Full title: Prognostic risk modelling for patients undergoing major lower limb amputation: an analysis of the UK National Vascular Registry.

Running head: Operative risk after major lower limb amputation

Authors:

Graeme K Ambler; PhD, MRCS; Bristol Centre for Surgical Research, University of Bristol and North Bristol NHS Trust, Southmead Hospital, Southmead Road, Bristol, BS10 5NB.

Emma Thomas-Jones; PhD; Centre for Trials Research, Cardiff University, 7th Floor, Neuadd Meirionnydd, Heath Park, Cardiff, CF14 4XW

Adrian GK Edwards; MRCP, FRCGP, PhD; Division of Population Medicine, Cardiff University, 8th Floor, Neuadd Meirionnydd, Heath Park, Cardiff, CF14 4XW

Christopher P Twine; MD; Bristol Centre for Surgical Research, University of Bristol and North Bristol NHS Trust, Southmead Hospital, Southmead Road, Bristol, BS10 5NB

Correspondence:

Graeme K Ambler

Bristol Centre for Surgical Research
Canynge Hall
39 Whatley Road
Bristol
BS8 2PS

Telephone: +44 117 331 3929

Email: Graeme.ambler@bristol.ac.uk

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What does this study add to the existing literature and how will it influence future clinical practice?

This observational study used data from the UK National Vascular Registry to look at risk factors for in-hospital mortality and morbidity following major lower-limb amputation. Eleven independent risk factors were identified including emergency admission, raised white cell count or creatinine, low albumin or patient weight, age, ASA grade, amputation level and prior intervention to the amputated limb. A risk model was developed which had excellent calibration and good discrimination (C-statistic 0.79, 95% C.I. 0.77-0.80). An online calculator for the model is available, making it easy to use in clinical practice.

Abstract

Objective: Major lower limb amputation is the highest-risk lower limb procedure in Vascular Surgery. Despite this, few high-quality studies have examined factors contributing to mortality. We aimed to identify independent risk factors for peri-operative morbidity and mortality and develop reliable models for estimating risk.

Methods: All patients undergoing lower-limb amputation above the ankle entered into the UK National Vascular Registry (January 2014–December 2016) were included. Missing data were handled using multiple imputation. Models were developed to evaluate independent risk-factors for mortality (the primary outcome) and morbidity using logistic regression, minimising the Bayesian information criterion to balance complexity and model fit. Ethical approval for the study was granted (Wales REC 3 ref:16/WA/0353).
Results: All 9549 above ankle joint amputations in the registry were included. Overall, 865 patients (9.1%) died before leaving hospital. Independent factors associated with mortality were emergency admission, bilateral operation, age, ASA grade, abnormal ECG and increased white cell count or creatinine (P<0.01 for all). Independent factors reducing mortality were trans-tibial operation, increased albumin or patient weight, and previous ipsilateral revascularisation procedures (P<0.01 for all). A risk model incorporating these factors had good discrimination (C-statistic 0.79, 95% C.I. 0.77-0.80) and excellent calibration.

Morbidity rates were high, with 6.6%, 9.7% and 4.3% of patients suffering cardiac, respiratory and renal complications respectively. The risk model was also predictive of morbidity outcomes (C-statistics 0.74, 0.69 and 0.74 respectively).

Conclusions: Morbidity and mortality after lower limb amputation are high in the UK. We identified several potentially modifiable factors for quality improvement initiatives and developed accurate predictive models that could assist patient counselling and decision-making.

Key words: Amputation; Peripheral vascular disease; Mortality; Risk modelling
Introduction

Major lower limb amputation is one of the highest risk surgical procedures in the UK, with in-hospital mortality rates of approximately 6% for below- and 12% for above-knee amputation.\(^1\) It is therefore critical to identify prognostic factors contributing to mortality rates so that quality improvement programmes can be implemented. Although limited work exists for UK populations, the only large studies come from parts of the world with radically different healthcare systems, calling generalisability into question (Supplementary Table 1).\(^2\)\(^-\)\(^7\)

Mortality is not the only negative outcome experienced by this cohort; they face long hospital stays, a high rate of perioperative complications and frequent readmissions.\(^8\)

Prognostic risk modelling into leading causes of morbidity is therefore also important. Individualising consent\(^9\) and risk adjustment of surgeon specific outcome data\(^10\) are also enabled by robust risk models. There is some evidence that the broad adoption of the EUROSCORE\(^11\) risk prediction tool in cardiac surgery helped lead to the dramatic improvement in cardiac surgical outcomes which occurred around the turn of the millennium.\(^12\) It is possible that by facilitating appropriate targeting of resources to higher risk patients it may be possible to replicate these results in other fields. Thus development of accurate risk models for patients undergoing major lower limb amputation may have a multitude of benefits.

