1 Identification of Early Risk Factors for Mortality in Pediatric Veno-Arterial Extra Corporeal

2 Membrane Oxygenation: The Patient Matters

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- **38** Word Count: 2,739
- 39
- 40 Disclosures:
- 41 Soojin Park is supported by the National Institutes of Health (1R01NS131606, 1R01NS129760). Murad
- 42 Megjhani is supported by the America Heart Association (20Post35210653).

44 <u>ABSTRACT</u>:

- 45 **Objective:** Pediatric Veno-Arterial Extra Corporeal Membrane Oxygenation (VA ECMO) is a life saving
- 46 technology associated with high mortality. A successful VA ECMO course requires attention to multiple
- 47 aspects of patient care, including ECMO and patient parameters. Early, potentially modifiable, risk factors
- 48 associated with patient mortality should be analyzed and adjusted for when assessing VA ECMO risk
- 49 profiles.
- 50 Method: Retrospective single center experience of pediatric patients requiring VA ECMO from January
- 51 2021 to October 2023. Laboratory and ECMO flow parameters were extracted from the patients record
- 52 and analyzed. Risk factors were analyzed using a Cox proportion hazard regression
- 53 Main Results: There were 45 patients studied. Overall survival was 51%. Upon uncorrected analysis
- 54 there were no significant differences between the patients who survived and those who died. Utilizing a
- 55 Cox proportion hazard regression, platelet count, fibrinogen level and creatine level were significant risk
- 56 factors within the first twenty-four hours of a patient's ECMO course.
- 57 Significance: Although we did not find a significant difference among ECMO flow parameters in this
- 58 study, this work highlights that granular ECMO flow data can be incorporated to risk analysis profiles and
- 59 potential modeling in pediatric VA ECMO. This study demonstrated, that when controlling for ECMO
- 60 flow parameters, kidney dysfunction and clotting regulation remain key risk factors for pediatric VA
- 61 ECMO mortality.
- 62

63 Introduction

- Extra Corporeal Membrane Oxygenation (ECMO) was first introduced as a viable medical therapy in the
- 65 1970s in the setting of severe acute respiratory distress syndrome (ARDS) (1). Since that time, ECMO
- 66 has undergone major refinement, leading to increased utilization and improved outcomes. Veno-Arterial
- 67 ECMO (VA-ECMO) treats patients who are often on the brink of viable physiology, and thus are at
- 68 extremely high risk of mortality. VA ECMO is increasingly implemented in pediatric patients, with
- 69 mortality improving over the past decades with current literature citing a mortality around 40-60% (2-7).
- 70
- 71 Decisions regarding goals of care are often clouded by the inability of the clinical team to provide
- 72 accurate prognostic information. Accurate risk factors for poor outcomes allow the clinical team to have
- 73 more informed conversations with care givers. Studies have tried to predict which patients will have
- 74 better outcomes after implementation of ECMO support. Several adult studies have leveraged machine
- 75 learning algorithms (8-10); however, these models largely rely on registry data(11). Many pediatric
- 76 ECMO research studies have found that age, gender, the development of renal or hepatic dysfunction
- 77 were associated with mortality. Other groups who have included more diverse pediatric patient

78 populations have found that lactate, pH (both before and after cannulation), as well as, renal dysfunction,

- 79 including use of continuous renal replacement, and active cannulation during cardiopulmonary
- 80 resuscitation (eCPR) are associated with mortality (4-6, 12, 13). Other variables, such as single-ventricle
- 81 physiology, location of patient cannulation and length of ECMO run are often, but not always, sited as
- 82 significant risk factors(6, 12). Novel non-invasive metrics, like echocardiographic studies have also been
- 83 associated with pediatric ECMO survival (3). Notably, these studies do not rigorously analyze the ECMO
- 84 derived flow parameters for each patient.
- 85
- 86 A successful VA-ECMO run requires attention to detail from multifaceted team members. There are
- 87 multiple technical as well as patient and ECMO physiologic variables that must be continuously adjusted
- 88 for optimal outcomes. This retrospective observational cohort study investigated routinely collected
- 89 laboratory data, as well as ECMO flow data within the first 24 hours of the ECMO run to determine
- 90 whether to elucidate early risk factors for patient mortality once on VA ECMO. Our aim was to focus on
- 91 early metrics with a goal of minimizing confounding variables.
- 92

