Advance Directives in Community Patients With Heart Failure
Shannon M. Dunlay, MD, MSc; Keith M. Swetz, MD; Paul S. Mueller, MD, MPH; Véronique L. Roger, MD, MPH

Background—Although it is recommended that all patients with heart failure (HF) have advance directives (AD) in place before the end of life is imminent, the use of AD in HF has not been well studied.

Methods and Results—We enrolled consecutive Olmsted County residents presenting with HF from October 2007 through October 2011 into a longitudinal study. Information from AD completed before enrollment and hospitalizations in the month before death were abstracted. Among 608 patients (mean age, 74.0 years; 54.9% men; 65.3%; New York Heart Association functional class 3 or 4), 164 (27.0%) patients died after a mean follow-up of 1.8 years. At enrollment, only 249 (41.0%) patients had an AD. Although most AD appointed a proxy decision-maker (90.4%), less than half addressed wishes regarding use of cardiopulmonary resuscitation (41.4%), mechanical ventilation (38.6%), or hemodialysis (10.0%) at the end of life. The independent predictors of AD completion were older age (adjusted odds ratio [OR] per 10-year increase, 1.82; 95% confidence interval [CI], 1.51–2.20), malignancy (OR, 1.58; 95% CI, 1.05–2.37), and renal dysfunction (OR for estimated glomerular filtration rate <60 mL/min 1.55; 95% CI, 1.05–2.29). At the end of life, patients with AD specifying limits in the aggressiveness of care less frequently received mechanical ventilation (OR, 0.26; 95% CI, 0.07–0.88), with a trend toward decreased intensive care unit admission (OR, 0.45; 95% CI, 0.16–1.29).

Conclusions—Despite a high mortality rate, over half of patients with HF do not have an AD, and existing AD fail to address important end-of-life medical decisions.

Key Words: heart failure | epidemiology | prognosis
WHAT IS KNOWN

- Cardiology guidelines advocate that providers discuss advance care planning including advance directives with their patients with heart failure, but little is known about their use in heart failure.
- There has been substantial debate as to whether completion of advance directives affects medical care at the end of life.

WHAT THE STUDY ADDS

- Only 41% of community heart failure patients have an advance directive in place, and 35% of patients did not complete an advance directive before death.
- Many completed advance directives did not address specific patient preferences regarding key end-of-life decisions, including use of cardiopulmonary resuscitation, mechanical ventilation, and artificial nutrition.
- At the end of life, patients with heart failure who had advance directives specifying limits in the aggressiveness of care they wished to receive were equally likely to be hospitalized but less likely to receive mechanical ventilation.

Methods

Study Design

This is a population-based study conducted in Olmsted County in southeastern Minnesota (2010 US Census population, 144,248; 90% white; 50% female). This type of research is possible in Olmsted County as all providers, including Mayo Clinic, have maintained extensively indexed medical records. Through the Rochester Epidemiology Project, a centralized record linkage system, all medical data collection. All patients provided written authorization to participate. Health care providers recruited patients at their next clinic visit for consent, study enrollment, and timing of their completion, whether a surrogate decision-maker was appointed and the relationship of that person to the patient, whether patients stated their wishes regarding use of cardiopulmonary resuscitation, mechanical ventilation, artificial nutrition, and hemodialysis if they had critical illness and the end of life were imminent, and their preferences regarding organ donation, autopsy, and burial after their death. Whether the patient reported desiring limits in the aggressiveness of care at the end of life was also assessed. This was defined by the presence of any statement in the document(s) conveying that the patient would want certain therapies or procedures withheld if the end of life were imminent. The first author (S.M.D.) abstracted AD data on all study participants, and information from a sample of patients (n = 25) were abstracted by an experienced research nurse and the level of agreement was 100%.

Data Collection

Patient Baseline Characteristics

Baseline patient characteristics were abstracted from the medical record by trained research nurses. Prior myocardial infarction (MI) was defined by standardized criteria, which have been previously described and validated. Physician diagnosis was used to document history of cerebrovascular disease, peripheral vascular disease, and chronic obstructive pulmonary disease (COPD). Hypertension was defined as systolic blood pressure > 140 mm Hg, diastolic blood pressure > 90 mm Hg, or use of antihypertensive medications. Diabetes mellitus was defined using American Diabetes Association criteria or use of diabetes medications. Patient height and weight at HF diagnosis were used to calculate body mass index. Malignancy was defined as a history of cancer other than basal cell skin cancer. Creatinine at HF diagnosis was collected and creatinine clearance was calculated using the Modification of Diet in Renal Disease Equation. New York Heart Association (NYHA) functional class was assessed using standard definitions. The Charlson comorbidity index was used to assess the burden of comorbidity. A patient’s ability to perform activities of daily living is assessed annually for all patients at the Mayo Clinic by a self-administered survey. Difficulty with activities of daily living was defined by reported difficulty with one of more of the following activities within 90 days before and after study enrollment: dressing, climbing stairs, bathing, difficulty walking, and getting in and out of bed.

