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1 Title: Impaired executive function can predict recurrent falls in Parkinson's disease

### 1 Abstract

2 **Objective:** To examine whether impairment in executive function could independently predict

3 recurrent falls in people with Parkinson's disease (PD).

4 **Design:** Prospective cohort study

5 **Setting:** University motor control research laboratory

6 Participants: A convenience sample of 144 community-dwelling people with PD was recruited

7 from patients' self-help group and movement disorders clinics.

8 **Intervention:** Not applicable

9 Main outcome measures: Executive function was assessed by Mattis Dementia Rating Scale

10 Initiation/Perseveration (MDRS-IP) subtest. Fear of falling was assessed by Activities-specific

11 Balance Confidence (ABC) scale. All participants were followed up for 12 months to record the

12 number of monthly fall events.

13 **Results:** Forty-two people with PD had at least two falls during follow-up and were classified as

14 recurrent fallers. Multiple logistic regression analysis, after accounting for demographic

variables and fall history (p=0.001), showed that ABC scores (p=0.004) and MDRS scores

16 (p=0.033) were significantly associated with future recurrent falls in people with PD. The overall

accuracy of the prediction was 83.1%. Using the same significant predictors identified in the

18 above multiple logistic regression analysis, a prediction model as determined by the logistic

19 function was generated. Z = 1.814 + 1.352 (fall history) - 0.046 (ABC) - 0.018 (MDRS-IP).

20 **Conclusions:** The results indicate that impaired executive function is a significant predictor of

21 future recurrent falls in people with PD. Those with executive dysfunction and higher level of

22 fear of falling upon baseline testing had a significantly higher risk of sustaining recurrent falls

within the next 12 months.

1 Keyword: Accidental falls, executive function, Parkinson's disease, prediction

## 2 List of abbreviations

3	PD	Parkinson's disease
4	MDRS-IP	Mattis Dementia Rating Scale Initiation/Perseveration
5	ABC	Activities-specific Balance Confidence
6	НҮ	Hoehn and Yahr
7	UPDRS-III	Unified PD rating scale motor examination
8	GDS	Geriatric Depression Scale
9	PASE	Physical Activity Scale for the Elderly
10	FOGQ	Freezing of Gait Questionnaire
11	FoF	Fear of falling

#### 1 Introduction

2 Falls are common among people with Parkinson's disease (PD) with a high fall incidence of 40-70%.<sup>1</sup> A long-term prospective study further reported an alarming fall rate of 87% during a 3 20-year period.<sup>2</sup> Among patients who experienced a fall, 35% of them sustained fractures.<sup>2</sup> In 4 5 addition to physical injuries, PD fallers suffer adverse psychological effects, which can lead to functional restrictions, physical de-conditioning and increased risk of institutionalisation.<sup>2</sup> 6 7 Identification of factors leading to falls has received considerable attention in recent years. Fall-related risk factors in people with PD have been identified in various prospective 8 studies. Significant physical fall risk factors include postural instability,<sup>3</sup> PD-specific 9 impairment,<sup>4</sup> gait freezing,<sup>5-7</sup> and prolonged timed "up and go".<sup>6</sup> Self-perceived fear of falling 10 11 has been found to be strongly associated with falls and reduced quality of life in people with PD.<sup>4,8</sup> Cognitive impairment such as impaired selective attention has been associated with 12 increased postural instability and fall frequency.<sup>9</sup> Dementia and impaired fronto-executive 13 function have been found to predict future falls in individuals with PD.<sup>5</sup> Executive function is an 14 umbrella term that encompasses a host of higher cognitive abilities required to successfully 15 perform goal-directed activities such as walking. Impaired executive function is a common 16 cognitive feature of PD.<sup>10</sup> Executive dysfunction may disrupt organisation abilities and the 17 performance of purposeful actions<sup>11</sup> and has been associated with increased gait variability and 18 reduced gait speed during dual-task walking.<sup>12</sup> Hence, impaired executive function may increase 19 the risk of falling. Indeed, impaired executive function has been found to predict future falls in 20 community-dwelling older adults.<sup>13,14</sup> The association between executive dysfunction and falls, 21 22 however, has not been examined in people with PD. This study used a 1-year prospective design

to determine whether impaired executive function could predict recurrent falls in individuals
 with PD.

