

1 **Prevalence of depression, anxiety, and apathy symptoms across dementia stages: a**  
2 **systematic review and meta-analysis**

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14

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17

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20

1 **Abstract**

2 **Objectives**

3 The present study aimed to resolve inconsistency in reported prevalence of affective symptoms  
4 by dementia stage.

5

6 **Methods/Design**

7 We conducted a meta-analysis of studies with data on dementia stage and prevalence of  
8 depression, anxiety, or apathy assessed using validated tools. We performed random-effects  
9 meta-analysis and subgroup analysis on symptom prevalence by dementia stage, according to  
10 CDR.

11

12 **Results**

13 The meta-analysis included 5,897 people with dementia from 20 studies. Prevalence rates of  
14 depression in mild, moderate, and severe dementia were 38% (95% CI 32-45%), 41% (95% CI  
15 33-49%), and 37% (95% CI 17-56%) respectively. The corresponding prevalence for anxiety  
16 was 38% (95% CI 31-45%), 41% (95% CI 31-52%), and 37% (95% CI -8-82%); and 54%  
17 (95% CI 45-62%), 59% (95% CI 44-73%), and 43% (95% CI 10-75%) for apathy. The  
18 prevalence of depression, anxiety, and apathy did not differ with regard to dementia stage and  
19 type. The prevalence of depression in Alzheimer's disease (AD) was significantly lower when  
20 it was assessed using diagnostic criteria compared to screening tools. The prevalence of  
21 depression in AD was lowest in America, while anxiety in vascular dementia was higher in  
22 Europe than Asia.

23

24 **Conclusions**

1 Depression, anxiety, and apathy symptoms are highly prevalent across dementia stages. There  
2 is no evidence of any changes in prevalence of affective symptom as the illness progresses.  
3 Evaluation methods and cultural difference may explain some of the variance, suggesting  
4 further investigation of factors that may influence the report of symptoms, such as carer  
5 psychosocial characteristics, and more cross-cultural studies are needed.

6

### 7 **Keywords**

8 Dementia; depression; anxiety; apathy; prevalence; systematic review; meta-analysis;  
9 neuropsychiatric symptoms; Alzheimer's disease; vascular dementia

10

### 11 **Key points**

- 12 • Random-effects meta-analysis showed no evidence of any changes in prevalence of  
13 depression, anxiety, and apathy as dementia progresses in general dementia, AD and  
14 VaD population.
- 15 • The variance of prevalence in depression and anxiety may be attributable to symptom  
16 evaluation method and region of study conducted.
- 17 • Future studies could examine the pattern and management of affective symptoms in  
18 relation to carer psychosocial characteristics and across culture.

## 1 **Introduction**

2 Dementia is a group of neurocognitive conditions affecting over 47 million people globally,  
3 and the number is expected to triple by 2050.<sup>1</sup> Cognitive decline affects individuals'  
4 functioning and self-care ability, together with the behavioral and psychological symptoms  
5 (BPSD) associated with dementia, these put strain on their family members, as well as the  
6 society. Depression, anxiety, and apathy are amongst the most frequent and clinically  
7 significant BPSD.<sup>2</sup> These symptoms have often been grouped into an affective symptoms  
8 cluster,<sup>3</sup> although apathy could also be categorized into a separate subsyndrome in a four-  
9 subsyndrome model (i.e., psychosis, affective, apathy, hyperactivity) with overlapping  
10 symptoms.<sup>4,5</sup> Affective symptoms including apathy have a negative impact on people with  
11 dementia and their carers, including reduced quality of life,<sup>6,7</sup> independence in daily living,<sup>8,9</sup>  
12 early institutionalisation,<sup>10</sup> and carer distress.<sup>11</sup>

13         Psychosocial interventions have been implicated for affective symptoms in people with  
14 dementia, including behavioral activation, interpersonal therapy, cognitive behavioural therapy,  
15 counselling, and other means to improve communication.<sup>12,13</sup> Evidence on the effectiveness of  
16 these psychosocial interventions, however, remains inconclusive.<sup>14</sup> This is potentially due to  
17 the diverse target population regarding dementia severity, who may require different  
18 intervention design considering factors such as insight and ability to understand verbal  
19 communication. Accurate estimates of depression, anxiety, and apathy at different stages of  
20 dementia would help identify the best stage to intervene and inform tailored, stage-specific  
21 psychosocial intervention design and provide psychoeducation to family carers to develop care  
22 plan in advance.

23         Existing literature reported inconsistent relationship between affective symptoms and  
24 dementia severity. One source of inconsistency is the definitions of dementia severity used in  
25 these studies. In a systematic review,<sup>15</sup> which included studies using Clinical Dementia Rating

1 (CDR)<sup>16</sup> and Global Deterioration Scale (GDS)<sup>17</sup> as dementia severity indicator, anxiety was  
2 described to be relatively stable across the range of dementia severity, until the  
3 profound/terminal stage, where it decreases. Both CDR and GDS are commonly used staging  
4 tools that consider both cognitive performance and functioning or self-care ability. Other meta-  
5 analyses, however, reported a positive correlation between dementia severity and prevalence  
6 of apathy<sup>18</sup>, but no effect of dementia severity on the prevalence of depression<sup>18-20</sup> and  
7 anxiety.<sup>18</sup> These latter analyses used the mean score on Mini-Mental State Examination  
8 (MMSE) as the indicator of dementia severity, which does not take into account functioning or  
9 self-care ability, despite their relevance in the development of affective symptoms through self-  
10 appraisal when insight allows.

