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# Diagnostic and Prognostic Research

## Mild Traumatic Brain Injury with CT scan abnormality: which patients are safe for discharge? A protocol for the development of a prediction model in a retrospective cohort.

--Manuscript Draft--

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| <b>Manuscript Number:</b>                            | DAPR-D-17-00028R1  |                     |
| <b>Full Title:</b>                                   | Mild Traumatic Brain Injury with CT scan abnormality: which patients are safe for discharge? A protocol for the development of a prediction model in a retrospective cohort.   |                     |
| <b>Article Type:</b>                                 | Protocol   |                     |
| <b>Funding Information:</b>                          | Research Trainees Coordinating Centre (DRF-2016-09-086)  | Dr Carl Marincowitz |
| <b>Abstract:</b>                                     | <p><b>Background:</b></p> <p>Head injury is an extremely common clinical presentation to hospital Emergency Departments (ED). Nine-five percent of patients present with an initial Glasgow Coma Scale (GCS) score of 13-15, indicating a normal or near normal conscious level. In this group around 7% of patients have brain injuries identified by CT imaging but only 1% of patients have life-threatening brain injuries. It is unclear which brain injuries are clinically significant, so all patients with brain injuries identified by CT imaging are admitted for monitoring. If risk could be accurately determined in this group admissions for low-risk patients could be avoided and resources could be focused on those with greater need.</p> <p>This study aims to: (a) estimate the proportion of GCS13-15 patients with traumatic brain injury identified by CT imaging admitted to hospital who clinically deteriorate (b) develop a prognostic model highly sensitive to clinical deterioration which could help inform discharge decision making in the ED.</p> <p><b>Methods:</b></p> <p>A retrospective case note review of 2000 patients with an initial GCS13-15 and traumatic brain injury identified by CT imaging (2007-2017) will be completed in two English major trauma centres. The prevalence of clinically significant deterioration including death, neurosurgery, intubation, seizures or drop in GCS by more than 1 point will be estimated. Candidate prognostic factors have been identified in a previous systematic review. Multivariable logistic regression will be used to derive a prognostic model and its sensitivity and specificity to the outcome of deterioration will be explored.</p> <p><b>Discussion:</b></p> <p>This study will potentially derive a statistical model that predicts clinically relevant deterioration and could be used to develop a clinical risk-tool guiding need for hospital admission in this group.</p> |                     |
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| <b>Response to Reviewers:</b>                  | <p>DAPR-D-17-00028</p> <p>Mild Traumatic Brain Injury with CT scan abnormality: which patients are safe for discharge? A protocol for the development of a prediction model in a retrospective cohort.</p> <p>Dear Editor of Diagnostic and Prognostic Research,</p> <p>Thank you for the time that the reviewers have taken in considering our manuscript and their useful comments. We outline how we have addressed their comments below and have highlighted the changes to the manuscript using track changes.</p> <p>Yours sincerely,<br/>Carl Marincowitz</p> <p>Reviewer 1<br/>Main issues:</p> <p>- In exclusion criteria, why do you exclude patients that are transferred from other EDs when they diagnosed an injury? Or you doing this as to avoid having more "severe" TBIs in your group?</p> <p>The prognostic model that we are attempting to derive is aimed at helping clinicians in the emergency department assess whether alert patients that have traumatic brain injuries identified by CT imaging on first presentation need hospital admission.</p> <p>Patients transferred to neurosurgery centres (such as the 2 sites at which data collection is occurring) for admission under specialist neurosurgical care are not first presentation and represent a different and more severely injured population of patients. Their inclusion therefore would make the derived model less applicable to the population of interest.</p> <p>- Why "intravenous therapy" as an outcome metric? What is "intravenous therapy" here? Osmotic agents to reduce intracranial pressure or are we talking about nutrition? I know many centers who have it as standard therapy of fasting patients with TBI as they "might" need surgery, is this why? Please elaborate.</p> <p>We agree that intravenous therapy is too general and that the use of osmotic agents is clinically variable. We have therefore removed this from our outcome measure.</p> <p>- Marshall CT classification was constructed on patients that were unconscious when they arrived to the hospital (thus not optimal for your study), and is not an ordinal score that is suitable for outcome prediction. If you are thinking of including the rather outdated Marshall, I would strongly include other CT classification systems such as the Rotterdam-, Helsinki- and Stockholm CT scores as they have shown to be better outcome predictors (PLoS Med 2017; 14(8):e1002368).</p> <p>We need a CT classification system that can be derived from the available written CT reports to include in the modelling in order to assess the prognostic value of injury severity. Study investigators have been trained in abbreviated injury scale coding of injuries on CT brain scans by the Trauma Audit and Research Network, which is an accredited trainer, to ensure a reliable and reproducible injury scale coding of CT reports. We have added to the section entitled "Research Team Undertaking</p> |

Screening and Data Extraction” to emphasise this. There is an established method of mapping from brain injury scale coding to the Marshall Classification system derived from the UK trauma registry.<sup>1</sup> We are unaware of an equivalent method for mapping between injury severity coding and other CT classification systems. To apply a different CT classification system, therefore, the CT scans would have to be re-assessed and reported again with a classification score assigned. This is beyond the resources available for this study. However, we will consider how the assigned brain injury scale codes and severity scores map to the Rotterdam and Helsinki scores during the study and see if they improve the prognostic model.