The objectives of this study were therefore to identify the independent risk factors for perioperative mortality and leading causes of morbidity in UK patients and develop
robust prognostic models. The ability of these models to accurately predict mortality in a contemporary UK dataset were then compared to previously published models.
Methods

Data

All patients recorded in the UK National Vascular Registry (NVR) as undergoing major lower limb amputation (below knee, through knee, above knee, hip disarticulation and hind quarter amputation) from January 1 2014 until December 31 2016 were included in the study. Data were formally requested through and approved by the UK Healthcare Quality Improvement Partnership, who are the data controllers for English and Welsh data within the NVR; and through the Audit and Quality Improvement Committee of the Vascular Society of Great Britain and Ireland, who are the data controllers for Scottish and Northern Irish data within the NVR. Data were retrieved in March 2018 to allow time for completion of the index admission as well as data entry from sites.

A list of the variables applied for and their type is given below in Supplementary Table 2.

Outcomes

The primary outcome was in-hospital mortality. Secondary outcomes were return to theatre during admission, re-admission to a higher level of care, post-operative length of stay and post-operative complications (subdivided into several different categories: cardiac, respiratory, cerebral (stroke), renal failure, haemorrhage and limb ischaemia).
Ethical approval and study registration

The study was approved by Wales Research Ethics Committee 3 (reference number 16/WA/0353), and the protocol was registered in the Australia and New Zealand Clinical Trial Registry (ANZCTR) as ACTRN12618000356268.

Statistical methodology

All statistical analysis was performed in the R statistical programming environment version 3.5.1. Multiple imputation using the mice package version 3.3.0 was used to handle missing data, excluding parameters with more than 50% of values missing from multivariate modelling. Data were imputed using 45 replicates with 45 iterations of the chained equations algorithm for each replicate. In order to explore differences there might be between analysis based on the imputed data and the unimputed data, a sensitivity analysis was done by performing univariate analysis using both complete case analysis compared with the multiply imputed data.

Univariate analysis was performed using univariate logistic regression, together with application of Rubin’s rules to pool estimates for multiple imputation. Continuous variables were kept as such and odds ratios are given per unit change in value rather than dichotomised into ‘high’ and ‘low’ values. Multivariate analysis was performed using multivariate logistic regression analysis to develop models using pre-operative predictors. Parameters were selected for inclusion in prognostic models using stepwise selection and following an Information Criterion based analysis, by minimizing the Schwarz-Bayes Criterion. This was done separately for each of the 45 replicates and terms which were present in at least half of the replicates were retained. ROC curve analysis was used to
assess model discrimination using the \texttt{pROC} package version 1.12.1.\textsuperscript{17} The Delong method was then used to calculate confidence intervals for the area under the ROC curve (C-statistic) and test whether performance was different to the estimated C-statistics of existing models.\textsuperscript{18} Comparison with existing models is hampered by the fact that three of the four models we found in a literature search include terms which are not recorded in the National Vascular Registry, so any estimation of the discriminatory power of these models will be hampered by the fact that we can only set these parameters to default values.\textsuperscript{2,5,7} The revised Vascular Biochemistry and Haematology Outcome Model does not suffer from this problem, so comparison with this model can be viewed as ‘fair’.\textsuperscript{3} The Hosmer-Lemeshow goodness of fit test was used to assess calibration of the models.\textsuperscript{19} Multiple imputation using the \texttt{mice} package version 3.3.0 was used to handle missing data,\textsuperscript{18} excluding parameters with more than 50\% of values missing from multivariate modelling. Data were imputed using 45 replicates with 45 iterations of the chained equations algorithm for each replicate. In order to explore differences there might be between analysis based on the imputed data and the unimputed data, a sensitivity analysis was done by performing univariate analysis using both complete case analysis compared with the multiply imputed data.
Results

Demographics and outcomes

There were 12,593 amputations entered into the registry during the study period, of which 9,549 were above the ankle and so comprised the study population. Of these, 4,516 (47%) were trans-tibial, 4,369 (46%) trans-femoral, 442 (5%) through-knee, 32 (0.3%) hip disarticulation and 190 (2%) were simultaneous bilateral procedures. Table 1 summarises the baseline characteristics of the study population, together with the amount of missing data for each parameter.