Psychosocial Questionnaires

After study enrollment, psychosocial questionnaires were administered to patients by a study nurse at a scheduled study visit. Questionnaires included the Patient Health Questionnaire (PHQ-9) to assess depression, ENRICHD Social Support Instrument (ESSI) to assess social support, and Short Form 12 (SF-12) to assess health status and physical function. For the PHQ-9, patients were categorized by score into no depression (score, 0–4), mild (5–9), and moderate or severe (10 and above). Low social support was defined as an ESSI ≤ 22. The first question of the SF-12 which asks patients to rate their general health as excellent, very good, good, fair, or poor was used to assess general health. Poor perceived health status has been associated with increased healthcare resource use including hospitalizations in community HF patients. Poor physical function was defined by an SF-12 physical function score less than the median in the population.

Echocardiography

All echocardiograms were obtained and analyzed at Mayo Clinic Echocardiography laboratory according to the American Society of Echocardiography guidelines. Left ventricular ejection fraction (EF) was measured using M-mode, quantitative, and semiquantitative methods as previously described and validated with excellent correlation between methods. EF was dichotomized (reduced, < 50%; preserved, ≥ 50%).

Outcomes

Hospitalizations

Information from hospitalizations occurring in the last month of life among patients who died during follow-up was abstracted from the medical record.
Mortality
Follow-up took place through passive surveillance of the medical record. The ascertainment of death included death certificates filed in Olmsted County, obituary notices, and electronic files of death records obtained from the State of Minnesota Department of Vital and Health Statistics. Whether the patient died during follow-up and the date of death when applicable were collected. Mortality was defined as death due to any cause. Cases with missing information were censored at the date of the last follow-up visit and the date of death when applicable.

Statistical Analysis
Differences in patient baseline characteristics by AD status at study enrollment were compared using 2-sample t tests for continuous variables or χ² for binary variables. Logistic regression was used to examine the predictors of AD completion at study enrollment. All characteristics with a potential association (P < 0.25) with AD completion on univariate analyses were included in the multivariable model. Only 6% of patients were missing 1 or more variables from the multivariable model. There were no patients missing any outcomes, including the presence or absence of AD and death. Kaplan-Meier curves and Cox proportional hazard regression models were used to examine the association between AD and mortality. Logistic regression was used to examine the association between AD specifying limits in the aggressiveness of care and hospitalization, ICU care, and mechanical ventilation in the last month of life. For those patients who died within 1 month of study enrollment, any hospitalizations occurring after enrollment were included. A probability value of < 0.05 was used as the level of significance. Analyses were performed using SAS Version 9.2.1 (Cary, NC).

Results
Patient Population
A total of 608 patients were enrolled from October 2007 through October 2011, reflecting a 73.5% consent rate (608 of 827 eligible patients). The baseline characteristics of the population are shown in Table 1. Patients were elderly, with a mean age of 74.0 years, 54.9% were men, 49.9% had preserved EF, and 65.3% reported NYHA functional class 3 or 4 symptoms. A total of 365 (60.0%) had a prior diagnosis of HF, and the remainder had incident HF. Patients who did not consent to participate in the study were more likely to be older (78.6 versus 74.0 years) and female (53.4% versus 45.1%).

AD Completion
At study enrollment, only 249 (41.0%) patients had AD, and they were completed an average of 3.3 years prior. Most of the population (60.0%) had preexisting HF (the remainder were newly diagnosed), and AD completion was similar (age-adjusted probability value, 0.53) regardless of the timing of diagnosis. The characteristics of completed AD are shown in Table 2. Most AD appointed a surrogate decision-maker (90.4%), who was most frequently a spouse (41.8% of cases) or son/daughter (27.7%). However, a minority of AD addressed the patient’s preferences regarding use of cardiopulmonary resuscitation (41.4% of AD), mechanical ventilation (38.6%), artificial nutrition and hydration (38.6%), or hemodialysis (10.0%). As shown in Table 1, in unadjusted analyses, AD were more likely to be completed before study enrollment among patients who were older, female, and who had cerebrovascular disease, peripheral vascular disease, lower body mass index, preserved EF, history of malignancy, and renal dysfunction (estimated glomerular filtration rate [eGFR] <60 mL/min).
mL/min). However, there were no differences based on severity of HF as assessed by NYHA functional class, in patients who had poor perceived health, or in those with decreased physical function or difficulty completing activities of daily living.