### 3 Materials and methods

4 Subjects

5 One hundred and seventy community-dwelling individuals with PD volunteered for the study and 144 PD individuals completed the study (Fig. 1). These PD individuals were recruited 6 7 from the Hong Kong Parkinson's Disease Association, a patient self-help group, and the movement disorders clinics of two local hospitals. All patients were diagnosed by neurologists to 8 have idiopathic PD.<sup>15</sup> To be included in the study, patients were required to be above 40 years of 9 age, medically stable and able to walk 6 metres at least three times with or without an assistive 10 device. Patients were excluded if they had neurological conditions other than idiopathic PD, a 11 Mini Mental State Examination score < 24,<sup>16</sup> postural hypotension, visual disturbance or 12 13 vestibular dysfunction affecting balance, or significant cardiovascular or musculoskeletal disorder limiting locomotion or balance. Informed consent was obtained from each participant in 14 accordance with the 1964 Declaration of Helsinki. The experimental procedure and the use of 15 human subjects were approved by the ethics committees and IRB of the involved university and 16 hospitals. 17

#### 18 **Procedure**

All assessments were carried out at the University motor control research laboratory. All
participants were tested during the "on" phase of the anti-Parkinsonian medication cycle. Each
subject underwent evaluation of the following outcome measures at baseline.

22 Baseline measurements

1 The demographic data including age, gender, time since the diagnosis of PD and daily dosage of levodopa were recorded. Disease severity and PD-specific motor impairment and 2 disability were assessed by Hoehn and Yahr (HY) staging scale<sup>17</sup> and Unified PD rating scale 3 motor examination (UPDRS-III) respectively.<sup>18</sup> Depressive symptoms were measured by the 4 Chinese version of the short-form Geriatric Depression Scale (GDS).<sup>19</sup> The questionnaire 5 contains 15 items with a "YES" or "NO" response for each item. The GDS score ranges from 0 6 to 15, with a score >6 being suggestive of clinical depression. Information on the number of fall 7 events over the prior 12 months was obtained via patient interview. Subjects were classified as 8 9 having a fall history if they had suffered at least one fall in the past 12 months. A fall is defined as an event during which a patient comes to rest on the ground or at some lower level, not as the 10 result of a major intrinsic event e.g. syncope, stroke or seizure, or an overwhelming hazard.<sup>20</sup> 11

The recent physical activity level of each subject was assessed with the Physical Activity Scale for the Elderly (PASE).<sup>21</sup> This questionnaire consists of 10 items that assess the frequency and duration of an individual's leisure, household and work-related activities in the past 7 days. The total PASE score ranges from 0 to 400, with higher scores indicating a higher physical activity levels.

The Freezing of Gait Questionnaire (FOGQ) was used to detect and rate patients' subjective perception of the severity and impact of freezing on their gait performance.<sup>22</sup> It consists of six items that assess FOG severity and walking difficulties in general. FOGQ is rated from 0 to 4, with the total score ranging from 0 to 24. Higher scores indicate that walking performance is more affected by freezing.

1 The balance performance of subjects was assessed with the Mini-BESTest.<sup>23</sup> The Mini-2 BESTest includes 14 items representing four domains of dynamic balance: anticipatory postural 3 adjustments, postural responses, sensory orientation and balance during gait activities. The Mini-4 BESTest items are rated from 0 to 2, with the total score ranging from 0 to 28. Higher scores 5 represent better balance performance.

6 The validated Chinese version of the Activities-specific Balance Confidence (ABC) scale 7 was used to estimate fear of falling (FoF).<sup>24</sup> The subjects were asked to rate their self-perceived 8 balance confidence from 0 (no confidence at all) to 100 (full confidence) in completing 16 9 activities of daily living. The mean score of the 16 activities was calculated for each subject, with 10 a minimum score of 0 and a maximum of 100.

