

Ten-Year Effects of the ACTIVE Cognitive Training Trial on Cognition and Everyday Functioning in Older Adults

Journal:	Journal of the American Geriatrics Society
Manuscript ID:	JAGS-1065-CI-Sep-12.R1
Wiley - Manuscript type:	Clinical Investigation
Date Submitted by the Author:	n/a
Complete List of Authors:	Rebok, George; Johns Hopkins Bloomberg School of Public Health, Mental Health Ball, Karlene; University of Alabama at Birmingham, Edward R. Roybal Center for Research on Applied Gerontology Guey, Lin; Shire HGT, not applicable Jones, Richard; Hebrew SeniorLife, Institute for Aging Research; Kim, Hae-Young; NERI, Aging King, Jonathan; National Institutes of Health, National Institutes on Aging Marsiske, Michael; University of Florida, Clinical and Health Psychology; Morris, John N.; Hebrew Rehabilitation Center for Aged, Research & Training Institute Tennstedt, Sharon; NERI, Aging Unverzagt, Frederick; Indiana University, Psychiatry Willis, Sherry; University of Washington, Department of Psychiatry and Behavioral Sciences
Key Words:	cognitive training , training maintenance, everyday function, cognitive abilities, elderly
	-

SCHOLARONE[™] Manuscripts

ACTIVE Ten-Year Effects on Cognition and Functioning

Ten-Year Effects of the ACTIVE Cognitive Training Trial on Cognition and Everyday Functioning in Older Adults

George W. Rebok, PhD. Professor, Department of Mental Health and Johns Hopkins Center on Aging and Health, Johns Hopkins University, Hampton House 891, 624 North Broadway, Baltimore, MD 21205; Karlene Ball, PhD, Professor and Chair, Department of Psychology, University of Alabama at Birmingham, 1300 University Blvd, Birmingham, AL 35294; Lin T. Guey, PhD, Associate Director, Shire HGT, Lexington, MA 02420; Richard N. Jones, ScD, Associate Director, Social and Health Policy Research, Hebrew SeniorLife, 1200 Centre Street, Boston MA 02131; Hae-Young Kim, DrPH, Senior Biostatistician, New England Research Institutes, 9 Galen Street, Watertown, MA 02472; Jonathan W. King, PhD, Program Director, Division of Behavioral and Social Research, National Institute on Aging, Bethesda, MD 20892; Michael Marsiske, PhD, Associate Professor, Institute on Aging and Department of Clinical and Health Psychology, University of Florida, PO Box 100165 HSC, Gainesville, FL 32610; John N. Morris PhD, Director of Social and Health Policy Research, Hebrew SeniorLife, 1200 Centre Street, Boston MA 02131; Sharon L. Tennstedt, PhD, Vice President, New England Research Institutes, 9 Galen Street, Watertown, MA 02472; Frederick W. Unverzagt, PhD, Professor, Department of Psychiatry, Indiana University School of Medicine, 1111 W. 10th Street, RM Suite PB 218A, Indianapolis, IN 46202; Sherry L. Willis, PhD, Professor, Department of Psychiatry and Behavioral Sciences, University of Washington, Seattle, WA 98195; for the ACTIVE Study Group.

Corresponding Author: George W. Rebok, <u>PhD</u>, Department of Mental Health, Hampton House 891, The Johns Hopkins University, 624 North Broadway, Baltimore, MD 21205-1901 (Phone: (410) 955-8550; Fax: (410) 955-9088; E-mail: (grebok@jhsph.edu)

Alternate Corresponding Author: Sharon L. Tennstedt, PhD, Vice President, New England Research Institutes, 9 Galen Street, Watertown, MA 02472 (Phone: (617) 972-3972; Fax: (617) 673-9515; E-mail: (stennstedt@neriscience.com)

Funding/Support: ACTIVE is supported by grants from the National Institute on Aging and the National Institute of Nursing Research to Hebrew SeniorLife (U01NR04507), Indiana University School of Medicine (U01NR04508), Johns Hopkins University (U01AG14260), New England Research Institutes (U01AG14282), Pennsylvania State University (U01AG14263), the University of Alabama at Birmingham (U01 AG14289), and the University of Florida (U01AG14276). Drs. Jones and Morris were also supported in part by the Edward Fein Foundation (Nevada) and through the generosity of Vicki and Arthur Loring (Massachusetts). Representatives of NIA and NINR were involved in the design of the study, interpretation of the data, and preparation, review, and approval of the manuscript.

Word Count: 2950

	ACTIVE Ten-Year Effects on Cognition and Functioning
1	Ten-Year Effects of the ACTIVE Cognitive Training Trial on
2	Cognition and Everyday Functioning in Older Adults
3	
4	ABSTRACT
5	Objective: To determine the effects of cognitive training on cognitive abilities and everyday
6	function over 10 years.
7	Design, Setting, and Participants: Ten-year follow-up of a randomized, controlled single-blind
8	trial with 3 intervention groups and a no-contact control group. A volunteer sample of 2832
9	persons (mean baseline age, 73.6 years; 26% African American) living independently in 6 US
10	cities. Interventions: Ten-session training for memory, reasoning, or speed-of-processing.; 4-
11	session booster training at 11 and at 35 months after training. Measurements: Objectively
12	measured cognitive abilities and self-reported and performance-based measures of everyday
13	function.
14	Results: Participants in each intervention group reported less difficulty with instrumental
15	activities of daily living (IADL) (memory: effect size, 0.48 [99% CI, 0.12-0.84]; reasoning:
16	effect size, 0.38 [99% CI, 0.02-0.74]; speed-of-processing: effect size, 0.36 [99% CI, 0.01-0.72]).
17	At mean age of 82 years, about 60% of trained participants compared to 50% of controls (p \leq .05)
18	were at or above their baseline level of <u>self-reported</u> IADL <u>function</u> at 10 years. The reasoning
19	and speed-of-processing interventions maintained their effects on their targeted cognitive
20	abilities at 10 years (reasoning: effect size, 0.23 [99% CI, 0.09-0.38]; speed-of-processing: effect
21	size, 0.66 [99% CI, 0.43-0.88]). Memory training effects were no longer maintained for memory
22	performance. Booster training produced additional and durable improvement for the reasoning
23	intervention for reasoning performance (effect size, 0.21 [99% CI, 0.01-0.41]) and the speed-of-