11 Another source of inconsistency is related to the type of dementia. In a study that  
12 explored prevalence of BPSD in four major dementia types, prevalence of depression and  
13 anxiety increased significantly with higher CDR scores in AD,<sup>21</sup> while apathy increased  
14 significantly with higher CDR scores in AD, dementia with Lewy bodies, vascular dementia,  
15 and frontotemporal dementia.<sup>21</sup> In a study that explored the relationship between prevalence of  
16 BPSD and dementia severity in AD and dementia with Lewy bodies, anxiety was most  
17 prevalent in those with MMSE scores higher than 20 in AD, whereas depression and anxiety  
18 were most common in those with MMSE scores less than 10 in vascular dementia.<sup>22</sup> Others  
19 reported no significant differences<sup>3,23</sup> or did not report statistical difference across dementia  
20 stages in the prevalence of affective symptoms.<sup>22,24</sup>

21 This study aims to resolve the inconsistency in reported prevalence of depressive,  
22 anxiety, and apathy symptoms across dementia stages and by dementia types, to support further  
23 development in psychosocial intervention research, through conducting a meta-analysis of  
24 studies with data on dementia stage and prevalence of affective symptoms assessed using  
25 validated tools.

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## **Method**

This meta-analysis protocol followed the Preferred Reporting Items for Systematic Reviews and Meta-Analyses (PRISMA)<sup>26</sup> and was pre-registered at PROSPERO international prospective register of systematic reviews (Ref ID: CRD42019131869).

### ***Search strategy***

Systematic searches were conducted in PubMed, EMBASE, Web of Science, and PsycINFO database in November 2020. The text terms and MeSH terms used were “dementia” AND “depression” OR “anxiety” OR “apathy”. Detailed search terms are shown in supplementary materials. References were exported and managed using EndNote X8.

### ***Inclusion and exclusion criteria***

Studies were included that (a) were original research published in scholarly peer-reviewed journals until 2020; (b) focused on dementia using standardized criteria (DSM III or above<sup>27,28</sup>, ICD-10 or above<sup>29</sup>, NINCDS-ADRDA<sup>30</sup>, NINDS-AIREN<sup>31</sup>, International consensus criteria for behavioral variant FTD<sup>32</sup>, and consensus report of the DLB Consortium<sup>33</sup>), (c) reported dementia stage using CDR or GDS score; (d) reported sufficient information on depression, anxiety, or apathy to calculate the prevalence; (e) assessed depression, anxiety, or apathy symptoms using a validated scale; (f) had a sample size of at least 50, following the criteria suggested by Zhao,<sup>18</sup> in any of the reported dementia stage; and (g) were published in English. For example, if a study had 60 PLwD at mild stage and 10 at severe stage, it would be included in the analysis, but data from severe stage would be excluded. The studies were included regardless of settings.

1 We excluded studies that were review articles, editorials, commentaries, hypothesis  
2 papers, letters without original data, or meta-analysis. Where there was more than one  
3 publication reporting data from the same population, the less comprehensive or, if the reported  
4 data were equally comprehensive in these publications, the older reports were excluded.

### 6 ***Data extraction and analysis***

7 We extracted the following data from each included study: study characteristics (publication  
8 year, country, sample size by CDR or GDS stage, community- or clinic-based setting),  
9 population demographics (gender, age, education level, CDR or GDS), condition information  
10 (dementia diagnostic criteria, method of affective symptoms assessment, dementia type), and  
11 the reported prevalence or information needed to calculate an estimate of affective symptom  
12 prevalence. For publications involving multiple assessment time points, only the baseline  
13 prevalence was included. Extracted data were entered into an electronic spreadsheet and  
14 analyzed using the *meta* and *metafor* packages in R Studio 4.0.2. Crude prevalence was  
15 computed for each study. Pooled estimates of prevalence and 95% confidence interval were  
16 calculated using random-effects meta-analysis. Analyses of the heterogeneity of prevalence  
17 and severity across studies were done with  $I^2$  statistic, with  $I^2 \geq 75\%$  indicating high  
18 heterogeneity. Subgroup analysis was used to estimate the extent to which measured covariates  
19 (dementia severity, assessment tools and study region) could explain the observed  
20 heterogeneity in prevalence estimates across studies. Publication bias was examined using  
21 Egger's test. For all tests,  $p < .050$  was deemed significant.

22 The reporting quality of all included studies was assessed using the Joanna Briggs  
23 Institute Prevalence Critical Appraisal Tool<sup>34</sup>. The instrument was specifically designed to  
24 assess the methodological quality of prevalence study and to determine the extent to which the  
25 study has addressed the possibility of bias in its design, conduct and analysis. The adequate

1 sample size was calculated to be 384 assuming the prevalence of affective symptoms was  
2 around 20%.

3

#### 4 **Results**

5 The initial search yielded 12,059 references. A total of 7,370 references remained after  
6 deduplication, with an additional seven study identified through reference lists of previous  
7 studies. After the initial screen, 319 studies met the criteria for full-text review, of which 299  
8 were excluded based on the inclusion/exclusion criteria. In total, 20 original studies were  
9 included in this meta-analysis. Figure 1 outlines our search and screening strategy.

10

11 [insert Figure 1]

12

13 The key parameters used in the meta-analysis were summarized in Table 1, specific  
14 details for each study were shown in Table 2. Among the 20 included studies, less than a third  
15 of the studies indicated age, gender, and education year by dementia stage and type. Majority  
16 of the studies investigated depression (n=19), followed by apathy (n=13) and anxiety (n=12).  
17 All included studies used CDR to assess dementia stage. Three studies reported data on all  
18 stages of dementia, six on mild and moderate dementia, ten on mild dementia and one on  
19 moderate dementia. Most of the studies were conducted in AD (n=19) and VaD (n=4). One  
20 only study reported data on DLB, which was excluded from the subgroup analysis. 17 studies  
21 recruited participants from clinic settings, including memory clinics and hospitals, two  
22 recruited from community settings such as national survey, and one recruited participants from  
23 community centers and hospital. The majority of studies used screening tools to assess  
24 depression, anxiety, and apathy symptoms, which included the Neuropsychiatric Inventory<sup>35</sup>  
25 (NPI) (n=16), Neuropsychiatric Inventory-Questionnaire<sup>36</sup> (NPI-Q) (n=2), Behavioral