Although the Marshall classification was derived in patients with lower GCS scores than in our study it was used as a common CT scoring system in the validation of the IMPACT and CRASH prognostic studies, both of which included patients that were conscious, and is well validated.<sup>2</sup> The use of the Marshall Classification as an ordinal prognostic scale has been described in the literature.<sup>3</sup> We are collecting data on the additional factors, such as the presence of traumatic subarachnoid haemorrhage, found to improve the predictive value of newer but less widely validated classification systems.<sup>4</sup>

- You are likely to have problems scoring "frailty" index in these patients, with a lot of missing variables (similar with Charlson Comorbidity Index). There is also a strong likelihood that there will be confounding factors towards patients that were admitted for a longer period of time or that have comorbidities requiring previous hospitalization to have notes that will allow you to calculate these scores. Younger patients with no or little time spent in the emergency department will probably have a lot of missing/uncertain data here. Will you do a subcohort analysis of elderly patients for your frailty index?

The standard care for all patients with brain injuries identified by CT imaging in the UK currently is inpatient hospital admission for a period of observation. Therefore, for the vast majority of patients an inpatient hospital clerking is available and this contains both an assessment of comorbidities and functional status. This will allow an assessment of frailty on almost all patients. Missing data will prevent an assessment only for the small number of patients that self-discharge or are discharged erroneously from the Emergency Department.

It is true that more information to make an assessment of frailty may be available for (frailer) patients with more frequent recent hospital admissions. This may result in there being more accurate frailty scoring of frail patients with increased admissions. However, we don't believe that this confounds the relationship between frailty and the outcomes of interest which are independent of such previous hospital admissions.

- I would recommend that a special group of investigators assess the CT scans and that this group is blinded to outcome, as this would increase the quality and decrease the risk of bias in the study.

The CT scans have all been reported by neuro-radiologists at the time of injury for clinical purposes. The reporting radiologists, therefore, were in effect blinded to the outcomes that we are interested in. The CT scans are not being re-assessed for the purposes of this study. The use of available CT reports is pragmatic as it is directly applicable to information available during clinical care. Any variability in the accuracy of clinical CT reports will introduce random error (rather than bias) and will potentially lead to more conservative estimates of effect.<sup>5</sup> We are reassured by a recent Cochrane review assessing the value of central study adjudication which found little deviation between treatment effect estimates for subjective outcomes derived local assessors and those assigned by central study adjudicators.<sup>6</sup> We also do not have the resources to undertake the re-assessment of all CT scans included in the study.

Minor issues:

Abstract: Page 2, Line 14: Remove "and" (or "so").

This change has been made.

Introduction: Page 3, Line 19: I would include in regards to clinical deterioration "due primarily to intracranial hematoma progression"

This change has been made.

M&M: Page 5, Line 17: "whist" = whilst

This change has been made.

Limitations: Page 10, Line 28: "Prevalence of.", the sentence suddenly ends.

This sentence has been changed to: This may underestimate deterioration following discharge especially if patients die in the community or deteriorate and are readmitted to a different hospital.

Reviewer 2

1)In the inclusion criteria please elaborate on the definition of traumatic brain injury. Be more specific about the mechanism of trauma and the CT findings that were deemed eligible. Also you mention in the exclusion criteria that you excluded spontaneous intracranial hemorrhage. How was that ascertained? Moreover, please give more details on which type of pre-existing brain pathologies you excluded.

We have amended the sections entitled inclusion and exclusion criteria to make these definitions more specific. In the section entitled inclusion criteria we explicitly state that all patients with brain injuries identified by CT that can only be traumatic in origin are included. In the section entitled exclusion criteria we now outline that patients with intracranial bleeds that could either be spontaneous or traumatic in aetiology without a documented mechanism of injury that could result in head trauma or without physical evidence of head injury are excluded on the basis that they have spontaneous bleeds. In the section entitled exclusion criteria we now list the pre-existing brain pathologies that we exclude if they prevent the timing of injury.

2)In the study outcome you mention as part of the composite endpoint "intravenous therapy whilst an inpatient". Please clarify what type of treatment that includes eg antibiotics, antiepileptic medication

In light of this comment and a similar comment from Reviewer 1 we have removed as an outcome measure.

3)Page 8, line 2 : you mention that predictors that you will retain in the multivariate model prediction having great clinical relevance. Do you mean that this is true even if they don't fulfill the p-value criterion? What is your rationale for that?

Our sample size and estimated prevalence of outcomes means that we can assess up to 20 factors in a multivariable model. We are collecting data on more than 20 factors and will have to choose which factors to assess in the multivariable model to undergo backward elimination. This will be in part determined by the univariable associations that we find but we will also initially include factors that are clinically relevant, irrespective of univariable statistical significance. They will not be retained following backward elimination if they are not statistically predictive of the outcomes of interest. The second paragraph of the section entitled model development has been changed to clarify this.

4)You mention that according to your sample size and the expected prevalence of the outcome that allows the model to include 20 variables. However this is a very big number of variables for a model to allow application in acute care settings. A prediction model that is intended for use in the emergency department should include a small number of factors, that are easily and quickly measured.

The quoted 20 variables that can be included in the model simply represents the largest number of variables that be included in the modelling process at the same time and have enough statistical power based on our sample size calculation.

We agree that a parsimonious model that includes the smallest number of easily obtained factors would be desirable and the most practically applicable within the clinical context of the Emergency Department. We will include up to 20 factors as our starting point and then reduce the number of included variables whilst optimising the prognostic model's sensitivity to the outcome of interest.

5) Please specify the method you will use for imputation of missing values

Missing data will be addressed based on a missing at random assumption using multiple imputation using STATA.<sup>7</sup> The exact methods will be determined by the amount, type and distribution of missing data and therefore we cannot describe the methods precisely until data collection is complete. However, we will adhere to guidelines published in the BMJ regarding the use and reporting of methods to deal with missing data.<sup>8</sup> The section entitled missing data has been modified to clarify this.