Page 4 of 40

ACTIVE Ten-Year Effects on Cognition and Functioning

- 24 processing intervention for speed-of-processing performance (effect size, 0.62 [99% CI, 0.31-
- 25 0.93]).
- 26 **Conclusions**: Each ACTIVE cognitive intervention resulted in less decline in self-reported
- 27 IADL compared with the control group. Reasoning and speed, but not memory, training resulted
- 28 in improved targeted cognitive abilities for 10 years.
- 29 Trial Registration: clinicaltrials.gov Identifier: NCT00298558
- 30
- , cogn Key Words: cognitive training, elderly, cognitive abilities, everyday function, training 31
- 32 maintenance
- 33
- 34 Abstract Word Count: 269

ACTIVE Ten-Year Effects on Cognition and Functioning

35 INTRODUCTION

Cognitive decline is prevalent in older adults and is associated with decline in 36 37 performance of instrumental activities of daily living (IADLs). Cognitive training has 38 demonstrated utility for reducing cognitive declines in normal aging (1, 2), but evidence of its 39 effectiveness in delaying difficulties in daily function has been limited (3). 40 The Advanced Cognitive Training for Independent and Vital Elderly (ACTIVE) study is 41 the first large-scale, randomized trial to show that cognitive training improves cognitive function in community-dwelling older adults up to 5 years and to show evidence of transfer of that 42 43 training to daily function (4, 5). Given the time lag in the relationship between cognitive change 44 and appearance of functional deficits, the full extent of the intervention effects on daily function was expected to take longer than 5 years to observe in this well-functioning study population (5). 45 Two hypotheses are derived from the trial's conceptual model (4, 6) and prior findings: 1) 46 the effects of cognitive training are specific to the trained cognitive ability and durable to 10 47 years; and 2) the effects of cognitive training will show positive transfer from cognitive function 48

49 to daily function (7, 8) at 10 years.

50

52 **METHODS**

53 **Design and Participants**

54 ACTIVE is a multi-site, randomized, controlled clinical trial (see Ball et al (4) and Jobe 55 et al (6) for details), with recruitment from March 1998 through October 1999 in six 56 metropolitan areas. Community-dwelling adults aged 65 years and older were eligible. 57 Exclusion criteria included: significant cognitive dysfunction (Mini-Mental State Examination 58 [MMSE] score < 23) (9); functional impairment (dependency or regular assistance in ADL on MDS Home Care (10); self-reported diagnoses of Alzheimer disease, stroke within the last 12 59 60 months, or certain cancers; current chemotherapy or radiation therapy; or poor vision, hearing, or 61 communicative ability that would have interfered with the interventions or outcome assessments. 62 A sample of 2,832 individuals (average age 73.6 years, average education 13 years, 74% white and 26% African American, and 76% women) were randomly assigned to one of three 63 intervention groups (memory, reasoning, or speed-of-processing training) or a no-contact control 64 group. Outcome assessments were conducted immediately following and at 1, 2, 3, 5, and 10 65 66 years after intervention. Study procedures were approved by institutional review boards at 67 participating institutions, and all participants provided written informed consent.

68 Interventions

ACTIVE training focused on memory, reasoning, and speed-of-processing because prior research indicated that these abilities show early age-related decline and are related to activities of daily living. Training was conducted in small groups in ten 60-75 minute sessions over 5-6 weeks. Memory training focused on improving verbal episodic memory through instruction and practice in strategy use. Reasoning training focused on improving the ability to solve problems that contained a serial pattern. Speed training focused on visual search and ability to process

ACTIVE Ten-Year Effects on Cognition and Functioning

increasingly more complex information presented in successively shorter inspection times.
Booster training (four 75-minute sessions) was provided at 11 and 35 months after training to a
random subset (39%) of participants in each training group who completed at least 8 of 10
training sessions. Sixty percent of selected participants completed booster training at year 1 and
year 3; 19% completed year 1 booster only; 6% completed year 3 booster only; and 15% did not
complete any booster training. Sixty-one percent of the total sample (n=1694) was not selected
to receive booster training.

82 **Outcome Measures**

83 Cognitive outcome measures assessed the effect of each cognitive training intervention on its 84 targeted cognitive ability. Memory outcomes involved measures of episodic verbal memory: 85 Rey Auditory-Verbal Learning Test (AVLT) total of five learning trials, the Hopkins Verbal 86 Learning Test (HVLT) total of three learning trials, and the Rivermead Behavioral Paragraph Recall test immediate recall (11-13). Reasoning outcomes involved measures requiring 87 88 identification of patterns including total correct for Letter Series (14), Letter Sets (15), and Word 89 Series (16). Speed-of-processing outcomes involved three Useful Field of View tasks requiring 90 identification and localization of information, with 75% accuracy, under varying levels of 91 cognitive demand (17-19).

Functional outcomes assessed whether training-related cognitive improvements improved everyday function. <u>There were three measure of daily function. The self-reported measure</u> of Everyday IADL function <u>was the</u> IADL difficulty sub-score from the Minimum Dataset - Home Care (MDS-HC) which assesses performance in the past 7 days on 19 daily tasks spanning meal preparation, housework, finances, health care, telephone, shopping, travel, and need for assistance in dressing, personal hygiene, and bathing. Validity and clinical utility of the MDS

