

# Physical therapy in patients with disorders of consciousness: Impact on spasticity and muscle contracture

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## Abstract.

**BACKGROUND:** Spasticity is a frequent complication after severe brain injury, which may prevent the rehabilitation process and worsen the patients' quality of life.

**OBJECTIVES:** In this study, we investigated the correlation between spasticity, muscle contracture, and the frequency of physical therapy (PT) in subacute and chronic patients with disorders of consciousness (DOC).

**METHODS:** 109 patients with subacute and chronic disorders of consciousness (Vegetative state/Unresponsive wakefulness syndrome – VS/UWS; minimally conscious state – MCS and patients who emerged from MCS – EMCS) were included in the study (39 female; mean age:  $40 \pm 13.5$ y; 60 with traumatic etiology; 35 VS/UWS, 68 MCS, 6 EMCS; time since insult:  $38 \pm 42$ months). The number of PT sessions (i.e., 20 to 30 minutes of conventional stretching of the four limbs) was collected based on patients' medical record and varied between 0 to 6 times per week (low PT = 0–3 and high PT = 4–6 sessions per week). Spasticity was measured with the Modified Ashworth Scale on every segment for both upper (UL) and lower limbs (LL). The presence of muscle contracture was assessed in every joint. We tested the relationship between spasticity and muscle contracture with the frequency of PT as well as other potential confounders such as time since injury or anti-spastic medication intake.

**RESULTS:** We identified a negative correlation between the frequency of PT and MAS scores as well as the presence of muscle contracture. When separating subacute (3 to 12 months post-insult) and chronic (>12months post-insult) patients, these negative correlations were only observed in chronic patients. A logit regression model showed that frequency of PT influenced spasticity, whereas neither time since insult nor medication had a significant impact on the presence of spasticity. On the other hand, PT, time since injury and medication seemed to be associated with the presence of muscle contracture.

**CONCLUSION:** Our results suggest that, in subacute and chronic patients with DOC, PT could have an impact on patients' spasticity and muscles contractures. Beside PT, other factors such as time since onset and medication seem to influence the development of muscle contractures. These findings support the need for frequent PT sessions and regular re-evaluation of the overall spastic treatment for patients with DOC.

**Keywords:** Spasticity, hypertonicity, upper motor neuron, muscle contracture, disorders of consciousness, minimally conscious state, vegetative state/unresponsive wakefulness syndrome, non-pharmacological treatment, physical therapy

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## 1. Introduction

The management of spasticity in patients who are unable to actively participate to conventional rehabilitation program is still an unresolved challenge. This motor disorder affects between 25 to 42% of patients after a stroke or a traumatic brain injury (Elovic, Simone, & Zafonte, 2004; Urban et al., 2010) and about 88% of severely brain-injured (e.g., traumatic brain injury, anoxia or aneurysm rupture) patients with disorders of consciousness – DOC (Thibaut et al., 2014) and, despite this high prevalence, the underlying mechanisms of spasticity have been poorly investigated and are not yet fully understood. Spasticity is part of the upper motor neuron syndrome and it is usually defined as a velocity-dependant increase in muscle tone (Lance, 1980). Such a disorder can induce pain, complicate cares, and alter patients' rehabilitation and quality of life (Thibaut et al., 2013). In addition, the presence of severe motor disabilities in this population may prevent a proper assessment of consciousness at the bedside (i.e. being considered unconscious, whilst actually being conscious (Cruse et al., 2011; Monti et al., 2010)), influencing medical decisions and limiting active rehabilitation (Demertzi et al., 2011). Several side-effects have also been associated with spasticity such as muscle contracture, tendon retraction and fixed equinovarus feet, among others, in different population of patients (Ada, O'Dwyer, & O'Neill, 2006; Brainin, 2013; Svensson, Borg, & Nilsson, 2014). These complications further increase the clinical impact of spasticity on functional recovery by impeding the patient's ability to perform activities of daily living and increasing the cost of treatment.