1 Pathology in Alzheimer's Disease Rating Scale<sup>37</sup> (BEHAVE-AD) (n=1), Behavior Rating Scale  
2 for Dementia<sup>38</sup> (BRSD) (n=1). Four studies assessed depression in AD using diagnostic criteria,  
3 including National Institute of Mental Health provisional criteria for depression in Alzheimer's  
4 Disease<sup>39</sup> (NIMH-dAD) (n=1), Diagnostic and Statistical Manual of Mental Disorders, Third  
5 Edition, Revised<sup>27</sup> (DSM-III-R) (n=2), Diagnostic and Statistical Manual of Mental Disorders,  
6 Fourth Edition<sup>28</sup> (DSM-IV) (n=1). Two studies assessed self-reported depression from people  
7 with dementia using the Geriatric Depression Scale (GDS) and Cornell Scale for Depression  
8 in Dementia (CSDD). The studies were conducted in 10 countries and territories: Taiwan (n=3),  
9 the USA (n=3), Korea (n=3), Italy (n=2), Hong Kong (n=2), Japan (n=1), Finland (n=1),  
10 Norway (n=1), Spain (n=1), and Argentina (n=1).

11 Half of the studies met more than half of the nine criteria from the Joanna Briggs  
12 Institute Prevalence Critical Appraisal Tool<sup>34</sup> (see Supplementary Table 1). One item with low  
13 rating was condition measured in a standard, reliable way. Studies scored on this item if they  
14 used clinical diagnostic criteria in identifying condition instead of self- or informant-reported  
15 scales, however, since we aimed to include affective symptoms identified by both diagnostic  
16 criteria and validated scales, the low rating on this item was less likely to have an impact on  
17 the current study. Nonetheless, over half of the studies did not report how the assessment was  
18 conducted, resulting in a high "unclear" rating. Other items with higher "unclear" rating were  
19 adequate response rate and data analysis considering the response rate. These studies reported  
20 the number of participants enrolled in the study, but there was insufficient information of the  
21 process of recruitment, such as the number of people approached and provided informed  
22 consent, to determine the response rate.

23

24

[insert Table 1 and 2]

## 1 *Prevalence of depression*

2 The prevalence of depressive symptoms ranged from 10% to 78%, with an overall pooled  
3 prevalence of 39% (95% CI 34-44%;  $I^2=96%$ ,  $p<.001$ ). Table 3 shows the random-effects meta-  
4 analysis results on prevalence of depression by dementia stage. The average prevalence of  
5 depressive symptoms in mild dementia was 38% (range, 10-78%; 96% CI 32-45%;  $I^2=96%$ ,  
6  $p<.001$ ); in moderate dementia was 41% (range, 15-61%; 95% CI 17-56%;  $I^2=93%$ ,  $p<.001$ );  
7 and 27% in severe dementia (range, 17%-55%; 95% CI 16-39%;  $I^2=87%$ ,  $p <.001$ ). In AD, the  
8 prevalence of depressive symptoms ranged from 10% to 78%, with an overall pooled  
9 prevalence of 38% (95% CI 32-43%;  $I^2=96%$ ,  $p<.001$ ). The average prevalence of depressive  
10 symptoms in mild AD was 37% (95% CI 30-44%;  $I^2=96%$ ,  $p<.001$ ); in moderate AD was 40%  
11 (95% CI 31-48%;  $I^2=97%$ ,  $p<.001$ ) and 37% (95% CI 16-57%;  $I^2=93%$ ,  $p<.001$ ) in severe (see  
12 Supplementary Figure 1). Three studies employed more than one criterion to indicate the  
13 presence of depression. Two of them identified depression as scoring one or above in the NPI  
14 and clinically significant depression as scoring three or above.<sup>40,41</sup> Prevalence of depression  
15 was lower than that of clinically significant depression in both studies. Another study identified  
16 depression using criteria of minor depressive disorders and major depressive disorders  
17 according to DSM-III-R; the prevalence rates reported using the former criteria were higher  
18 than those using the latter at moderate and severe AD.<sup>42</sup> Two studies compared self-reported  
19 depression with informant-reported and clinical diagnosed depression. Prevalence of self-  
20 reported depression was higher than clinically diagnosed or informant-reported significant  
21 depression,<sup>41,43</sup> and lower than informant-reported non-clinically significant depression.<sup>41</sup>  
22 Seven studies compared prevalence of depression across dementia stages in AD and five did  
23 not report significant differences.<sup>3,23,44-46</sup> One reported significantly higher prevalence in  
24 moderate above mild dementia,<sup>47</sup> and one reported significant differences across mild,  
25 moderate, and severe dementia, with more minor depression in severe stage than the others.<sup>42</sup>

1 In VaD, the prevalence of depressive symptoms ranged from 28% to 72%, with an  
2 overall pooled prevalence of 50% (95% CI 36-64%);  $I^2=91%$ ,  $p<.001$ ). The average prevalence  
3 of depressive symptoms in mild VaD was 48% (95% CI 26-69%,  $I^2=94%$ ,  $p<.001$ ), and that in  
4 moderate VaD was 55% (95% CI 46-65%,  $I^2=42%$ ,  $p=.188$ ) (see Supplementary Figure 2).  
5 One study compared prevalence of depression across dementia stages and reported  
6 significantly higher prevalence in mild than moderate depression in cortical VaD.<sup>46</sup> Only one  
7 study reported data on DLB and the prevalence of depression was 37% in both mild and  
8 moderate stage of dementia.