6) If you have access in the Italian cohort why not perform external validation then? Why did you decide to compare results only?

The Italian cohort represents a modestly sized group (approximately 700) of eligible patients in which not all the factors that we are assessing have been measured. We therefore felt that it may not be possible to validate the model in this cohort and if it were possible the estimated precision would be limited by the sample size. We therefore decided to only undertake the outlined exploratory analysis and plan to validate the derived model in larger and more comprehensive Center TBI study data.

7) Page 10, paragraph 2nd of limitations please rephrase the paragraph, it is very difficult to comprehend

This paragraph has been rephrased as follows:

“Outcomes will only be assessed during hospital admission and for those who re-attend the study hospitals following discharge. This may underestimate deterioration following discharge especially if patients die in the community or deteriorate and are readmitted to a different hospital. We will estimate the effect of this possible bias by conducting a sensitivity analysis using data for the sub-set of patients registered on the Trauma and Audit Network Database where complete data following discharge is available.”

8) Figure 1: I would propose one column with the factors and group them by source of inclusion

Table 1 has been modified accordingly

9) Comment on midline shift and size of bleed are two factors that suffer greatly from lack of interobserver agreement. How will this be assessed, qualitatively or quantitatively?

The size of the largest bleed and presence of midline shift will be taken from the written CT reports provided by a neuro-radiologist at the time of injury. We agree there may be some inter-observer variation between individual neuro-radiologists in assessing these factors that may introduce random error. This reflects real clinical practice and so makes the use of variables derived in this way more practically applicable. Random error may reduce the effect estimates but will not bias the results.<sup>5</sup>

10) When you mention CT head report as a factor what do you mean? How is that assessed?

This was included in error and has been removed.

11) GCS as a variable in the final model is dependent on the eligibility criteria you set and has low variability. I would propose to omit it as a variable.

In our recently published systematic review assessing prognostic factors in GCS13-15 patients with injuries identified by CT imaging we found that even in this small range initial GCS was highly predictive of clinical deterioration so we think it should be retained initially.<sup>9</sup> If it does not add significant independent predictive value then it will

be removed from the model.

12) Please add in table 1 for each candidate factor how it will be handled (as a categorical or continuous variable)

Table 1 has been amended accordingly.

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**Additional Information:**

**Question**

**Response**

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Mild Traumatic Brain Injury with CT scan abnormality: which patients are safe for discharge?

A protocol for the development of a prediction model in a retrospective cohort.

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**Abstract:**

**Background:**

Head injury is an extremely common clinical presentation to hospital Emergency Departments (ED). Nine-five percent of patients present with an initial Glasgow Coma Scale (GCS) score of 13-15, indicating a normal or near normal conscious level. In this group around 7% of patients have brain injuries identified by CT imaging but only 1% of patients have life-threatening brain injuries. It is unclear which brain injuries are clinically significant, ~~and~~ so all patients with brain injuries identified by CT imaging are admitted for monitoring. If risk could be accurately determined in this group admissions for low-risk patients could be avoided and resources could be focused on those with greater need.

This study aims to: (a) estimate the proportion of GCS13-15 patients with traumatic brain injury identified by CT imaging admitted to hospital who clinically deteriorate (b) develop a prognostic model highly sensitive to clinical deterioration which could help inform discharge decision making in the ED.

**Methods:**

A retrospective case note review of 2000 patients with an initial GCS13-15 and traumatic brain injury identified by CT imaging (2007-2017) will be completed in two English major trauma centres. The prevalence of clinically significant deterioration including death, neurosurgery, intubation, seizures or drop in GCS by more than 1 point will be estimated. Candidate prognostic factors have been identified in a previous systematic review. Multivariable logistic regression will be used to derive a prognostic model and its sensitivity and specificity to the outcome of deterioration will be explored.

**Discussion:**

This study will potentially derive a statistical model that predicts clinically relevant deterioration and could be used to develop a clinical risk-tool guiding need for hospital admission in this group.

**Key Words:**

Mild Traumatic Brain Injury; Prognosis; Predictive model; Intra-cranial haemorrhage; Minor Head Injury

## Background:

There are 1.4 million annual attendances to Emergency Departments in England and Wales following a head injury.[1] Approximately 95% of patients present with an initial score of 13-15 -on the Glasgow Coma Scale (indicating a normal or mildly impaired conscious level) and are defined as having a “minor head injury”. [2] Minor head injured patients have a 1% risk of life threatening traumatic brain injury (TBI).[3] In the UK head injury guidelines are used to triage CT imaging in this large patient population with the aim of identifying all life-threatening injuries.[1, 4] Adult guidelines are based on the internationally used and validated Canadian CT Head Rule and are applied to patients aged  $\geq 16$ . [3, 5] Around 7% of patients have TBI identified by CT imaging. [6] ~~and A~~ all of these patients are admitted to hospital in the UK due to fears about the risk of ~~clinical~~ deterioration due primarily to intra-cranial haematoma progression, but these risks are not well characterised (fig. 1). [6]

The management of GCS13-15 patients with CT identified TBI is controversial with some advocating admission to higher levels of care and mandatory repeat CT imaging due to the risk of deterioration.[7] Others argue that some patients are at low enough risk to be discharged safely from the ED after a short period of observation, a model of care adopted in a level 1 trauma centre in Arizona.[8] The UK NICE guidelines (published 2004, 2007 and 2014) state that all patients with significant brain injuries identified by CT imaging should be admitted to hospital, but do not qualify what constitutes such injuries.[1]