ACTIVE Ten-Year Effects on Cognition and Functioning

98	scores have been established (20, 21). The two performance-based measures of daily function
99	included Everyday Problem Solving, comprised of the Everyday Problems Test (EPT) (22) and
100	Observed Tasks of Daily Living (OTDL) (23), and Everyday Speed, comprised of Complex
101	Reaction Time (CRT) (24) and Timed IADL (TIADL) (25).
102	There were multiple measures of the cognitive and daily function outcomes. Because we
103	were interested in training effects on an outcome such as memory function, rather than the
104	effects on each single test of memory function, we created composite scores for each area of
105	cognitive and daily function using the average of the standardized scores for each test in that
106	composite measure (4,5,6).
107	
108	Analysis
109	To evaluate the effects of ACTIVE training, an intention-to-treat analysis was conducted
110	using a repeated-measures mixed-effects model (26) for each cognitive and daily function
111	composite outcome. In these models, we included several design features and three interaction
112	terms to measure the net effect of training and both the net effect and added effect of booster
113	training. Time was treated as a categorical variable (baseline, 1, 2, 3, 5, 10 years). The following
114	baseline measures also were included: age, sex, cognitive status (MMSE score), years of
115	education, and visual acuity.
116	Training effects were assessed by comparing mean improvement from baseline to year 10
117	in each of the three training groups to mean improvement from baseline to year 10 in the non-
118	trained control group. Effects of booster training were assessed similarly by comparing mean
119	improvement from baseline to year 10 in subjects receiving booster training to mean
120	improvement from baseline to year 10 in subjects who did not receive booster training. This

ACTIVE Ten-Year Effects on Cognition and Functioning

121	comparison was made for each of the three cognitive interventions. The analyses were first
122	performed using available data. Then we assessed the impact of missing data by repeating the
123	analysis with multiple imputation (27, 28) and by conducting a sensitivity analysis that forced
124	missing cognitive and daily function scores to be low. <u>All statistical tests were two-sided.</u>
125	Analyses were conducted at the data coordinating center using R version 2.12.0 (29).
126	Results are presented as effect sizes which quantify the size of the difference between a
127	training group and the control group and provide a way to compare this difference across the
128	training groups (e.g., does reasoning training have a better effect than memory training on each
129	cognitive and daily function outcome). Cohen describes an effect size of 0.2 as small, 0.5 as
130	medium, and 0.8 as large (26). Because the analyses included 6 comparisons, we use a corrected
131	significance level (30) of p< 0.008.
132	In addition, we investigated the percent of participants who were at or above their
133	baseline performance level at 10 years after training (reliable change) using standard error of
134	measurement (SEM) (31). A participant was classified as reliably at or above baseline level if
135	their score at 10 years was within a 0.66 SEM confidence interval or more of the baseline score
136	(32). For our purposes, this was considered maintenance of performance. For each training
137	group, we compared the percent with reliable change on each cognitive and daily function
138	outcome to that of the control group.

139 **RESULTS**

140 Sample Characteristics

141	Of 5000 individuals contacted for participation, 2802 were randomized in accord with the
142	protocol and comprise the analytical sample. Of those not randomized, about 41% were
143	ineligible, 57% refused, and 1% were improperly randomized (FIGURE 1). Compared to
144	refusers, participants were less likely to be women (76% vs. 79%), were younger (mean age 74
145	vs. 75 years), more likely to be white (73% vs. 60%), married (36% vs. 27%), and better
146	educated (mean of 13.5 vs. 12.3 years). Participants had higher MMSE scores (mean 27.3 vs.
147	26.8) and were less likely to have heart disease (11% vs. 14%) and diabetes (13% vs. 17%) than
148	were refusers.
149	Baseline characteristics by intervention group appear in TABLE 1. Eighty-nine percent of
150	participants completed the training intervention. Completers were younger, had more education,
151	and had higher baseline MMSE and cognitive function scores.
152	Sixty-seven percent of the sample was retained 5 years after training, and 44% were
153	retained at 10 years. Death (40%) was the primary reason for non-participation at 10 years,
154	followed by the participant's decision to withdraw (35%) and site's decision to withdraw the
155	participant due to continued missed visits in the absence of explicit refusal (17%). Predictors of
156	attrition at 10 years include older age, male gender, non-married, higher alcohol consumption,
157	more physical and mental health problems, and worse performance on cognitive outcomes.
158	Attrition rates and predictors of attrition were similar across intervention groups.
159	Training Effects on Cognitive Abilities
160	Data in TABLE 2 report the mean scores at baseline and change from baseline to year 10
161	as well as the effect size of the intervention on each cognitive outcome. All interventions

ACTIVE Ten-Year Effects on Cognition and Functioning

162	produced immediate improvement in the <u>trained</u> cognitive ability (6) (FIGURE 2). This
163	improvement was retained for 10 years in the reasoning and speed trained groups (TABLE 2).
164	The effect sizes (shaded in TABLE 2) indicate a small effect of the reasoning intervention (0.23)
165	on the reasoning outcome and a medium-to-large effect of the speed intervention (0.66) on the
166	speed outcome at 10 years. The effect of the memory intervention (0.06) on the memory
167	outcome at 10 years was not significant. Similarly, there were significant effects of booster
168	training for the reasoning (effect size=0.21, CI: 0.01, 0.41) and speed (effect size = 0.62, 99% CI:
169	0.31, 0.93) interventions but not for the memory intervention.
170	Results of the analyses of reliable maintenance of cognitive function at 10 years (TABLE
171	2) show that 73.6% of reasoning-trained participants and 70.7% of speed-trained participants
172	were performing at or above their respective cognitive ability compared to 61.7% and 48.8%
173	respectively of control participants (p<.01). The results for memory-trained participants were
174	not significant.
175	Training Effects on Daily Function
176	At year 10, participants in all three intervention groups reported less difficulty in
177	performing IADL activities than did participants in the control group (TABLE 2, FIGURE 3).
178	The effects of the interventions (shaded in Table 2) were small to medium (i.e., 0.48 for memory,
179	0.38 for reasoning and 0.36 for speed). As displayed in FIGURE 3, self-reported IADL function
180	improved through 2 years. Then functional decline is first evident between years 2 and 3 for all
181	groups. From years 3 to 5, the decline is less in the three intervention groups than in the control
182	group. This difference in self-reported IADL function between trained participants and the non-
183	trained control participants is then maintained as all participants continue to decline (i.e. report
184	more IADL difficulties) from years 5 to 10.

