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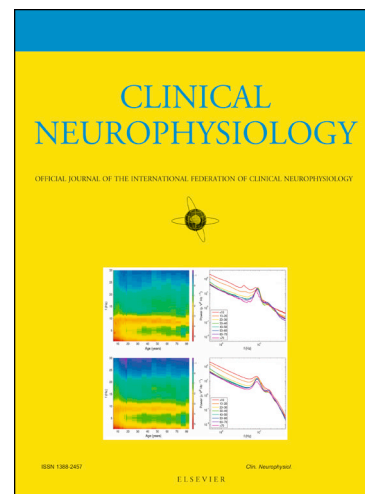
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Bilateral loss of cortical SEPs predict severe MRI lesions in neonatal hypoxic ischemic encephalopathy treated with hypothermia

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Highlights

1. Bilaterally absent SEPs predict MRI injury in infants cooled for hypoxic ischemic encephalopathy.
2. Normal MRI is usually associated with normal SEPs.
3. Therapeutic hypothermia does not seem to affect prognostic reliability of SEPs.

Abbreviations: SEP, somatosensory evoked potentials; NE, neonatal encephalopathy; MRI, magnetic resonance imaging; EEG electroencephalogram; TH, therapeutic hypothermia; HIE, hypoxic-ischemic encephalopathy; WS, watershed; BG/T, basal ganglia/thalamus.

Abstract

Objective. The introduction of therapeutic hypothermia for neonatal hypoxic-ischemic encephalopathy calls for reevaluation of the prognostic role of somatosensory evoked potentials (SEPs).

Methods. Among 80 consecutive neonates undergoing hypothermia for hypoxic-ischemic encephalopathy, 58 performed SEPs and MRI at 4-14 days of life and were recruited in this multicenter study. SEPs were scored as: 0 (bilaterally/unilaterally recorded N20) or 1 (bilaterally absent N20). The severity of brain injury was scored using MRI.

Results. Bilaterally absent N20 was observed in 10/58 neonates (17%); all had moderate/severe MRI abnormalities; 36/48 neonates (75%) with score 0 at SEPs had normal MRI. The positive predictive value of SEPs on MRI outcome was of 1.00, while the negative predictive value 0.72, sensitivity 0.48, specificity 1.00, with an accuracy of 0.78 ($p < .001$).

Conclusions. Bilateral absence of cortical SEPs predicts moderate/severe MRI pattern of injury.

Significance. Therapeutic hypothermia does not seem to significantly affect prognostic reliability of SEPs.

Keywords: perinatal asphyxia, cooled infants, evoked potentials, neonatal encephalopathy.

1. Introduction

Hypoxic-ischemic encephalopathy (HIE) in term neonates is a significant cause of infant mortality and morbidity. As a routine, early assessment of neonatal encephalopathy is based on clinical observation (graded by Sarnat and Sarnat, 1976), MRI and EEG recordings of brain electrical activity while the acquisition of somatosensory evoked potentials (SEPs) in the neonatal period is often hampered by logistic reasons. After moderate whole-body hypothermia (therapeutic hypothermia- TH) proved its efficacy and safety in reducing death and cerebral palsy and improving neurological outcome (Azzopardi et al, 2009), clinicians and researchers needed to test its influence on the most widely used prognostic tools.

Several MRI based severity scores have been repeatedly demonstrated to be strong predictors of outcome severity (Barkovich et al., 1998; Rutherford et al., 2010; Glass et al., 2011; Martinez-Biarge et al., 2012; Cheong et al., 2012) both in normothermic and hypothermic patients, even when the follow-up is extended until childhood (Natarajan et al., 2016). According to these studies TH reduces the rate of lesions in any cerebral area and increases the number of negative scans. However, the predictive value of both early and late scans remains unaffected and neonatal MRI is an accepted surrogate outcome measure in neurophysiological studies (Glass et al, 2011).

In contrast, a few recent studies showed that the EEG predictive value after birth is negatively influenced by TH (Hallberg et al., 2010; Thoresen et al., 2010; Gucuyener et al., 2012), suggesting the need for alternative tools to complement clinical and imaging scores, in prognostic assessment.