In our recent systematic review ~~we conducted~~, we estimated a pooled risk of neurosurgery in GCS13-15 patients with injuries identified by CT imaging of 3.5% (95% C.I. 2.2-4.9%) from the results of 36 studies.[9] A risk of clinical deterioration, such that patients would benefit from inpatient hospital admission, of 11.7% (95% C.I. 11.7-15.8%) was derived from 18 studies. There was significant variation in estimates of these outcomes across individual studies and no studies were conducted in the UK where NICE guidelines are used so relevant risk factors were not considered. Following the introduction of the NICE guidelines hospital admissions for head injury increased in England.[10] It is thought this may be due to more injuries of less clinical significance being identified due to increased CT imaging of minor head injured patients.[10] Research is required to estimate the risks of adverse outcomes in GCS13-15 patients with injuries identified by CT imaging in the UK.

GCS13-15 patients with brain injuries identified by CT imaging have a small but clinically important risk of significant adverse outcomes. Well conducted prognostic research could

1 generate models which allow the identification of low-risk patients who could be safely  
2 discharged from ED and high-risk patients who would benefit from more aggressive  
3 management. Our review identified 41 factors in 21 studies that had been assessed as  
4 potentially affecting the risk of adverse outcomes in this group.[9] None of this research was  
5 conducted in the UK and no multivariable models were identified that could be used to  
6 accurately identify patients at sufficiently low-risk of deterioration to be discharged from the  
7 ED. Prognostic research conducted within the context of NHS care is required to assess the  
8 extent to which GCD13-15 patients with CT identified TBI can be stratified by risk. This  
9 will help refine the NICE guidelines and potentially allow better resource allocation in the  
10 management of these patients by identifying those who do not require hospital admission.  
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### 19 **Aims:**

- 20 1) Estimate the prevalence of clinical deterioration in initial GCS13-15 adult patients  
21 with brain injuries identified by CT imaging.
- 22 2) Develop a multivariable model that accurately identifies adult patients of sufficiently  
23 low-risk of clinical deterioration that they could be discharged from the ED.  
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### 29 **Methods:**

#### 30 **Study Design:**

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32 This a retrospective and consecutive cohort observational study. The proportion of the cohort  
33 that clinically deteriorate will be estimated and a multivariable prognostic model that predicts  
34 deterioration will be developed. The study will be conducted and reported in accordance with  
35 the TRIPOD recommendations.[11, 12]  
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42 Patients will be identified through retrospective case note review over a 10-year period from  
43 2007-2017 at Hull Royal Infirmary and Salford Royal Hospital, two English major trauma  
44 centres.  
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#### 48 **Participants:**

49 *Inclusion criteria:* Patients aged  $\geq 16$  admitted to hospital, with an initial GCS of 13 or more  
50 on presentation to the ED and traumatic brain injury identified definitively by CT head  
51 imaging. All patients with epidural haemorrhage, subdural haemorrhage, subarachnoid  
52 haemorrhage, intra-cerebral haemorrhage, intra-cerebral contusion, skull fractures and any  
53 combination of these injuries will be considered for inclusion. All patients with injuries  
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1 identified by CT that could only be traumatic in aetiology including skull fractures, extradural  
2 haemorrhages and subdural haemorrhages will be counted as having traumatic brain injury.  
3 Where patients have intracranial haemorrhage identified that could be either traumatic or  
4 spontaneous patients will only be included if they have either a documented mechanism or  
5 evidence of head injury. This will apply to intra-cerebral and subarachnoid  
6 haemorrhages.~~This definition of TBI includes any type of traumatic intra-cranial~~  
7 ~~haemorrhage, skull fracture, contusion or combination of these injuries.~~ Included mechanisms  
8 are falls, assault, road traffic collision, sport and any other mechanism that could result in  
9 blunt trauma above the clavicles. Evidence of head trauma includes bruising, wounds or  
10 injuries above the clavicles including facial and skull fractures identified radiologically.

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19 *Exclusion criteria:*

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21 Patients with obvious penetrating head injury or with spontaneous intra-cranial haemorrhage.  
22 Patients will be categorised as having a spontaneous intra-cranial haemorrhage if the  
23 haemorrhage could occur spontaneously or traumatically and they have no documented  
24 preceding mechanism or evidence of head injury or if the CT report states that the pattern of  
25 intra-cranial haemorrhage indicates a spontaneous event. Patients with pre-existing brain  
26 injuries or other pathology that makes the interpretation of timing of injury difficult and this  
27 includes patients with haemorrhagic brain tumours, chronic subdural haemorrhage or  
28 hygromas and other types of pre-existing intra-cranial bleeds. Patients with isolated occipital  
29 condyle fractures are excluded as these are treated as cervical spine injuries. Patients  
30 transferred from other EDs following identification of a brain injury will also be excluded.  
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40 Study outcome:

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42 The outcome of interest is a composite measure of clinical deterioration such that inpatient  
43 hospital admission was warranted, this includes: death due to TBI or neurosurgery within 30  
44 days of attendance, ~~intravenous therapy whilst an inpatient,~~ ICU intervention whilst an  
45 inpatient, seizure activity whilst inpatient, drop in GCS by 2 or more points whilst an  
46 inpatient, or a readmission to hospital within 30 days of injury related to TBI.  
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52 Candidate prognostic factors:

53  
54 Potential candidate factors have been selected a priori by: identification of factors that  
55 individually predict deterioration in the study population in our systematic review, inclusion  
56 of additional factors that predict adverse outcomes in prognostic models for patients with  
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1 more severe TBI and trauma and inclusion of factors that represent NICE guideline standards  
2 and criteria for treatment and investigation of head injury and TBI.[1, 9, 13-15] All factors  
3 being considered for inclusion in the final model are presented in Table 1 with the reason for  
4 their inclusion.  
5  
6

7 Comorbidities will be measured using a trauma modified Charlson Comorbidity Index. Brain  
8 injury severity, as shown on CT scan, will be stratified using the Marshal Classification,  
9 which will be calculated from Abbreviated Injury Severity (AIS) codes for TBI using the  
10 method described by Lesko et al.[16, 17]. The Charlson Comorbidity Index, AIS and Marshal  
11 Classification are internationally validated prognostic scoring systems.[18, 19] Frailty will be  
12 assessed using the clinical frailty scale described by Rockwood et al.[20]  
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19 Data collection:  
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21 *Screening:*  
22

23 A database of all emergency department CT brain requests and reports for patients aged 16  
24 and over between 2007-2017 will be generated at the 2 sites from the electronic requesting  
25 and reporting system. This will be screened to identify potentially eligible patients with CT  
26 requests related to head injury and CT scans with reported abnormalities related to TBI or  
27 intra-cranial haematomas (Fig. 2). Patients identified in this way will be matched to  
28 electronic ED case notes, reports and discharge summaries to identify the subset of patients  
29 potentially admitted with an initial GCS13-15.  
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38 *Data Extraction:*  
39

40 The full case records of patients identified through screening as potentially meeting the  
41 inclusion criteria will be retrieved (Fig. 2). In patients who are confirmed to meet the  
42 inclusion criteria all a priori candidate prognostic factors will be extracted from the case  
43 records. Demographic information will be extracted from data recorded at the time of  
44 presentation to the ED following head injury. Comorbidities, frailty and pre-injury  
45 medication use will be extracted from that recorded in the ED attendance and subsequent  
46 inpatient hospital admission documentation. Co-morbidities recorded in the inpatient notes up  
47 to 1 year prior to the presentation following head trauma will be included in accordance with  
48 the method of data collection in a recent update of the Charlson comorbidity index.[19]  
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57 The full inpatient records will be interrogated for evidence of intervention or clinical  
58 deterioration that would meet the composite outcome measure. Recorded patient ED and  
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1 hospital admissions after discharge following the relevant admission for traumatic brain  
2 injury will be assessed for evidence of deterioration, intervention or readmission in the 30  
3 days following the initial ED attendance.  
4

5  
6 Patients who were included in the national Trauma Audit and Research network (TARN)  
7 registry will be identified locally. Using an anonymous TARN study number we will assess  
8 for any deaths recorded on the TARN registry within 30 days of admission.  
9  
10

11 ~~The electronic data extraction proforma is presented in Appendix 1.~~

#### 12 13 14 *Research Team Undertaking Screening and Data Extraction:*

15  
16 Members of the direct Emergency Department care team at each NHS trust will undertake the  
17 screening of electronic records for patients admitted following head injury and data extraction  
18 from case notes. Staff undertaking data extraction will undergo data extraction training and  
19 this includes training in abbreviated injury scale coding of injuries on CT brain scans by the  
20 Trauma Audit and Research Network (TARN) which is an Association for the Advancement  
21 of Automotive Medicine accredited trainer to ensure the use of AIS dictionary in a reliable  
22 and reproducible fashion. ~~and~~ Data extraction will be piloted over a 1-month period.  
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30 Hypothetical and non-identifiable training samples of potential patient records will be  
31 generated at both sites during the training period and will be used to check the quality of, and  
32 validate, data-extraction in the research team. The research team will not be blinded to  
33 outcomes. However, most prognostic variables being collected are demographic and other  
34 factors not subject to interpretation. Patients are also not being allocated to treatment groups  
35 and therefore data collection is less likely to be biased in favour of a specific outcome.  
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#### 41 *Sample Size:*

42  
43 Sample size of a prognostic study is informed by 3 factors: anticipated prevalence of the  
44 outcome (in this study clinical deterioration), desired sensitivity of the model to the outcome  
45 and the precision of the 95% confidence interval around the sensitivity of the model.[12]  
46  
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48

49  
50 We have based our sample size on a 10% estimated prevalence of clinical deterioration in our  
51 systematic review and our desired precision of the sensitivity of the derived model for this  
52 outcome.[9] Research into discharge decision making in patients presenting to the ED with  
53 chest pain, indicated that a 1/100 risk of a patient being discharged who subsequently had a  
54 significant cardiac event, may be an acceptable risk threshold to both patients and  
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1 clinicians.[21] Therefore, we will aim for 99% sensitivity for clinical deterioration as this  
2 may correspond to a clinically acceptable level of model accuracy.

3  
4 A sample size of approximately 2000 patients is required, based upon the desired 99%  
5 sensitivity in order that the maximum marginal error of the estimate does not exceed 1.4%  
6 with a 95% confidence interval.[22] Based upon previous data collection we estimate at least  
7  
8 100 patients will be eligible for inclusion per year at each site of data collection over the 10  
9  
10 year period of interest.[23]

11  
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14 Statistical analysis:

15  
16 *Outcome Estimate:*

17  
18 The proportion of patients that fulfil the composite measure of deterioration will be  
19 estimated. A sample size of 2000 patients will allow us to estimate the prevalence of  
20 clinically significant deterioration with a 1.3% margin of error at a 95% confidence level.

