

Bringing proportional recovery into proportion: Bayesian modelling of post-stroke motor impairment

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Accurate predictions of motor impairment after stroke are of cardinal importance for the patient, clinician, and healthcare system. More than 10 years ago, the proportional recovery rule was introduced by promising that high-fidelity predictions of recovery following stroke were based only on the initially lost motor function, at least for a specific fraction of patients. However, emerging evidence suggests that this recovery rule is subject to various confounds and may apply less universally than previously assumed. Here, we systematically revisited stroke outcome predictions by applying strategies to avoid confounds and fitting hierarchical Bayesian models. We jointly analysed 385 post-stroke trajectories from six separate studies—one of the largest overall datasets of upper limb motor recovery. We addressed confounding ceiling effects by introducing a subset approach and ensured correct model estimation through synthetic data simulations. Subsequently, we used model comparisons to assess the underlying nature of recovery within our empirical recovery data. The first model comparison, relying on the conventional fraction of patients called 'fitters', pointed to a combination of proportional to lost function and constant recovery. 'Proportional to lost' here describes the original notion of proportionality, indicating greater recovery in case of a more severe initial impairment. This combination explained only 32% of the variance in recovery, which is in stark contrast to previous reports of >80%. When instead analysing the complete spectrum of subjects, 'fitters' and 'non-fitters', a combination of proportional to spared function and constant recovery was favoured, implying a more significant improvement in case of more preserved function. Explained variance was at 53%. Therefore, our quantitative findings suggest that motor recovery post-stroke may exhibit some characteristics of proportionality. However, the variance explained was substantially reduced compared to what has previously been reported. This finding motivates future research moving beyond solely behaviour scores to explain stroke recovery and establish robust and discriminating single-subject predictions.

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Abbreviations: FM = Fugl-Meyer; PPC = posterior predictive check

Introduction

The science of clinical recovery after stroke began with comprehensive, yet mainly anecdotal descriptions of patients' trajectories (Twitchell, 1951; Newman, 1972; Broeks et al., 1999). It then moved to increasingly larger studies aiming to create robust prediction models for individual outcome. Initial impairment status crystallized as one of the most predictive features, providing the foundation of the proportional recovery rule (Prabhakaran et al., 2008). According to this widespread rule, the majority of stroke patients, considered 'fitters' to the rule, recover \sim 70% of the initially lost function within the first few months after the initial event. 'Function' here refers to the term 'body function' defined as 'physiological functions of body systems' in the International Classification of Functioning, Disability and Health (ICF) (World Health Organization, 2001). 'Lost function' therefore describes the motor impairment on a scale such as the Fugl-Meyer, with decreasing body function implying increasing impairment. Fitters and non-fitters to this proportional (to lost function) recovery rule have been defined in several ways in previous studies. For example, by choosing a discrete initial cut-off score, clustering initial and follow-up scores, or using measures of corticospinal tract integrity. The proportional recovery rule, developed initially for Fugl-Meyer assessment scores of the upper limb (Kundert et al., 2019), has since been extended to various functional domains. Numerous studies on recovery post-stroke claim to confirm proportional (to lost function) recovery of the upper limbs (Zarahn et al., 2011; Byblow et al., 2015), the lower limbs (Smith et al., 2017), language (Marchi et al., 2017), and neglect (Winters et al., 2017). Collectively, these studies consistently report high values of explained variance in cumulatively more than 500 participants, even as high as 94% (Winters et al., 2015).

Very recently, doubt has been placed on these estimates for explaining the variance observed in recovery post-stroke (Hawe *et al.*, 2019*a*; Hope *et al.*, 2019). The concerns relate to the problem of mathematical coupling, when correlating an initial score and the amount of change (Lord, 1956; Hayes, 1988; Chiolero *et al.*, 2013). This coupling confound may occur when the second ('End') measurement has considerably less variability than the first ('Initial') measurement, leading to a small ratio of end to initial variabilities. Such small variability ratios of end to initial measurements arise naturally in stroke recovery data based on the Fugl-Meyer assessment (Gladstone *et al.*, 2002), as ceiling effects predominantly occur at the end time point and cause a reduction in variability.

Importantly, if this 'variability' ratio of end to initial measurements is small, the true relationship between initial and end is irrelevant-we will, without question, find overwhelming evidence for a strong correlation between initial and change measurements (Fig. 1A). More concretely, correlations between the initial measurement and the corresponding change score will automatically be high, as the change score is dominated by the initial measurement in case of low variability of the end measurement due to ceiling effects. For example, let us assume three patients with initial Fugl-Meyer scores of 10, 35 and 50. All of them recover completely and we measure end Fugl-Meyer scores of 66 in the chronic phase. Thus, there is no variability in their end score but the change between end and initial measurements equals 56, 31 and 16, respectively and correlates perfectly (r = -1.0) with the initial measurement. Hence, this implies that testing proportional (to lost function) recovery in case of small variability ratios is tautological; it will always hold. Because it is central to our argument, we name the two confounds of mathematical coupling and ceiling effects, induced by small variability ratios and the impact of concentration of data towards ceiling, 'compression enhanced coupling'.

Having identified this compression enhanced coupling confound, it is essential to consider whether it can be circumvented to enable an accurate assessment of the proportional recovery question. This is what we aimed to do in this article. Our logic was as follows.

- (i) The nature of recovery post-stroke cannot be meaningfully evaluated when there is a substantial ceiling effect at the second time point (causing compression enhanced coupling).
- By reducing data at ceiling, we can increase the variability ratio and address compression enhanced coupling. We additionally make sure that we do not incur any new confounds, when decreasing ceiling.
- (iii) Once this confound has been handled, we can fit various recovery models and determine which one best explains the data, in order to assess the underlying mechanisms of stroke recovery.

