

Title

A review of diet standardisation and bolus rheology in the management of dysphagia

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Abstract

Purpose: Texture modification is a widespread practice as a strategy for the management of dysphagia and can be very effective in individual cases. However, it is often performed in a qualitative, subjective manner and practices vary internationally according to multiple sets of national guidelines. This paper aims to identify best practice by reviewing the theory and practice of texture modification, focussing on recent advances.

Recent findings:

Instrumental assessment of texture modification in-vivo is challenging, but studies including rheology and perception have indicated that fluid viscosity is only one of many factors affecting texture modification in practice. Systematic reviews have identified a historical lack of high-quality clinical evidence, but recent controlled studies are beginning to identify positive and negative aspects of thickened fluids. Research and practice to date have been limited by the lack of control and standardisation of foods and drinks. However in 2015 a not-for-profit organisation, the International Dysphagia Diet Standardisation Initiative, has published a framework for texture modification from thin liquids to solid foods based on all the existing documentation and guidance, and the –limited– available clinical evidence.

Summary:

Rheology exists in the lab, however normal practice is often subjective or lacking control and standardisation. In the near future, cohesion of practice and the availability of practical standardisation tools may increase awareness and use of rheology.

Keywords

Dysphagia, Swallowing, Rheology, Viscosity, Texture modification

Key points

- The relationships between rheology and swallowing are beginning to be characterised using oral pressure sensing and videofluoroscopy, together with careful control of bolus rheology.
- It is becoming clearer that viscosity alone is not sufficient to categorise texture modification.
- Literature to date shows a trend for reduced aspiration with increased thickness of liquids, and increased residue with some thicker consistencies, however evidence is scarce.
- An inconsistent approach to definition of texture modification techniques has been limiting the collation of a coherent evidence base.
- A new international standard (IDDSI) has been created, drawing on available evidence and including practical objective measures.

1. Introduction

This paper reviews advances in the multidisciplinary challenge of managing oropharyngeal dysphagia (OD) through texture modification (TM) of the diet, e.g. thickened drinks and pureed foods. The review complements a recent review in this journal [1] on diagnosis and treatment techniques and covers the previous 18 months, including earlier work which still represents state-of-the-art. Texture modification has lacked a comprehensive base of clinical evidence, however that evidence is now emerging through recent systematic reviews and new research. Lab-based rheology studies have continued to better-characterise fluids for diagnosis and management, and tools are being developed to apply this science in practical

settings. Standardisation has been inconsistent to date but during 2015 the International Dysphagia Diet Standardisation Initiative launched a new framework, based on systematic reviews of practice and of the available multidisciplinary research. This framework proposes objective measures of consistency and has the potential to unify practice in the coming years.

2. Research in Swallowing and Rheology

The formation of a bolus and its subsequent manipulation and deglutition are interactive processes: the bolus deforms and moves in response to the forces acting on it provided by gravity and muscular contractions [2]. Texture modification aims to control this relationship, often aiming to make liquids flow more slowly, foods flow more easily, or heighten the perception of the bolus. Recent work has helped characterise some of the basic psychophysics: Instrumental investigations of swallows using xanthan gum showed that tongue-palate propulsion pressure increased to adapt to thicker liquids, but the increases were relatively small in magnitude [3*]. Videofluoroscopic measures (scaled to account for variations in the individuals' anatomy) showed an increase in the magnitude and velocity of the hyoid motion with increased thickness [4] and EMG measures of hyolaryngeal muscle activity [5] showed increased peak amplitude of sEMG measures. Bolus viscosity was also found to have a measurable effect on EEG measures of brain activity [6]. These results demonstrate that increased thickness of a bolus requires larger effort from swallowing muscles but that for healthy individuals, for mid-thickness gum-thickened liquids, the effort is well below physiological limits. These results may be attributable to the non-Newtonian shear-thinning response of most TM fluids: under gentle pressure (e.g. gravity) they will flow slowly however under increased pressure (e.g. tongue-palate peristalsis) the flow speed increases disproportionately, achieving fast flow rates without excessive pressure. These attributes are thought to make shear-thinning products well-suited to dysphagia management: Rosenthal & Chen's new book [7**] describes this applied rheology and important practical considerations.