Overall, 865 patients (9.1%) died before leaving hospital. The mortality rate for below knee amputations (5.8%) was lower than for above knee procedures (12.0%). There was also a high rate of post-operative morbidity in the cohort, with 6.6%, 9.7% and 4.3% of patients suffering cardiac, respiratory and renal complications respectively. Less than 1% of patients was recorded as having a post-operative stroke or bleeding complication, and 4.4% had a complication relating to limb ischaemia. Ten percent (966/9546) of patients had an unplanned return to theatre, while 4% (363/9545) were re-admitted to critical care. The median post-operative length of stay was 16 days (IQR 9—28 days), with an overall median length of stay of 24 days (IQR 14—42 days).

Risk factors for post-operative mortality

Univariate analysis revealed that increased patient age; a history of ischaemic heart disease, congestive heart failure, chronic lung disease, chronic kidney disease or stroke; a raised white cell count, raised serum creatinine or low serum albumin; an abnormal ECG; increased...
American Society of Anaesthesiologists (ASA) grade; emergency admission and pre-operative beta-blocker therapy all increased the odds of in-hospital mortality. Male sex, previous intervention on the same side, below knee amputation, current smoking, statin or ACE inhibitor/ARB therapy, and increased weight all had protective effects (Table 2).

Analysis was repeated using complete case analysis to assess sensitivity to the imputation methodology. Results were almost identical to the multiple imputation analysis, giving confidence that the imputation methodology had not introduced significant bias (Table 2).

Multivariate regression modelling revealed that independent factors associated with worse in-hospital mortality were emergency admission (Odds Ratio (OR) 2.47, 95% Confidence Interval (C.I.) 1.89-3.24), bilateral operation (OR 2.19, 95% C.I. 1.48-3.25), age (OR per 10 year increase 1.21, 95% C.I. 1.13-1.29), ASA grade (OR per unit increase 2.60, 95% C.I. 2.27-2.98), abnormal ECG (OR 1.52, 95% C.I. 1.28-1.79), and increased white blood cell count (OR per $10^9$ cells/L increase 1.02, 95% C.I. 1.01-1.03) or serum creatinine (OR per 10 µmol/L increase 1.02, 95% C.I. 1.02-1.03).

Independent protective factors reducing in-hospital mortality were trans-tibial operation (OR 0.61, 95% C.I. 0.52-0.72), increased serum albumin (OR per g/L increase 0.97, 95% C.I. 0.95-0.98), previous procedures to the amputated limb (OR 0.79, 95% C.I. 0.68-0.92), and increased patient weight (OR per 10kg increase 0.95, 95% C.I. 0.91-0.99).

**Development of a prognostic model of post-operative mortality**

A multivariate logistic regression model using the factors identified above to predict the chances of surviving to hospital discharge was constructed. Hosmer-Lemeshow goodness of fit analysis revealed good model fit (P=0.348 for evidence of mis-calibration). A calibration
table is given in Supplementary Table 3, along with details of the model formula. This is displayed graphically in the Supplementary Figure.

ROC curve analysis showed that the model (labelled ‘UKAmpRisk’) has good (bordering on excellent) discrimination (C-statistic 0.79, 95% C.I. 0.77-0.80). A plot of the ROC curve is shown in Figure 1.