9

### 10 ***Prevalence of anxiety***

11 The prevalence of anxiety ranged from 13% to 67%, with an overall pooled prevalence of 39%  
12 (95% CI 33-45%;  $I^2=94%$ ,  $p<.001$ ). Table 3 shows the random-effects meta-analysis results on  
13 prevalence of anxiety by dementia stage. The average prevalence of anxiety in mild dementia  
14 was 38% (range, 13-67%; 95% CI 31-45%;  $I^2=94%$ ,  $p<.001$ ); 41% in moderate dementia  
15 (range, 21-65%; 95% CI 31-52%;  $I^2=91%$ ,  $p<.001$ ); and 37% in severe dementia (range, 14-  
16 60%; 95% CI -0.08-0.82%;  $I^2=98%$ ,  $p <.001$ ). In AD, the prevalence of depressive symptoms  
17 ranged from 13% to 67%, with an overall pooled prevalence of 38% (95% CI 30-45%);  $I^2=95%$ ,  
18  $p<.001$ ). The average prevalence of anxiety in mild AD was 37% (95% CI 28-46%,  $I^2=95%$ ,  
19  $p<.001$ ); 38% in moderate AD (95% CI 22-55%,  $I^2=94%$ ,  $p <.001$ ) and 37% in severe AD  
20 (95% CI 0-82%,  $I^2=98%$ ,  $p <.001$ ) (see Supplementary Figure 1). In VaD, the prevalence of  
21 anxiety ranged from 26% to 55%, with an overall pooled prevalence of 42% (95% CI 32-53%;  
22  $I^2=85%$ ,  $p<.001$ ). The average prevalence anxiety in mild VaD was 41% (95% CI 25-56%,  
23  $I^2=89%$ ,  $p<.001$ ), and that in moderate VaD was 46% (95% CI 34-59%,  $I^2=64%$ ,  $p=.093$ ) (see  
24 Supplementary Figure 2). Only one study reported data on DLB and the prevalence of anxiety  
25 were 37% and 48% in mild and moderate stage of dementia, respectively. Four studies

1 compared prevalence of anxiety across dementia stages in AD and none of them reported  
2 significant differences.<sup>3,23,44,46</sup>

3

#### 4 ***Prevalence of apathy***

5 The prevalence of apathy ranged from 24% to 89%, with an overall pooled prevalence of 54%  
6 (95% CI 47-61%;  $I^2=96%$ ,  $p<.001$ ). Table 3 shows the random-effects meta-analysis results on  
7 prevalence of apathy by dementia stage. The average prevalence of apathy in mild dementia  
8 was 54% (range, 29-89%; 95% CI 45-62%;  $I^2=96%$ ,  $p<.001$ ); 59% in moderate dementia  
9 (range, 24-70%; 95% CI 44-73%;  $I^2=96%$ ,  $p<.001$ ); and 43% in severe dementia (range, 26-  
10 59%; 95% CI 10-75%;  $I^2=95%$ ,  $p<.001$ ). In AD, the prevalence of apathy ranged from 24%  
11 to 85%, with an overall pooled prevalence of 50% (95% CI 41-59%;  $I^2=95%$ ,  $p<.001$ ). The  
12 average prevalence of depressive symptoms in mild AD was 50% (95% CI 39-60%;  $I^2=95%$ ,  
13  $p<.001$ ); 54% in moderate AD was (95% CI 33-74%,  $I^2=97%$ ,  $p<.001$ ) and 43% in severe AD  
14 (95% CI 10-75%;  $I^2=95%$ ,  $p<.001$ ) (see Supplementary Figure 1). Four studies compared  
15 prevalence of anxiety across dementia stages in AD, three did not report significant  
16 differences<sup>3,44,46</sup> and one reported significant differences with higher prevalence in moderate  
17 and severe as opposed to mild AD.<sup>23</sup> The sample size of the severe group was less than 50 and  
18 thus excluded from the current review. In VaD, the prevalence of apathy ranged from 43% to  
19 89%, with an overall pooled prevalence of 60% (95% CI 45-75%;  $I^2=93%$ ,  $p<.001$ ). The  
20 average prevalence of apathy in mild AD was 60% (95% CI 38-82%;  $I^2=95%$ ,  $p<.001$ ), and  
21 that in moderate AD was 60% (95% CI 40-80%;  $I^2=87%$ ,  $p=.006$ ) (see Supplementary Figure  
22 2). Only one study reported data on DLB and the prevalence of depressive symptoms were  
23 80% and 82 % in mild and moderate stage of dementia, respectively. Two studies compared  
24 prevalence of apathy across dementia stages in VaD, one did not report significant difference<sup>46</sup>  
25 whereas the other reported significantly higher prevalence in moderate and severe than mild

1 cortical VaD.<sup>23</sup> However, the severe dementia group had less than 50 participants and thus was  
2 not included in the current review.

3

#### 4 ***Publication bias and subgroup analyses***

5 According to Egger’s test, there was no evidence of publication bias for depression ( $p=.781$ ),  
6 anxiety ( $p=.169$ ), but apathy ( $p<.001$ ). Using the trim and fill method to account for the bias  
7 had no effect on the summary estimate of apathy. Significant heterogeneity in the prevalence  
8 of depression was observed in all types of dementia. The prevalence of depression, anxiety,  
9 and apathy did not differ with regard to dementia stage and type (see Table 3). The prevalence  
10 of depression in AD was significantly lower when it was assessed using diagnostic criteria  
11 compared to screening tools; no significant difference was observed in self- and informant-  
12 reported prevalence. The prevalence of depression and anxiety differ significantly across  
13 regions of study, with depression in AD higher in Asia and Europe than America, and anxiety  
14 in VaD higher in Europe than Asia (see Table 4).