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24  
25 *Model Development:*

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27 Multivariable logistic regression with backward stepwise selection will be used to find the  
28 best combinations of candidate factors highly sensitive for detecting deterioration while  
29 achieving the maximum possible specificity. This approach is favoured as all correlations  
30 between predictors are considered in the modelling procedure and there is easier transparency  
31 of reporting.[12]

32  
33 Candidate prognostic factors with a P value greater than 0.405 will be selected for removal.  
34 Forced variables (predictors) that we consider as having ~~great~~ clinical relevance, as indicated  
35 in our systematic review and the NICE guidelines, will ~~initially also~~ be considered for  
36 inclusion in our model and retained in the initial steps of backwards elimination. In the final  
37 model all factors that do meet the significance level will be removed.

38  
39 The sample size of 2000, with an anticipated prevalence of clinical deterioration of around  
40 10%, will allow the model to include 20 variables, based on the rule of at least 10 outcome  
41 events per parameter estimated.

42  
43 Continuous factors will not be categorised initially to avoid a loss of power.[24, 25]  
44 Calibration (the agreement between outcome predictions from the model and the observed  
45 outcomes) will be tested with the Hosmer–Lemeshow test. We will assess the apparent  
46 performance of the fitted models for discrimination using the C-statistic (equal to the area  
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1 under the receiver-operating characteristic curve) and the sensitivity for clinically significant  
2 deterioration.[26]

3  
4 Internal validation using the bootstrap validation approach will be undertaken to evaluate the  
5 performance and optimism of the developed model.[27] This will allow the use of the  
6 complete data set for model development and provide a mechanism to account for model  
7 overfitting or uncertainty in the model development process. We will quantify any optimism  
8 in the final prediction model and estimate a so-called “shrinkage factor” that can be used to  
9 adjust the regression coefficients and apparent performance for optimism. This will lead to a  
10 new final model being produced in each of the bootstrap samples. We will average the  
11 difference in the performance of the models to obtain a single estimate of optimism for the C-  
12 statistic.  
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### 21 *Missing Data:*

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23 As data are to be extracted from clinical records, missing variable data will inevitably occur.  
24 Although it is possible to verify the data to judge whether missing data are missing  
25 completely at random (MAR) or associated with observed variables, it is generally  
26 impossible to prove that data are indeed MAR or whether they are not missing at random.  
27 (MNAR).[24] Multiple imputation will be used to impute ~~5~~ with the number of imputations  
28 determined by the amount of missing data ~~10 imputations~~, under a missing at random  
29 assumption, ~~missing values~~ so as to avoid excluding patients from the analysis. This will be  
30 completed using STATA with the exact method determined by the amount, type and  
31 distribution of the missing data and we will adhere to recognised guidelines for appropriate  
32 use and reporting of methods to deal with missing data.[28, 29] After imputation, a sensitivity  
33 analysis will be undertaken to determine how the substantive results depend on the multiple  
34 imputation method employed. This is consistent with the TRIPOD recommendations with  
35 the handling of missing data in prognostic studies.[12]  
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### 48 *Model Accuracy:*

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50 The sensitivity and specificity of the model for detecting patients at low-risk of deterioration  
51 will be calculated comparing the classification of each patient by the model with whether  
52 they actually deteriorated. To assess how informative lack of deterioration is, the model will  
53 be derived again for those patients who do not deteriorate within 24 hours. We will determine  
54 whether a more accurate model can be produced for those still in hospital after 24 hours.  
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1 A Receiver Operating Characteristic (ROC) curve for both models will be plotted and the  
2 trade-off between the sensitivity and specificity of the model explored.[30] As indicated  
3 previously a 1/100 risk of deterioration following discharge may be clinically acceptable and  
4 therefore our model will aim for at least a 99% sensitivity to deterioration.[21]  
5  
6

7  
8 *Sensitivity analysis:*  
9

10 The 10-year period of data collection represents a long-time period over which clinical  
11 practice and outcomes may have changed. To assess for this, we will estimate the yearly  
12 prevalence of clinical deterioration and note any statistically significant changes in outcome  
13 over time. In addition, because NICE guidelines were updated in 2014 (with minor changes  
14 to the indications for CT brain imaging) the prognostic model will be estimated solely for the  
15 time-period 2014-2017 and compared to the model estimated for the whole-time period.[1]  
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22 *Exploratory Analysis:*  
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24 Individual patient data from a prospective Italian cohort study is available to the research  
25 team.[31] The variables collected in the Italian study and how they compare to the variables  
26 being collected in our study are shown in Table 2. If most factors present in the multivariable  
27 model developed in our study are present in the Italian data set then we will assess the effect  
28 of these factors on the risk of deterioration in a multivariable model derived in the Italian data  
29 set. If the effect estimates are similar to those estimated in the data collected in England then  
30 we will combine the individual patient data of the 2 data sets to improve the precision of the  
31 model estimates.  
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40 **Discussion:**  
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42 **Strengths:**  
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44 To the authors' knowledge this will be the largest cohort study conducted that assesses  
45 clinical deterioration in GCS13-15 patients with brain injuries identified by CT imaging. We  
46 are collecting data from multiple sites and potentially incorporating data from a different  
47 European country. The definition of clinical deterioration is wide and defined to encompass  
48 potential benefits of hospital admission from the ED. This outcome is one that can be used to  
49 help inform clinical decision making regarding the selection of patients in this group that  
50 would benefit from hospital admission.  
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58 **Limitations:**  
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1 Data collection is retrospective and will be limited by the nature and accuracy of the data  
2 clinically recorded. However, such data are likely to be applicable and implementable in  
3 current routine practice. Given the large sample size required for this study and the  
4 challenges of prospectively recruiting patients in the ED, a retrospective method for data  
5 collection represents a feasible and pragmatic data collection strategy.  
6  
7