Although apparent viscosity has been used as a quantifier in research and in standardisation (in USA [8] and Australia [9]), it is becoming clearer that viscosity alone is not sufficient to categorise the flow and perception of TM products. Vickers et al. [10*] showed that materials having equal apparent viscosity (measured at 30 /s) had significantly different perceived thickness. Materials with more-pronounced shear-thinning were perceived as being less thick, more slippery, less sticky, requiring fewer repeat swallows to clear and leaving less mouth-coating ($R^2 = 0.97$ with objective measure of mouth-coat). Different beverage-thickener combinations can exhibit large differences in shear-thinning behaviour resulting from the interaction of starch, gums and juice particulates; this could confuse patients [11*]. It is interesting that materials may be perceived differently despite absence of significant differences in in-mouth pressure-bulb measurements [10*],[12]: this may reflect the tongue being more sensitive than the pressure-bulb, or, that the pressures required to propel these (relatively low-viscosity and low-mass) liquid boluses are quite small compared to the baseline pressure involved in accelerating the tongue itself and creating a lingual-palatal seal.

Measuring bolus motion in-vivo is extremely challenging (reviewed by Steele[13], Figure 1). Zhu et al. [14] attempted to determine characteristic shear rates for a range of fluids and estimated 120 /s and 990 /s in the mesopharynx and hypopharynx respectively. However these estimates are based on 2D videofluoroscopic images which quantify gross motion, not the flow within the bolus so it is not known whether the flow is turbulent (likely for lower viscosities) or "plug flow" - sliding as a coherent whole. Flow can be visualised in a lab using Doppler ultrasound [15]. Cohesiveness and surface tension for some materials can be derived from "capillary breakup elongational rheometry (CaBER)" - stretching a sample between two plates [16], [17]. Tribology (the interaction between surfaces with a lubricating

layer) is very important to oral processing and swallowing [18*] and is particularly linked to perception of slipperiness or creaminess [18*]. However even detailed rheology and tribology measures were found insufficient to describe mouth-feel [19] (of liquid medicines) highlighting the complexity of perception.

Saliva can be a very significant variable in the practical effectiveness of a texture modification strategy [18]. Increased salivary flow rate, correlated to masseter muscle activity (sEMG measured) during bolus formation, helps break down the bolus's structure [20]. After 10 seconds' oral processing, viscosity of expectorated boluses of gum- or starch-thickened water decreased by 70% and 35% respectively [21]. This was attributed to the effect of alpha-amylase, but a general dilution effect may also have contributed [18]. Saliva varies widely in quality and quantity: one "dry-mouth" group - Sjögren's syndrome (SS) – also showed dramatically reduced mucin content and stringiness ("spinnbarkeit") of saliva [22].

Where foods require chewing, Iguchi et al. [20] found that EMG measures of masseter and suprahyoid muscle groups related to the food hardness, adhesiveness and cohesiveness, changing as food was broken down. Upper limits of tongue capability were investigated by Alsanei et al [23]: maximum isometric tongue pressure (MITP) was well-correlated to the maximum hardness of mashed potato or vege-gel which could be crushed by the tongue alone. Decreased MITP resulting from sarcopenia was identified as an independent risk factor for dysphagia [24], [25*] so there is a potential risk of inadequate nutritional intake worsening swallowing function, but the vicious cycle could be halted by nutritional supplements and effective dysphagia management.

3. Clinical evidence relating to texture modification and swallowing

Through 2014-15 IDDSI conducted a systematic review of the influence of food texture and liquid consistency modification on swallowing physiology and function [26**]. Evidence was graded [27] and assessed for risk of bias [28]; unfortunately the small quantity and low quality was disappointing and surprising. From 10147 search results, 488 articles described a measurement of swallowing using more than one consistency of food or liquid but only 36 met quality criteria and relevance. Thicker liquids were reported to increase the duration of swallowing events in accelerometry [29], electromagnetic articulography [30], ultrasound [31] and surface electromyography signals [32], [33], [34], and also on videofluoroscopy for pharyngeal transit time measures [35], [36], although more recently a study found no effect of thickening on bolus velocity [37]. Regarding dysphagia, several videofluoroscopic studies provided evidence of texture modification having a measurable effect on swallowing efficacy [38], [39], [40], [41], e.g. reduced penetration–aspiration with increasing viscosity [36]. A further systematic review of aspiration measures in the head & neck cancer population [42*] identified only 4 papers published 1996 to 2011 reporting a general trend towards less aspiration on pureed consistencies vs thin [43-46]. However "thin" radiopaque liquids sometimes had a viscosity comparable to a thickened liquid [47]. Historically, this lack of standardisation in materials and methods has been a critical factor in the lack of an evidence base for thickening liquids.