Specifically, we first showed that estimates of explained variance for recovery were inflated, when models were fit to the entire sample of fitters (Fig. 1B). This is the approach currently used in the literature. This inflation was expected on the basis of Hawe *et al.* (2019*a*) and Hope *et al.* (2019). We

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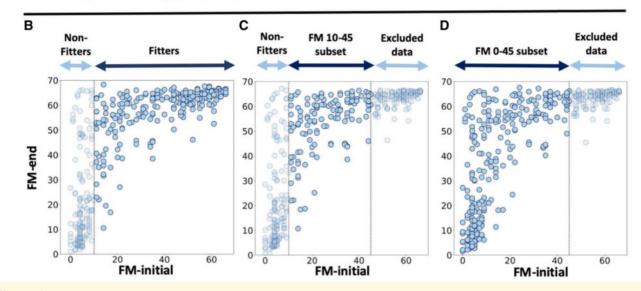
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As variability of Y becomes a lot less than of X, Y-X tends to -X+Const and r(X,(Y-X)) tends to r(X,-X) = -1

- X (=Initial): first measurement;
- Y (=End): second measurement;
- Y-X (= End-Initial): Recovery;
- r(X,Y): correlation of Initial (X) with End (Y);
- r(X.(Y-X)): correlation of Initial (X) with Recovery (Y-X);
- negative r(X.(Y-X)), see blue arrow, taken as evidence for recovery proportional to lost;
- $\log \sigma_x / \sigma_y$: variability ratio, with standard deviations σ_x and σ_y .

Flat Region: overwhelming (but potentially spurious) evidence for recovery proportional to lost always observed, whatever underlying model, i.e. $r(X,(Y-X)) \approx r(X,-X) = -1$

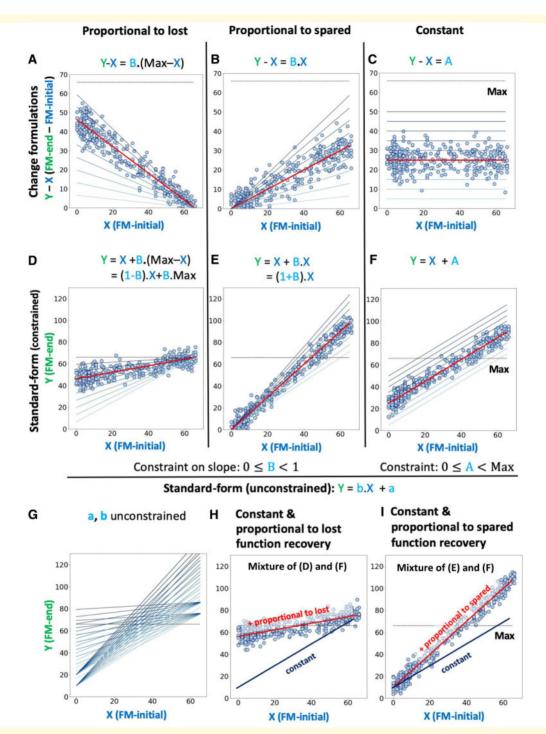


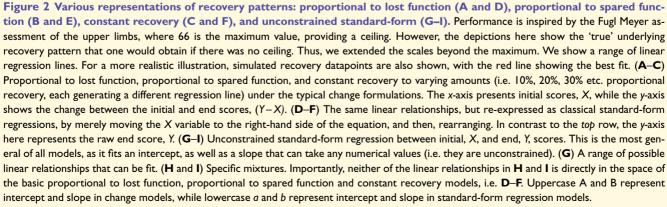
r(X, Y-X)

Flat region

Figure I The confounded nature of proportional (to lost function) recovery assessments and investigated subgroups. (A) Surface plot. Depiction of the relationships between correlations of initial and end measurements, r(X, Y), correlations of initial and change measurements, r(X,(Y-X)), and the (log) ratio of End to Initial standard deviations. The logic of synthetic data simulations is also shown (black text, arrows, and symbols on surface plot, for additional intuitions cf. Supplementary material, section 5). Figure modified from Hope et al. (2019). (B-D) Subgroup analyses. Recovery data are presented as initial Fugl-Meyer scores in the acute phase against end Fugl-Meyer scores in the chronic phase after stroke. (B) Conventional subgroups of fitters and non-fitters based on a cut-off of FM-initial = 10. (C) Subset approach for fitters only: only patients with an FM-initial between 10 and 45 are considered in order to control for ceiling effects. (D) Subset approach considering both fitters and non-fitters using an Fugl-Meyer range between 0 and 45. Excluded data are indicated by a lighter colour.

then reduced ceiling effects and compression enhanced coupling by creating subsets, i.e. we excluded a varying range of stroke participants with the highest scores at the initial time point (Fig. 1C and D). This procedure reduced the ceiling effect at the end time point and therefore also increased the variability ratio. Critically, we validated this subset procedure in synthetic data experiments (Gelman and Hill, 2006). That is, we generated data with known ground truth and simulated three candidate explanations of recovery post-stroke: (i) 'proportional to lost function'; (ii) 'proportional to spared function'; and (iii) 'constant recovery' (Fig. 2A-C). Proportional to lost function is the familiar pattern (referred to as proportional recovery in the literature), where a more severe initial impairment implies a more significant recovery. Proportional to spared function is the opposite pattern, in which individuals recover more if they have more preserved function at the initial time point. Constant recovery formalizes the idea that initial severity has no impact on recovery, which is the same size, whatever the initial impairment.