SEPs are an extension of the clinical examination and complementary to neuroimaging since they inform on functional integrity of structures vulnerable to asphyxia. In adult survivors after cardiopulmonary arrest, SEPs have shown a major prognostic role (Robinson et al., 2003; Grippo et al., 2016) ensuing their inclusion in the practice parameters of the American Academy of Neurology (Wijdicks et al., 2006; 2010; Sandroni et al., 2014). The bilateral absence of cortical SEPs at 24 hours has an unfavorable prognostic significance since all patients die or remain in vegetative state. The prognostic role of SEPs in neonatal HIE has been less investigated but is supported by several studies (for a review see van Laerhoven et al., 2013). In particular, bilateral absence of cortical SEPs was shown to predict cerebral palsy, the most severe outcome among survivors (Suppiej et al., 2010). However, these data were obtained before TH became a standard of care in neonatal HIE (Azzopardi et al., 2009). After the advent of TH, the prognostic role of neonatal SEPs is still under investigated (Garfinkle et al., 2015).

Based on these observations, we conducted a multi-center prospective study aimed to test the prognostic value of SEPs in neonatal HIE treated with TH, correlating SEP data with previously validated neuroradiologic severity scores.

2. Materials and methods

2.1 Subjects

Neonates suffering from HIE and eligible for TH from four Italian Centers (Padova, Roma, Udine, Torino) during the period 1st March 2012 - 31 December 2015 were recruited if they had SEPs recordings and MRI between 4-14 days of life. Selection for TH included: 1) gestational age at birth ≥ 36 weeks, 2) any of the following: arterial umbilical cord or first blood gas analysis (within 1 postnatal hour) with $\text{pH} \leq 7.0$, cord and base excess < 12 , or 10-minute Apgar score < 5 , or need for respiratory support at 10 minutes of life, and 3) moderate to severe encephalopathy within 6 hours of birth. Neonatal encephalopathy was graded according to Sarnat and Sarnat criteria (Sarnat and Sarnat, 1976).

Exclusion criteria were suspected or known congenital malformations and inborn errors of metabolism. TH was initiated as soon as possible after birth or at the time of referral from other hospitals and consisted of whole-body moderate hypothermia (target temperature 33.0-34.0°C) for 72 hours followed by a rewarming rate of approximately 0.5°C/h. All patients received Fentanyl infusion throughout TH to prevent discomfort and shivering (1-2 microg/kg/h, with boluses as needed). All infants had attained normothermia at the time of SEPs recordings.

Ethics committees of each participating hospital approved the protocol, and the review of the clinical records, PE, and imaging data for this study.

2.2 Neurophysiological data

Methodology for SEP recordings was previously agreed between centers according to consensus obtained within the Pediatric Neurophysiology Study Group of the Italian Society of Clinical Neurophysiology. In brief, SEP responses were elicited by right and left median nerve stimulation with electrical pulses at motor threshold intensity, rate 0.5 Hz, duration 0.2 ms, time window 100 ms. We used a "Galileo NT" system (EBNeuro/Florence Italy) and recorded with Ag/AgCl cup electrodes secured with paste and gauze. The N13 spinal component was recorded at the 7th cervical vertebra with Fz reference. The cortical N20 component was recorded at the central location contralateral to stimulation (C3 or C4 of the International 10-20 System). We choose central locations (instead of centro-parietal locations used at older ages) to take into account anatomical data reporting that in the neonatal period the of posterior movement of the central sulcus due to increasing size of association areas of the frontal lobe has not yet occurred (Karniski 1992, Karniski et al 1992). For best identification of the N20 cortical component we used both C3-C4 and C3-Fz or C4-Fz montages and three filter settings 10–1,000 Hz, 5–5,000 Hz and 1–100 Hz since

filter setting may variably affect responses (Bongers-Schokking et al., 1989). The number of sweeps used varied depending on signal to noise ratio during recordings in the hostile NICU environment, usually 30–40 responses with a maximum of 100 responses, to take into account habituation, were averaged and repeated two to four times to ensure reproducibility (Bongers-Schokking et al., 1989). Curarization was not used.

