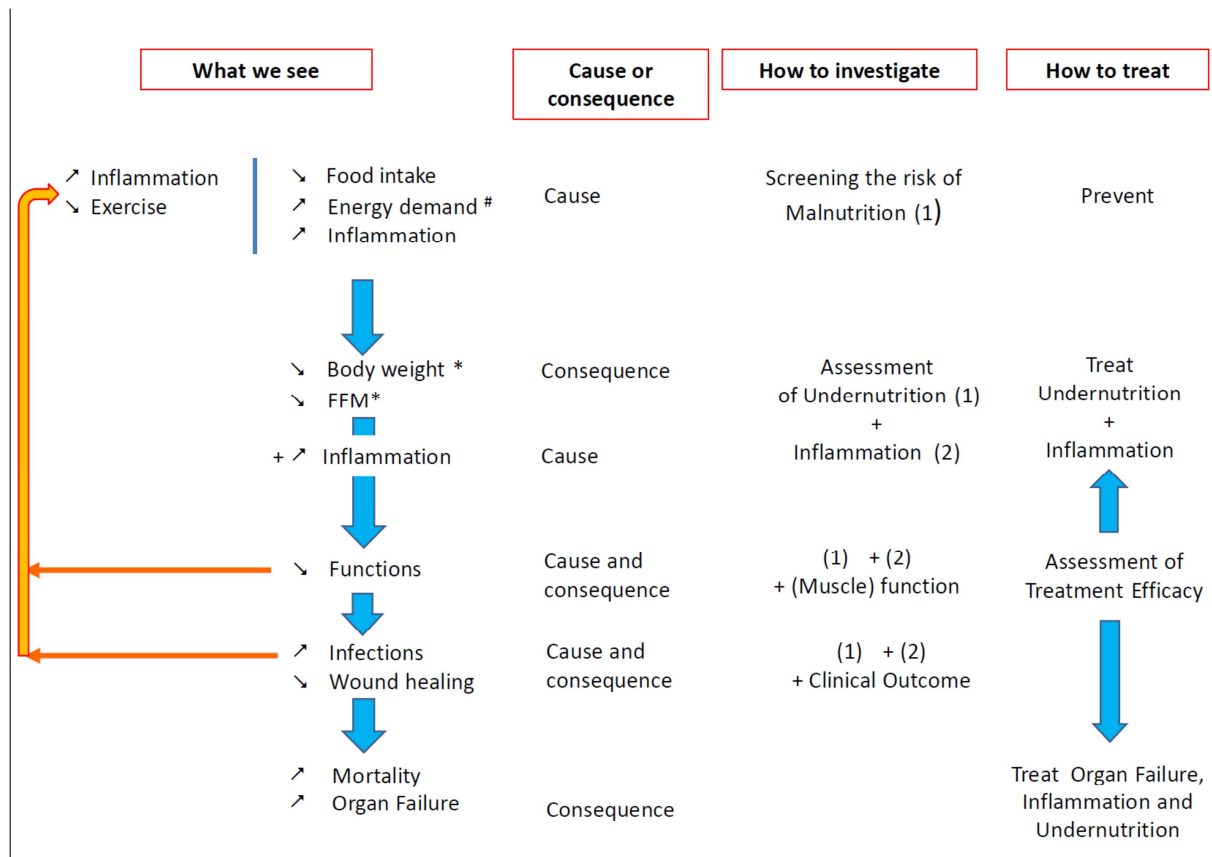
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**Figure 1. Schematic representation of the diagnosis and treatment of malnutrition**

In the first column the chain of events is depicted leading from undernutrition/inflammation, to changes in body weight and composition along with functional disturbances. These elements jointly contribute to the risk of infection, inadequate wound healing, and increased mortality. In the second column cause/consequence relationships are listed. The art of investigation and clinical outcomes are described in the third column. The final column addresses treatment efficacy and adaptation to be employed in the case of initial failure.

\* Inflammation and undernutrition both lead to loss of fat free mass, but in subacute and severe inflammation, although body weight/ fat free mass may increase with nutritional treatment, fat free mass solids will not.

# Energy demand decreases when physical activity decreases and generally increases in diseased and other inflammatory conditions.