These three patterns are different in all but one case, which is when there is no recovery (i.e. Y = X). We then imposed a ceiling in our synthetic data simulations and successively created subsets by excluding subjects with the highest initial scores. As the ground truth was available in these simulations, we were able to ensure our subset approach really reduced compression enhanced coupling (Fig. 1A).

Subsequently, we assessed recovery patterns in empirical stroke data. Therefore, we aggregated a substantial body of data, i.e. 385 individual post-stroke recoveries, across a range of representative studies focused on upper limb deficits measured as Fugl-Meyer scores (Zarahn et al., 2011; Byblow et al., 2015; Feng et al., 2015; Winters et al., 2015; Buch et al., 2016; Guggisberg et al., 2017). We used stateof-the-art hierarchical Bayesian models, enabling us to incorporate data from these various sources, while accounting for inter-study variability and fully modelling the uncertainty in the data. Crucially, these models also permitted conducting overall model comparisons, enabling us to assess the evidence in the data for each model. We considered the three change models mentioned above and shown in Fig. 2A-C, proportional to lost, proportional to spared, and constant recovery. We also included a completely unconstrained standard-form regression, the most general of the models, which determined whether linear relationships outside our three candidate models explained the data any better (Fig. 2G-I). While we first only considered patients that adhered to the conventional proportional recovery rule, i.e. fitters, we later extended the analyses to the full spectrum of fitters and non-fitters (Fig. 1C and D).

Consequently, the core objective of this paper was to respond to the confounded nature of assessments of behavioural recovery from stroke, particularly from upper-limb impairments. We did so by applying a subset approach to reduce confounding effects. We then used Bayesian models and model comparisons to answer the substantive scientific question: what mechanisms best explain the data on recovery of upper-limb impairment after stroke and with what explained variance?

Material and methods

Participants and clinical data

The analyses of post-stroke upper limb impairment were based on a sample of 385 acute stroke participants originating from six different studies on stroke recovery (Zarahn *et al.*, 2011; Byblow *et al.*, 2015; Feng *et al.*, 2015; Buch *et al.*, 2016; Guggisberg *et al.*, 2017). Details on data acquisition are given in the Supplementary material, section 3. In brief, we used anonymized data available from Zarahn *et al.* (2011) and Guggisberg *et al.* (2017) and combined them with secondary data from Hawe *et al.* (2019*a*). Therefore, we had individual-level information on Fugl-Meyer (FM) scores assessing upper limb motor impairment in the acute as well as chronic stage (3–6 months after the event) (Nakayama *et al.*, 1994). A minimum score of 0 implied no preserved body function and a maximum score of 66 implied maximal body function (Fugl-Meyer *et al.*, 1975). In line with previous research (Feng *et al.*, 2015), we split the stroke subject samples into fitters and non-fitters to the classic proportional recovery rule (Prabhakaran *et al.*, 2008) based on their initial scores (non-fitters: *FM-initial* \leq 10 points, fitters: *FM-initial* >10 points) (Fig. 1B). The first set of analyses were focused exclusively on fitters (n = 243), and subsequent analyses highlighted findings on the entire sample, i.e. fitters and non-fitters (n = 385). As all of the data have been published previously, ethics approvals had been granted for all individual primary studies.

Bayesian hierarchical modelling of motor stroke outcome

A hierarchical Bayesian framework was used to allow for the balanced incorporation of data from various sources and to facilitate model comparisons. More precisely, we built Bayesian multilevel (hierarchical) linear regression models with varying intercepts and slopes (Gelman, 2006). Therefore, each of the six considered studies was characterized by estimated full probability distributions of intercept and slope parameters-rather than simple best-fit, maximum likelihood parameter estimates as commonly used in recovery studies. Retaining study-specific information in this statistical way was essential to addressing potential differences between studies. These differences could arise from independent data collection, involving study sites in different countries, and likely minor variations in therapy regimens. Nonetheless, given that each of the included studies considered similar measures at similar time points from broadly similar participants, information was also pooled across the various studies and a set of hyperparameters, i.e. acrossstudy intercept and slope, was derived (Bzdok et al., 2020). Thus, intercepts and slopes had two levels that carefully captured across-study versus individual variation in the eligible stroke studies.

The outcome variables that we sought to predict were either the raw *FM-end* score or *Change* (i.e. *FM-end* – *FM-initial*). We thus created a likelihood function for the outcome and linked it to the priors of our predictor variables, i.e. either the unaltered *FM-initial* score or *Potential* (*FM-maximum* – *FM-initial*), through one of five different models:

- (i) The (classical) standard-form regression model: FM-end = b.FM-initial + a (with intercept a and slope b).
- (ii) The change model: Change = Potential.B + A, with Change = FM-end FM-initial and Potential = FM-maximum FM-initial, with FM-maximum = 66.

The change model was more precisely framed in three different ways expressing various conceivable recovery models, which we highlighted in the 'Introduction' section (*cf.* Fig. 2A–C): The classical proportional to lost function recovery model: *Change* = *Potential.B*, a proportional to spared function recovery model: *Change* = *FM-initial.B* (which takes the raw initial score), and a constant recovery model: *Change* = A.

Once fitted, we determined whether the obtained models were truly proportional to lost, spared, or constant recovery by assessing the parameter settings, where $0 \le B < 1$ for the proportional to lost or spared function recovery and where $0 \le A < Max \land Max = 66$ for the constant recovery model. We used lower case *a* and *b* to denote intercepts and slopes in standard-form regression models, which featured *FM-end* as outcome. Conversely, upper case *A* and *B* represented intercept and slope in change models, which had *Change* (*FM-end* – *FM-initial*) as outcome.