Recordings were done in active sleep or awake state (Suppiej et al., 2010). The behavioral state of the neonate was monitored by behavioral scoring (Suppiej et al., 2010). Only the N20 component in the presence of a normal cervical potential N13 was considered for analysis and scored as follows: bilaterally/unilaterally recorded (score 0); bilaterally absent (score 1). It is known that unilaterally present neonatal SEP has a prognostic value lower than bilaterally absent N20 or normal SEP (Suppiej et al 2010). Since our focus was on the more severe outcome measure i.e the bilaterally absent N20 pattern, and our population did not allow separate analysis, we choose to include unilaterally recorded SEP in score 0. All evoked potentials recordings were interpreted by the same neurophysiologist (A.C.) and agreed independently by a second neurophysiologist (A.S.), both blind to the clinical history and MRI data.

2.3 Neuroradiological data

Infants underwent MRI using a specialized neonatal head coil on 1.5-T SignaEchoSpeed system (GE Medical Systems, Waukesha, Wisconsin) or 1.5 T Achieva scanner (Philips, Best, The Netherlands), at a median age of 6 days (range 4-14 days).

Imaging sequences, including spoiled gradient echo volumetric T1-weighted, axial spin-echo T2-weighted and Diffusion-Weighted Imaging MRI (DWI), were optimized for the neonatal brain, as described previously. The severity of brain injury was assessed on all available sequences. Two pediatric neuroradiologists (R.M. and G.T.) who were blinded to the clinical history evaluated the MRIs. We used a previously validated MR scoring system (Barkovich et al., 1998; Bonifacio et al., 2011) for acute and subacute signal abnormalities, evaluating the extent of injury in the basal ganglia/thalami (BG/T) region (scored from 0 to 4) and watershed (WS) region (scored from 0 to 5). Each sequence (T1, T2 and DWI) was assigned a BG/T and WS score and eventually a global score was assigned to each patient after combining the information from DWI (acute changes) and T1/T2 sequences (acute and chronic changes). Scores represent the extent of injury observed, and were used to categorize images into two additional outcome measures based on the predominant pattern of injury: WS predominant, or BG/T predominant. The WS pattern was assigned when the WS region scores were higher than the BG/T scores. The BG/T pattern was assigned when the BG/T scores were higher or as high as the WS region scores. Neonates with total brain injury

(maximum BG/T and WS scores) were assigned to the BG/T pattern. A dichotomous outcome of normal-mild injury (normal imaging or WS score of ≤ 2 or BG/T score of ≤ 1) vs. moderate-severe brain injury (WS score of ≥ 3 or BG/T score of ≥ 2) was modeled after a similar classification scheme was found to be highly predictive for neurologic disability at age 18 months in neonates treated with hypothermia (Rutherford et al., 2010).

2.4 Statistical analysis

Pearson's Chi-Square and Fisher Exact test were used for dichotomous variable. The sensitivity and specificity of the used tests were also considered. All analyses used STATISTICA 6.0 for Windows (StatSoft, Tulsa, OK).

3. Results

Twenty-two out of 80 eligible patients were excluded from analysis because of death or transfer in other hospitals before MRI (3 patients) and SEPs (9 patients) or because of artefactual and non-interpretable SEP traces (10 patients).

Thus, 58 neonates were finally included in the analysis.

Clinical characteristics of the patients are summarized in Table 1.

The N20 component of SEPs was bilaterally absent in 10/58 (17%) HIE neonates, all had moderate/severe MRI abnormalities. The N20 was at least unilaterally detected (score 0) in 48/58 (83%) of whom 36/48 (75%) had normal MRI. Considering the 12/48 infants with SEP score 0 and abnormal MRI, 6/12 did not have a normal SEP since they had the N20 component that was absent unilaterally, while the other six had bilaterally present N20. Figure 1 represents, as an example, the N20 cortical response of upper limb SEPs recorded on day 7 in a neonate affected by moderate post asphyxia encephalopathy in whom the the MRI was normal on day 6.