Comparison to existing models

The C-statistic was 0.59 (95% C.I. 0.56-0.61) for the Vascular Biochemistry and Haematology Outcomes Model (VBHOM), $^{2}$ 0.65 (95% C.I. 0.63-0.67) for the revised VBHOM model (VBHOM2), $^{3}$ 0.68 (95% C.I. 0.66-0.70) for the Veterans Affairs Model (VAM), $^{7}$ and 0.65 (95% C.I. 0.64-0.68) for the National Surgical Quality Improvement Programme (NSQIP) model. $^{5}$

All four models showed inferior discrimination to our model (P<0.0001 for all comparisons). Figure 1 shows all five ROC curves on the same graph for comparison. The NSQIP, VBHOM and VBHOM2 models all failed the Hosmer-Lemeshow goodness of fit test (P<0.0001 in each case), suggesting that they are also poorly calibrated for this patient cohort. The intercept coefficient was not published for the VAM model, so it was not possible to assess the calibration for that model.

Risk factors for secondary outcomes

Multivariate regression modelling revealed that low serum albumin and high ASA grade were consistent predictors of most morbidity outcomes. Other predictors frequently associated with outcome were amputations done as an emergency and a raised serum creatinine level. Full details of the parameters which were independently associated with the secondary outcomes are given in Supplementary Table 4. The ability of models based
on these factors to discriminate between patients who did or did not suffer these morbidity
outcomes was again assessed using the C-statistic (Supplementary Table 4).

The predictive model for in-hospital mortality was again a good predictor of several of the
morbidity outcomes including cardiac, respiratory and renal complications (C-statistics 0.74,
0.69 and 0.74 respectively).
Discussion

We have identified eleven factors which are independently associated with in-hospital mortality in patients undergoing major lower-limb amputation. While some of these factors (principally age and ASA grade) are not modifiable, the majority are potentially amenable to modification through improved clinical care.

Many, such as emergency admission and a raised white cell count, are linked to management of patients at a late stage in their disease and may reflect late presentation or recognition. This highlights the critical role of healthcare staff to recognise the deteriorating foot in the community, and robust in-hospital systems and teams to treat patients quickly. Earlier recognition will reduce the number of patients undergoing amputation as an emergency when they are septic, with increased risk of both kidney and cardiac dysfunction, often following a period of chronic low-grade foot sepsis resulting in malnutrition and low albumin. Amputation is often followed by long periods in hospital. In our experience, much of this time is as a result of social or organisational factors, including the need to assess a patient’s home for wheelchair suitability and carry out any necessary modifications. Earlier recognition would allow amputation to be handled in a more elective manner, so that this could be done ahead of time, facilitating shorter hospital admissions and thus reduced healthcare costs. Such systems are already in place for many patients in the form of the diabetic foot service and could be rolled out to all patients with chronic limb-threatening ischaemia. The present work highlights the fact that limb salvage must not be the only measure of the success of ‘limb-salvage’ clinics, as early recognition that limb salvage is unlikely to succeed will facilitate early discussion about the options and outcomes of
amputation, which will in turn improve the outcomes of those patients who decide to have an amputation rather than continuing to pursue further fruitless efforts at limb salvage.

We have also developed a model which could be used to aid counselling and decision-making, either in clinic or at the bedside, by quantifying the probability of the patient surviving to hospital discharge. We have developed a web calculator for easy use in clinic which is available from www.ambler.me.uk/Vascular, and could easily be converted into a standalone smartphone app for offline use. By having a model which can more reliably predict mortality, discussions about options can be more fully explored with patients, enhancing shared decision-making. Multiple previous studies have shown that surgeons systematically underestimate the chances of a patient surviving an operation. As the choice between amputation and conservative management is sometimes the choice between amputation and palliation, it is critically important that these discussions are conducted in the context of reliable risk estimates.

Ten percent of patients returned to theatre during their index admission. This is quite a high proportion, and it would have been useful to examine the reasons for these returns to theatre. Unfortunately, no detail is given in the dataset so some of these patients will have had a minor debridement procedure while some will have had a major revision of amputation level. This may be the reason why it was difficult to generate a model with good discriminatory power for this outcome (Supplementary Table 4).

One unexpected factor was that previous procedures to the amputated limb reduced mortality rates. While it is possible that having had previous procedures is simply a surrogate for ‘fitness’ in some way, it may also be that intervention to facilitate healing at a
trans-tibial rather than trans-femoral level might have multiple benefits, both in terms of improved short-term outcomes and also in terms of the improvement in long-term functional outcomes.