8  
9 ~~In the primary data collection at the 2 sites in the UK, O~~outcomes will only be assessed  
10 during hospital admission and for those who re-attend the study hospitals following  
11 discharge. This may underestimate deterioration following discharge especially if patients  
12 ~~and not those who die in~~ the community or deteriorate and are readmitted to a different  
13 hospital ~~in. This will potentially underestimate the prevalence of.~~ We will estimate the effect  
14 of this possible bias by conducting a sensitivity analysis using data for the sub-set of patients  
15 registered on the Trauma and Audit Network Database where complete data following  
16 discharge is available.  
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#### 25 Further Research:

26  
27 Prognostic models tend to perform optimistically using the data from which they were  
28 derived and therefore their accuracy requires external validation in separate data sets.[12]  
29 There are different strategies for this and we will attempt to validate the model derived from  
30 this study in a sub-population of a European prospective cohort of TBI patients that is  
31 currently ongoing (CENTER-TBI), with data expected to be available in 2018.[32, 33] Our  
32 validation study will be subject to a separate protocol. If the model appears sufficiently  
33 accurate at identifying low-risk TBI patients could be safely discharged implementation will  
34 be tested prospectively in the context of the NHS.  
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#### 43 Abbreviations:

44  
45 AIS: Abbreviated Injury Severity Score; CT: Computed Tomography; GCS: Glasgow Coma  
46 Scale; NICE: National Institute for Health and Clinical Excellence; ROC: Receiver Operating  
47 Curve; TBI: Traumatic Brain Injury; TARN: The Trauma Audit and Research Network  
48  
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50

#### 51 Declarations:

52 Ethics Approval and consent to participate:

53  
54 This study received ethical approval from the West of Scotland NHS Research Ethics  
55 Committee 4, reference 17/WS/0204.  
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**Patient and Public Involvement:**

The Hull and East Yorkshire NHS hospital trust have a patient public involvement group, The Trans-Humber-Research Panel, that includes current and previous patients and carers. This group has helped formulate the research aims and protocol for this project. They will have an ongoing role in the project.

The Headway Charity have been consulted in formulating the project aims and will be involved in dissemination of the project findings.

**Consent for publication:**

Not applicable.

**Availability of data and materials:**

Not applicable.

**Competing interests:**

The authors declare that they have no competing interests.

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**Authors' contributions:**

This idea for the study was conceived by Carl Marincowitz with help from all the co-authors. Trevor Sheldon and Fiona Lecky provided specialist advice regarding methodology and the design of the methods. Victoria Allgar provided specialist advice regarding statistical analysis. Will Townend provided specialist clinical context.

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## Figures:

Figure 1: Current management of minor head injured patients

Figure 2: Population screening and selection

Table 1: Prognostic factors being investigated

| <b>Factors from Systematic Review</b> | <b>Type of Data</b> | <b>Factors from NICE guidelines</b>                | <b>Type of Data</b> | <b>Factors from TARN TBI/trauma model</b>  | <b>Type of Data</b> |
|---------------------------------------|---------------------|--|---------------------|--|---------------------|
| Age                                   | Continuous          | 1 <sup>st</sup> neurological examination in ED     | Categorical         | Admission Hb                               | Continuous          |
| Sex                                   | Categorical         | Equal Pupils 1 <sup>st</sup> examination           | Categorical         | Admission Platelets                        | Continuous          |
| Pre-injury anti-coagulant use         | Categorical         | Both Pupils reactive 1 <sup>st</sup> examination   | Categorical         | Charlson Trauma Modified Comorbidity index | Continuous          |
| Pre-injury anti-platelet use          | Categorical         | SIGN of Skull fracture 1 <sup>st</sup> examination | Categorical         | Admission BM                               | Continuous          |
| GCS on arrival to ED                  | Categorical         | Seizures in ED                                     | Categorical         | Frailty Score                              | Continuous          |
| BP on arrival ED                      | Continuous          | Vomiting in ED                                     | Categorical         |  |                     |
| HAIS                                  | Continuous          | An occupant ejected from a motor vehicle           | Categorical         |  |                     |
| Marshall Classification               | Categorical         | Mechanism of Injury                                | Categorical         |  |                     |
| Single Injury                         | Categorical         | Amnesia  | Categorical         |  |                     |
| Comment on Midline shift              | Categorical         | Intoxicated ETOH time of injury                    | Categorical         |  |                     |
| Comment on size of bleed              |                     | Seizures before arrival ED                         | Categorical         |  |                     |
| Additional Injuries                   | Categorical         | Vomiting before arrival ED                         | Categorical         |  |                     |
| Sats on arrival ED                    | Continuous          | A pedestrian or cyclist struck by a motor vehicle  | Categorical         |  |                     |
|                                       |                     | A fall from height of > than 1 metre or 5 stairs   | Categorical         |  |                     |