Cross tabulation of SEPs scores (bilateral + monolateral presence vs bilateral absence) and the dichotomous outcome of normal-mild injury (normal imaging or WS score of ≤ 2 or BG/T score of ≤ 1) vs moderate-severe brain injury (WS score of ≥ 3 or BG/T score of ≥ 2) MRI results are listed in Table 2.

SEPs showed a positive predictive value for moderate-severe MRI abnormalities of 1.00 and a negative predictive value of 0.72, sensitivity 0.48 and specificity 1.00, with an accuracy of 0.78 ($p < .001$).

Table 3 reports the summary frequencies of SEP score (0: bilateral + monolateral presence; 1: bilateral absence) and MRI localization of lesions (no injury, injury in BG/T, injury in WS, injury in BG/T and WS). It can be seen that the prevalent pattern of injury in our population is the occurrence

of both BG/T and WS abnormalities (11/22 patients); in the majority of them (7/11), the N20 component was bilaterally absent. This pattern occurred also in the two patients with isolated BG/T involvement. The group of infants with SEP score 1 was too small and the confidence intervals too large to reach statistical significance.

4. Discussion

The present multicenter study showed that, in infants cooled for neonatal asphyxia, bilateral loss of the median nerve SEPs N20 cortical component reliably predicts the presence of severe HIE-related parenchymal brain changes.

Several studies before the advent of TH reported the efficacy of SEPs in predicting extreme clinical outcomes in HIE neonates (i.e. death and surviving with cerebral palsy) (De Vries et al., 1991; Majnemer and Rosenblatt, 1995; Scalais et al., 1998; Suppiej et al., 2010). Specificity of abnormal SEPs has been reported to vary from 73% to 85% (Gibson et al., 1992; Taylor et al., 1992; Eken et al., 1995; Swarte et al., 2012; Julkunen et al., 2014) increasing above 90% when cortical SEPs are bilaterally absent (Mandel et al., 2002; Suppiej et al., 2010; Bouwes et al., 2012). Since the introduction of TH, only two studies investigated the role of bilaterally absent SEPs in the management of HIE neonates. One of these studies (Garfinkle et al., 2015) disclosed a strikingly decreased predictive value for poor clinical outcome suggesting a negative effect of TH on SEP findings, while the other did not reveal significant differences when the predictive role of SEPs was compared between the populations of treated and not treated infants (Nevalainen et al., 2017). Differences in methodology might account for results variability as observed in previous studies; specific frequencies of electrical stimulation filter settings and accurate monitoring of the clinical state of the neonate are needed to take into account receptor, peripheral and central nervous system immaturity. Particularly important is to take into account the habituation phenomena. One possible explanation of the better positive predictive value of SEP in the present study, compared to Garfinkle et al (2015) may be methodology. We used a lower stimulation rate 0.5 Hz versus 4 Hz. The detection rate of SEPs, even in healthy neonates, is dependent on the stimulation rate and other parameters (Bongers-Schokking et al 1989; De Vries, 1993). Studies using a stimulation rate of ≤ 2 Hz and a high-pass filter ≤ 10 Hz have reported a success rate of 100% for recording cortical SEPs in healthy neonates, whereas a stimulation rate of > 2 Hz and a high-pass filter of ≥ 20 Hz yielded SEP success rates as low as 66%–87% (Suppiej 2007 for a review). Also important is to reduce as much as allowed by signal to noise ratio, the number of averaged traces (Bongers-Schokking et al., 1989; Pressler et al., 2003); however, the use of low number of averages adopted in the present study does not seem to explain the better predictive role of SEPs. In fact, Nevalainen et al, 2017