It is also a critical problem for caregivers, especially for mobilizations and cares. For instance, it has been shown that caregivers have to spend a greater amount of time taking care of post-stroke spastic patients as compared to patients without clinical spasticity (Ganapathy et al., 2015). Doan et al. (2012) evaluated the impact of disability in patients with post-stroke spasticity on both patients' health-related quality of life and caregiver burden (Doan et al., 2012). This study highlighted the relationship between patients' disability in various domains such as hygiene, dressing and pain, and a worse quality of life. Moreover, the level of patients' disability (including spasticity) and dependency in hygiene and dressing undesirably impacted caregivers' burden (Doan et al., 2012). Regarding patients with

DOC, in addition to spasticity, the lack of voluntary movements upsurges the amount of work required by caregivers leading to an increased risk of burnout (Gosseries et al., 2012). In this context, the management of spasticity may reduce the effort and time required for caregivers to perform cares and limit the risk of burnout.

Altogether, these findings highlight the importance to improve treatment options for severely brain-injured non-communicative patients with DOC such as vegetative state/unresponsive wakefulness syndrome (VS/UWS – able to open their eyes but unaware of their environment and themselves (Laureys et al., 2010; The Multi-Society Task Force on PVS, 1994)) and minimally conscious state (MCS – recovery of reproducible but fluctuating signs of consciousness without functional communication (Giacino et al., 2002)). However, their limited abilities to interact with their environment limits the range of possibilities, and passive treatments such as conventional stretching (i.e., through physical therapy – PT) are usually better suited for such rehabilitation. Unfortunately, access to these treatments is not always possible in the chronic phase and is influenced by insurance policies.

The aim of the present study is to investigate the correlation between the frequency of PT per week and the severity of spasticity, as well as its correlation with muscle contracture, in both subacute and chronic patients with DOC. We hypothesise that patients who benefit from daily PT session will present less severe spasticity, as well as less associated side-effect (i.e., muscle contracture) as compared to patients receiving sporadic treatment.

## 2. Methods

### 2.1. Study population

Data were collected retrospectively from January 2011, up to June 2015. Inclusion criteria were: 1) medically stable 2) diagnosis of VS/UWS, MCS or EMCS, 3) time since insult  $\geq 3$  months (subacute: 3 – 12 months and chronic: >12 months post-insult), and 4) age 16 and over. Exclusion criteria were: 1) documented neurological disorders previous to the acquired brain damage, and 2) presence of skin or musculoskeletal lesions (e.g., bedsores, fractures, wounds). Note that 60% of the patients ( $n = 65$ ) were included in a previous study (Thibaut et al., 2014). These 65 participants met the same inclusion and

136 exclusion criteria as the ones defined for the present  
137 study.

138 All patients were admitted to the University Hos-  
139 pital of Liège in Belgium for one week of diagnostic  
140 assessments. All patients came from their homes,  
141 nursing homes or other facilities. The study was  
142 approved by the ethical committee of the University  
143 Hospital of Liège and written informed consents were  
144 obtained from the legal representatives.

## 145 2.2. Study design

146 This retrospective cross-sectional study was based  
147 on data obtained during physical examination of  
148 patients with DOC. Spasticity and muscle contracture  
149 of the limbs (i.e., upper limbs – UL; and lower limbs  
150 - LL) were assessed by a trained physical therapist  
151 (AT).

152 The other outcome measures, such as the fre-  
153 quency of PT sessions, patients' medication and  
154 demographic characteristics, were obtained through  
155 patients' medical records.