Table 2: Comparison between Italian data set and data being collected

| Factor  | In Italian Data | Factor   | In Italian Data |
|---|-----------------|--|-----------------|
| Age   | Yes             | Equal Pupils 1 <sup>st</sup> examination           | Yes             |
| Sex   | Yes             | Both Pupils reactive 1 <sup>st</sup> examination   | Yes             |
| Pre-injury anti-coagulant use                     | Yes             | SIGN of Skull fracture 1 <sup>st</sup> examination | No              |
| Pre-injury anti-platelet use                      | No              | Seizures in ED                                     | No              |
| Charlson Trauma Modified Comorbidity index        | Yes             | Vomiting in ED                                     | No              |
| A pedestrian or cyclist struck by a motor vehicle | Yes             | H AIS  | No              |
| An occupant ejected from a motor vehicle          | Yes             | Marshall Classification                            | Yes             |
| A fall from height of > than 1 metre or 5 stairs  | Yes             | Single Injury and type of injury                   | Yes             |
| Mechanism of Injury                               | No              | Comment on Midline shift                           | No              |
| Amnesia   | Yes             | Comment on size of bleed                           | No              |
| Loss of Consciousness                             | Yes             | Frailty Score                                      | No              |
| Intoxicated time of injury                        | No              | Admission Hb                                       | No              |
| Seizures before arrival ED                        | Yes             | Admission Platelets                                | No              |
| Vomiting before arrival ED                        | Yes             | Admission BM                                       | No              |
| GCS on arrival to ED                              | Yes             | Additional Injuries                                | Yes             |
| BP on arrival ED                                  | No              |  |                 |

Figure 1

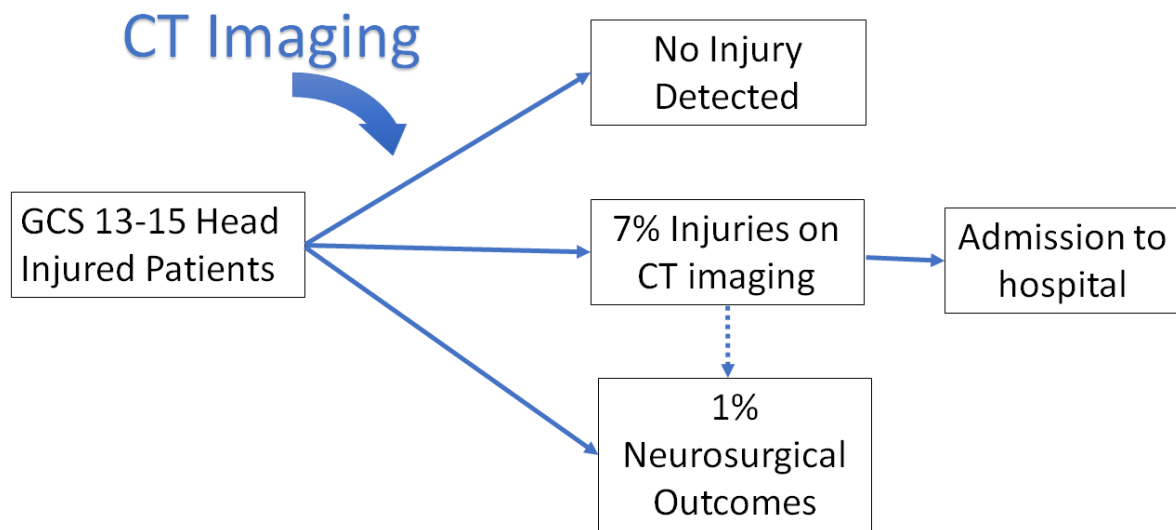
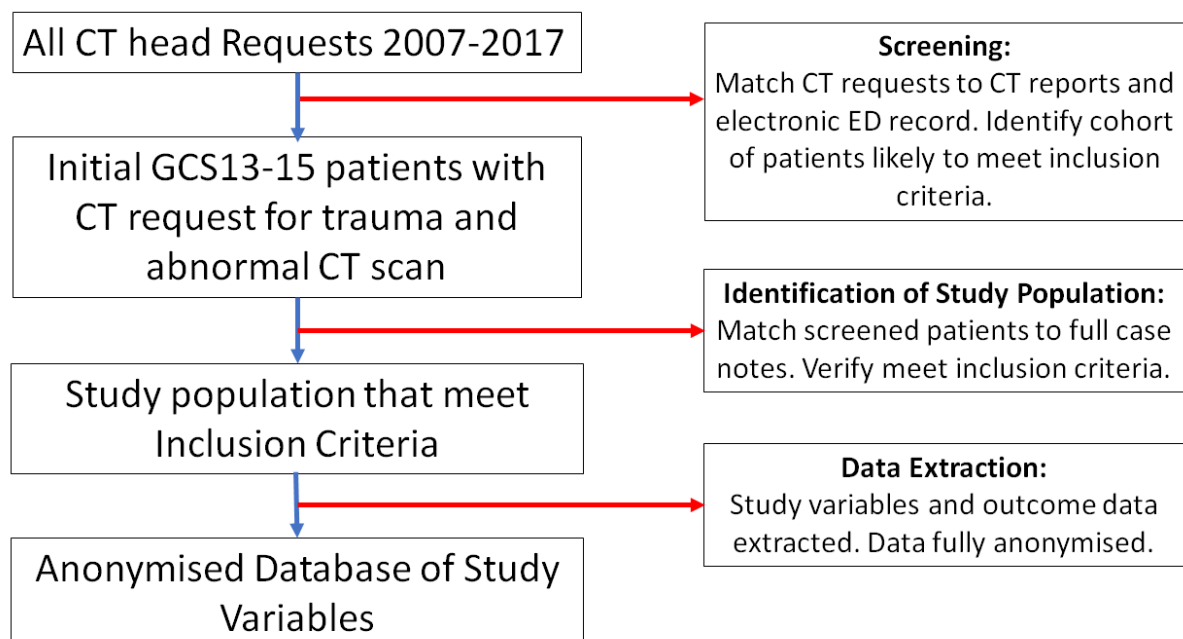


Figure 2







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**Supplementary Material**

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