Executive function was assessed by the Mattis Dementia Rating Scale (MDRS),<sup>25</sup> which is a 11 neuropsychological instrument designed for the assessment of cognitive functions. The MDRS 12 comprises five subsets that measure abilities in different cognitive domains: attention. 13 14 initiation/perseveration (IP), construction, conceptualisation and memory. Of these subsets, the IP subset has been validated as an executive function measure in PD patients.<sup>26</sup> The MDRS-IP 15 comprises 11 items that survey different executive abilities including verbal fluency, verbal 16 programming, motor programming and perseverations in drawing, yielding a score between 0 17 and 37, with a higher scores indicating better executive function. Tests including FOGQ, Mini-18 BEST test, ABC and MDRS scales were carried out in a randomised order. All tests were 19 completed in 1.5 hours and intermittent rests were given to subjects to prevent fatigue. 20

21 Prospective assessment of falls

After the baseline assessment, PD participants were instructed to complete a fall diary and
were also contacted by phone by the end of each month to record any fall events.<sup>20</sup> Each
participant was followed up for 12 months after the initial assessment. A person was classified as
a recurrent faller (RF) if he or she had more than one fall within the 12-month follow-up period.

### 5 Statistical Analysis

6 Descriptive statistics were used to examine the central tendency and variability of all 7 measured variables. The data normality was checked using the Shapiro-Wilk test. To avoid the inflated risk of making a type I error associated with multiple comparisons, multivariate analysis 8 9 of variance was used to compare the differences in continuous variables such as age, duration of PD, daily dosage of levodopa, UPDRS score, GDS score, Mini-BESTest score, ABC score and 10 11 MDRS-IP score between RFs and non-RFs. Mann-Whitney U test and Chi-square test were used to analyse differences between these two groups in ordinal variables (i.e. HY stage), and nominal 12 variables (i.e. gender, fall history) respectively. Pearson product correlation coefficient was used 13 14 to establish the association between MDRS-IP and ABC score. Hierarchical logistic regression analysis was first used to determine whether executive function (MDRS-IP) could significantly 15 predict recurrent falls after adjusting for the effects of other relevant factors. The selection of 16 independent variables for the regression analysis was based on physiological relevance and 17 findings from previous studies on fall prediction in patients with PD.<sup>3-7</sup> Demographic data (i.e. 18 age, gender, duration of PD, UPDRS score, prior fall history, HY stage, GDS score, madopar 19 dosage, and PASE score) were entered first (step 1). Next, balance and mobility function, which 20 have been shown to influence fall rate in patients PD<sup>3-7</sup> (i.e. FOG, Mini-BESTest score, ABC 21 22 score) was entered into the model (step 2). Finally, the variable of interest, MDRS-IP score, was entered in the regression model (step 3). In each step, we employed the "Enter" method whereby 23

1	the variables selected were forced into the same regression model. For daily clinical practice, it
2	would be more useful to have an equation that enables the prediction of the probability of
3	recurrent falls in individuals with PD. Using the same significant predictors identified in the
4	above multiple logistic regression analysis, a logistic function was generated.
5	$Z = a + b_1 X_1 + b_2 X_2 + b_3 X_3 + \dots$
6	Where Z is the logit (natural logarithm of the odds), $a$ is a regression constant, and $b$ is the
7	regression coefficient. <sup>27</sup>
8	The predicted probability of recurrent falls can then be estimated by the following formula <sup>27</sup>
9	Probability of recurrent falls = $e^{z}/(1 + e^{z})$
10	Where e is the base of the natural logarithm.
11	The probability value could range from 0 to 1. A value closer to 1.0 (above 0.5) predicts
12	that recurrent falls are likely to occur, whereas a value closer to 0 (below 0.5) indicates that the
13	individual is not likely to have recurrent falls. All statistical tests were performed with SPSS 20.0
13	individual is not likely to have recurrent falls. All statistical tests were performed with SPSS 20.0
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13 14 15	individual is not likely to have recurrent falls. All statistical tests were performed with SPSS 20.0 (SPSS Inc., Chicago, USA). A significance level of 0.05 was set for all statistical tests. <b>Results</b>
13 14 15 16	<ul> <li>individual is not likely to have recurrent falls. All statistical tests were performed with SPSS 20.0 (SPSS Inc., Chicago, USA). A significance level of 0.05 was set for all statistical tests.</li> <li><b>Results</b></li> <li>A total of 144 PD individuals completed the study (Table 1). At the end of the 12-month</li> </ul>
13 14 15 16 17	individual is not likely to have recurrent falls. All statistical tests were performed with SPSS 20.0 (SPSS Inc., Chicago, USA). A significance level of 0.05 was set for all statistical tests.  Results  A total of 144 PD individuals completed the study (Table 1). At the end of the 12-month follow-up period, 42 participants (29.2%) reported more than one fall and were thus classified as
13 14 15 16 17 18	individual is not likely to have recurrent falls. All statistical tests were performed with SPSS 20.0 (SPSS Inc., Chicago, USA). A significance level of 0.05 was set for all statistical tests.  Results A total of 144 PD individuals completed the study (Table 1). At the end of the 12-month follow-up period, 42 participants (29.2%) reported more than one fall and were thus classified as RFs. RFs had significantly higher HY scores (p=0.001), higher FOGQ scores (p=0.004), and