ACTIVE Ten-Year Effects on Cognition and Functioning

- Results of the reliable maintenance analysis (TABLE 2) are consistent with this pattern of 185
- 186 temporal decline. Whereas at 10 years half (49.3%) of control participants reported the same or
- 187 improved level of IADL difficulty as at baseline, the proportions of trained participants reporting
- 188 the same or improved level of IADL difficulty were significantly higher (Memory: 61.6%, p<.01;
- 189 Reasoning: 60.2%, p<.01; Speed: 59.5%, p<.05). There was no effect of training (TABLE 2) or
- 190 added booster training (not shown) on the performance-based measures of everyday function.
- 191 Finally, the results of models using multiple imputation for missing data as well as results of the
- 192 sensitivity analysis (data not shown) were the same as the main results reported above.

ACTIVE Ten-Year Effects on Cognition and Functioning

194 **DISCUSSION**

195	In the ACTIVE trial, 10-14 weeks of organized cognitive training delivered to
196	community-dwelling older adults resulted in significant improvements in cognitive abilities and
197	better preserved functional status compared to non-trained persons 10 years later. Each training
198	intervention produced large and significant improvements in the trained cognitive ability. These
199	improvements dissipated slowly but persisted to at least 5 years for memory training and to 10
200	years for reasoning and speed-of-processing training. This is the first demonstration of long-
201	term transfer of the training effects on cognitive abilities to daily function.
202	Compared to non-trained participants, cognitive function for the majority of the reasoning
203	and speed-trained participants was at or above their baseline level for the trained cognitive ability,
204	10 years later. A significant percent of participants in all trained groups (at least 60%) continued
205	to report less difficulty performing IADLs compared to non-trained participants (49%). After 10
206	years, 60-70% of participants were as well or better off than when they started.
207	The absence of long-term memory training effects has been reported by others (33). It is
208	possible that the memory training used in ACTIVE requires more extensive practice or dosing to
209	reach durability levels comparable reasoning and speed training. It is also possible that the
210	durability of memory training is limited in older adults due to age-related structural changes in
211	the medial temporal lobe, including age-related neuropathology and even incipient Alzheimer
212	disease in some of the sample (34, 35).
213	There are a number of possible reasons for the finding that training effects on self-
214	reported daily function are maintained over time while the training effects on cognitive abilities
215	dissipate over time. First, this could reflect a cascade relationship between cognitive ability and

216	daily function. Prospective observational studies indicate that changes in cognition precede
217	changes in daily function by several years (36). Second, improved cognitive processing may
218	alter patterns of neural activation over the long-term (37, 38). Third, training-based
219	improvements in cognitive abilities may produce changes in behavior and social interaction that
220	promote broad-based engagement in functional activities and maintenance over many years.
221	The effects of cognitive training on daily function in this study were modest. This is
222	likely due to the fact that many factors beyond cognition affect daily function and functional
223	independence, including gender, social class, mood, sarcopenia, obesity, chronic diseases, and
224	social isolation to name a few (39, 40). Even within the cognitive realm, some domains like
225	general cognitive status and executive cognitive ability may be more closely related to daily
226	function than other domains (e.g., spatial skills) (41, 42).
227	Our study showed weak to absent effects of cognitive training on performance-based
228	measures of daily function. It is probably a mistake to conceive of these performance-based
229	functional measures as something other than cognitive tests. The administration formats, task
230	demands, and scoring all have more in common with standard cognitive tests than with actual
231	acts of daily living. In addition, these performance-based measures call on multiple cognitive
232	skills. A main lesson of the ACTIVE study and other cognitive intervention trials is that the
233	benefits of cognitive training are specific to the cognitive ability trained. Viewed in this way, it
234	is not surprising that the specific forms of cognitive training used in ACTIVE did not result in
235	improvements on performance-based measures of daily function that are really multi-ability
236	cognitive tests.
237	The ACTIVE 10-year retention rate was 44%. Death was the primary reason for non-
238	participation (40%), followed by the subject's decision to stop participation (35%) and the site's

ACTIVE Ten-Year Effects on Cognition and Functioning

239	decision to withdraw the subject (17%). In comparison, the Diabetes Prevention Program (DPPP)
240	reported a 10-year retention rate of 59% (43). However, DPPP participants were more than 20
241	years younger (50.6 yrs) at enrollment than were ACTIVE participants at enrollment (73.0 yrs).
242	Our 10-year retention rate compares favorably with rates in observational studies of similar
243	duration and samples of similar ages and ethnic diversity (44, 45). While retained subjects were
244	younger and had fewer physical and mental health problems at baseline, there was no difference
245	across groups in attrition. This means that the training effects we observed are not an artifact of
246	differential attrition. Further, in recognition of this attrition, we used appropriate methods to test
247	our assumptions about the missing data and the validity of our inferences. First, the linear mixed-
248	effects models are appropriate for situations with informative missingness and informative
249	censoring (46). In addition, we analyzed the effect of missing data on the outcomes with both
250	multiple imputation and a sensitivity analysis that assumed missing outcome scores to be low.
251	Results of the analysis using multiple imputation and the sensitivity analysis were similar to the
252	results of the mixed effects models. Therefore, our results regarding the effects of cognitive
253	training interventions are likely robust.
254	We note that the evaluation of the effect of booster training is limited because the two
255	groups of interest (booster trained and non-booster trained) are not comparable. In order to be
256	eligible for selection for booster training, participants had to have completed at least 80% of
257	baseline training. In contrast, only 20% of non-booster trained participants completed baseline
258	training. Therefore, the non-booster trained group is overrepresented by persons who did not
259	complete baseline training, and reflects neither participants who completed baseline training nor
260	non-trained participants (i.e., the control group) but something in between.