obtained results similar to ours using a higher number of averaged traces; these authors suggest that a higher number of averages yield a better signal-to-noise ratio in the unfavourable NICU environment. The issue of being able to avoid artefacts in neonatal SEP recordings in of sick neonates in NICU is important. Indeed, ten out of sixty-eight neonates recruited in the present study had to be excluded from analysis because of unreliable traces due to artefacts. Possibly, this limitation could be avoided increasing the number averaged traces. Differences in predictive value of SEPs after TH might also depend on the number of patients with abnormal outcome, since limited numbers may lead to its underestimation and may explain the discrepancies between ours and other studies. The adoption of TH hypothermia for HIE had a positive effect on asphyxia-related brain damage at MRI (Bednarek et al., 2012) in line with improvement of long-term prognosis. But, it is difficult to recruit cases with severe SEP abnormalities. To overcome this problem, we underwent a multi-center study but despite of being the present study among the largest cohorts published so far, the still limited number of subjects, particularly those with severe outcome, compromised the possibility to carry out a more extensive statistical analysis.

The present study is in line with knowledge in adults with post anoxic coma (Tiainen et al., 2005; Rossetti et al., 2010; Bouwes et al., 2012) and seems to extend to post cooling era the high predictive value of bilaterally absent cortical SEPs vs moderate/severe outcome, in neonatal HIE.

On the other hand, this study disclosed a decreased sensitivity of SEPs after TH towards the presence of MRI abnormalities as less than half of neonates harboring MRI changes were identified by bilaterally absent cortical SEPs. In pre-TH studies, abnormal SEPs had a sensitivity ranging from 0.85 to 1.00, with respect to clinical outcome (deVries, 1991; Taylor et al., 1992; Eken et al., 1995; Scalais et al., 1998). According to our findings, TH seems to have an effect on the electrical activity of neurons, reducing demyelination and/or axon loss and thus preserving detection of N20 also in the presence of structural parenchymal changes particularly if due to tissue edema shown at MRI. On the other hand, 12/80 neonates were excluded from the study because of death occurring before undergoing SEPs or MRI. The inclusion of this subgroup, affected by a more severe form of HIE, most likely would have improved the global sensitivity of SEPs as these neonates have an increased probability of abnormal SEP and MRI. As pointed out by Nevalainen et al. (2017), much of the variability of predictive values of SEP reported in previous studies, could arise from different definitions of a SEP abnormality. The definition of SEP abnormalities adopted in the present study can partly explain our SEP/MRI incongruences. Indeed, based on our previous finding of best prediction of severe neurological outcome using bilaterally absent N20 (Suppiej et al 2010), for analysis we merged bilaterally and unilaterally recorded N20 component in one single group. Thus,

SEP score 0 subgroup included patients with unilaterally absent N20 that could show unilateral or less extended MRI parenchymal lesions. Preliminary follow up data are available, at 24 months, for seven patients of the present study having SEP/MRI incongruences (personal communication). All five patients with neurological sequelae, MRI abnormalities and SEP score 0, had monolateral SEP abnormality. By contrast, in the remaining two patients with normal neurological outcome and abnormal MRI, the SEP score 0 included bilaterally recorded N20 in one and unilaterally recorded N20 in the other one. The 23 patients with concordant SEP and MRI and available follow up data at 24 month all had coherent clinical outcome, confirming the complementary role of functional and anatomic diagnostics.

The use of MRI as a surrogate marker of neurological outcome is a limitation of the present study since MRI-specificity may be about 82% regarding 18-month clinical outcome (Rutherford et al., 2010). However, several studies, based on large populations of cooled and non-cooled neonates, have extensively confirmed the predictive value of different MR imaging patterns particularly for late scans (> 7 days), being the lesions in a more advanced state of evolution (Barkovich et al., 1998; Shankaran et al., 2012). Furthermore, for infants imaged earlier than 7 days of life, the use of DWI sequences allows the highest sensitivity, before pseudo-normalization occurs. In the present study, infants were imaged between 4 and 14 days, allowing a good sensitivity. Abnormalities in the acute phase may, however, transiently occur and resolve without sequelae, as observed in our two patients where the clinical outcome was more adherent to electrophysiological than imaging findings. This issue needs to be further investigated on a wider cohort. One other limitation of the present study is the use of only two scalp locations for recording the N20 component. The use of more electrodes better takes into account variability in scalp distribution of the N20, however, none of our patients with bilaterally absent SEP had normal outcome on MRI showing that this possibility did not occur in our study, possibly because we used central locations rather than centroparietal, taking into account the differences in the scalp to brain relationships of the immature brain (Karniski 1992a; 1992b). The choice of electrodes location for recording cortical SEP is one other methodological issue. We recorded at C3 and C4 locations, but other authors suggest the optimal site to be behind the interauricular line (Desmedt et al., 1976) and the majority of SEP studies have been performed with the posterior location. Nevertheless, with sufficiently high intensity stimuli, N20 is clearly seen at C3 and C4 too (Hashimoto et al., 1983).