A critical step in any Bayesian analysis is the specification of prior beliefs. We attenuated the effects of priors and simultaneously increased the influence of the actual data by choosing simple, weakly informative Gaussian priors for slope and intercept (hyper-)parameters (i.e. we chose large standard deviations), and half-Cauchy priors for corresponding variance terms. The full Bayesian model is specified in Fig. 5A. Dependencies between variables are indicated with arrows, observed variables are in grey boxes, and the distributions defining variables are shown on the right. M denotes the number of studies analysed and N(i) the number of subjects in each study.

Inference

The analytical derivation of posterior distributions is either computationally very expensive and challenging or not possible, as it requires the integration over thousands of unknown parameters. We thus deployed a recent Monte Carlo Markov Chain algorithm, the No U-Turn Sampler (NUTS), which does not compute the posterior distribution directly, yet draws samples from it in a stochastic way (Hoffman and Gelman, 2014) (setting: draws = 2000, n_init = 1000; for quality assurance and to check for convergence: initially four chains, then one chain for final analyses). Marginal posteriors are given as mean and 95% credible intervals. Posterior predictive checks were run to analyse the model performance, i.e. we predicted FMend or Change scores based on parameter drawings from the posterior. In this way, we could assess whether data originating from our fitted hierarchical model resembled data from the true underlying distribution. We compare predicted means to the actual sample means and finally compute R-squared values as a measure of explained variance.

Synthetic data simulation experiments

Before carrying out model comparisons, we first conducted data simulations (Gelman and Hill, 2006) and synthetically generated data based on ground truth models. These simulations enabled us to test strategies to ensure correct model estimation despite the effects of noise and ceiling.

We proceeded in the following way: we selected proportional to lost, proportional to spared function and constant recovery as 'true' models. These models were rearranged to obtain the standard-form classical regression, directly linking X and Y (Fig. 2D–F).

The transformation to standard-form enabled us to generate Y-values from those of X. To consider different degrees of recovery, we assessed these in 10% steps from 10% to 90% of the proportional recoveries and in steps of five from 5 to 50 points for constant recovery (Fig. 2D-F). We then entered the empirical FM-initial scores of all fitters (n = 243) in one of the 'true' models, added noise, and enforced ceiling (Supplementary material, section 4). The final and critical step then was to fit a new linear regression model to the simulated data and compare the estimated parameters for intercept and slope to the given 'true' parameters to answer whether it was still possible to estimate the 'true' model after alterations by noise and ceiling. Also, we tracked the ratio of the standard deviations FMend/FM-initial, Pearson correlations of FM-initial and FMend, as well as FM-initial and Change and the number of simulated subjects at absolute ceiling, i.e. at a Fugl-Meyer score of 66 (maximum).

Aiming to reduce ceiling and thus its confounding effect, we implemented a subset approach by limiting the data simulations to specific FM-initial ranges, i.e. subset (i) FM-initial 10-60 including subjects with initial scores between 10 and 60 (n = 206); (ii) FM-initial 10-50 (n = 153); (iii) FM-initial 10-45 (n = 118); and (iv) FM-initial 10-40 (n = 92), and evaluated its effect on subsequent model estimation. In the case of FM-initial 10-45 and FM-initial 10-40, we additionally excluded studies that had < 10 subjects in the respective range [FM-initial 10-45 (Zarahn et al., 2011; Buch et al., 2016), FM-initial 10-40 (Zarahn et al., 2011; Byblow et al., 2015; Buch et al., 2016)]. This enabled us to assess in synthetic data, which subset approach gave the best trade-off between retrieval of correct model and parameter settings, and size of the remaining data. For each of the described scenarios, simulations were repeated 1000 times. A typical simulation process is illustrated as the black annotations in Fig. 1A. See the Supplementary material, sections 5 and 7, for further details on these simulation experiments and intuitive examples.

Final model comparisons

Fitters only

We initially focused on the fitters (*FM-initial* > 10) portion of the data. Relying on the simulation results, we constructed Bayesian hierarchical models for the standard form regression, the proportional to lost function, and proportional to spared function as well as the constant recovery models in the subset *FM-initial* 10–45 and conducted a model comparison. We focused on this subset as it represented an optimal compromise between mitigating ceiling effects and retaining as many subjects in the analysis as possible [*FMinitial* 10–45: n = 118 (31%)]. Results for the subsets *FM*- *initial* 10–40 and *FM-initial* 10–50 are provided in the Supplementary material, section 10.

Despite our dataset being as large as currently possible, a potential limitation is that, for some of the studies included, we relied upon values extracted from published figures. This process missed 68 subjects because multiple points sat on top of one another in scatter plots. To account for these missing values and to determine an upper bound of R-squared for the winning model in our model comparison, we repeatedly (1000 times) took 68 random draws from the available *FM-initial* distribution. We excluded values not in the range 10–45 and placed the remaining values on the predicted linear fit (i.e. assuming perfect prediction by the standard-form model). We then added those additional simulated subjects to the original dataset. By these means, we obtained an average R-squared value, which can be considered an upper bound when correcting for missing values.

Fitters and non-fitters

In the final analyses, we jointly investigated data on fitters (*FM-initial* > 10) and non-fitters (*FM-initial* \leq 10) by fitting the four competing models outlined above. Once again, we ran analyses using the subset approach, using a decreased upper limit for *FM-initial* scores to prevent confounding by ceiling [*FM-initial* 0–45: n = 270 (70%)].