15

16 [insert Table 3 and 4]

17

## 18 **Discussion**

### 19 ***Main findings***

20 This is the most comprehensive systematic review and meta-analysis to-date examining the  
21 prevalence of affective symptoms by dementia stage using established staging criteria.  
22 Prevalence rates of depressive symptoms in mild, moderate, and severe dementia were 38%,  
23 41%, and 37% respectively. The corresponding prevalence for anxiety was 38%, 41%, and  
24 37%; and 54%, 59%, and 43% for apathy. Subgroup analysis showed no significant difference  
25 in prevalence of affective symptoms between the stages. The prevalence of affective symptoms

1 also appeared to be higher in mild and moderate stage of VaD than that of AD, but the  
2 difference was not significant. It should be noted that significant heterogeneity was observed  
3 in all reported prevalence rates. Our findings confirmed that reported affective symptoms vary  
4 greatly in the literature, even with the adoption of more stringent staging criteria and when  
5 focusing only on AD and VaD.

6 The findings of a stable prevalence of affective symptoms were consistent with  
7 previous meta-analysis examining the prevalence of depression and anxiety in AD, but not  
8 apathy, which was shown to have a positive association with dementia severity.<sup>18</sup> This could  
9 be due to how dementia severity was measured and analyzed. Previous meta-analyses used  
10 mean MMSE scores as dementia severity indicator while the present divided dementia severity  
11 into three stages according to CDR. Mean MMSE scores may not accurately reflect the severity  
12 of the sample with PLwD ranging from mild to severe stages. The majority of the studies  
13 included in that meta-analysis reported mean MMSE scores between 12 and 23,<sup>18</sup> thus the  
14 association between apathy and cognitive impairment might be limited to mild or moderate  
15 dementia. Although it is expected that insight is lower in later stage of dementia and thus a  
16 higher prevalence of apathy will be reported,<sup>48</sup> the stability of the prevalence rate may suggest  
17 the interplay of other attributes to apathy.

18

### 19 *Prevalence rates using different assessments*

20 The varying prevalence rates in depression may be attributed to evaluation methods. When  
21 diagnostic criteria were employed, the prevalence rate for depression in AD was 27%,  
22 compared to 43% using self- or informant-reported screening tools, supporting the findings  
23 from previous meta-analysis that lower prevalence rates were associated with more stringent  
24 diagnostic criteria than screening tools.<sup>19</sup> The NIMH-dAD, for example, was developed based  
25 on DSM-IV and has higher specificity for the diagnosis of depression in AD by requiring the

1 presence of three depressive symptoms during the same 2-week period which are severe  
2 enough to cause significant distress or disruption in social, occupational or psychological  
3 functioning, as compared to screening tools, such as HAM-D, which considers the presence of  
4 sad mood based on a score of two or more on the item of depressed mood.<sup>49</sup> Therefore,  
5 depression may be common among people with dementia, but the symptom severity did not  
6 reach clinical significance. Although evaluation methods has been suggested to explain some  
7 of the variance in prevalence of anxiety and apathy in AD, none of the included studies  
8 employed diagnostic criteria in assessing anxiety and apathy and thus prevented us from  
9 examining the association.

10         It is important to note that, however, while the majority of the included studies used  
11 screening tools to assess affective symptoms and hence increased comparability across studies,  
12 symptoms are categorized as a “hit” differently across included studies using screening tools,  
13 for example, being present in the past month regardless of frequency in NPI and at least three  
14 days in the past month in BRSD. One study using BRSD reported higher prevalence in  
15 moderate over mild dementia whereas other studies using NPI found no significant  
16 differences.<sup>47</sup> Assessment may be a source for the heterogeneity, yet there are insufficient  
17 studies to examine the potential correlation.

18         Furthermore, these screening instruments are mainly self- or informant-reported and  
19 reflect symptoms rather than diagnosable disorders. Affective symptoms, as internal states of  
20 the PLwD, make modality of measurement pertinent. The significant differences between self-  
21 rated and informant-rated prevalence of depression may be attributable to the varying  
22 symptoms represented in self-and informant-rated assessment. Informant-based assessment  
23 appears to be biased towards capturing the more visible symptoms, such as lack of positive  
24 affect, whereas self-rating capture more central symptoms of worthlessness and helplessness.<sup>25</sup>  
25 These retrospective self- and informant-reported instruments are also subject to respondents’

1 cognitive ability and informants' recall bias,<sup>50</sup> and lacking clinician's judgement<sup>51</sup>. Informant-  
2 report instruments become increasingly subjective as the people with dementia progress to later  
3 stages of the illness when they are unable to tell informants about their mood. The association  
4 between BPSD symptoms and severity of dementia can be complicated since BPSD symptoms  
5 may influence how the severity of dementia is rated. For instance, presence of apathy may  
6 affect the carer's report in relation to the domain of home and hobbies in CDR, which captures  
7 whether the people with dementia are engaged in hobbies, overlapping with some measures of  
8 apathy (e.g., in NPI-Q).

9

#### 10 *Prevalence rates in different countries*

11 The variance in prevalence rates of depression and anxiety may be attributable to the diverse  
12 study settings, recruitment strategies and data collection methods in different countries, as well  
13 as cultural difference. A Western measure may not be as sensitive when being applied in other  
14 cultures.<sup>52</sup> Recent reviews revealed that some cultural adaptations of the NPI may ascertain  
15 cultural sensitivity more than the others and there appears to be lacking investigation of some  
16 aspects of validity of the measure across cultures.<sup>53,54</sup> The presence of BPSD is multifactorial,  
17 resulting from the interacting effects of people with dementia, carers, and environmental  
18 factors.<sup>55</sup> The need-driven dementia-compromised behavior model<sup>56</sup> considers BPSD as an  
19 expression of unmet needs compensating the declining verbal communication ability in people  
20 with dementia. Cultural values and resources available to carers may influence how they  
21 understand affective symptoms and their choice and use of coping strategies,<sup>57</sup> which may  
22 induce varying levels of stress and burden carers experience, and in turn affects how they report  
23 BPSD.<sup>58</sup> Stress and depression among carers may also trigger more symptoms in people with  
24 dementia.<sup>59</sup>