Strengths of this work include the large, national database used, the rigorous statistical methods used both to handle missing data and also the information criterion approach to reduce the chances of over-fitting. The model we have presented has shown discrimination which improves on the previously published models (Figure 1).

Limitations of the study include the fact that the case completion rate in the NVR is known to be only around 60%. This is a dramatic improvement over the situation 10 years ago, when only half this number of cases was entered. The UK National Vascular Registry reports for the past two years have highlighted the fact that case ascertainment rates vary widely between Vascular Networks. We can therefore be optimistic that much of the missing data relates largely to institutional and administrative factors rather than patient-related factors, but we must acknowledge the potential that the non-submitted cases might be systematically different from submitted cases, introducing bias into our results. In addition to missing cases, there was also a degree of missing data items within otherwise completed cases. We used multiple imputation to account for these missing data, a rigorous statistical technique which is recommended for this purpose by prominent guidelines. Sensitivity analysis using only complete cases gave very similar results (Table 2), so there is no evidence that these missing values have introduced significant bias.

Validation of data within the NVR is also lacking. This is a general criticism of registry-based studies, as to our knowledge, no national registry of major lower limb amputation cases has
ever gone through a rigorous validation procedure. Indeed this is the case for the majority of vascular surgical registries. Two notable exceptions are the SwedVasc registry and the Hungarian registry, although the former included only aortic aneurysm repair and carotid surgery while the latter also included infrainguinal arterial reconstruction. Plans are being put in place for a similar validation exercise of the UK NVR in Spring 2020, but this again is unlikely to include the major lower limb amputation subset.

A further weakness of this study is due to the limitations of the data recorded in the NVR. For example it is increasingly recognised that frailty is an important risk factor for peri-operative complications, including mortality. Indeed, dependent functional status has been shown in other work to be important for predicting mortality in patients undergoing amputation. Unfortunately, until recently no measure of frailty or functional status was recorded in the NVR. A measure of frailty has recently been added to the NVR dataset, which will allow further investigation of this factor in the future.

We have modelled in-hospital mortality, as that is the audit standard within the UK Vascular Registry. Unfortunately, this is different from many other national audit databases such as SwedVasc, which reports 30-day mortality. Inconsistency in outcome reporting is an issue which plagues clinical audit and research, as it makes pooling of information between studies (meta-analysis) challenging or impossible. Efforts are underway to reduce this problem in future, and Core Outcome Sets for patients undergoing major lower limb amputation for complications of peripheral vascular disease are currently in development.

Several of the predictive factors we found are similar to those found in previous work. Increasing age was found to be an independent predictor of mortality in almost all previous
studies, including this one. Emergency admission and level of amputation were also found
to be predictive of mortality in several other studies, including work from large
administrative databases in Japan and the USA.\textsuperscript{6,7} Evidence of systemic sepsis in the form of
a raised white cell count has also been identified as a significant factor in previous studies.\textsuperscript{2,5}
In contrast, bilateral procedures have not been previously shown in multivariate analysis to
have a worse outcome than unilateral procedures, and increased patient weight has never
been identified as an independent protective factor previously.

Further studies are needed to identify whether attempts to modify any of the factors have a
clinically relevant impact on outcomes. Firstly, improvements might be made through
quality improvement programmes designed to facilitate earlier identification and treatment
of patients for whom further attempts at limb salvage are at high risk of failure. Improved
shared decision-making using risk quantified by these data should be encouraged, perhaps
supported by a decision aid.\textsuperscript{29} Secondly, there are more speculative options which would
require testing in prospective interventional studies. One of these is a proposed
intervention to facilitate healing at a more distal level, as both prior procedures to the
amputated limb and below knee operations appear to have a protective role. Increased
patient weight and serum albumin have similar protective effects, so it is possible that pre-
operative dietary intervention or other ‘pre-habilitation’ might also be helpful for patients
with stable but un-reconstructable arterial disease. There is increasing interest into the
putative benefits of ‘pre-habilitation’, with multiple on-going studies,\textsuperscript{30} though little
concrete evidence of benefit at this time.\textsuperscript{31}