Statistical analyses

The main analyses were conducted in a Bayesian hierarchical framework. The central inferential question was a model comparison. Specifically, we determined the models best describing the data based on their leave-one-outcross-validation (LOOCV) (Vehtari *et al.*, 2017), with LOOCV being a critical out-of-sample test of model fit indicating whether our findings are likely to hold up in future studies. Model comparisons based on the widely applicable information criterion (WAIC) are also given in the Supplementary material, section 8. The WAIC represents a principled means of weighing goodness-of-fit against model complexity (i.e. number of effective parameters) (Watanabe, 2013). Additionally, we report Rsquared values, the standard measure of the effectiveness of models at explaining within-sample variability.

Data availability

The recovery data as well as jupyter notebooks (python 3.7, primarily software package pymc3) (Salvatier *et al.*, 2016) used in this study are available from the authors on reasonable request.

Results

Descriptive statistics

Individual studies as well as the joint distributions of initial and end Fugl-Meyer scores, median values, and quartiles, are illustrated in Fig. 3. With regard to subtle differences between studies, Feng *et al.* (2015) only considered stroke subjects with *FM-initial* scores <60. Guggisberg *et al.* (2017) included more subjects with lower initial scores and scheduled the second assessment sooner on average, which likely underlies the more widespread and less skewed distribution of *FM-end* scores. Further characteristics, such as size, mean age, and sex of each study are summarized in Supplementary Table 1.

Bayesian posterior distributions for stroke recovery prediction

The hierarchical standard-form regression and change models built on the entirety of fitters (n = 243) could be well estimated, as indicated by the convergence of four independently sampled (Monte Carlo Markov) chains for the posterior estimates of model parameters. Additionally, the predicted posterior mean was evenly distributed around the actual sample mean, indicating that the model can reproduce patterns occurring in the real data (Supplementary Fig. 2). Figure 4 illustrates the marginal posteriors for the across-study and study-specific intercept and slope parameters, arising from one final chain. Furthermore, Fig. 5B and C highlights the joint posterior densities for intercept and slope parameters. A striking finding for both models was the dispersion of the individual studies' intercepts and slopes. For the change model, the across-study mean for the slope was 0.64, thus specifying a proportional recovery of 64% for all six studies combined. However, the individual posterior means for slopes fell in the range between 54% (Guggisberg et al., 2017) and 70% (Feng et al., 2015), reflecting different patient mixes and evaluation time points. The six slopes also followed two general patterns, with three studies featuring lower and three studies higher proportional recovery amounts. As expected, the explained variance of the change model markedly surpassed that of the standard-form regression model [posterior predictive check (PPC): R-squared: 70.8% versus 42.7%], demonstrating the problematic inflation due to mathematical coupling highlighted in Hawe et al. (2019a) and Hope et al. (2019). Also, this inflation of explained variance coincided with a small ratio of standard deviations FM-end/FM-initial, totalling 0.57. This small ratio at least partially resulted from the number of subjects reaching absolute ceiling at follow-up: 37 (15.2%). In sum, these are the canonical properties of compression enhanced coupling.

Synthetic data simulation experiments

Synthetic data simulations in the sample of fitters (Gelman and Hill, 2006) facilitated the detailed study of confounding effects of noise and ceiling as well as hypothetical conclusions when assuming three conceivable ground truth models:

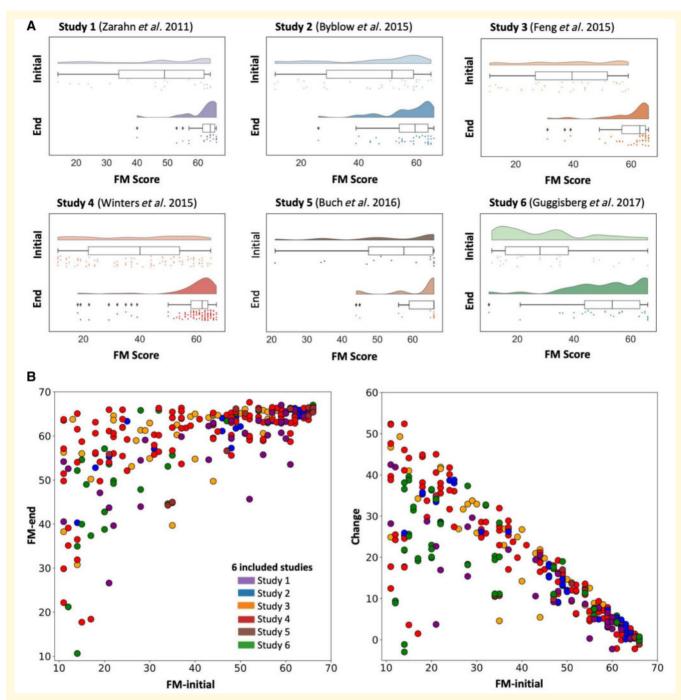


Figure 3 Initial and follow-up upper limb motor performance, individually for each of the six studies included and aggregated across studies. (A) Raincloud plots of the initial and end Fugl-Meyer assessment scores. These measured the upper limb impairment post-stroke of all fitters, i.e. those with *FM-initial* > 10 (n = 243). Each of the six studies included is displayed separately and uniquely colour-coded. The *top* row within each study's plot shows the distribution of scores. The *second row* summarizes the same data in a box plot (i.e. median, upper and lower quartiles, whiskers extending to the entire range of data, outliers indicated as separate dots). The *third row* displays raw individual datapoints. While initial Fugl-Meyer score distributions are more homogeneous across the entire range (i.e. more uniform), distributions at the second time point are narrower and—to varying degrees—more pronounced at the upper end of the Fugl-Meyer assessment scale, i.e. skewed. The code for raincloud plots is from Allen *et al.* (2019). (**B**) Entirety of aggregated individual Fugl-Meyer assessment scores of all stroke subjects defined as fitters (*FM-initial* > 10). Scores are jittered on the vertical axis for visualization only. *Left: FM-initial* versus *FM-end*, clearly depicting the increased density for follow-up scores close to and at ceiling, i.e. *FM-end* = 66. *Right: FM-initial* versus *Change* (*FM-end* – *FM-initial*). Included studies are colour-coded, as before.