25



## 1 ***Heterogeneity of prevalence rate***

2 The significant variance observed in all reported prevalence rates suggested possible  
3 heterogeneity in psychopathological process in dementia. The relationship between disease  
4 severity and affective symptoms is complicated.<sup>60</sup> Their occurrence is at least partially a direct  
5 result of the disease process and brain pathology, while they may also occur as a psychological  
6 reaction to the individual's appraisal of the illness and prognosis, the consequential loss of  
7 functions, and the changes to one's environment and interpersonal interactions. These  
8 appraisals are in turn limited by the person's level of awareness in their ability in activities of  
9 daily living, behavioral changes and mood problems. Despite a lacking consensus of the best  
10 diagnostic strategy, poor awareness has been suggested to become more frequent with the  
11 progression of AD and is associated with more severe apathy and less severe depression and  
12 anxiety.<sup>61</sup> Nonetheless, the focus of prevalence rates of affective symptoms in the current meta-  
13 analysis may mask the association between the severity of dementia and affective symptoms.  
14 The stable prevalence of affective symptoms may suggest that these factors may interact with  
15 each other and interfere with well-being differently across dementia stages, for example,  
16 insight may play a more important part at earlier stages while environmental factors contribute  
17 more in later stages because of cognitive decline and that lowers stress resilience.

18

## 19 ***Limitations***

20 Although dementia type may influence the prevalence of affective symptoms across dementia  
21 stages, there were limited studies conducted in dementia types other than AD and severe  
22 dementia populations. Due to the phenomenological overlap between apathy and depression  
23 on the predicate of "reduced volition", the prevalence rates of these symptoms, especially those  
24 reported by non-professionals, may be inflated. While we suggest there existed a cultural  
25 difference in prevalence of affective symptoms, there was a paucity of studies from developing

1 countries and cross-national studies. The scope of the literature search was limited with narrow  
2 search terms and may subject to selection bias by the only reviewer in the initial screening and  
3 data extraction process. The specific type of dementia, such as “Alzheimer’s disease”, and  
4 alternative terms of affective symptoms, such as “neuropsychiatric symptoms” were not used  
5 in the current study. Furthermore, the large number of missing data on age, gender, and  
6 education year by dementia types and stages limited our understanding of how people with  
7 dementia’ characteristics might contribute to the prevalence of affective symptoms. While  
8 presence of affective symptoms may be affected by external resources, living arrangement and  
9 marital status, which may reflect the level of social support received by the person with  
10 dementia, were only reported in one included study.<sup>43</sup> Substantially fewer studies were  
11 included in this meta-analysis compared to the previous meta-analysis because we only  
12 included studies with CDR scores instead of MMSE scores. There was a deviation from the  
13 PROSPERO pre-registration with regards to dementia severity assessment from including  
14 studies “reported using MMSE, CDR or GDS” to “reported using CDR or GDS”. We believe  
15 looking at CDR and GDS gave a better picture between affective symptoms and functioning in  
16 general in dementia population, not only cognitive functioning.

17

### 18 ***Future studies***

19 Considering the potential influence of carers’ subjective bias on the heterogeneity of symptom  
20 prevalence, studies could explore the association between carers’ psychological characteristics,  
21 such as carer self-efficacy and burden, and informant-reported prevalence rate, and how well-  
22 being could be improved in both people with dementia and their carers. Cross-cultural studies  
23 are needed to establish a better understanding how BPSD are presented and managed with  
24 consideration of cultural values and resources. The current meta-analysis found different  
25 prevalence rates between self- or informant-reported and clinically diagnosed depression,

1 future studies could investigate whether discrepancy exists in anxiety and apathy. While this  
2 study has in the strength of incorporating cross-cultural and heterogeneous study settings in  
3 estimating the prevalence of affective symptoms, future studies should also consider including  
4 open-access datasets, many of which include variables needed for the current research question  
5 (e.g., the National Alzheimer's Coordinating Center dataset and the Global Alzheimer's  
6 Association Interactive Network). With the large sample size of these datasets across countries  
7 and regions, albeit focusing mainly on Alzheimer's disease, can inform further the prevalence  
8 of affective symptoms in dementia. The current findings can potentially be updated in the near  
9 future by incorporating these massive unanalyzed data.

10

### 11 ***Conclusion***

12 The overall prevalence of depression, anxiety and apathy is high and stable across stages in  
13 AD and VaD population, thus affective symptoms are an important treatment target throughout  
14 the course of dementia. Symptom evaluation method and cultural difference may explain some  
15 of the variance in the prevalence of affective symptoms. The findings suggest further  
16 investigation of factors influencing report of affective symptoms, such as carer psychosocial  
17 characteristics, and more cross-cultural studies examining the pattern and management of  
18 affective symptoms.

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**Table 1.** Summary of key parameters used in the meta-analysis by dementia severity.

Dementia subtype	Mild (CDR = 1)			Moderate (CDR = 2)			Severe (CDR = 3)		
	N <sub>study</sub>	N <sub>participants</sub>	Mean / %	N <sub>study</sub>	N <sub>participants</sub>	Mean / %	N <sub>study</sub>	N <sub>participants</sub>	Mean / %
AD	18	2709	-	10	2330	-	3	243	-
Age (years)	6	1234	76.95	2	1443	78.05	-	-	-
Female (%)	6	1234	66.75	2	1443	71.23	-	-	-
Education (years)	6	1234	8.64	1	194	10.00	-	-	-
Marital status (% married)	-	-	-	1	1249	49.76	-	-	-
Affective symptoms									
Depression	17	2593	96	10	2330	100	3	243	93
Diagnostic criteria	4	594	22	4	1612	69	1	71	29
Screening tool	14	2115	74	7	1967	31	2	172	71
Informant-reported	14	2115	78	6	718	31	-	-	-
Self-reported	1	104	4	1	1249	54	-	-	-
Anxiety †	12	1996	74	5	657	28	2	172	66
Apathy †	13	2079	77	5	657	28	2	172	66
Setting									
Community	2	175	6	1	50	2	1	69	28
Clinic	16	2604	96	8	2157	93	2	174	72
Mixed	1	101	4	1	123	5	-	-	-
Area of study									
America	4	711	26	2	267	11	2	140	58
Asia	9	1283	47	6	631	27	-	-	-
Europe	5	715	26	2	1432	61	1	103	42
VaD	4	352	-	2	192	-	-	-	-
Age (years)	1	72	75.90	-	-	-	-	-	-