The adjusted association between patient baseline characteristics and AD completion (at study enrollment) are shown in Figure 1. Older age, history of malignancy, and renal dysfunction (eGFR <60 mL/min) were independent predictors of AD completion. Age provided the majority of prognostic power of the model (model C-statistic, 0.75; age-alone C-statistic, 0.72). In total, 60.7%, 31.3%, and 13.6% of those age ≤80 years, 60 to 79 years, and <60 years, respectively had an AD. In patients with a history of malignancy, 52.9% had an AD compared with 36.2% of those without malignancy. In patients with renal dysfunction, 48.3% had AD compared with 31.0% of those with normal eGFR. Some patients enrolled in the study (n=121, 19.9%) did not return for their visit to complete the psychosocial questionnaires. However, as the psychosocial data, physical function score, and difficulty with activities of daily living demonstrated no association with AD use, these variables were not included in the final model. Sensitivity analyses were conducted adding each variable shown in Table 1 to the final model sequentially and none were statistically significant predictors of AD completion.

**Impact of AD on End-of-Life Care**

After a mean follow-up of 1.8 years (through December 1, 2011), 164 (27.0%) patients had died. The Kaplan-Meier predicted 2-year mortality rate was 26% (22% to 30%). There was no difference in mortality in patients with AD completed before study enrollment compared with those without (unadjusted hazard ratio for death, 1.30; 95% confidence interval [CI], 0.96–1.77; P=0.092; age-adjusted hazard ratio for death, 0.94; 95% CI, 0.68–1.30; P=0.70). Patients had the opportunity to complete AD after enrollment but before death. Among the 164 patients who died, 75 (45.7%) had an AD at study enrollment, and an additional 31 completed an AD during follow-up, such that 106 (64.6%) had an AD in place at the time of death. In 25 of 106 (23.6%) cases, the AD specified that the patient did not wish to have cardiopulmonary resuscitation or mechanical ventilation (Do Not Resuscitate/Do Not Intubate [DNR/DNI]). An additional 39 (36.8%) AD stated limitations on the aggressiveness of care the patient would like to receive if death was felt to be imminently. The remaining 42 (39.6%) AD either did not address resuscitation preference or comment on limits in care at the end of life or stated they wanted no limits on the aggressiveness of care.

Among patients who died, 88 (53.7%) were hospitalized in their final month of life, of which 50 (30.5%) died in the hospital. During hospitalization, 41 of 88 patients (46.6%) were cared for in an ICU and 23 (26.1%) received mechanical ventilation. There were no differences in the proportion of patients hospitalized in the last month of life in those with an AD specifying limits (DNR/DNI or other limits in the aggressiveness of care) compared with the remaining patients who died (Figure 2). However, among those hospitalized within the last month of life, patients with an AD specifying limits were less frequently cared for in the ICU and less frequently received mechanical ventilation. After adjustment

### Table 2. Characteristics of 249 Advance Directives at Study Enrollment

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>n (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appointed proxy decision-maker</td>
<td>225 (90.4)</td>
</tr>
<tr>
<td>Spouse</td>
<td>104 (41.8)</td>
</tr>
<tr>
<td>Son/daughter</td>
<td>69 (27.7)</td>
</tr>
<tr>
<td>Other/unclear</td>
<td>52 (20.9)</td>
</tr>
<tr>
<td><strong>Expressed wishes regarding</strong></td>
<td></td>
</tr>
<tr>
<td>Cardiopulmonary resuscitation</td>
<td>103 (41.4)</td>
</tr>
<tr>
<td>Mechanical ventilation</td>
<td>96 (38.6)</td>
</tr>
<tr>
<td>Artificial nutrition and hydration</td>
<td>96 (38.6)</td>
</tr>
<tr>
<td>Hemodialysis</td>
<td>25 (10.0)</td>
</tr>
<tr>
<td>Organ donation</td>
<td>122 (49.0)</td>
</tr>
<tr>
<td>Burial</td>
<td>114 (45.8)</td>
</tr>
<tr>
<td>Autopsy</td>
<td>51 (20.5)</td>
</tr>
</tbody>
</table>

Figure 1. Adjusted odds ratios and 95% confidence intervals (CI) predicting advance directive use at study enrollment are shown. All factors shown were included in the multivariable model. COPD indicates chronic obstructive pulmonary disease; eGFR, estimated glomerular filtration rate; NYHA, New York Heart Association; EF, ejection fraction; and BMI, body mass index.