## 156 2.3. Outcomes measures

### 157 2.3.1. Muscle tone and contracture

158 The tone and contracture were assessed for the  
159 elbow, the wrist, and finger flexors or extensors,  
160 as well as the hip adductors or abductors, knee,  
161 and ankle flexors or extensors, bilaterally. The tone  
162 assessment was based on the Modified Ashworth  
163 Scale (MAS), a 6-level ordinal scale with documented  
164 reliability (Bohannon & Smith, 1987; Mehrholz et  
165 al., 2005). Higher scores indicate increasing sever-  
166 ity of spasticity. Assessment of spasticity followed  
167 the guidelines of the scale (i.e., patients assessed in  
168 a resting position) and included passive flexion and  
169 extension of upper and lower extremity joints (shoul-  
170 der, elbow, wrist, fingers, hip, knee, and ankle). The  
171 presence of spasticity was considered as  $MAS \geq 1$ .  
172 The median MAS score of assessable (i.e., without  
173 joint fixation preventing a valid assessment) joints  
174 of the UL (left and right shoulder, elbow, wrist, fin-  
175 gers) and LL (left and right hip, knee and ankle) were  
176 used for correlation analyses. The presence of mus-  
177 cle contracture was defined as the occurrence of a  
178 permanent shortening of a muscle or joint (Farmer &  
179 James, 2001).

180 Note that the assessor was blinded from the amount  
181 of PT sessions received by each patient.

### 182 2.3.2. Frequency of physical therapy (PT)

183 Frequency varied between 0 to 6 times per week  
184 and consisted of 20 to 30 minutes of conventional  
185 stretching of both upper and lower extremities. To  
186 compare patients receiving "high" vs "low" rate of  
187 PT per week, we divided the frequency of PT in two  
188 groups: high PT (i.e., 4 to 6 sessions per week) and  
189 low PT (i.e., 0 to 3 sessions per week).

## 190 2.4. Statistical analyses

191 To assess the difference in demographic charac-  
192 teristics between the groups, we used a *t*-test for  
193 continuous variables (i.e., age and time since injury)  
194 and a Chi-square test for dichotomic variable (i.e.,  
195 etiology).

196 The median for left and right UL and LL were  
197 used separately for analyses. We used a Spearman  
198 correlation test to assess the correlation between the  
199 frequency of PT per week (0 to 6) and MAS score  
200 (median of UL and LL – 0 to 5), for the entire group as  
201 well as for patients in subacute and chronic stage (i.e.,  
202 between 3 and 12 months vs. more than 12 months  
203 post insult) separately. To compare the difference in  
204 MAS scores between patients receiving low versus  
205 high PT we used Mann Whitney test. To assess the  
206 differences in proportions (percentage of spastic ver-  
207 sus non-spastic patients, or presence of contracture  
208 versus absence of contracture in the groups of patients  
209 receiving low versus high PT) we used binomial pro-  
210 portion tests.

211 Finally, to evaluate the effect of PT, time since  
212 onset and anti-spastic medication on the presence of  
213 spasticity and muscle contracture, we performed logit  
214 regressions with 1. presence of spasticity ( $MAS \geq 1$ )  
215 and 2. muscle contracture as dependent variables and  
216 frequency of PT (low versus high), the time since  
217 onset (subacute versus chronic) and anti-spastic med-  
218 ication (under antispastic medication versus free of  
219 antispastic medication) intake as independent vari-  
220 ables.

221 All results were considered significant at  $p < 0.05$ .

## 222 3. Results

223 The study includes 109 patients with subacute  
224 ( $n=40$ ) and chronic ( $n=69$ ) DOC (38 female;  
225 mean age:  $40 \pm 14$ y; 60 with traumatic etiology;  
226 35 VS/UWS, 68 MCS, 6 EMCS; time since  
227 insult:  $37 \pm 41$  months; subacute: 40; chronic: 69).  
228 Sixty-two patients received anti-spastic medication

(baclofen oral –  $n=47$ ; baclofen intratecal pump –  $n=8$ ; Clonazepam –  $n=4$ ; Tizanidine –  $n=3$ ).