ACTIVE Ten-Year Effects on Cognition and Functioning

- 261 In summary, ACTIVE was the first multi-site clinical trial to test the effects of cognitive
- 262 training interventions on cognitive abilities and daily function. Results at 10 years demonstrate
- 263 that cognitive training has beneficial effects on cognitive abilities and on self-reported IADL
- 264 function. These results provide support for the development of other interventions, particularly
- 265 those that target multiple cognitive abilities and are more likely to have an effect on IADL
- 266 performance. Such interventions hold the potential to delay onset of functional decline and
- 267 possibly dementia and are consistent with comprehensive geriatric care that strives to maintain
- 268 and support functional independence. If interventions that could delay onset of functional
- 269 impairment by even 6 years were introduced, the number of people affected by 2050 would be
- <u>oe of s.</u> 270 reduced by 38 percent (47) which would be of great public health significance.
- 271

ACTIVE Ten-Year Effects on Cognition and Functioning

272 ACKNOWLEDGEMENTS:

- The principal investigators thank the following NIH project officers who were at their respective
 Institutes during some or all of the project period: Jared Jobe, Daniel Berch, Jeffrey Elias, Sidney
 Stahl, and Jonathan King of the National Institute on Aging, and Taylor Harden, Karin Helmers,
 Mary Leveck, Nell Armstrong, Kathy Koepke, and Susan Marden of the National Institute of
 Nursing Research. We also thank the ACTIVE participants and the research staff at each field
 site and the data coordinating center.
- 279

de enter.

280 **Conflict of Interest**

Elements of Financial/Personal Conflicts	*Author 1 (GWR)		Author 2 (KB)		Author 3 (LTG)		Author 4 (RNJ)		Author 5 (HYK)		Author 6 (JK)		Author 7 (MM)		Author 8 (JNM)		Author 9 (SLT)		Author 10 (FWU)		Author 11 (SLW)	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No
Employment or Affiliation		X		X		X	R	X		X		X		X		x		X		X		X
Grants/Funds	X		X		X		X		X	9		X	X		X		Х		X		X	
Honoraria		Х		X		X		X		X		X		X		X		X		X		X
Speaker Forum	X			X	-	X		X		X		X		X		X		X		X		X
Consultant		X	X			X		x		X		X		X		X		X		X		X
Stocks		Х	X		-	X		X		X		X		X		X		X		X		X
Royalties		Х	X			X		X		X		X		X		X		X		X		X
Expert Testimony		X		X		X		x		X		X		X		x		X		X		X

ACTIVE Ten-Year Effects on Cognition and Functioning

Board Member		X	x			X	X	X	Х		X		X	X		X	X
Patents		X		X		X	X	X	Х		X		X	X		X	X
Personal Relationship		X	X			X	X	X	X		X		X	X		X	X
Other	X		X		x	X	X	X	X	X		X		X	X		X
281 282																	

- 283 Financial Disclosures:
- ACTIVE is supported by grants from the National Institute on Aging and the National Institute
- of Nursing Research to Hebrew Senior Life (U01 NR04507), Indiana University School of
- 286 Medicine (U01NR04508), Johns Hopkins University (U01AG14260), New England Research
- 287 Institute (U01 AG14282), Pennsylvania State University (U01 AG14263), University of
- Alabama at Birmingham (U01 AG14289), University of Florida (U01AG14276).

289

Dr. Unverzagt has received research support from Posit Science, Inc., in the form of site licenses
for cognitive training programs for investigator-initiated research projects.

292

293 Dr. Marsiske has received research support from Posit Science, Inc., in the form of site licenses 294 for cognitive training programs for investigator-initiated research projects. Dr. Marsiske has 295 received research support from Robert Wood Johnson Foundation and McKnight Brain Research 296 Foundation. Dr. Marsiske has received payment for development of education presentations from 297 the National Academy of Neuropsychology and the International Neuropsychological Society for 298 workshops on cognitive interventions. Dr. Marsiske has received payment for development of 299 education presentations from the National Institute on Aging and American Society on Aging for 300 overview presentation on cognitive interventions.

301

Dr. Ball is a consultant and owns stock in the Visual Awareness Research Group and Posit
Science, Inc., the companies that market the Useful Field of View Test (UFOV®) and speed of
processing training software now called Insight (the Visual Awareness Research Group invented
Insight and the UFOV®). Dr. Ball serves as a member of the Posit Science Scientific Advisory

ACTIVE Ten-Year Effects on Cognition and Functioning

306 Board. Posit Science paid royaities to the visual Awareness Research Group (unrelated t

- 307 study described). The Visual Awareness Research Group is an S Corp; all profits and losses
- 308 flow to stockholders.
- 309
- 310 Dr. Rebok is an investigator with Compact Disc Incorporated for the development of an
- 311 electronic version of the ACTIVE memory intervention.
- 312
- 313 Drs. Morris and Jones received support from the Edward Fein Foundation and Vicki and Arthur
- 314 Loring for research activities.
- 315
- 316 The views expressed in this article are those of the authors and not to be ascribed to the National
- 317 Institute on Aging, National Institute of Nursing Research or the Department of Health and
- 318 Human Services.

- 319 Author Contributions: Drs. Guey and Kim had full access to all of the data in the study and
- 320 take responsibility for the integrity of the data and the accuracy of the data analysis.
- 321 Study concept and design: Rebok, Ball, Jones, Marsiske, Morris, Tennstedt, Unverzagt, Willis.
- 322 Acquisition of data: Rebok, Ball, Marsiske, Morris, Unverzagt, Willis
- 323 Analysis and interpretation of data: Rebok, Ball, Jones, King, Marsiske, Morris, Tennstedt,
- 324 Unverzagt, Willis, Guey, Kim.
- 325 Drafting of the manuscript: Rebok, Ball, Jones, King, Marsiske, Tennstedt, Unverzagt, Willis,
- 326 Guey.
- 327 Critical revision of the manuscript for important intellectual content: Rebok, Ball, Jones, King,
- 328 Marsiske, Tennstedt, Unverzagt, Willis, Guey, Kim.
- 329 Statistical analysis: Jones, Marsiske, Guey, Kim
- 330 Obtained funding: Rebok, Ball, Marsiske, Morris, Tennstedt, Unverzagt, Willis.
- 331 Administrative, technical, or material support: Rebok, Ball, Jones, King, Marsiske, Morris,
- 332 Tennstedt, Unverzagt, Willis, Guey, Kim.
- 333 Study supervision: Rebok, Ball, Jones, Marsiske, Morris, Tennstedt, Unverzagt, Willis.

- 335 Role of the Sponsor: Representatives of the National Institute on Aging and the National
- 336 Institute of Nursing Research were directly involved in the design of the study, interpretation of
- the data, and preparation, review, and approval of the manuscript. These representatives also
- 338 monitored the conduct of the study, collection, management, and analysis of the data.