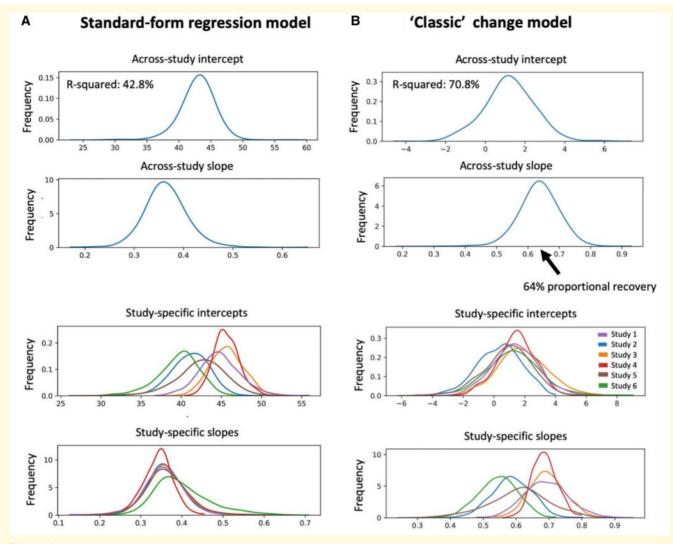


Figure 4 Bayesian hierarchical model of all fitters (n = 243**): marginal posteriors of intercepts and slopes.** The best parameter settings are the ones with the highest frequencies and the spread of the distributions indicate uncertainty associated with the parameter estimation. (A) Standard-form regression model. End Fugl-Meyer scores are estimated according to *FM*-end = b.*FM*-initial + a. Across-study intercept and slope are depicted in the *top two rows*. The *bottom two rows* show the lower level of the hierarchy: varying intercepts and slopes, individually per included study. (**B**) 'Classic' proportional to lost function change model. The outcome measure of interest here is the change between the initial and end Fugl-Meyer scores, estimated based on *Change* = B.*Potential* + A with *Change* = *FM*-end – *FM*-initial and *Potential* = 66 – *FM*-initial. The across-study slope indicates a proportional recovery of 64% (black arrow). The inflation of explained variance due to mathematical coupling and ceiling enhanced coupling is demonstrated by an R-squared value of 70.8% for the change model that exceeds the one from the standard-form regression model by 28%. Note that unlike our presentations of proportional to lost function elsewhere, we include an intercept here to maximize fit, although, as can be seen, fitting generates an intercept very close to zero.

proportional to lost function, proportional to spared function, as well as constant recovery.

Detailed descriptions and data simulations are given in the Supplementary material, section 7. In summary, the inclusion of noise did not impede the correct model and parameter estimation. The situation changed markedly with the introduction of a ceiling: correct estimation deteriorated in parallel to the increase of subjects at absolute ceiling and with growing amounts of recovery (e.g. going from 10% of proportional recovery to 20%). This scenario also demonstrated the effects of compression enhanced coupling, since tracked Pearson

correlations of *FM-initial* and *Change* increasingly became more extreme than those of *FM-initial* and *FM-end* after enforcing ceiling (Fig. 6A). Importantly, the variability ratio, computed as $\sigma(FM-end)/\sigma(FM-initial)$, decreased in parallel (Fig. 6B). Figure 6A illustrates these courses: in the case of proportional to spared function and constant recovery, the tracked Pearson correlations of *FM-initial* and *Change* before and after enforcing ceiling diverged dramatically (*cf.* yellow and green lines, before and after ceiling). Crucially, trajectories after introducing ceiling closely resembled those of proportional to lost function recovery. Hence, when considering

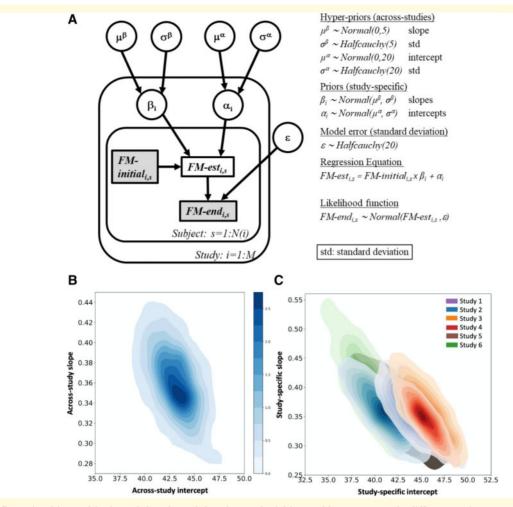


Figure 5 Bayesian hierarchical model and model estimated within- and between-study differences in motor recovery based on the standard-form regression model. (A) Full specification of the Bayesian hierarchical model. **(B)** Aggregated motor studies. We display the joint distribution between the across-study intercept, which can be described as the average motor outcome for an *FM-initial* score of zero, and the across-study slope, equivalently framed as performance gain dependent on *FM-initial*. Therefore, the plot illustrates the joint posterior densities for the included hyperparameters, with the marginal posterior for the intercept ranging from 37.0 to 47.4 and from 0.28 to 0.44 for slopes (95% credibility intervals). **(C)** Individual motor studies. It particularly highlights the relationship between sample size and width of credibility intervals, as larger studies present with narrower intervals (see legend in **C** for study-specific colour-coding).

all fitters and disregarding any potential ceiling effects, there was only one possible conclusion: data would follow a proportional to lost function recovery regardless of the real mechanism driving recovery.