### 3.1. Frequency of PT and MAS scores

Out of the 109 patients, 36 received 0 to 3 PT sessions per week (defined as “low PT”), and 73 received 4 to 6 PT sessions per week (defined as “high PT”). We did not find any difference in terms of age ( $t=0.015$ ;  $p=0.998$ ), time since injury ( $t=0.566$ ;  $p=0.572$ ) or etiology ( $\chi^2=0.087$ ;  $p=0.768$ ) between patients receiving high or low frequency of PT.

There was a significant difference in MAS scores between the two groups (low vs high PT) ( $Z=-3.5622$ ,  $p<0.001$  for UL and  $Z=-3.1359$ ,  $p=0.002$  for LL). We also identified a higher proportion of spastic patients (i.e.,  $MAS \geq 1$ ) among patients with low PT than among the patients with high PT (94.5% versus 74%,  $\chi^2=6.46$ ;  $p=0.0108$  – see Table 1).

We observed a negative correlation between the frequency of PT and MAS scores for both UL and LL ( $R=-0.3420$ ,  $p=0.0003$  and  $R=-0.261$ ,  $p=0.0061$  respectively – Fig. 1). When assessing the correlation in subacute and chronic patients separately, this negative correlation was observed for the chronic patients (UL:  $R=-0.4219$ ,  $p=0.0003$  and LL:  $R=-0.3166$ ,  $p=0.0081$ ), but not for subacute patients (UL:  $R=-0.1951$ ,  $p=0.2277$  and LL:  $R=-0.1590$ ,  $p=0.3272$ ). The frequency of PT did not differ between subacute and chronic patients but higher MAS scores were found for UL in chronic patients as compared to subacute patients ( $Z=-2.4374$ ,  $p=0.015$ ), while no difference was observed for LL (see Table 2).

Finally, the logit regression model was significant ( $\chi^2=13.084$ ,  $p=0.005$ ), suggesting that the MAS scores could be explained by the frequency of PT (OR = 0.57; T = -2.19;  $p=0.031$ ), but not by the time

Table 1  
Number of patients receiving low (0 to 3 sessions per week) and high (4 to 6 sessions per week) rate of physical therapy (PT), and who showed signs of spasticity ( $MAS \geq 1$ ) or not ( $MAS=0$ ) on the UL (upper lines) and who suffered from muscle contracture (lower lines)

	Low PT	High PT	Total
Spastic ( $MAS >= 1$ )	34	54	88
Non-spastic ( $MAS = 0$ )	2	19	21
Total	36	73	109
Muscle contracture	28	36	64
Absence of muscle contracture	8	37	45
Total	36	73	109

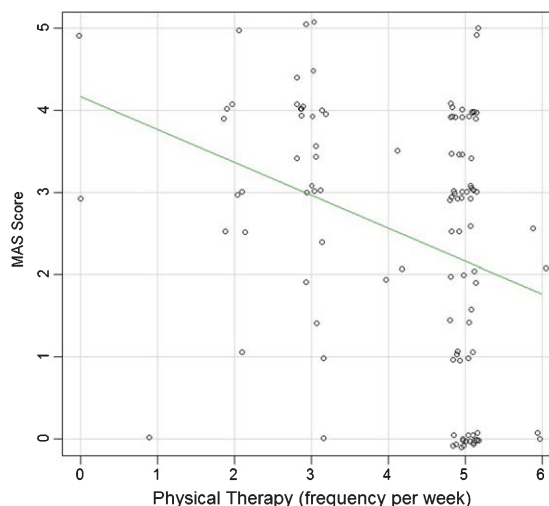


Fig. 1. Correlation between the frequency of physical therapy per week (0 to 6) and the modified Ashworth scale (MAS) scores of the upper limb (0 to 5; median of the MAS score of every segment for both right and left upper limbs). Blue circles represent each patient. Note that one circle can represent several patients with identical clinical profile. The green line represents the regression line.