ACTIVE Ten-Year Effects on Cognition and Functioning

339 Author Affiliations: Department of Mental Health and Johns Hopkins Center on Aging and 340 Health, Johns Hopkins University (Dr. Rebok); Department of Psychology, University of 341 Alabama at Birmingham (Dr. Ball); Hebrew Senior Life, Boston, MA (Drs. Jones and Morris); 342 National Institute on Aging, Bethesda, MD (Dr. King); Institute on Aging and Department of 343 Clinical and Health Psychology, University of Florida (Dr. Marsiske); New England Research 344 Institutes, Watertown, MA (Drs. Tennstedt, Guey and Kim); Department of Psychiatry, Indiana 345 University School of Medicine (Dr. Unverzagt); Department of Psychiatry and Behavioral 346 Sciences, University of Washington (Dr. Willis). 347 348 **ACTIVE Study Investigators:** In addition to the principal investigators and program officers, 349 the following persons participated in the ACTIVE study: Hebrew SeniorLife - Adrienne L. 350 Rosenberg MS; Indiana University School of Medicine - Daniel F. Rexroth PsyD., David M. 351 Smith MD, Lyndsi Moser CCRP, Fredric D. Wolinsky PhD; Johns Hopkins University - Jason 352 Brandt, PhD, Kay Cresci PhD, RN, Joseph Gallo MD, MPH, Laura Talbot PhD, EdD, RN, CS; 353 New England Research Institutes (Data Coordinating Center) - Kathleen Cannon BS, Michael 354 Doherty MS, Henry Feldman PhD, Patricia Forde BS, Nancy Gee MPH, Eric Hartung EdD, 355 Linda Kasten MS, Ken Kleinman ScD, Herman Mitchell PhD, George Reed PhD, Anne 356 Stoddard ScD, Yan Xu MS, Elizabeth Wright PhD; Pennsylvania State University – Pamela 357 Davis MS, Scott Hofer PhD, K. Warner Schaie PhD; University of Alabama at Birmingham -358 Jerri Edwards PhD, Martha Frankel, Cynthia Owsley PhD, Dan Roenker PhD, David Vance PhD, 359 Virginia Wadley PhD; University of Florida / Wayne State University - Manfred K. Diehl, PhD, 360 Ann L. Horgas, RN, PhD, FAAN, Peter A. Lichtenberg, PhD, ABPP

REFERENCES

 Hertzog C, Kramer A, Wilson R, et al. Enrichment effects on adult cognitive development: can the functional capacity of older adults be preserved and enhanced? Psychol Sci 2008;9(1):1-65.

2. Rebok G. Cognitive training: influence on neuropsychological and brain function in later life. State-of-Science Review: SR:E22 UK. Government Foresight Mental Capital and Mental Wellbeing Project. Government Office for Science; 2008.

3. Pappa K, Walsh S, Snyder P. Immediate and delayed effects of cognitive interventions in healthy elderly: a review of current literature and future directions. Alzheimers Dement 2009;5(1):50-60.

4. Ball K, Berch DB, Helmers KF, et al. Effects of cognitive training interventions with older adults: a randomized controlled trial. JAMA 2002;288(18):2271-2281.

5. Willis SL, Tennstedt SL, Marsiske M, et al. Long-term effects of cognitive training on everyday functional outcomes in older adults. JAMA 2006;296(23):2805-2814.

6. Jobe JB, Smith DM, Ball K, et al. ACTIVE: a cognitive intervention trial to promote independence in older adults. Controlled clinical trials 2001;22(4):453-479.

 Lazaridis EN, Rudberg MA, Furner SE, et al. Do activities of daily living have a hierarchical structure? An analysis using the longitudinal study of aging. Journal of gerontology 1994;49(2):M47-51.

 Wolinsky F, Miller D. Disability concepts and measurement: contributions of the epidemiology of disability to gerontological inquiry. In: Wilmoth J, Ferraro K, eds. Gerontology: Perspectives and issues. New York, New York: Springer Publishing, 2006.

ACTIVE Ten-Year Effects on Cognition and Functioning

9. Folstein MF, Folstein SE, McHugh PR. "Mini-mental state". a practical method for grading the cognitive state of patients for the clinician. Journal of psychiatric research 1975;12(3):189-198.

 Morris J, Morris S. ADL Assessment Measures for Use with Frail Elders In: Teresi J, Lawton M, Holmes D, et al., eds. Measurement in elderly chronic care populations. New York, NY: Springer Publishing Co, 1997.

11. Brandt J. The Hopkins Verbal Learning Test: development of a new memory test with six equivalent forms Clin Neuropsychol 1991;5(2):125-142.

Rey A. L'examen psychologique dans les cas d'encéphalopathie traumatique. (Les problems.). / The psychological examination in cases of traumatic encepholopathy. Problems. Archives de Psychologie 1941;28:215-285.

13. Wilson B, Cockburn J, Baddeley A. The Rivermead Behavioural Memory Test. 34 The Square, Titchfield, Fareham, Hampshire PO14 4AF: Thames Valley Test Company, 1985.

 Thurstone L, Thurstone T. Examiner Manual for the SRA Primary Mental Abilities Test (Form 10-14). Chicago: Science Research Associates, 1949.

15. Ekstrom R, French J, Harman H, et al. Kit of Factor-Referenced Cognitive Tests (Rev.

ed.). Princeton, NJ: Educational Testing Service, 1976.

Gonda J, Schaie K. Schaie-Thurstone Mental Abilities Test: Word Series Test. Palo Alto,
 CA: Consulting Psychologists Press, 1985.

17. Owsley C, Ball K, Sloane ME, et al. Visual/cognitive correlates of vehicle accidents in older drivers. Psychology and aging 1991;6(3):403-415.

18. Owsley C, Ball K, McGwin G, Jr., et al. Visual processing impairment and risk of motor vehicle crash among older adults. JAMA 1998;279(14):1083-1088.

19. Ball KK, Beard BL, Roenker DL, et al. Age and visual search: expanding the useful field of view. Journal of the Optical Society of America 1988;5(12):2210-2219.