However, estimation performance gradually improved again, when running the simulations in subsets of fitters, i.e. considering only those below a certain cut-off of *FM-initial*. The most stringent subset of *FM-initial* 10–40 [92 subjects (24%)] performed the best in terms of estimating the true intercepts and slopes for all models. However, in order to choose an appropriate subset range for the intended model comparisons, we tried to find the optimal balance of reducing possible confounds, while also retaining as many subjects in the analysis as possible. The subset *FM-initial* 10–50, containing 153 subjects (40%), was only capable of retrieving

proportional to spared function up to a proportion of 30% and 15 points of constant recovery, which we did not judge to be sufficient. On the other hand, we could only keep three studies and 24% of all subjects in the subset *FM-initial* 10–40, which seemed an inefficient use of hard-won empirical data and reduction to too few patients. Therefore, we established a further subset *FM-initial* 10–45 to combine the advantages of *FM-initial* 10–50 and 10–40. Based on the subset *FM-initial* 10–45 [118 subjects (31%)], we were able to estimate the entire range of proportional to lost function; up to 40% of proportional to spared function, and up to 20 points of constant recovery. We were also able to recover the 'true space' of the generating model for all proportional to spared function models (Supplementary material, section 5). Hence, we decided to focus on the subset *FM-initial* 10–45

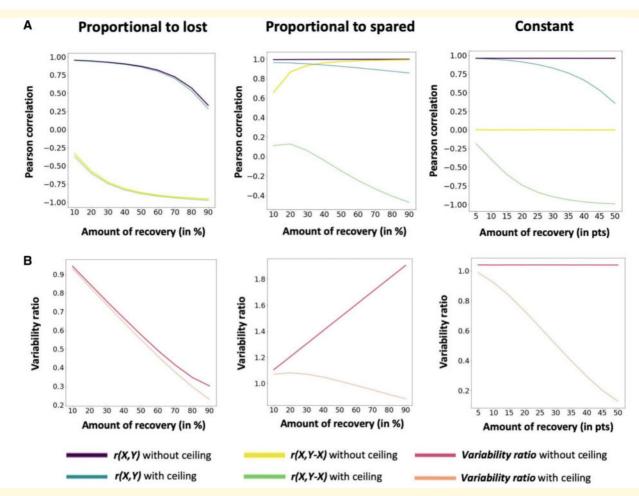


Figure 6 Synthetic data simulations of proportional to lost function (*left*), proportional to spared function (*middle*), and constant recovery (*right*) based on 243 simulated subjects. (A) Trajectories of Pearson correlation between *FM-initial* (X) and *FM-end* (Y) and *FM-end* (X) and *Change* (Y – X). Proportional to lost function recovery: starting at almost the maximum of 1, the correlation between *FM-initial* and *FM-end* decreases the higher the amount of proportional recovery, while the correlation for *FM-initial* and *Change* becomes more negative and finally exceeds the one of *FM-initial* and *FM-end* in absolute terms, demonstrating the effect of mathematical coupling. Ceiling only exhibits a minor amplification of this effect. Proportional to spared function recovery: without any ceiling, correlations of *FM-initial* and *FM-end*, as well as *FM-initial* and *Change*, are close to 1. The latter changes dramatically after enforcing ceiling: the correlations of *FM-initial* and *Change* now decrease monotonically, become negative and are reminiscent of proportional to lost function. Constant recovery: the correlation between *FM-initial* and *FM-end* decreases monotonically, yet stays positive, the one between *FM-initial* and *Change* decreases and becomes almost –1 for high levels of constant recovery. (**B**) Trajectories of variability ratios. Proportional to lost function recovery: trajectories differ markedly depending upon ceiling: ratios are >1 and increase before ceiling and decrease to values <1 after ceiling is enforced. Constant recovery: trajectories differ markedly depending upon ceiling: ratios are >1 and increase before ceiling and decrease to values <1 after ceiling is enforced. Constant recovery: once again, the presence of a ceiling substantially alters the trajectories of variability ratios. While they remain close to 1 before enforcing ceiling, they show a steep decrease after enforcing ceiling.