Figure 2. The proportion of patients hospitalized at the end of life (among 164 patients who died) and the proportion who received ICU care and mechanical ventilation (among 88 patients hospitalized at the end of life) are shown according to whether they had an advance directive specifying limits in care at the time of death. AD indicates advance directive, ICU, intensive care unit.
for age, sex, and comorbidity (Charlson comorbidity index), patients with AD specifying limits were less likely to receive mechanical ventilation compared with others who died without an AD or with an AD without limits (adjusted odds ratio [OR], 0.26; 95% CI, 0.06–0.88; P = 0.03), though the decreased risk of ICU care was no longer statistically significant (OR, 0.45; 95% CI, 0.16–1.29; P = 0.14). There was no difference in the risk of hospitalization in the last month of life in those with an AD with limits compared with those without (adjusted OR, 1.26; 95% CI, 0.64–2.48; P = 0.51).

Discussion

HF is a disabling disease with a high associated morbidity and mortality. Although advance care planning is acknowledged to be an important component of patient care in HF, very little is known about the use and impact of AD in patients with HF. Herein, we found that less than half of community patients with HF had an AD, and most AD failed to address important medical decisions common at the end of life, including use of cardiopulmonary resuscitation, mechanical ventilation, and hemodialysis. However, those with AD in place at the time of death that specified limits in the aggressiveness of care were less likely to receive mechanical ventilation and had a trend toward decreased ICU care.

Completion of AD

It has been more than 20 years since Congress passed the Patient Self-Determination Act in 1990 mandating that all Medicare-certified institutions provide written information to patients about their rights to execute AD.30 The intent of AD is to allow patients to document their end-of-life preferences and to appoint a proxy decision-maker if they become incapable of making medical decisions. Despite their endorsement, most studies have reported that <50% of severely or terminally ill patients have an AD in place.31–34 Very little is known about AD completion in patients with cardiovascular diseases such as HF. Among 112 patients admitted to a coronary care unit, 23% had AD.31 Swetz et al3 reported that only 37% of 68 patients with advanced HF had AD in place before left ventricular assist device implantation, and, of those who had AD, none mentioned management of the ventricular assist device as one approached end of life. To the best of our knowledge, there are no reports of the prevalence of AD in the general HF population. We found that only 41% of Olmsted County residents with HF had an AD at study enrollment. Whereas some patients may have been recently diagnosed with HF and not yet had the opportunity to participate in advance care planning, even at the time of death, 35% of patients with HF still did not have an AD.

A lack of awareness of AD in patients with HF may be one barrier to their use. In a small Canadian study, 76% of patients with HF did not know what AD were, though 80% wanted more information about them.35 Minnesota lacks a formal hierarchy for surrogate decision-making if one has not been formally named via a healthcare power of attorney. Because this hierarchy is variable from state to state, the naming of a surrogate decision-maker is encouraged, particularly in this environment. Although we found that the vast majority of AD appointed a proxy decision-maker, their assignment alone may not be sufficient, as the appointed surrogates are frequently absent at the end of life.36 and the language of AD may be too general in nature to guide all treatment decisions.33 We found that AD in patients with HF infrequently discussed specific preferences for medical interventions such as cardiopulmonary resuscitation and hemodialysis. Similar to previous reports in the general medical population, directives more commonly stated a general desire to avoid life-prolonging therapies if the end of life was imminent.37 AD may provide more meaningful guidance to surrogates making critical decisions in an emotionally-charged environment if they contained more clinically relevant data.

AD completion appeared to have little correlation with the patient’s diagnosis of HF, as there was no difference in the proportion of patients with AD completed by duration of HF or NYHA functional class. Further, we found no difference in AD completion according to key psychosocial and mobility characteristics including poor perceived health, depression, low social support, poor physical function, and difficulty completing activities of daily living, many of which have been associated with increased morbidity and mortality in cardiovascular disease.25,38,39 Advanced age was by far the strongest predictor of AD completion, with malignancy and renal dysfunction representing the only other factors associated with AD use. Therefore, key characteristics traditionally associated with adverse prognosis are failing to trigger completion of AD in HF patients. This may be particularly important for young patients with HF, who are very unlikely to have their end-of-life preferences documented in the form of AD.