20. Landi F, Tua E, Onder G, et al. Minimum data set for home care: a valid instrument to assess frail older people living in the community. Medical care 2000;38(12):1184-1190.

21. Hirdes JP, Fries BE, Morris JN, et al. Home care quality indicators (HCQIs) based on the MDS-HC. The Gerontologist 2004;44(5):665-679.

22. Willis S, Marsiske M. Manual for the Everyday Problems Test. University Park, PA: Pennsylvania State University, 1993.

23. Diehl M, Marsiske M, Horgas AL, et al. The Revised Observed Tasks of Daily Living: A performance-based assessment of everyday problem solving in older adults. J Appl Gerontol 2005;24(3):211-230.

24. Ball K. Increased mobility and reducing accidents of older drivers. In: Schaie K,Pietrucha M, eds. Mobility and Transportation in the Elderly. New York, NY: Springer, 2000.

25. Owsley C, Sloane M, McGwin G, Jr., et al. Timed instrumental activities of daily living tasks: relationship to cognitive function and everyday performance assessments in older adults. Gerontology 2002;48(4):254-265.

Brown H, Prescott R. Applied Mixed Models in medicine, 2nd Ed. Chichester England;
 Hoboken NJ: John Wiley, 2006.

27. Schafer J. Analysis of Incomplete Multivariate Data. London: Chapman & Hall, 1997.

28. van-Buuren S, Oudshoorn C. The mice Package: Multivariate Imputation by Chained Equations, 2007.

29. Team RDC. R: A language and environment for statistical computing. . Vienna, Austria:R Foundation for Statistical Computing, 2008.

Abdi H, ed. Bonferroni and Šidák corrections for multiple comparisons. Thousand Oaks,
 CA: Sage, 2007.

Dudek F. The continuing misinterpretation of the standard error of measurement.
 Psychological Bulletin 1979;86(2):335-337.

32. Garrett H. Statistics in psychology and education. New York: Longsman, 1937.

33. Scogin F, Bienias JL. A three-year follow-up of older adult participants in a memoryskills training program. Psychology and aging 1988;3(4):334-337.

34. Singer T, Lindenberger U, Baltes PB. Plasticity of memory for new learning in very old age: a story of major loss? Psychology and aging 2003;18(2):306-317.

35. Jack CR, Jr., Knopman DS, Jagust WJ, et al. Hypothetical model of dynamic biomarkers of the Alzheimer's pathological cascade. Lancet neurology 2010;9(1):119-128.

36. Schaie K. Developmental influences on adult intellectual development: The Seattle Longitudinal Study. New York: Oxford University Press, 2005.

37. Kelly AM, Garavan H. Human functional neuroimaging of brain changes associated with practice. Cereb Cortex 2005;15(8):1089-1102.

38. May A, Hajak G, Ganssbauer S, et al. Structural brain alterations following 5 days of intervention: dynamic aspects of neuroplasticity. Cereb Cortex 2007;17(1):205-210.

Beland F, Zunzunegui MV. Predictors of functional status in older people living at home.Age and ageing 1999 Mar;28(2):153-159.

40. Baumgartner RN, Wayne SJ, Waters DL, et al. Sarcopenic obesity predicts instrumental activities of daily living disability in the elderly. Obesity research 2004 Dec;12(12):1995-2004.

41. Royall D, Lauterbach E, Kaufer D, et al. The cognitive correlates of functional status: a review from the Committee on Research of the American Neuropsychiatric Association. J Neuropsychiatry Clin Neurosci 2007;19(3):249-265.

42. Johnson JK, Lui LY, Yaffe K. Executive function, more than global cognition, predicts functional decline and mortality in elderly women. J Gerontol A Biol Sci Med Sci 2007 Oct;62(10):1134-1141.

43. Knowler WC, Fowler SE, Hamman RF, et al. 10-year follow-up of diabetes incidence and weight loss in the Diabetes Prevention Program Outcomes Study. Lancet 2009;374(9702):1677-1686.

44. Carlson MC, Xue QL, Zhou J, et al. Executive decline and dysfunction precedes declines in memory: the Women's Health and Aging Study II. The journals of gerontology 2009;64(1):110-117.

45. Gao S, Thiébaut R. Mixed-effect models for truncated longitudinal outcomes with nonignorable missing data. J Data Sci 2009;7(1):27-42.

46. Park S, Palta M, Shao J, et al. Bias adjustment in analysing longitudinal data with informative missingness. Statistics in medicine 2002 Jan 30;21(2):277-291.

47. Sloane PD, Zimmerman S, Suchindran C, et al. The public health impact of Alzheimer's disease, 2000-2050: potential implication of treatment advances. Annual review of public health 2002;23:213-231.

ACTIVE Ten-Year Effects on Cognition and Functioning

GRAPHICS

Table 1. Baseline Characteristics.

			Speed of	
	Memory	Reasoning	Processing	Control
	(n=703)	(n=699)	(n=702)	(n=698)
Age, mean (SD) [range]	73.5 (6.0) [65-93]	73.5 (5.8) [65-91]	73.4 (5.8) [65-91]	74.1 (6.1) [65-94]
Female sex	537 (76.4)	537 (76.8)	538 (76.6)	514 (73.6)
Race				
White	524 (74.5)	504 (72.1)	523 (74.5)	503 (72.1)
Black	176 (25.0)	190 (27.2)	175 (24.9)	187 (26.8)
Other or unknown	3 (0.4)	5 (0.7)	4 (0.6)	8 (1.2)
Years of education, mean (SD) [range]	13.6 (2.7) [5-20]	13.5 (2.7) [4-20]	13.7 (2.7) [5-20]	13.4 (2.7) [6-20]
Married	257 (36.6)	249 (35.6)	242 (34.5)	259 (37.1)
Mini-Mental State Examination score, mean				
(SD) [range]	27.3 (2.1) [23-30]	27.3 (2.0) [23-30]	27.4 (2.0) [23-30]	27.3 (2.0) [23-30]
Short-Form 36 physical function score, mean				68.9 (24.6) [5-
(SD) [range]	69.1 (23.5) [5-100]	67.4 (24.1) [5-100]	69.7 (24.1) [0-100]	100]

