Impact of antipsychotic review and non-pharmacological intervention on health-related quality of life in people with dementia living in care homes: WHELD—a factorial cluster randomised controlled trial

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Background: Very few interventional studies have directly examined the impact of treatment approaches on health-related quality of life (HRQL) in people with dementia. This is of particular importance in therapies to address behavioural symptoms, where HRQL is often severely affected.

Methods: Analysis within the WHELD cluster randomised factorial study in 16 UK care homes examining the impact of person-centred care in combination with antipsychotic review, social interaction and exercise interventions. This study analysed impact on HRQL through the DEMQOL-Proxy.

Results: Data on HRQL were available for 187 participants. People receiving antipsychotic review showed a significant worsening in two DEMQOL-Proxy domains (negative emotion: p = 0.02; appearance: p = 0.04). A best-case scenario analysis showed significant worsening for total DEMQOL-Proxy score. Social interaction intervention resulted in a significant benefit to HRQL (p = 0.04). There was no deterioration in HRQL in groups receiving both antipsychotic review and social interaction (p = 0.62).

Conclusions: This demonstrates an important detrimental impact of discontinuation of antipsychotics in dementia on HRQL, highlighting the need for careful review of best practice guidelines regarding antipsychotic use and emphasising the importance of providing evidence-based non-pharmacological interventions in conjunction with antipsychotic review. Copyright © 2016 John Wiley & Sons, Ltd.

Key words: dementia; care homes; antipsychotic review; psychosocial; quality of life

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Introduction

Approximately one third of people with dementia reside in a care home, with up to 80% of residents having dementia (Corbett et al., 2013). Although the concept of personhood in dementia suggests that well-being and quality of life are achievable for all people with dementia given the right environment and person-centred support, most studies highlight major impairments in health-related quality of life (HRQL), particularly in care home settings.

The combination of cognitive, functional and communication impairment exerts a significant impact on HRQL and frequently leads to prescription of antipsychotic medication in these individuals. Meta-analyses of randomised controlled trials (RCTs) of atypical antipsychotics in people with Alzheimer's disease highlight modest benefit in the treatment of aggression and psychosis over periods of 6–12 weeks (Ballard and Waite, 2006). However, none of the 18 RCTs included HRQL as an outcome. This is of particular importance because antipsychotics are associated with well-established safety concerns, including increased risk of mortality, accelerated cognitive decline, stroke, falls and sedation, all of which have the potential to impact negatively on HRQL (Schneider et al., 2005, 2006; Ballard et al., 2009, 2011; Corbett and Ballard, 2012). Secondary analysis from a previous trial of a person-centred care (PCC) programme indicated an improvement in HRQL following discontinuation of antipsychotic medication (Fossey et al., 2006). More judicious use of antipsychotics has been heavily promoted in clinical practice in the past decade, leading to a decline in unnecessary prescriptions in the UK (Barnes et al., 2012). Within this changing landscape of antipsychotic use, there is an urgent need for clarity on the role of antipsychotics in practice and their impact on HRQL in people with dementia.

There is increasingly robust evidence supporting the application of PCC principles and the use of non-pharmacological interventions for the management of neuropsychiatric symptoms. These approaches are prominent in best practice guidance (Teri et al., 1997; Fossey et al., 2006; Cohen-Mansfield et al., 2007; Chenoweth et al., 2009; Moniz Cook et al., 2012; Fossey et al., 2014). Of note however, whilst interventions focussing on PCC training have improved neuropsychiatric symptoms (Chenoweth et al., 2009) and reduced antipsychotic prescriptions (Fossey et al., 2006), they have not improved HRQL, except in the sub-group of individuals who discontinued antipsychotics (Fossey et al., 2006). A recent systematic review highlighted the benefit of non-pharmacological interventions using social interaction and pleasant activities, showing impact on both neuropsychiatric symptoms and antipsychotic use (Testad et al., 2014). Studies have also indicated the value of physical activity through personalised exercise interventions in improving neuropsychiatric symptoms (Teri et al., 2003). A key question is therefore whether PCC training approaches can be augmented by specific evidence-based non-pharmacological interventions. As non-pharmacological interventions are the main alternative to antipsychotics (Alzheimer’s Society, 2012), it is also vital to understand the combined impact of antipsychotic review and non-pharmacological treatments to inform clinical practice.