Recently, evidence regarding aspiration has been supplemented by quantitative studies of dysphagic patients: in videofluoroscopic assessments of 120 patients the incidence of safe swallows was only 24% with thin liquids but increased to 55% with nectar consistency, and 85% at spoon-thick [48*]. Vilardell et al. [37*] further investigated starch- and gum-based thickener types in a post-stroke population of 122; penetration and aspiration were convincingly reduced with increasing thickness for both types (Fig. 2). However elsewhere, in 100 patients assessed by videofluoroscopy [49*], xanthan gum had a more-pronounced reduction in aspiration compared to starch-thickened fluid, which did not produce a statistically significant decrease despite starch having approximately double the viscosity at

50 /s. Similarly, the penetration-aspiration scores were significantly lowered by gum-thickened liquids vs thin, but not starch-thickened [49*].

There is also evidence of negative outcomes associated with increased thickness: the IDDSI review [26**] identified greater vallecular residue for thicker consistencies [39, 41, 50, 51] and Troche et al [40] observed a greater number of tongue pumps required to swallow a pudding-thick consistency than a thin liquid. This trend was also recently observed for starch- but not gum-based thickeners [37*] (with equal apparent viscosity) with significantly more oral and pharyngeal residue was apparent for starch vs gum at thicker consistencies. Texture modification is sometimes associated with decreased hydration. McGrail & Kelchner [52*] studied a post-stroke population: patients on thin liquids consumed 55% more liquid than those on nectar or honey consistencies (who averaged only 907 ml/day). Notably, thin liquids were offered in greater quantity (mean 2575 ml; 62% more) than thickened liquids; reasons were not recorded but may be due to the inconvenience of preparing thickened liquid or a negative spiral whereby the patient consumes less, so is offered less. Thick drinks are often considered less-preferable but this may apply more to spoon-thick products, since Zargaraan et al. [53] found dysphagic individuals preferred increased thickness of a cocoa drink.

4. Current practice and standardisation approaches internationally

One of the fundamental challenges in using thickeners is that even when carefully controlling quantities of thickener, the final viscosity depends on the type of drink being thickened [11]. For example infant formula needs significantly longer to thicken and results in a higher final viscosity [54*]; concern was a reported of the lack of guidance [55]. Thickening occurs more slowly at refrigerated temperature (5°C) and even more slowly for refrigerated milk, which may require 45-60 minutes [56] and reaches a higher final viscosity, increasing with fat content [57*] and protein content [58]. Serving temperature is important: viscosity of thickened water at 40°C was approximately half that at 8°C [57] which is understandable given the viscosity of pure water would also approximately halve from 8°C to 40°C [59]. Different thickeners introduce further variation: Vilardell et al [37*] found starch and gum to have equal apparent viscosity at 50/s, however Leonard et al. [49*] found starch-thickened water twice as thick at 50/s (290-330 vs 150-170 cP). This may reflect differences in manufacturer's instructions internationally (Spain vs USA) however the lack of international consistency has been a critical factor in the lack of a coherent evidence base: the IDDSI systematic review of food modification found there were "effectively no stimuli that were the same in any two or more studies"[26].

Currently, texture modification recommendations vary across the world (Table 1 [60]). Australia, Ireland, Japan, New Zealand, Sweden, the UK, USA and Denmark have published national descriptors/guidance [8, 9, 61, 62-64] however all these acknowledge the lack of clinical evidence; IDDSI [60] concurred with the needed for a systematic review of evidence and for consistent international guidelines; these points were further echoed by the European Society for Swallowing Disorders (ESSD) in a white paper at their 2015 meeting. In 2015 IDDSI created a framework of global standardised terminology and definitions based on current clinical and research evidence for texture modified foods and thickened drinks, Figure 3 [65**]. One prominent feature is an overlap between thick drinks and pureed foods which could have identical textural / flow properties [7], thus removing the subjective categorisation of "food" or "drink".