93 Methods

94 <u>Study Population</u>

95 This is a retrospective observational cohort study at a single academic institution with both a neonatal and 96 pediatric cardiac intensive care unit. Pediatric patients who were treated with VA ECMO between January 97 2021 and October 2023 were included. Location of cannulation included operating room, PICU, Neonatal 98 Intensive Care Unit (NICU) and in other hospital locations (i.e. cardiac catheterization lab) were 99 recorded. The underlying indication for the patient's decompensation, necessitating the need for VA 100 ECMO, was extracted from their medical records based on progress notes. Patients were excluded from 101 analysis based on the following criteria: (1) ECMO run lasting less than 24 hours; (2) multiple ECMO 102 runs; (3) single-ventricle anatomy; (4) missing data due to cannulation location or incomplete data. The 103 Columbia University IRB committee approved this research study (Protocol # AAAU5398). Research 104 was conducted in accordance with the principles embodied in the Declaration of Helsinki and in 105 accordance with local statutory requirements. This study was a non-treatment, retrospective, observational 106 review of physiologic and ECMO data that was obtained as part of routine standard of care, and the IRB 107 approved a waiver of informed consent.

108 <u>ECMO Circuit</u>

109 Our institution performs 40-50 VA ECMO runs per year. ECMO cannulation was performed by a member

- 110 of the Pediatric Cardiothoracic Surgery or Pediatric General Surgery Team. Central or peripheral
- 111 cannulation was at the discretion of the surgical team based on the timing of the most recent sternotomy.

- 112 ECMO support was provided by the Cardiohelp ECMO system from Getinge (Göteborg, Sweden), with
- either a 5.0 oxygenator for patients <19kg or the 7.0 oxygenator for children >19kg. A perfusionist
- adjusted the ECMO settings in consultation with the clinical team. Our hospital does not have a protocol
- 115 or pathway for weaning ECMO support. Anti-coagulation was adjusted per institution protocol based on
- 116 bleeding and non-bleeding conditions.
- 117 <u>Data Collection</u>
- 118 Physiologic data was collected by the bedside monitor as part of routine standard of care. ECMO flow
- 119 data was retrospectively extracted from the Spectrum module (Gloucester, UK) at a sampling frequency
- 120 of 0.016Hz or 1 sample per minute. The first 24-hours of data after ECMO cannulation were included for
- 121 analysis. The start of the ECMO run was defined as the time that ECMO parameters were output from the
- 122 Spectrum data file. This date and time stamp was corroborated with our internal ECMO database to
- 123 ensure validity. ECMO Flow data consisted of Arterial Flow, Delta Pressure, Fractional Delivery of
- 124 Oxygen (FDO₂), Arterial Pressure, Venous Pressure, Cardiac Index (CI), Revolutions Per Minute (RPM),
- 125 SaO₂, SpO₂, SvO₂, and Sweep. Laboratory data included Hemoglobin, Hematocrit, Platelet Count,
- 126 Arterial pH, Arterial partial pressure of carbon dioxide (paCO₂), arterial bicarbonate (HCO₃), Creatinine,
- 127 Fibrinogen, Aspartate Aminotransferase (AST), Alanine Aminotransferase (ALT), and plasma free
- hemoglobin.
- 129 <u>Statistical Analysis</u>

130 All data analyses were performed using MATLAB 2020a (MathWorks, Massachusetts). For each patient, 131 the average value was calculated over the 24-hour period of the ECMO run for each variable. For each 132 group (i.e. Deceased or Survived), an average was calculated. Students' t-test with a significance level of 133 ≤ 0.05 was performed to compare the difference between the two groups. For demographic and baseline 134 characteristics between the two groups, continuous variables were compared using a non-paired Student's 135 t-test, assuming heterogenous variance. Categorical variables were compared using Fisher's exact test, or 136 Chi-squared test when appropriate with a significance level of ≤ 0.05 . Cox proportion hazard regression 137 was performed to identify risk factors for 180-day mortality. Among the variables with high correlation, 138 only one variable was included to reduce bias introduced to the analysis. For example, for AST and ALT, 139 only AST was used. Similarly, only hematocrit was incorporated into the model from the choice of hemoglobin or hematocrit. While it is recognized that pH, pCO2 and sweep are all interconnected, given 140 141 their clinical significance, all three variables were included in the model. Similarly, RPM and CI were 142 both included in the regression given their clinical implications.