There is an emerging consensus of the value in measuring broad patient-rated outcomes such as HRQL and discrete areas of function like cognition and behaviour in people with dementia (Whitehouse, 2000; Rabins et al., 2007; Banerjee, 2010). The DEMQOL system was developed to generate a robust disease-specific measure of HRQL for dementia by using patient self-report and carer proxy report (Smith et al., 2005, 2007). DEMQOL-Proxy was developed from a conceptual framework that includes health and well-being, cognitive functioning, social relationships, daily activities and self-concept (Smith et al., 2005). The system was developed for use across all types of dementias, care arrangements and levels of severity. Psychometric analysis has shown it to be both reliable and valid. DEMQOL-Proxy has good psychometric performance in severe dementia as well as mild and moderate dementia.

The ‘Improving Wellbeing and Health for People with Dementia’ (WHELD) research programme aims to develop and evaluate an optimised antipsychotic review and PCC intervention to reduce antipsychotic use and improve well-being for people with dementia in care homes. The study adopted a novel factorial design to examine the added impact of antipsychotic review, social interaction and personalised exercise respectively when combined with PCC training. This analysis of data from the WHELD RCT therefore sought to determine whether antipsychotic review, alone or in combination with evidence-based non-pharmacological approaches, confers significant benefit to HRQL. The primary outcome of impact on neuropsychiatric symptoms is described in a previous publication (Ballard et al., 2016).
Method

Study design

Analysis of data from a cluster randomised $2 \times 2 \times 2$ factorial design RCT with two replications in 16 care homes in the UK in South London, North London, Oxfordshire and Buckinghamshire. The unit of randomisation was the care home. Each care home (cluster) received a randomly allocated intervention for 9 months, in addition to training in PCC. Most homes were randomised to more than one of the three interventions (antipsychotic review, social intervention and personalised exercise) (Figure 1). The study received ethical approval from South-Central Oxford REC C (11/SC0066). The trial is registered as a clinical trial (ISRCTN Ref: 40313497), and the protocol is available online at http://www.kcl.ac.uk/ioppn/depts/wolfson/about/people/staff/ballardclive.aspx.

Participants

This study recruited people with dementia (stage 1 or greater on the Clinical Dementia Rating (CDR) Scale (Morris, 1993) and/or a score of 4 or greater on Functional Assessment Staging (FAST) (Reisberg, 1984)). Care homes had a 2013 Care Quality Commission rating of ‘adequate’ or better. Eight homes were selected from a convenience sample, and another eight were selected randomly. Homes were excluded if less than 60% of residents had dementia or if the home was in receipt of local authority special support. All eligible residents were invited to participate. Baseline and follow-up data were collected on all residents who consented and met the inclusion criteria at each participating care home.

Consent for care home involvement was obtained from the care home manager. If residents lacked capacity, informed consent was obtained through the involvement of a nominated or personal consultee who represented the residents’ interests and wishes in accordance with the Mental Capacity Act. Research assistants carried out baseline assessments prior to randomisation.

Interventions

All 16 homes received a PCC training intervention for 9 months. Eight care homes were randomised to receive antipsychotic review. Eight homes were also randomised to exercise and eight to social interaction following the factorial design (Figure 1). The interventions were delivered by a trained therapist. Therapists coordinated intervention delivery to all homes randomised to that intervention. In each home, a minimum of two lead staff members (champions) were trained to implement the intervention.

Person-centred care. The PCC intervention was based on tools developed in the evidence-based Focussed Intervention for Training of Staff manual, which has demonstrated efficacy in a RCT (Fossey et al., 2006).

Figure 1 Intervention allocation schematic for the factorial design. Each cluster was randomised to Person-Centred Care alone, alone or in combination with Antipsychotic Review, Social Interaction and/or Exercise.
Additional evidence-based materials were included to provide a comprehensive training and implementation approach. The intervention had five main themes: (i) creating an understanding of dementia and PCC; (ii) enabling each care home to assess how staff deliver PCC; (iii) recognising the relationship between an individual's experience, behaviour and well-being; (iv) identifying how staff–resident interactions impact on the care experience; and (v) reviewing care planning and delivery based on these PCC principles. This training package was delivered to all available staff in participating homes.