Objective measurement is desirable, however categorisation of fluids lacks an agreed convention on viscosity measurement [26] with thresholds representing clinical consensus or an educated guess [60]. Viscosity at 50 /s is impractical in-situ and, more importantly, may not represent the appearance or perception of fluids.

Some practical measurement tools have recently been investigated; observation of flow through a fork is currently recommended in Australia [9] and was recently evaluated [66]: although lay-persons and clinicians were able to differentiate thinnest and thickest categories, there was very large variability in “middle-consistency” fluids. A line-spread test gives a measure of fluid spread on a plate and can indicate whether a material is likely to be in a nectar-thick or honey-thick category [67*]. The measure can be related to viscosity if restricted to one type of thickener [68], but line-spread measurements of different types of thickeners cannot be compared with their viscosity measurements [69*] and may not match the perception during swallowing which “calls into question the use of line-spread or consistometer measurements” [11]. Semi-fluid products often exhibit a yield stress – a material will not flow until the yield stress has been exceeded – explaining how the material is able to retain its shape on a fork [66] or inclined plane [70]. Yield stress is likely the key property assessed by line-spread or fork test observations, and may be relevant for “controllability” of a bolus on a spoon or on the tongue. However, it generally has a very low magnitude of the order of 1/1000 of tongue pressures recorded during swallowing [3*], such that it’s often difficult or unreliable to measure [10], therefore during a swallow it may be negligible compared to viscous stresses. IDDSI [65**] have recommended classifying liquids using a measurement of fluid while it is flowing, using a syringe as a practical measure of extensional viscosity. Extensional viscosity is well-related to the types of deformations involved in swallowing [7] and the rheological theory involved is summarised by Moberg et al. [71]. Since food categorisation involves measures of particle size and consistency/hardness, a similar practical tool for foods has not been feasible. Instead, IDDSI recommended applying a crushing pressure with thumbnail blanching used as a non-instrumental pressure indicator of approximately 16 kPa (representing a weakened tongue pressure).

5. Future directions

Conventional lab equipment (e.g. rheometers) may over-simplify the in-vivo environment, so research groups are aiming to create more-physiological mechanical simulators. For example Hayoun et al. [72] simulate oropharyngeal propulsion using a roller driven by a falling weight and have revealed potential mechanisms by which increased viscosity could lead to increased residue through reducing the completeness of tongue-palate closure. Dirven et al 2015 [73] aim to study oesophageal swallowing using peristalsis applied through a series of pneumatic actuators. Computer simulation of swallowing has had relatively minimal progress due to the complex psychophysics. The geometry of the pharynx can be visualised in 3D [74], but only as a solid, stationary model; a deformable tongue model has been created [75], but approximating it as a passive viscoelastic material is extremely simplified. A simulation of the motion of different fluid consistencies has been included in an app available in the UK [76]; although very simple, this provides a visual indication of consistency.

Many thickeners and stabilisers are used in conventional foods; increasingly these are now being investigated specifically for dysphagia management, e.g. mamaku gum (used by Maori people of New Zealand) [17], or gelatinous fat which thickens while increasing calorific content [77]. New techniques employ enzymes to soften root vegetables while retaining nutritional content [78*] or a beef steak, enabling it to be easily crushed with a teaspoon (less than 1/15 the firmness of normally-cooked steak) [79*]. These techniques are currently labour-intensive but are an inspiring approach to improve the quality of texture modified diets.

6. Conclusions

Investigations of oral processing and perception are improving our understanding of the interactions involved in swallowing a bolus. The mechanical properties of texture modified

products can be characterised, however their perception and behaviour during swallowing depend on more than the apparent viscosity of the bolus. A clinical evidence base is starting to emerge, however texture modification needs to be standardised in order that research studies can be compared, collated and reproduced. An international dysphagia diet standardisation initiative (IDDSI) launched a framework with that aim. Standardisation will likely be an iterative process as more-precise definition of texture modification allows higher-quality, more-reliable clinical evidence to be produced, which in turn will more clearly identify important features of texture modification for clinical safety, efficiency and palatability.

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