Female (%)	1	72	45.21	-	-	-	-	-	-
Education (years)	1	72	11.00	-	-	-	-	-	-
Affective symptoms									
Depression †	4	352	100	2	192	100	-	-	-
Anxiety †	4	352	100	2	192	100	-	-	-
Apathy †	4	352	100	2	192	100	-	-	-
Setting									
Clinic	4	352	100	2	192	100	-	-	-
Area of study									
Asia	2	154	44	1	59	30	-	-	-
Europe	2	198	56	1	133	69	-	-	-
DLB									
Age (years)	1	109	78.00	1	62	79.90	-	-	-
Female (%)	1	109	60.55	1	62	58.06	-	-	-
Education (years)	1	109	10.50	1	62	10.60	-	-	-
Affective symptoms									
Depression †	1	109	100	1	62	100	-	-	-
Anxiety †	1	109	100	1	62	100	-	-	-
Apathy †	1	109	100	1	62	100	-	-	-
Setting									
Clinic	1	109	100	1	62	100	-	-	-
Area of study									
Asia	1	109	100	1	62	100	-	-	-

Note: AD = Alzheimer's disease, DLB = dementia with Lewy bodies, VaD = vascular dementia.

† Symptoms measured using screening tools.

**Table 2.** Summary details for individual studies that examined the prevalence of depression, anxiety, or apathy.

Author	Country (Region)	Setting	Dementia			N	Female (%)	Age (years)	Education (years)	Affective symptoms			
			Type	Assessment	Stage					Symptom	Assessment	Prevalence (%)	
Cheng (2012)	Hong Kong (Asia)	Mixed	AD	NINCDS-ADRDA	Mild	101	-	-	-	Depression	NPI-12	35	
											Anxiety	NPI-12	24
											Apathy	NPI-12	29
			Moderate	123	-	-	-	Depression	NPI-12	40			
										Anxiety	NPI-12	21	
										Apathy	NPI-12	37	
Chiu (2012)	Taiwan (Asia)	Clinic-based	AD	NINCDS-ADRDA	Mild	87	-	-	-	Depression	NIMH-dAD	24	
					Moderate	87	-	-	-	Depression	NIMH-dAD	46	
D'Onofrio (2012)	Italy (Europe)	Clinic-based	AD	DSM-IV, NINCDS-ADRDA	Mild	51	-	-	-	Depression	NPI	39	
											Anxiety	NPI	47
											Apathy	NPI	49
			VaD	DSM-IV, NINDS-AIREN	Mild	63	-	-	-	Depression	NPI	51	
											Anxiety	NPI	54
											Apathy	NPI	44
Di Iulio (2010)	Italy (Europe)	Clinic-based	AD	NINCDS-ADRDA	Mild	119	67.2	74.4 (7.0)	7.8 (4.7)	Depression	NPI	78	
											Anxiety	NPI	66
											Apathy	NPI	85
Fuh (2005)	Taiwan (Asia)	Clinic-based	AD	DSM-IV	Mild	188	-	-	-	Depression	NPI	46	
											Anxiety	NPI	33
											Apathy	NPI	43
					Moderate	107	-	-	-	Depression	NPI	44	
										Anxiety	NPI	43	
Apathy	NPI	55											

Author	Country (Region)	Setting	Dementia			N	Female (%)	Age (years)	Education (years)	Affective symptoms		
			Type	Assessment	Stage					Symptom	Assessment	Prevalence (%)
Kazui (2016)	Japan (Asia)	Clinic-based	AD	DSM-IV	Mild	82	-	-	-	Depression	NPI	39
										Anxiety	NPI	28
										Apathy	NPI	42
					Moderate	59	-	-	-	Depression	NPI	49
										Anxiety	NPI	38
										Apathy	NPI	49
			DLB	DSM-III-R, the Consortium on DLB International Workshop	Mild	109	60.6	78.0 (6.1)	10.5 (2.8)	Depression	NPI	37
										Anxiety	NPI	37
										Apathy	NPI	80
					Moderate	62	58.1	79.9 (6.2)	10.6 (2.8)	Depression	NPI	37
										Anxiety	NPI	48
										Apathy	NPI	82
VaD	DSM-III-R, NINDS-AIREN	Mild	73	45.2	75.9 (8.8)	11.0 (2.7)	Depression	NPI	27			
							Anxiety	NPI	26			
							Apathy	NPI	88			
Kwak (2014)	Korea (Asia)	Clinic-based	AD	NINCDS-ADRDA	Mild	104	-	-	-	Depression	NPI	11
Lam			AD		Mild	96	93.8	84.3 (6.0)	1.24 (3.21)	Depression	NPI	29
										Depression	GDS	36