**Antipsychotic review.** Antipsychotic review was based on NICE dementia guidelines and focussed specifically on review of antipsychotic prescriptions by primary care physicians or psychiatric specialists (National Institute for Health and Clinical Excellence (NICE), 2006). Review was guided by guidelines on the management of neuropsychiatric symptoms developed by Alzheimer’s Society and the UK Department of Health (Alzheimer’s Society, 2012). The intervention used the guidelines and additional supporting educational resources consistent with international best practice. WHELD therapists worked with champions and other staff to develop processes at their care home to prompt antipsychotic review. Therapists also worked with physicians and staff to augment PCC during antipsychotic withdrawal. The guidelines highlighted the need for careful medical assessment of the underlying causes of neuropsychiatric symptoms (such as pain and delirium), a first-line approach of using non-drug interventions, the use of pharmacotherapy only in cases where symptoms were severe or causing risk and the importance of regular review and monitoring of existing prescriptions. Care home staff were invited to training sessions focused on the need for safe antipsychotic prescribing and review and ways to engage with physicians. Physicians attended an interactive seminar and/or practice meeting to discuss the guidance and consider specific patient scenarios. The goal of the antipsychotic review intervention was to promote informed medication review. Prescribing decisions were made independently by the participants’ own physician. In the majority of cases, this was the person’s primary care physician.

**Social interaction with pleasant activities.** The social interaction intervention was based on three evidence-based approaches—the Positive Events Schedule (Teri et al., 2008), social interaction intervention (Cohen-Mansfield et al., 2012) and N.E.S.T programme (Buettner and Fitzsimmons, 2009) with supplementary communications skills training for staff to assist in their use of the approaches with people with impaired communication. Individualised care plans were developed by incorporating information collected about individual's life histories and interests to ensure that activities were personalised. The social interaction intervention aimed to provide at least 1 h a week of social interaction or to increase social interaction by 20%.

**Exercise.** The exercise intervention was based on two evidence-based protocols, the Seattle protocols (Teri et al., 2008) and N.E.S.T manual (Buettner and Fitzsimmons, 2009). The aim was to promote physical activity, with a focus on a pleasant experience to engage participants in at least 1 h per week (or 20% more than at baseline). Individual exercise plans were created by the therapist and champion according to the resident’s interests, abilities and health status. Exercise plans usually included routine walking with additional activities such as seated or standing exercise to music, dancing or chair volleyball.

**Outcome measures**

HRQL as measured by DEMQOL-Proxy was a secondary outcome measure in the RCT. The instrument consists of 31 items answered on a 4-point Likert scale (a lot/quite a bit/a little/not at all) and administered by an interviewer, blind to treatment allocation, using response cards. Items are scored from 0 to 1, generating a total score between 31 and 124 with higher scores indicative of better HRQL. All items refer to the last week. DEMQOL-Proxy has acceptable content validity and high levels of acceptability, reliability and validity across the range of dementia severity. Further exploratory factor analysis carried out in an independent sample (Mulhern et al., 2012, 2013) derived a five-factor model explaining 49.3% of variance (cognition, negative emotion, daily activities, positive emotion and appearance). The main outcome of DEMQOL-Proxy is the total score that yields an assessment of global HRQL in dementia. To understand the effects observed, we also completed secondary data analyses at a domain level using the five factors identified earlier.

Antipsychotic and other psychotropic drugs were classified according to the British National Formulary. Assessments were carried out at baseline and 9 months.
later by research assistants blind to intervention allocation.

Randomisation

Randomisation was performed as a constrained complete list randomisation stratified on the three participating sites. All homes had been recruited before randomisation. The constraint ensured an approximately equal distribution of the number of interventions to each location. The randomisation system was held at the Bangor Clinical Trials Unit (NWORTH) and has been coded and validated in the R statistical package (Russell et al., 2011). Selection bias was reduced by inclusion of all participants identified as eligible and consented. Homes were approached in the order of appearance on the randomised list.

Sample size

The study was powered to examine reduction in antipsychotic use (Ballard et al., 2016). HRQL was evaluated as a key exploratory outcome.

Statistical analysis

The main analysis included age, gender and severity of dementia as covariates. Site was also included as a stratification variable. For the evaluation of impact on HRQL, baseline DEMQOL-Proxy score was included as a covariate. For each outcome, a model was fitted consisting of the baseline and all three interventions simultaneously to reflect the nature of a factorial design. When significant interaction effects were identified, these were included in linear models. Throughout, FAST and CDR scores were modelled as linear effects as they are naturally ordered. This reduced the degree of freedom and increased the statistical power. A $p$-value of 0.05 was adopted. Analyses were conducted using Stata version 13.