ACTIVE Ten-Year Effects on Cognition and Functioning

Alcohol consumption †				
Nondrinker	298 (43)	302 (43)	295 (42)	350 (51)
Light drinker	341 (49)	347 (50)	362 (52)	313 (45)
Heavy drinker	60 (8)	46 (7)	42 (6)	30 (4)
Center for Epidemiologic Studies Depression				
Scale score, mean (SD) [range]	5.1 (5.3) [0-36]	5.5 (5.3) [0-36]	5.2 (5.0) [0-36]	5.1 (4.9) [0-36]
Disease history				
Hypertension	372 (53.1)	369 (53.2)	350 (50.1)	337 (48.8)
Diabetes	95 (13.5)	99 (14.2)	87 (12.4)	77 (11)
Transient ischemic attack or stroke	46 (6.6)	54 (7.8)	51 (7.3)	44 (6.3)
Ischemic heart disease	108 (15.5)	117 (17)	94 (13.5)	102 (14.7)
Congestive heart failure	30 (4.3)	44 (6.4)	27 (3.9)	37 (5.4)
High cholesterol	309 (44.6)	316 (46.4)	305 (44.3)	296 (43.1)
Myocardial infarction	79 (11.3)	78 (11.2)	76 (10.9)	76 (10.9)

Data presented as N(%) unless otherwise indicated.

† Based on frequency of drinking alcohol and number of drinks on a typical day when drinking.

Table 2. Effect of Training on Cognitive and Functional Outcomes From Baseline to Year 10

Intervention Groups

	Memory	Reasoning	Speed	Control Group
Memory (possible range: 0 to 132, N=943)				
Score at baseline, mean (SD)	82.1 (25.7)	79.5 (26.3)	79.1 (25.5)	79.8 (27.3)
Mean change from baseline to year 10	-10.6	-11.2	-12.7	-9.4
Effect size (99% CI)*	0.06 (-0.14,0.27)	-0.11 (-0.31,0.10)	-0.05 (-0.25,0.15)	
% at or above baseline level §	35.9%	28.6%	31.0%	31.0%
Reasoning (possible range: 0 to 75, N=938)	-4			
Score at baseline, mean (SD)	31.8 (11.7)	29.6 (12.3)	28.9 (12.0)	30.2 (12.8)
Mean change from baseline to year 10	-3.2	-0.05	-3.9	-3.0
Effect size (99% CI)*	-0.02 (-0.17,0.12)	0.23 (0.09,0.38)	-0.06 (-0.20,0.08)	
% at or above baseline level §	60.0%	73.6% (p<.01)	59.3%	61.7%

Table 2. Effect of Training on Cognitive and Functional Outcomes From Baseline to Year 10 (cont.)

Intervention Groups

	Memory	Reasoning	Speed	Control Group
Speed of Processing (possible range: 0 to 1500, N=88	3)			
Score at baseline, mean (SD)	774.1 (216.9)	800.9 (231.0)	830.0 (231.9)	800.6 (231.8)
Mean change from baseline to year 10	-144.4	-126.2	24.3	-123.3
Effect size (99% CI)*	-0.07 (-0.29,0.16)	0.005 (-0.22,0.23)	0.66 (0.43,0.88)	
% at or above baseline level §	47.2%	48.5%	70.7% (p<.01)	47.8%
IADL difficulty (possible range: 0 to 38, N=1211)	-1			
Score at baseline, mean (SD)	1.0 (1.8)	1.2 (2.0)	1.1 (2.0)	0.9 (2.1)
Mean change from baseline to year 10	-3.1	-2.7	-2.3	-3.6
Effect size (99% CI)*	0.48 (0.12,0.84)	0.38 (0.02,0.74)	0.36 (0.01,0.72)	
% at or above baseline level §	61.6% (p<.01)	60.2% (p<.01)	58.5% (p<.05)	49.3%

Score at baseline, mean (SD)	40.7 (7.7)	39.2 (8.1)	38.7 (7.7)	39.4 (9.1)
Mean change from baseline to year 10	-6.1	-5.6	-6.0	-5.7
Effect size (99% CI)*	0.004 (-0.23,0.24)	-0.02 (-0.25,0.22)	0.008 (-0.23,0.24)	
% at or above baseline level §	59.6%	63.1%	61.0%	61.4%
ryday speed of processing (possible range: -3 t	o 100, N=938) ⁺			
Score at baseline, mean (SD)	3.2 (1.0)	3.3 (1.2)	3.4 (1.3)	3.4 (1.1)
Mean change from baseline to year 10	-1.5	-1.4	-1.5	-1.4
Effect size (99% CI)*	0.02 (-0.19,0.23)	-0.004 (-0.21,0.21)	-0.05 (-0.26,0.16)	
% at or above baseline level §	34.9%	30.5%	29.0%	30.2%

Abbreviations: CI, confidence interval; SD, standard deviation; IADL, instrumental activities of daily living.

*Effect size defined as training improvement from baseline to year 10 minus control improvement from baseline to year 10 divided by

the intrasubject SD of the composite score. Positive effect sizes indicate improvement.

+One component of this composite score is a standardized z score with a potential range of $-\infty$ to ∞ .

 $Calculated as the percentage of participants in each group who were \geq 0.66 SEM above baseline.$

Figure 1. Profile of the ACTIVE trial





ACTIVE Ten-Year Effects on Cognition and Functioning

Figure 2. Cognitive Outcomes by Time and Training Group.

The figures displays mean scores for the three cognitive outcomes - memory (panel A), reasoning (panel B), speed-of-processing (panel C) - for each training group at each time point. Higher scores indicate better performance. The sample sizes show the number of participants with complete data for each cognitive outcome at each time point.

perfo.





ACTIVE Ten-Year Effects on Cognition and Functioning

Figure 3. Training effects on self-reported Instrumental Activities of Daily Living (IADL) difficulty scores.

The figure displays mean IADL difficulty scores for each training group at each time point. Higher scores indicate better functioning. The sample sizes show the number of participants with complete data for the IADL difficulty score at each time point.