Further work is also needed to externally validate the predictive model. The importance of
this was highlighted within Vascular Surgery recently with the publication of the draft
National Institute for Health and Care Excellence (NICE) guidelines for the treatment of Abdominal Aortic Aneurysm, which found that none of the models for that patient group which had been subjected to external validation were found to have good discriminatory power. The NICE panel also suggested that the literature on risk scoring in abdominal aortic aneurysm repair reports several un-validated risk scores, and concluded that there is no justification to develop further models in this context, until the external validity of existing ones is assessed. The situation for major limb amputation is somewhat different, with very few available models. Those which do exist are difficult to validate in the UK as they use parameters which are not routinely recorded in the NVR. We are therefore optimistic that the model we have developed has the potential to contribute to improvement of outcomes for patients with chronic limb-threatening ischaemia.

In conclusion, we have identified independent risk factors for mortality and morbidity following major lower limb amputation and developed a prognostic model for in-hospital mortality with good predictive power. Important next steps include further external validation, and if supported, the development of quality improvement programmes which focus on modification of the factors we have identified, and adjustment of published surgical outcomes using this model.
Acknowledgements

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Disclosures

None
References


## Tables

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*Table 1: Baseline characteristics of patients. ACE – Angiotensin converting enzyme. ARB – Angiotensin II receptor blocker.*
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<tr>
<td>Comorbidities (Y : N)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Diabetes</td>
<td>1.069</td>
<td>0.930—1.230</td>
<td>0.349</td>
<td>1.069</td>
</tr>
<tr>
<td>Ischaemic heart disease</td>
<td>0.634</td>
<td>0.551—0.730</td>
<td>&lt;0.0001</td>
<td>0.635</td>
</tr>
<tr>
<td>Congestive heart failure</td>
<td>0.478</td>
<td>0.397—0.576</td>
<td>&lt;0.0001</td>
<td>0.479</td>
</tr>
<tr>
<td>Chronic lung disease</td>
<td>0.690</td>
<td>0.588—0.810</td>
<td>&lt;0.0001</td>
<td>0.690</td>
</tr>
<tr>
<td>Chronic kidney disease</td>
<td>0.477</td>
<td>0.411—0.555</td>
<td>&lt;0.0001</td>
<td>0.477</td>
</tr>
<tr>
<td>Hypertension</td>
<td>0.867</td>
<td>0.750—1.003</td>
<td>0.054</td>
<td>0.868</td>
</tr>
<tr>
<td>Stroke</td>
<td>0.785</td>
<td>0.640—0.963</td>
<td>0.021</td>
<td>0.785</td>
</tr>
<tr>
<td>Smoking – Current</td>
<td>1.208</td>
<td>1.031—1.415</td>
<td>0.019</td>
<td>1.206</td>
</tr>
<tr>
<td>Pre-operative blood tests</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White cell count (10^9 cells/L ↑)</td>
<td>0.968</td>
<td>0.961—0.975</td>
<td>&lt;0.0001</td>
<td>0.968</td>
</tr>
<tr>
<td>Haemoglobin (per g/L ↑)</td>
<td>1.005</td>
<td>0.996—1.014</td>
<td>0.307</td>
<td>1.005</td>
</tr>
<tr>
<td>Sodium (per mmol/L ↑)</td>
<td>0.995</td>
<td>0.980—1.010</td>
<td>0.507</td>
<td>0.995</td>
</tr>
<tr>
<td>Potassium (per mmol/L ↑)</td>
<td>0.993</td>
<td>0.924—1.069</td>
<td>0.860</td>
<td>0.994</td>
</tr>
<tr>
<td>Creatinine (per 10 μmol/L ↑)</td>
<td>0.973</td>
<td>0.968—0.977</td>
<td>&lt;0.0001</td>
<td>0.973</td>
</tr>
</tbody>
</table>
Table 2: Univariate analysis. Numbers greater than one indicate greater odds of being discharged alive. O.R. – Odds Ratio. C.I. – Confidence Interval. ACE – Angiotensin converting enzyme. ARB – Angiotensin II receptor blocker.
Caption for Figure

Figure 1: ROC curve for UKAmpRisk, the prognostic model developed here, with best estimates of the VAM, VBHOM and NSQIP models. Some predictive variables for VAM, VBHOM and NSQIP models are not available in the NVR.