- 143 Results
- 144 There were 106 patients who were cannulated to VA-ECMO between January 2021 and October 2023.
- 145 Nine patients had multiple ECMO runs, and the 22 patients who had single ventricle anatomy were

- 146 removed from analysis. Seven, nine and fourteen patients had an ECMO run <24 hours, were cannulated
- 147 at an outside hospital and subsequently transferred to our institution or had missing data respectively, and
- 148 were removed from analysis. Of the remaining 45 patients 23 (51%) survived and 22 (49%) died. Twelve
- 149 (27%) patients were cannulated in the setting of respiratory indications, twenty-three (51%) were
- 150 cannulated for primarily cardiac indications and ten (22%) were cannulated in the setting of eCPR (Table
- 151 1).
- 152 The study included 23 (51%) females. The patients' ages ranged from birth (0 days) to 22 years old with
- 153 an average of 4.5 years old (54 months). The average patient's weight prior to cannulation was 16.9kg.
- 154 The average ECMO run was 182.78 hours. There was no significant difference in patient demographic
- 155 data comparing those who survived, versus those who died (**Table 1**).
- 156 Twenty-three patients were cannulated while in the PICU (51.1%). Fourteen patients were cannulated in
- the NICU (31.1%). Six patients (13.3%) were cannulated in the operating room and two patients (4.4%)
- 158 were cannulated in the cardiac catheterization lab.
- 159 The most common diagnoses were pulmonary hypertension (8 patients), Valvular disease (5 patients),
- 160 Heart transplant complications (4 patients), congenital diaphragmatic hernia (4 patients), dilated
- 161 cardiomyopathy (3 patients), restrictive cardiomyopathy (3 patients), infection (2 patients), Tetralogy of
- 162 Fallot (2 patients) and Hypoplastic Left Heart (2 patients). For a complete breakdown of the entire cohort
- 163 please see *supplementary table 1*.
- 164 Lab values and ECMO flow data were averaged over the first 24-hour period of the ECMO run per
- 165 patient and then averaged for each cohort (survived or deceased). For the laboratory values within the first
- 166 24 hours of the ECMO run, the average ALT (Units/Liter) was 543.7 in those who survived compared to
- 167 455.9 in those who died (p = 0.77). The average fibrinogen (mg/dL) was 192.1 versus 151.11 (p = 0.053)
- 168 between the survivors and the deceased respectively. The average hematocrit (%) among the survivors
- 169 was 32.0 versus 31.2 in the deceased patients (p=0.56). The average platelet count ($\times 10^3/\mu$ L) was 111.5
- and 104.4 (p = 0.68) in the patients who survived versus those who died. Among survivors the average
- 171 creatinine (mg/dL) was 0.67 versus 1.01 (p = 0.067) in those who died. The average pH and paCO₂
- 172 (mmHg) was 7.34 and 41.7 in the survivors compared to 7.36 and 42.5 in those who died respectively,
- 173 with corresponding p- values of 0.56 and 0.64. The average lactate level (mmoL/L) was 3.68 in survivors
- 174 and 4.16 (p = 0.66) in those patients who died (**Table 2**)
- For the ECMO flow values the average CI $(L/min/m^2)$ was 1.94 in survivors versus 2.13 in those who
- died (p = 0.073). The corresponding average RPMs were 2708.2 compared to 2854.1 (p = 0.21) in those
- 177 patients who survived and those who died. The average ECMO sweep was 0.96 in the patients who
- 178 survived compared to 1.0 (p = 0.87) in those who lived. The FDO2 of the ECMO circuit averaged 59.7
- for patients who survived compared to 60.6 (p = 0.08) for patients who died. (Figure 1).