The main analyses were treatment as allocated for all individuals with outcome data. Sensitivity analyses included an intention-to-treat analysis, imputing data for best-case and worst-case scenarios for individuals who died or did not complete follow-up assessments. For the main analysis, only participants with follow-up data were included, so the home that withdrew at randomisation was not included.

Results

Cohort characteristics

Sixteen care homes were recruited and randomised between August and December 2011, including 277 participants, of whom 195 (70%) completed the study. One home withdrew after randomisation but before commencement of the intervention. Outcome measures on 12 of 21 participants from this home were collected at 9 months. Flow of participants through the study is summarised in Figure 2.

Participants had a mean age of 85.3 (standard deviation 7.02), and 74% were female. CDR scores were 13% mild, 40% moderate and 47% severe. FAST categories were 11% mild, 6% moderate, 64% moderately severe and 19% severe. Forty-nine participants (18%) were taking antipsychotics at baseline, with no significant differences between antipsychotic review and non-antipsychotic review groups. Baseline characteristics are described fully in Table 1.

Effect of antipsychotic review

The impact of the antipsychotic review on antipsychotic use has been described in a parallel report (Ballard et al., 2016). To summarise, the intervention conferred a statistically significant 50% reduction in antipsychotic use in the antipsychotic review group compared with no reduction in the comparison group. There was also a statistically significant 30% reduction in mortality in the group receiving antipsychotic review and social interaction (Ballard et al., 2016) (Table 2).

Effect of antipsychotic review on HRQL

DEMQOL-Proxy scores were available for 187 residents at baseline and follow-up. Compared with people not receiving antipsychotic review, those receiving antipsychotic review showed a 4.54 (95% confidence interval (CI) −9.26 to 0.19) point worsening ($p=0.06$) in their DEMQOL-Proxy scores, which approached statistical significance. The worsening in HRQL was driven by a statistically significant worsening in the negative emotion (mean difference $−1.60$, 95% CI $−2.89$ to $−0.31$; $p=0.02$) and appearance (mean difference $−0.49$; 95% CI $−0.94$ to $−0.04$, $p=0.04$) DEMQOL domains (Table 3). The results were similar in sensitivity analyses but attained statistical significance for a worsening of total DEMQOL-Proxy in the best-case scenario analysis (Table S1).
Effect of non-pharmacological interventions on HRQL

A statistically significant six-point improvement in HRQL was seen in the group receiving social interaction (mean difference 6.04, 95% CI 0.24 to 11.84, *p* = 0.04) compared with those not receiving this intervention.

Secondary analyses suggested that there were also HRQL improvements observed for social interaction in the cognition (mean difference 3.07, 95% CI 0.45 to 5.70, *p* = 0.03) and appearance (mean difference 0.77; 95% CI 0.22 to 1.32, *p* = 0.01) DEMQOL-Proxy domains (Table 3). The sensitivity analyses showed similar benefits for social intervention on the total DEMQOL-Proxy, with slightly higher levels of statistical significance (Table S1).

No impact on overall HRQL (DEMOL total) was observed for the exercise intervention in the main (Table 3) or sensitivity (Table S1) analyses, although a significant benefit was seen for positive emotion (mean difference 1.20, 95% CI 0.67 to 1.73, *p* < 0.001)

There were no significant interaction effects between any of the interventions with respect to HQRL. However, importantly, there was no deterioration in HQRL in the group receiving both antipsychotic review and social interaction compared with those receiving neither of these interventions (mean difference 1.23, 95% CI −3.88 to 6.33, *p* = 0.62), suggesting that reviewing antipsychotics in conjunction with the social interaction intervention enabled maintenance of HRQL in these individuals.