Author	Country (Region)	Setting	Dementia			N	Female (%)	Age (years)	Education (years)	Affective symptoms					
			Type	Assessment	Stage					Symptom	Assessment	Prevalence (%)			
			VaD	NINDS-AIREN	Mild	135	-	-	-	Anxiety	NPI	60			
												Apathy	NPI	59	
													Depression	NPI	72
													Anxiety	NPI	55
													Apathy	NPI	64
														Depression	NPI
Park (2015)	Korea (Asia)	Clinic-based	AD	DSM-IV, NINCDS-ADRDA	Mild	171	-	-	-	Anxiety	K-NPI	42			
												Apathy	NPI	55	
Porta-Etessam (2011)	Spain (Europe)	Clinic-based	AD	NINCDS-ADRDA	Moderate	1249	68.1	77.8 (6.7)	-	Depression	CSDD	56			
Saari (2019)	Finland (Europe)	Clinic-based	AD	DSM-IV, NINCDS-ADRDA	Mild	236	51.2	75.2 (6.5)	7.6 (3.3)	Depression	NPI-12	37			
Starkstein (2005)	Argentina (America)	Clinic-based	AD	NINCDS-ADRDA	Mild	382	-	-	-	Depression	DSM-III-R (MDD)	26			
												Depression	DSM-III-R (MnDD)	26	
													Depression	DSM-III-R (MDD)	29
													Depression	DSM-III-R (MnDD)	21
													Depression	DSM-III-R (MDD)	24
													Depression	DSM-III-R (MnDD)	45
Vik-Mo (2018)	Norway (Europe)	Clinic-based	AD	ICD-10,	Mild	116	71	75.3 (7.8)	9.6 (2.9)	Depression	NPI (score > 0)	58			

Author	Country (Region)	Setting	Dementia			N	Female (%)	Age (years)	Education (years)	Affective symptoms		
			Type	Assessment	Stage					Symptom	Assessment	Prevalence (%)
				NINCDS-ADRDA						Depression	NPI (score > 3)	24
										Anxiety	NPI (score > 0)	41
										Anxiety	NPI (score > 3)	19
										Apathy	NPI (score > 0)	53
										Apathy	NPI (score > 3)	37
Wadsworth (2012)	USA (America)	Clinic-based	AD	NINCDS-ADRDA	Mild	188	48.4	75.3 (7.5)	14.7 (3.1)	Depression	NPI-Q	34
										Anxiety	NPI-Q	35
										Apathy	NPI-Q	34
Youn (2011)	Korea (Asia)	Clinic-based	AD	NINCDS-ADRDA	Mild	90	-	-	-	Depression	BRSD	58
					Moderate	61	-	-	-	Depression	BRSD	61

AD, Alzheimer's disease; BRSD, Behaviour Rating Scale for Dementia; DAIR, Dementia Apathy Interview and Rating; DSM, The Diagnostic and Statistical Manual of Mental Disorders; FTD, frontotemporal dementia; ICD, International Classification of Diseases; LBD, Lewy bodies dementia; MDD, Major depressive disorders; MnDD, Minor depressive disorders; NINCDS-ADRDA, National Institute of Neurological and Communicative Disorders and Stroke and the Alzheimer's Disease and Related Disorders Association criteria for Alzheimer's disease; NPI, Neuropsychiatric Inventory; NPI-Q, Neuropsychiatric Inventory-Questionnaire; VaD, vascular dementia.

**Table 3.** Prevalence of depression, anxiety, and apathy in general dementia, AD and VaD according to dementia stage.

	Depression				Anxiety				Apathy			
	Prevalence (%)	95% CI	I <sup>2</sup> (%)	<i>p</i>	Prevalence (%)	95% CI	I <sup>2</sup> (%)	<i>p</i>	Prevalence (%)	95% CI	I <sup>2</sup> (%)	<i>p</i>
All dementia	39	34 - 44	96	<.001	39	33 - 45	94	<.001	54	47 - 61	96	<.001
Mild	38	32 - 45	96	<.001	38	31 - 45	94	<.001	54	45 - 62	95	<.001
Moderate	41	33 - 49	96	<.001	41	31 - 52	91	<.001	59	44 - 73	96	<.001
Severe	37	17 - 56	93	<.001	37	-8 - 82	98	<.001	43	10 - 75	95	<.001
AD	38	32 - 43	96	<.001	38	30 - 45	95	<.001	50	41 - 59	95	<.001
Mild	37	30 - 44	96	<.001	37	28 - 46	95	<.001	50	39 - 60	95	<.001
Moderate	40	31 - 48	97	<.001	38	22 - 55	95	<.001	54	33 - 74	97	<.001
Severe	37	16 - 57	93	<.001	37	0 - 82	98	<.001	43	10 - 75	95	<.001
VaD	50	36 - 64	90	<.001	42	32 - 53	85	<.001	60	45 - 75	93	<.001
Mild	48	26 - 69	93	<.001	41	25 - 56	89	<.001	60	38 - 82	95	<.001
Moderate	55	46 - 65	42	0.188	46	34 - 59	64	0.093	60	40 - 80	87	0.006

AD, Alzheimer's disease; VaD, vascular dementia.

**Table 4.** Prevalence of depression, anxiety, and apathy in AD and VaD according to evaluation method and region of study.

	Depression				Anxiety				Apathy			
	Prevalence (%)	95% CI	I <sup>2</sup> (%)	<i>p</i>	Prevalence (%)	95% CI	I <sup>2</sup> (%)	<i>p</i>	Prevalence (%)	95% CI	I <sup>2</sup> (%)	<i>p</i>
AD												
Evaluation method												
Diagnosis	27	21 - 33	91	<.001	-	-	-	-	-	-	-	-
Screening tools	43	38 - 49	95	<.001	-	-	-	-	-	-	-	-
Informant-reported	42	35 - 50	95	<.001	-	-	-	-	-	-	-	-
Self-reported	46	27 - 66	94	<.001	-	-	-	-	-	-	-	-
Region of study												
America	25	20 - 17	77	<.001	21	10 - 33	87	<.001	33	25 - 42	72	<.001
Asia	37	30 - 44	92	<.001	34	28 - 40	84	<.001	53	39 - 68	97	<.001
Europe	53	43 - 62	97	<.001	49	34 - 64	97	<.001	57	46 - 68	93	<.001
VaD												
Region of study												
Asia	38	26 - 50	70	0.004	30	23 - 37	24	0.270	43	32 - 93	97	<.001
Europe	61	50 - 73	79	<.001	53	48 - 59	0	0.89	60	47 - 73	83	<.001

AD, Alzheimer's disease; VaD, vascular dementia.