Table 2  
Modified Ashworth Scale (MAS) scores (median and interquartile range [IQR]) for Upper and Lower Limbs (UL & LL) and frequency of physical therapy (PT; mean and standard deviation [SD]), for patients in a subacute and chronic stage

	Median (IQR) MAS UL	Median (IQR) MAS LL	Mean (SD) Frequency of PT per week
Subacute (3–12months)	2.5 (0–3)	1 (0–3)	4.2 ± 1.4
Chronic (>12months)	3 (1.5–4)	2.5 (1–4)	4.2 ± 1.2

since insult (OR = 1.01; T = 1.59;  $p=0.113$ ), or by medication (OR = 2.29; T = 1.69;  $p=0.093$ ).

### 3.2. Frequency of PT and muscle contracture

Patients with muscle contracture showed lower frequency of PT than those without contracture ( $Z=2.945$ ,  $p=0.003$ ). In addition, muscle contracture was more often observed in patients with low PT than in patients with high PT (78% versus 49%,  $\chi^2=8.28$ ;  $p=0.004$  – see Table 1).

A positive correlation was identified between MAS scores and the presence of muscle contracture ( $R=0.519$ ;  $p<0.001$ ), while a negative correlation was observed between the frequency of PT and

279 the presence of muscle contracture ( $R = -0.2666$ ,  
280  $p = 0.005$ ). When subcategorizing patients according  
281 to their time since insult (subacute vs. chronic), this  
282 negative correlation was only significant for chronic  
283 patients ( $R = -0.3376$ ,  $p = 0.005$ ), and not for suba-  
284 cute patients ( $R = -0.139$ ,  $p = 0.390$ ).

285 The logit regression model was significant  
286 ( $\chi^2 = 27.616$ ,  $p < 0.001$ ), suggesting that muscle con-  
287 tracture could be explained by the frequency of  
288 PT (OR = 0.63; T = -2.38;  $p = 0.019$ ), as well as by  
289 anti-spastic medication intake (OR = 5.95; T = 3.91;  
290  $p < 0.001$ ), and a trend was found for the time since  
291 injury (OR = 1.01; T = 1.931;  $p = 0.056$ ).

#### 292 4. Discussion

293 In this retrospective cross-sectional study, we  
294 investigated the correlation between PT and spasticity  
295 as well as the presence of muscle contracture in  
296 patients with DOC. We reported a negative correla-  
297 tion between spasticity, muscle contracture and the  
298 amount of PT sessions patients received per week.  
299 More precisely, we showed that patients who received  
300 less than four sessions per week were more likely to  
301 be spastic and suffer from muscle contracture than  
302 patients receiving 4 sessions or more. This supports  
303 the hypothesis that the amount of PT influences the  
304 severity of spasticity and muscle contracture, even  
305 though no causal relationship can be drawn. If one  
306 could argue that the presence of spasticity has an  
307 effect on the frequency of PT sessions per week, it was  
308 previously shown that the amount of sessions is not  
309 determined by the patient's characteristics at baseline  
310 but rather by institution, insurance policies or other  
311 economic reasons (Thibaut et al., 2014). In addition,  
312 the severity of spasticity could not be explained by  
313 the time since insult, suggesting that PT could influ-  
314 ence the severity of spasticity regardless of patients'  
315 chronicity.

316 When evaluating the impact of PT (low vs. high),  
317 time since insult and anti-spastic medication on spasticity,  
318 only PT was significantly associated with the  
319 severity of spasticity. On the other hand, for muscle  
320 contracture, PT and medication were correlated with  
321 its occurrence, while a trend was found for time since  
322 injury. Our findings are similar to what was observed  
323 in a previous study (Thibaut et al., 2014) supporting  
324 the hypothesis that patients who do not suffer from  
325 muscle contracture are not treated for it. Conversely,  
326 it could also suggest that current pharmacological  
327 treatments are not efficient enough to avoid muscle

328 contractures development. Regarding the effect of the  
329 time since insult, the maladaptive changes related to  
330 muscle contracture are aggravated by immobilization  
331 (Gracies, 2005), which could explain why patients  
332 with DOC can develop severe muscle contractures  
333 and this symptom worsen with time.