**Discussion**

The intervention evaluated in this study, which was designed to be fit for purpose for UK care homes, focussed on improving the HRQL of people with dementia in these settings by implementing best practice and evidence-based guidelines to review antipsychotics and utilise psychosocial interventions. The study has two main findings. Firstly, that contrary to our hypothesis, the rigorous review of antipsychotic medication came at a cost in terms of worsening of HRQL by 4.54 points on the DEMQOL-Proxy (Cohen’s *d* effect size 0.32) for those receiving the antipsychotic review intervention compared with those who did not. Secondly, that social interaction, in combination with PCC training, resulted in an improvement in HRQL for residents with dementia of 6.04 points (Cohen’s *d* −0.51). The effect sizes observed in terms of change in HRQL exceed
the thresholds that are used to define clinically meaningful benefit and would be defined in established literature as a small to medium effect. They also compare favourably with effect sizes reported for other interventions with impact on HRQL (Cohen, 1988). Importantly, however, there was no deterioration in HQRL in the group receiving concurrent antipsychotic review and social interaction.

This is the first study to investigate the cost to HQRL of stopping antipsychotics through rigorous, evidence-based implementation of antipsychotic review. The detrimental impact of antipsychotic...
Table 3: Effect estimates for the three interventions for DEMQOL-Proxy and the associated five sub-scales based on multiple linear regression models (complete case analyses)

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<tr>
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<th>Antipsychotic review</th>
<th>Social interaction</th>
<th>Exercise</th>
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<tbody>
<tr>
<td></td>
<td>Linear regression coefficient</td>
<td>p-value</td>
<td>95% CI</td>
</tr>
<tr>
<td>DEMQOL-Proxy score (n = 187)</td>
<td>-4.54 (0.059)</td>
<td>(-9.26 to 0.19)</td>
<td>6.04 (0.042)</td>
</tr>
<tr>
<td>Cognition sub-score (n = 183)</td>
<td>-1.20 (0.284)</td>
<td>(-3.51 to 1.10)</td>
<td>3.07 (0.025)</td>
</tr>
<tr>
<td>Negative emotion sub-score (n = 192)</td>
<td>-1.60 (0.018)</td>
<td>(-2.89 to -0.31)</td>
<td>-0.07 (0.924)</td>
</tr>
<tr>
<td>Positive emotion sub-score (n = 189)</td>
<td>0.14 (0.572)</td>
<td>(-0.36 to 0.64)</td>
<td>0.19 (0.458)</td>
</tr>
<tr>
<td>Daily activity sub-score (n = 186)</td>
<td>-0.44 (0.050)</td>
<td>(-0.88 to 0.00)</td>
<td>0.33 (0.204)</td>
</tr>
<tr>
<td>Appearance sub-score (n = 188)</td>
<td>-0.49 (0.035)</td>
<td>(-0.94 to -0.04)</td>
<td>0.77 (0.009)</td>
</tr>
</tbody>
</table>

CI, confidence interval; CDR, Clinical Dementia Rating; FAST, Functional Assessment Staging.

1Adjusted for age at baseline assessment, gender, study site, FAST score, CDR score and the corresponding baseline outcome measures. Standard errors were adjusted for the clustering effect of care homes.

Bold data indicates significance.
and pragmatic enhanced PCC intervention for care homes. The study also had excellent retention of surviving participants. The intervention design followed best practice guidelines and focussed exclusively on interventions with established benefits in improving symptoms in this patient group. It is the first study to robustly evaluate a practical care home training intervention in HRQL terms that can be easily disseminated and implemented in routine clinical practice. There were also limitations. The study was powered as an exploratory study and did not adjust power to allow for three main analyses examining impact of interventions on HRQL, which must be considered in the interpretation of the results. Furthermore, it is important to recognise that the DEMQOL-Proxy measure relies on observation of behaviour, meaning that behaviour change may lead to a change in score (Hoe et al., 2006). However, the results were very consistent across a series of sensitivity analyses.

**Conclusion**

This RCT demonstrates an important detrimental impact of discontinuation of antipsychotics in dementia on proxy-rated HRQL. The results highlight the need for careful review of best practice guidelines regarding antipsychotic use and emphasise the importance of providing evidence-based non-pharmacological interventions in conjunction with antipsychotic review and discontinuation. The study also provides clear evidence supporting the value of the WHELD intervention, combining social interaction with PCC as an effective approach to improve HRQL in people with dementia.

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### References


Impact of WHELD on quality of life in people with dementia


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Supporting information

Additional supporting information may be found in the online version of this article at the publisher’s web-site.

Supplementary Table 1: Sensitivity analyses based on the worst and best case data scenarios as defined for DEMQOL-proxy and the associated five sub-scales