1	was no association between MDRS-IP and ABC score for RFs (p>0.05) and a significant
2	correlation between MDRS-IP and ABC score for non-RFs (r=0.403, p<0.001).
3	According to the multiple logistic regression analysis used to identify significant predictors
4	for recurrent falls among individuals with PD (Table 2), fall history (p=0.001), a low ABC score
5	(p=0.014) and a low MDRS-IP score (p=0.006) were significantly associated with recurrent falls.
6	The overall accuracy of the prediction was 85.9%. Using the same significant factors, the
7	prediction model as determined by the logistic function is expressed as
8	Z = 1.544 + 0.378 (fall history) - 0.045 (ABC) - 0.145 (MDRS-IP)
9	This formula suggests that PD individuals with a fall history and low ABC and MDRS-IP
10	scores have a higher risk of falling.
11	Discussion
12	Our prediction formula highlights the importance of evaluating both self-perception of
13	balance confidence and executive function in predicting future falls in PD individuals Our
14	results also suggest the potential role of treatment interventions that enhance balance confidence
15	and executive function in preventing recurrent falls in individuals with PD.
16	A number of prospective studies have already found that prior falls are strongly
17	predictive of future falls. <sup>1,4,6,7</sup> Thus, it is somewhat expected that a positive fall history would be
18	the most significant predictor of future recurrent falls in our study. fall history cannot be altered,
19	therefore the identification of modifiable factors prior to patients' first fall (ie. In newly
20	diagnosed patients) could be more meaningful in formulating fall prevention programmes. Our

The association between fear of falling and lower postural control and mobility level could
contribute to increased fall risk in people with PD .<sup>29,30</sup> However, our logistic regression model
showed that fear of falling has independent effect on recurrent fall risk after adjusting for other
relevant factors.

5 The most interesting finding is that impaired executive function independently increases 6 the fall risk in people with PD. There was also a lack of significant association between 7 executive function and fear of falling in RFs, further suggesting that that both of these entities 8 have to be addressed in fall prediction. Most falls occur during walking, and the common perceived causes are tripping and loss of concentration.<sup>28,32</sup> A previous study reported a low 9 score (<17/18) on the Frontal Assessment Battery i.e. fronto-executive impairment, led to a more 10 than threefold increase in fall risk.<sup>5</sup> We are the first to report that impaired executive function, 11 expressed as relatively poor performance on the MDRS-IP, is a significant predictor of recurrent 12 13 falls in people with PD. Successful performance on the MDRS-IP requires intact cognitive processes including initiation, perseverance, inhibition of inappropriate responses, set-shifting, 14 task monitoring and attention. These cognitive processes are essential for initiating and 15 monitoring gait and other upright functional activities that require balance control. Executive 16 dysfunction contributes to increased risk of falling possibly through delayed initiation, poor 17 attention and task monitoring, impaired task switching and failed inhibition of motor 18 responses.<sup>5,9</sup> A delay in initiating postural responses to restore an upright position could lead to 19 falls upon tripping or slipping. Difficulties or delay in task switching such as turning or avoiding 20 21 obstacles while walking and inappropriate planning or programming of walking tasks in a complex environment can increase the risk of falling. A subtle failure to inhibit inappropriate 22 responses and/or difficulties in prioritising postural tasks during dual-task walking have been 23

found in PD individuals,<sup>33</sup> especially those with executive dysfunction.<sup>19</sup> These difficulties may
lead to increased risk of falling.