180 A Cox regression was run using the same variables above. The 180-day survival analysis is shown in

- 181 Table 3. After running the Cox survival analysis only three values were significant. For fibrinogen, the
- 182 Cox coefficient was -0.015, with a hazard ratio of 0.99 and a p value of 0.004. The corresponding 95th
- 183 percentile hazard ratio confidence interval ranged from 0.98 to 1.00. For creatinine the Cox coefficient
- 184 was 1.14 with a hazard ratio of 3.12 and a p value of 0.022. The 95^{th} percentile hazard ratio confidence
- 185 interval ranged from 1.18 to 8.27 for Creatinine. The Cox coefficient for Platelet count was 0.011, with a
- hazard ratio of 1.01 and a p value of 0.04. The 95th percentile hazard ratio confidence interval ranged from
- 187 1.00 to 1.02.
- 188 Discussion
- 189 Among patients requiring a singular run of VA ECMO we found a survival rate of 51%. This survival rate
- 190 is consistent with previously cited pediatric studies and congruent with data published by the ELSO
- 191 network (14-17). Our analysis was comprised of pediatric patients recovering after cardiac surgery as well
- 192 as patients admitted for other medical indications who subsequently required VA ECMO, including those
- 193 patients who required eCPR.
- 194 Within the first 24 hours of VA ECMO cannulation, we did not find any laboratory or ECMO parameter
- 195 that were significantly different among those patients who survived versus those who died. Upon using a
- 196 180-day Cox regression, we found that fibrinogen (p = 0.004), creatinine (p = 0.02) and platelet count (p
- 197 = 0.04) were significant risk factors associated with mortality within the first 24 hours of a patients
- 198 ECMO run.
- 199 Renal dysfunction and/or requiring continuous renal replacement therapy (CRRT) while on ECMO has
- been reported as a significant risk factor for mortality (16, 18). Additionally, decreased urine output,
- 201 likely a measure of both end organ perfusion and ongoing nephrogenic insult has been cited as a risk
- 202 factor for pediatric VA ECMO mortality (15). Authors have gone on to stratify the degree of renal
- 203 dysfunction, based on the Kidney Disease Improving Global Outcome (KDIGO) definition, and its impact
- 204 on in-hospital mortality for patients requiring VA ECMO (17). Our findings suggest that the risk
- associated with kidney disease is evident within the first 24 hours of a patients ECMO course; even while
- 206 controlling for the impact of other ECMO parameters.
- 207 Additionally, a patient's hematologic risk profile has been associated with mortality (19). We found that
- 208 platelet and fibringen levels are risk factors for patient survival. Interestingly, our data suggests that
- 209 higher fibrinogen levels may be slightly protective, evident by a hazard ratio less than 1. Conversely, a
- 210 higher platelet count was associated with a marginal increased risk of mortality. It is important to note the
- 211 complexity of the clotting cascade, and how both fibrinogen and platelet are impacted by systemic
- 212 inflammation, bleeding and the ECMO circuit itself. Our findings further highlight how critical
- appropriate anti-coagulation is when managing pediatric VA ECMO (20-22).

- 214 We hoped to eliminate some confounding factors by focusing on the first 24 hours of a patient's ECMO
- 215 course, where ideally the ECMO oxygenator and tubing is relatively devoid of significant fibrin
- 216 deposition (19). However, we cannot account for the microscopic changes that occur at the blood-
- 217 oxygenator membrane(23-25), or the inflammatory changes that occur due to the presence of the ECMO
- 218 cannulations themselves (26). Unfortunately, within the first 24 hours of a patients ECMO run, we did not
- 219 have enough data to comment on the role of plasma free hemoglobin, or other clotting factors.
- 220 Additionally, our institution only uses centrifugal ECMO circuits, and the implication on roller versus
- centrifugal systems is not addressed in our study.
- 222 Laboratory evidence of poor organ perfusion is frequently cited as being risk factors for patient mortality
- 223 while on ECMO. In our regression, we did not find hepatic enzymes (ALT), lactate or pH to be significant
- 224 (15, 17, 27). As we only looked at data within the first 24 hours, it is likely that some of these markers
- 225 would have become significant given a longer sampling window. We were unable to include the partial
- pressure of oxygen (paO₂) as a laboratory parameter, given the uncertainty surrounding this lab value.
- from the patient or the ECMO circuit, and thus were not analyzed.
- 229 To our knowledge this is the first pediatric study to examine relatively high frequency ECMO variables in
- 230 conjunction with patient laboratory markers. Given the complexity of ECMO, we believe it is imperative
- for retrospective studies to incorporate the impact that the ECMO circuit and ECMO parameters have on
- the patient's survival; however, in our study, ECMO circuit parameters were not significant risk factors
- within the first 24 hours. It seems clear to the practicing clinician, that the odds of survival are much
- different for a child requiring a CI of 3.5 L/min/m² versus 1.5 L/min/m², or a sweep of 10 L/min versus a
- sweep of 0.3 L/min, yet these variables were not significant during the first 24 hours of a patient's ECMO
- course. This study further demonstrates that ECMO flow parameters can be captured and should be
- 237 controlled for, in any risk analysis. Additionally, we selected laboratory and ECMO parameters that are
- frequently cited as being risk factors for patient outcomes. We decided to focus on the first 24 hours of a
- patient's ECMO run, hoping to elucidate early modifiable risk factors that may change a patients'
- 240 outcome, while limiting other confounding variables.
- 241 This was a retrospective study of pediatric patients requiring VA ECMO and thus has limitations. We
- included patients who were cannulated both centrally and peripherally, thus this study includes a
- 243 heterogeneous population. Furthermore, our institution does not have strict criteria as to which patients
- get cannulated onto ECMO, thus there is even more heterogeneity based on the
- anesthesiologist/intensivist and the surgeon involved in the cannulation. Our sample size is relatively
- 246 large for a single center; however, more patients would better elucidate the significance of each risk