In HIE neonates, MRI patterns of injury, depend on the duration and severity of hypoxic-ischemic insult, which are different from those of adult post-anoxic coma because of selective age-dependent vulnerability (DeVries and Groenendaal, 2010; Rutherford M et al., 2010; Barkovich et al., 1998).

Considering the different location of MRI abnormalities found in this study, the majority of patients with bilaterally absent SEPs were in the most severe subgroup showing coexistence of both WS and BG/T patterns of abnormalities. Differently from adults, in whom it is generally assumed that bilaterally absent cortical SEP reflect mainly severe widespread irreversible cortical damage, we found bilaterally absent cortical SEP pattern also in two patients with isolated BG/TA involvement, suggesting that absence of N20 cortical response in these cases was probably due to interruption of afferent somatosensory volley. Unfortunately, the number of cases with abnormal MRI was insufficient to analyze SEPs in different subgroups.

5. Conclusions

In asphyxiated term neonates, bilateral absence of cortical SEPs seems to be associated with moderate/severe MRI patterns of injury, which are known to correlate with cerebral palsy, the most severe outcome in survivors of neonatal HIE. SEPs should be included in the workup of HIE undergoing TH since their prognostic role is confirmed also in the population of neonates undergoing this therapeutic treatment, particularly when SEP and MRI give coherent results. Data on the clinical follow up, at present on the way, are needed to clarify the prognostic role of SEPs in patients with discrepant SEP/MRI findings.

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Conflict of interest

None of the authors have potential conflicts of interest to be disclosed.

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Tables

Table 1. Clinical characteristics of the population

	Neonates (n=58)
Male	30 (51.7%)
Birth weight, g	3228 ± 450
Gestational age, weeks	39.1 ± 1.8
pH < 7.0	36 (62%)
Base deficit >12	37 (63.7%)
Severe encephalopathy (Sarnat 3)	19 (32.8%)
10 min. Apgar score < 5	9 (15.5%)
Respiratory support at 10 min.	51 (87.9%)

Table 2. Cross tabulation of SEPs score (0: bilaterally/unilaterally recorded; 1: bilaterally absent) and the dichotomous outcome of MRI

MRI	SEP score 0	SEP score 1	Total
Normal-mild	36	0	36
Moderate-severe	12	10	22
Total	48	10	58

Table 3. Summary frequencies of SEP score (0: bilateral + monolateral presence; 1: bilateral absence) and MRI score (no injury, injury in BG/T, injury in WS, injury in BG/T and WS).

SEP	Normal/mild MRI	BG/T	WS	WS+BG/T	Total
Score 0 (%)	36 (75%)	4 (8,3%)	4 (8,3%)	4 (8,3%)	48
Score 1 (%)	0 (0%)	2 (20%)	1 (10%)	7 (70%)	10
Total	36	6	5	11	58

Legend: BG/T: basal ganglia/thalami region; WS: watershed region

Figure Legend

Figure 1. The N20 cortical response of upper limb SEPs recorded on day 7 in a neonate affected by moderate post asphyxia encephalopathy. The MRI was normal on day 6.

Traces recorded with C3-C4 montage following right median nerve stimulation at wrist (A) and with C4-C3 montage following left median nerve stimulation at wrist (B).

Bandpass 10 Hz-1.000 Hz.