3 Our results showed that RFs had significantly lower FoG questionnaire and Mini-BESTest scores but that these two factors do not have independent predictive power in the 4 5 presence of demographic data, fall history, fear of falling and executive function. These findings 6 are in contrast with reported findings of association between increased gait freezing and increased risk of falling (OR=3.5-4.2).<sup>5-7</sup> These studies predicted fallers whilst our study 7 predicted RF. The mean FoG score of the non-faller group in Kerr et al.<sup>6</sup> was 3.1 whilst that of 8 9 our non-RF was 8.5, implying that some non-RF had gait freezing and therefore this measure might not be able to discriminate RF and non-RF. A low Mini-BESTest score has been found to 10 predict future falls in PD individuals.<sup>3</sup> However, the reported studies did not include ABC or 11 executive function in the models. Our results suggest that perceived and/or cognitive fall risk 12 13 factors could be stronger than the physiological factors for prediction of falls.

14 Clinical implications

Our study suggests that physiological, psychological and cognitive risk factors should be 15 included in fall risk assessments for people with PD. The prediction model developed in this 16 study may be useful in estimating the probability of recurrent falls. For example, if an individual 17 has experienced 3 falls in the past 12 months, with a low balance confidence (ABC score = 30) 18 and impaired executive function (MDRS-IP score = 6), the Z value (logit) would be 0.458. The 19 resulting estimated probability of recurrent falls would be 0.61, indicating that the individual will 20 21 likely have recurrent falls. Further study is required to validate this prediction model using a different sample of PD patients. Our findings also suggest that interventions that manage PD 22 individuals' executive functioning and enhance their self-perceived balance confidence could be 23

useful in reducing future falls. Behavioural interventions and computer games have been found
to enhance attention and executive function in individuals with PD,<sup>34</sup> Exercises that improve the
feedforward and feedback mechanisms of postural control have been reported to enhance balance
confidence in people with PD<sup>35 (add Shen 2014)</sup>. Cognitive behavioural therapy has been shown to
reduce fear of falling in older people.<sup>36</sup> Further study is needed to examine the short- and longterm effects of these treatment interventions in fall prevention for people with PD.

7 Study limitations

We included subjects who were cognitively intact (MMSE  $\geq$  24) and results of the study 8 could not be applied to those who have cognitive deficits. One major limitation of the study is 9 that executive function is an umbrella term that encompasses a host of abilities. In this study, we 10 11 used the MDRS-IP as the measure of executive function. Although the MDRS-IP contains test items for a number of important executive abilities such as set shifting and motor programming, 12 it is by no means a comprehensive measure of executive function. A number of 13 14 neuropsychological tests have been used to investigate executive function in PD. For instance, the Wisconsin Card Sorting Test, the Trail Making Test and the Tower of London test have 15 shown sensitivity for detecting executive impairments in the PD population.<sup>37,38</sup> However, these 16 tests have not been used to predict falls in people with PD. The present study showed that the 17 18 MDRS-IP, which requires a short period of training for administration and scoring and can be completed in 10 minutes, is adequately sensitive for predicting risk of recurrent falls. The use of 19 a simple executive function assessment increases the applicability of the results to a wide variety 20 of clinical and research settings. 21

In conclusion, impaired executive function can independently predict recurrent falls in
people with PD. Prediction model indicates that a positive fall history, more fear of falling and

1	im	paired executive function increases fall risk in people with PD. These findings suggest that
2	ps	ychological and cognitive risk factors should be considered in fall risk assessment. Fall
3	pre	evention programmes for people with PD should be multi-dimensional, addressing the
4	ph	ysical, psychological and cognitive domains of function.
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# 1 40. Figure Legend:

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Fig. 1 Flow chart showing the selection procedure of PD subjects.