- factor. Additionally, we did not incorporate physiologic parameters in this analysis (i.e. heart rate, mean
- arterial pressure etc.), which we hope to do in subsequent studies.
- 249 Conclusion
- 250 Over a 3-year period we analyzed 45 pediatric patients who were cannulated onto VA-ECMO with a 51%
- 251 survival rate. While there were no overt significant differences between the two groups, using a Cox
- regression including key ECMO parameters, we found that creatinine, fibrinogen and platelet count are
- 253 key risk factors for patient mortality within the first 24 hours of a patient's ECMO run. Our data provide
- evidence that maximal effort should be spent optimizing the patient, as none of the ECMO parameters
- 255 were significant risk factors for patient mortality.
- 256 The use of mechanical circulatory support is a complex and nuanced science that has provided lifesaving
- therapy to a heterogenous population. For accurate and impactful prediction, it is necessary to capture as
- 258 many aspects of these patients' care as possible, including ECMO support parameters. We hope that with
- 259 more multifaceted, granular clinical data, we will be better able to arm the clinical team with accurate and
- 260 predictive information.
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Tables and Figures

282 Table 1:

	Total (45)	Survived (23)	Deceased (22)	<i>p</i> - value
Age at cannulation (months)	54.0	48.81	59.47	0.66
Gender (F:M)	23:22	11:12	12:10	0.77
Weight (kg)	16.9	15.2	18.8	0.57
Cannulation				0.75
Central	13	6	7	
Peripheral	32	17	15	
Cannulation Location				1.00
PICU	23	12	11	
NICU	14	7	7	
OR	6	3	3	
Cath Lab	2	1	1	
Indication				0.41
Cardiac	23	14	9	
Respiratory	12	5	7	
eCPR	10	4	6	
Length of ECMO run (hours)	182.79	178.18	187.60	0.85
Diagnosis (Top 10)				
pHTN	8	6	2	
Valvular Disease	5	3	2	
OHT Complication	4	1	3	
CDH	4	3	1	
DCM	3	3	0	
RCM	3	2	1	
Infection	2	0	2	
Tetralogy of Fallot	2	2	0	
HLH	2	2	0	

Table 1: Demographic information for patients analyzed on Veno-Arterial Extracorporeal Membrane

284 Oxygenation. (PICU = Pediatric Intensive Care Unit, NICU = Neonatal Intensive Care Unit, OR =

285 Operating Room, Cath Lab = Cardiac Catheterization Laboratory, ECMO = Extracorporeal Membrane

286 Oxygenation, pHTN = Pulmonary Hypertension, OHT = Orthotopic Heart Transplant, CDH = Congenital

287 Diaphragmatic Hernia, DCM = Dilated Cardiomyopathy, RCM = Restrictive Cardiomyopathy, HLH =
 288 Hemophagocytic Lymphohistiocytosis)

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294 Table 2:

Laboratory and ECMO flow Data Mean and Standard Deviation					
	Survived (n=23)	Deceased (n=22)	p-value		
Arterial pH	7.34 (0.09)	7.36 (0.06)	0.56		
paCO2 (mmHg)	41.73 (5.86)	42.53 (5.42)	0.64		
Lactate (mmoL/L)	3.68 (3.5)	4.16 (3.8)	0.66		
Hematocrit (%)	32.01 (4.9)	31.22 (4.2)	0.56		
Platelet (×10 ³ µL)	111.5 (60.5)	104.4 (55.3)	0.68		
Fibrinogen (mg/dL)	192.08 (79.8)	151.11 (55.2)	0.053		
Creatinine (mg/dL)	0.67 (0.4)	1.01 (0.8)	0.067		
ALT (U/L)	543.7 (1210.4)	455.9 (659.0)	0.77		
CI (L/min/m ²)	1.94 (0.4)	2.13 (0.3)	0.073		
RPM	2708.18 (317.2)	2854.12 (443.6)	0.21		
Sweep (L/min)	0.96 (1.7)	1.04 (1.7)	0.87		
FDO ₂	59.69 (21.1)	60.62 (19.8)	0.88		

 Table 2: Averaged values and standard deviation for each patient cohort, survived versus deceased.

 $(paCO_2 = arterial partial pressure of carbon dioxide, ALT = alanine aminotransferase, CI = Cardiac Index,$

297 RPM = Revolutions per Minute, FDO2 = Fraction of Delivered Oxygen)

315 Table 3:

	Coefficient	Hazard Ratio	p-value	Hazard Ratio 95% Cl	
рН	4.31	74.1	0.33	0.013	430761
paCO ₂ (mmHg)	0.027	1.03	0.50	0.95	1.11
Lactate (mmoL/L)	0.14	1.14	0.15	0.95	1.38
Hematocrit (%)	- 0.044	0.96	0.49	0.85	1.08
Platelet (×10 ³ µL)	0.011	1.01	0.04	1.00	1.02
Fibrinogen (mg/dL)	- 0.015	0.99	0.004	0.98	1.00
Creatinine (mg/dL)	1.14	3.12	0.02	1.18	8.27
ALT (U/L)	-0.0005	1.00	0.073	1.00	1.00
CI (L/min/m ²)	0.44	1.55	0.60	0.30	8.01
RPM	0.0007	1.00	0.47	1.00	1.00
Sweep (L/min)	0.017	1.02	0.95	0.58	1.79
FDO ₂	- 0.012	0.99	0.49	0.96	1.02

316 Table 3: Cox Hazard Coefficient and Hazard ratio for each variable analyzed between the two cohorts,

317 survived versus deceased. ($paCO_2 = arterial partial pressure of carbon dioxide, ALT = alanine$

aminotransferase, CI = Cardiac Index, RPM = Revolutions per Minute, FDO2 = Fraction of Delivered
 Oxygen)

320 Figure 1





Figure 1: Averaged ECMO parameters every hour from time of ECMO cannulation, grouped on those
 who survived versus those who died. CI = Cardiac Index, RPM = Revolutions per Minute, FDO2 =
 Fraction of Delivered Oxygen.

337 Supplemental Table:

Diagnosis associated with ECMO Cannulation	Total Count	Survived	Deceased
Pulmonary Hypertension	8	2	6
Valvular Disease	5	3	2
Congenital Diaphragmatic Hernia	4	3	1
Heart Transplant Complication	4	1	3
Dilated Cardiomyopathy	3	3	0
Restrictive Cardiomyopathy	3	2	1
Tetralogy of Fallot	2	2	0
Infection	2	0	2
Hemophagocytic lymphohistiocytosis	2	2	0
Cardiac Mass	1	1	0
Heart Failure	1	0	1
Alveolar Capillary Dysplasia	1	0	1
Double Aortic Arch	1	1	0
Double Outlet Right Ventricle with Transposition of the Great	1	1	0
Arteries			
d-Transposition of the Great Arteries	1	1	0
Hypertrophic Cardiomyopathy	1	1	0
Atrio-Ventricular Canal	1	0	1
Partial Anomalous Pulmonary Venous Return	1	0	1
Asthma	1	1	0

338 Supplemental Table 1: Diagnoses of patients included in the analysis.

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