334 Several systematic reviews and meta-analyses have  
335 also shown the positive effect of PT on patients' spasticity  
336 and mobility in other neurological conditions  
337 such as stroke, TBI or cerebral palsy (Autti-Rämö,  
338 Suoranta, Anttila, Malmivaara, & Mäkelä, 2006;  
339 Borisova & Bohannon, 2009; Hellweg & Johannes,  
340 2008). Hellweg and Johannes reviewed 14 studies  
341 and concluded that intensive rehabilitation programs,  
342 involving PT and occupational therapy, led to ear-  
343 lier functional recovery in patients with moderate to  
344 severe TBI (Hellweg & Johannes, 2008). This was  
345 further supported by a meta-analysis including 2564  
346 patients with moderate TBI (Turner-Stokes, Disler,  
347 Nair, & Wade, 2005). However, these studies mainly  
348 focused on acute and subacute patients and therefore  
349 their conclusions can hardly be translated to chronic  
350 severely brain-injured patients. A recent prospec-  
351 tive randomized clinical trial tested the effects of a  
352 wrist-hand stretching device in chronic (>6months)  
353 stroke patients suffering from spasticity (Jung et al.,  
354 2015). The authors found a significant reduction  
355 in spasticity in the treated group, highlighting the  
356 effect of stretching in reducing spasticity in a chronic  
357 population.

358 If our findings are supported by previous literature,  
359 they should be used with caution. Firstly, as this was  
360 cross-sectional study, we cannot state the directional-  
361 ity of the correlations. Longitudinal studies assessing  
362 the effects of PT needs to be done to better estimate  
363 the impact of PT on spasticity as well as its side-  
364 effects. Secondly, we defined muscle contracture as  
365 a dichotomic variable (i.e., presence or absence of  
366 a contracture) without considering the angle, which  
367 could have given us additional information about  
368 the severity of the contracture. Thirdly, some can  
369 argue that the MAS is not the most accurate scale  
370 to assess spasticity since it does not take into account  
371 all components of hypertonia and it has not shown  
372 a good inter-rater reliability (even though, here, only  
373 one investigator assessed all patients). However, this  
374 scale seems to be most appropriate for the population  
375 we are working with (e.g., lack of voluntary move-  
376 ment, joint fixations, vicious positions), as it does  
377 not require active participation of the patient. Finally,  
378 since there is no definition in the literature for high  
379 and low intensity of PT, we used a threshold based  
380

on the guidelines for intensive (subacute setting) versus continuing (chronic setting) rehabilitation after a brain injury (i.e.,  $\leq 3$  versus  $>3$ ). However, future studies would be needed to precise the minimal amount of sessions required to limit the occurrence of spasticity.

In conclusion, patients with DOC represent a challenging population for the treatment of spasticity due to the severe physical impairment and the lack of active collaboration limiting rehabilitation. The chronic immobilization may enhance the severity of spasticity and enhance the apparition of several side-effects such as muscle contractures or joint fixations, leading to disuse of the limb (Kaneko, Murakami, Onari, Kurumadani, & Kawaguchi, 2003) and affecting cares and rehabilitation. Based on our findings, the vicious circle between hypertonicity and immobilization could be partially overcome through PT, allowing regular mobilization of the patient's limb, even when no active movement is possible. Other passive treatments such as splints or motorized movement trainer (i.e. arm cycling) have also shown promising results (K Diserens et al., 2007) and could be used both in acute and chronic stage to facilitate patient's motor recovery (Karin Diserens et al., 2012), even years after the injury. From a clinical perspective, we recommend a multidisciplinary approach encompassing PT, drugs and surgery, if need be, with frequent reevaluation and adjustment in order to reduce as much as possible spasticity and its side-effects, such as muscle contractures and joint fixations, that could lead to pain and poor quality of life.

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## Conflict of interest

The authors have no conflict of interest to declare.

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