Both the American College of Cardiology/American Heart Association and Heart Failure Society of American Guidelines recommend that physicians discuss AD with their patients who have HF,12,13 though studies have shown that only 12% of patients with AD received input from their physician in its development.32 As physician perceptions of the end-of-life preferences of their patients with HF has been shown to be frequently inaccurate,40 AD may represent one way to facilitate patient-provider communication about end of life. There are several potential reasons why physicians may not routinely discuss end-of-life planning with their HF patients. First, estimating prognosis is difficult.41 Although models exist to predict prognosis in HF, most have only modest accuracy. The potential uncertainty regarding prognosis in HF makes routine advance care planning even more appropriate in this population to avoid forcing patients and family members to make abrupt decisions when patients are facing critical illness unexpectedly. Although timing of these discussions may be difficult in a busy clinical practice, as a recent Scientific Statement on decision-making in advanced HF notes “on the day of hospital admission, it is far better to review rather than introduce advanced care decisions.”41 Second, though data has shown that patient-physician advance care planning discussions improve patient satisfaction,42 many physicians are hesitant to partake in such conversations at the risk of taking away hope and hastening death. However, recent evidence suggests that having discussions about AD does not decrease survival.43 Although our
study was not designed to test the impact that AD completion has on survival, there was no difference in survival in patients with an AD compared with those without.

There has been substantial debate as to whether AD affect medical care at the end of life, with studies demonstrating that AD both decrease5,44,45 or have no effect13,32,46 on healthcare resource at the time of death. In the Study to Understand Prognoses and Preferences for Outcomes and Risks of Treatments (SUPPORT), patients with AD receive care inconsistent with their written preferences up to half of the time.33 However, recent studies have demonstrated decreased in-hospital death, less aggressive care, and lower end-of-life healthcare expenditures in elderly patients with AD specifying preferences.5,44 We found that among community patients with HF who died, those with AD specifying limits in the aggressiveness of care they wished to receive at the end of life were far less likely to receive mechanical ventilation (OR, 0.23) and found a trend toward a decrease in ICU care (OR, 0.45) in the last month of life. Although we found no association between AD specifying limits and hospitalization in the last month of life, the number of patients who died in this study was small, and these analyses should be replicated in larger populations of patients with HF. Though our findings would suggest that use of AD in patients with HF may have no impact on the number of hospitalizations at the end of life, ICU care and mechanical ventilation are expensive,47 and reductions in these end points in patients who do not wish to receive this type of care may result in cost savings. Therefore, AD may facilitate less aggressive care in alignment with patient preferences at the end of life. The mechanism for this facilitation is unclear. This may be related to AD being directly used by family members and providers in making medical decisions. Alternatively, the presence of AD may serve as a marker of patient engagement in an end-of-life planning process and act as a conduit for communication of wishes in advance of end of life. Although this requires further study, either of these mechanisms may be beneficial in promoting patient autonomy and planning care that is consistent with a patient’s goals.

Limitations
Our study had several limitations. First, AD that were not a part of the patient’s medical record were not captured. Further, patients were not asked at study enrollment whether they had AD that they did not provide to clinic personnel. However, as these patients are residents of Olmsted County and receiving medical care at Mayo Clinic, AD probably would be provided to augment patient care. Second, we do not have information on why patients do not have AD, including whether they declined to complete them, but this would be of interest in future studies. Third, the consent rate for the study was 73.5%, which is similar to other community epidemiological studies.38 As nonparticipants were an average of 4.6 years older than participants, their AD use may have been slightly higher than the results we reported. Finally, although Olmsted County is becoming increasingly diverse, the population remains 85% white, and these results may not apply to communities of varying racial and ethnic diversity. However, there are important advantages of these data. First, they reflect the comprehensive experience of a community cohort of patients with HF who are followed longitudinally for outcomes. Second, they provide detailed information on the content and predictors of AD and their association with hospitalizations at the end of life.

Conclusions
Healthcare resource use is high in HF patients, particularly those with advanced disease. In an era of increasing focus on patient-centered medicine and respect for patient autonomy, the matching of patient preferences to healthcare delivery is of mounting importance. We found that AD were underutilized and inadequate, as they frequently failed to address patient preferences regarding end-of-life care. However, when they were formulated, AD-specifying limits were associated with lesser use of invasive care in alignment with patient preferences. AD completed in detail may represent a simple, useful tool to facilitate appropriate healthcare resource use at the end of life, particularly in patients with life-limiting illnesses such as HF.

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Disclosures
Dr Mueller is a member of the Boston Scientific Patient Safety Advisory Board and lectures for the Boston Scientific Education Services. Dr Swetz has received honoraria for speaking for Boston Scientific. Dr Roger and Dr Dunlay have no disclosures.

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