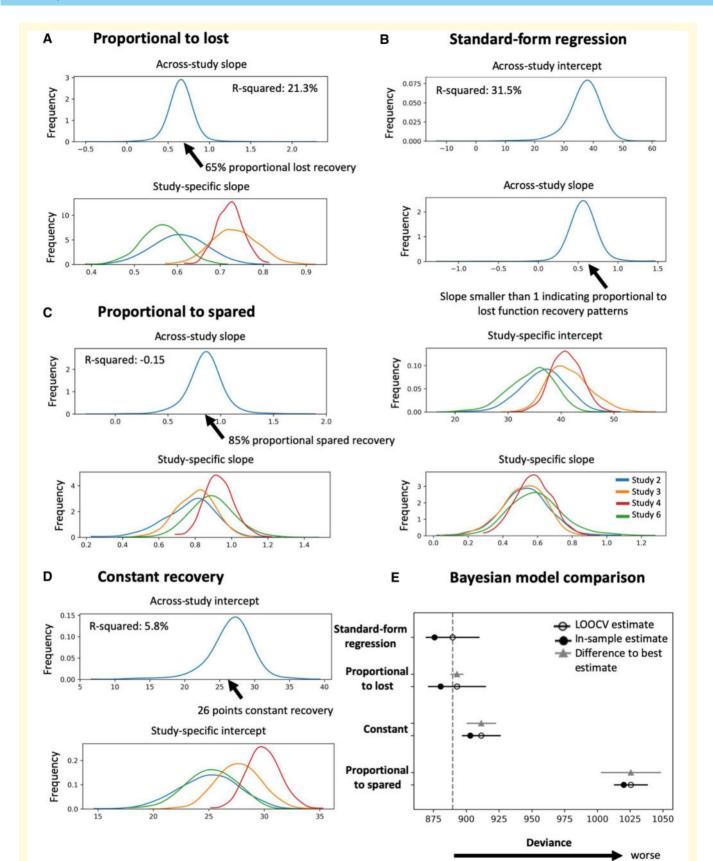
for model comparisons on the human data (results for *FM-initial* 10–50 and 10–40 are presented in the Supplementary material, section 10).

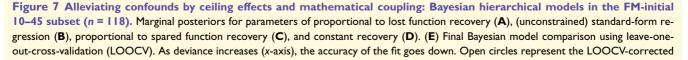
Final model comparisons: human data

Fitters in the FM-initial 10-45 subset

The studies by Zarahn *et al.* (2011) and Buch *et al.* (2016) were excluded from these analyses as they had fewer than

10 subjects in the range of *FM-initial* 10–45, which would lead to a substantial deterioration in accuracy when sampling from the posterior. Relying on the remaining 118 subjects (31%; six subjects were at absolute ceiling, 5%; variability ratio was 1.12), we successfully sampled posteriors for the (unconstrained) standard-form regression model, and change-form versions of proportional to lost function, proportional to spared function, and constant-recovery models. Resulting distributions for the marginal posteriors are shown in Fig. 7.







The mean of the across-study slope-parameter in the proportional to lost function model equalled 0.65 (95% credibility interval 0.39-0.90), thus indicating an across-cohort recovery of a little less than 70%. In contrast to the model on the entire dataset, the explained variance came to just 21.3%. Notably, this value was lower than the explained variance based on the (unconstrained) standard-form regression model (PPC, Rsquared: 31.5%). Across studies, subjects had a marginal posterior constant recovery of 26 points, ranging from 25 for Byblow et al. (2015) and Guggisberg et al. (2017) to 30 points for Winters et al. (2015). The explained variance amounted to only 5.8%. Explained variance dropped even further in case of proportional to spared function (PPC, R-squared: -0.153, slope = 0.85), with the negative value signalling the unsuitability of this model. Since these fittings put us on the boundary of correct parameter retrieval for proportional to spared and constant recovery, we provide further justification for our conclusions in the Supplementary material, section 9.

As the reported R-squared values are only comparable to a certain extent, as a model's inherent degrees of freedom (i.e. flexibility) are not quantified in this measure, we carried out a model comparison based upon leave-one-out-crossvalidated deviance values. The standard-form regression model, as well as the proportional to lost change model, had the lowest deviance and were thus top ranked. The standard-form regression model gave a fit that can be seen as a combination of proportional to lost function and constant recovery and could thus be viewed as liberal proportional to lost (Supplementary material, section 1). The constant recovery model followed these two models. Proportional to spared function performed the worst. Non-overlapping confidence intervals for the differences in deviance increased confidence in the two winning models (Fig. 7E cf. McElreath, 2018). See Supplementary Fig. 3 for WAICbased results, which yielded similar results and indicated equidistant differences between in-sample and out-of-sample estimates (horizontal distance between filled and unfilled circles in results panels), rendering a pronounced overfitting of the LOOCV-based models unlikely. Results for the additional subsets FM-initial 10-40 and 10-50 are broadly comparable to the FM-initial 10-45 subset (Supplementary Figs 4 and 5).

When adjusting for missing values in our dataset in additional analyses, we determined the upper bound of the Rsquared value for the winning, standard-form regression model to be 44.7%.

Fitters and non-fitters in the FM-initial 0-45 subset

Merging fitters and non-fitters increased the total sample size to 385 subjects, out of which 39 reached maximum values of 66 at follow-up (10%). Further characteristics, such as the ratio of standard deviations, are given in Supplementary Table 1 and Supplementary material, section 11. Once again, we used our subset approach and only considered subjects with FM-initial scores <45, restricting our analysis to 270 subjects (70%; eight at absolute ceiling at follow-up, 3.0%). Posteriors of the various models' parameters could be reliably sampled, as indicated by converging chains. Evaluating the standard-form regression model first: all of the individual slopes' marginal posterior distributions had a mean between 1.17 and 1.34, yet included 1 in their credibility intervals (across-cohort slope: 1.24; 95% credibility interval 0.99–1.52) (Fig. 8D). Therefore, they indicated a mixture of proportional to spared function and constant recovery (PPC, R-squared: 52.8%), which is similar to the pattern in Fig. 2I. Two of the change models, i.e. proportional to lost function and proportional to spared function, provided a very poor (negative) in-sample explained variance (PPC, R-squared: -0.13 and -0.51 for proportional to lost and proportional to spared function recovery, respectively) (Fig. 8A and B). Only the constant recovery model could capture some positive variance (PPC, R-squared: 7.4%) (Fig. 8C). The final model comparison revealed the (unconstrained) standard-form regression model, indicating a mixture of proportional to spared function and constant recovery, and constant recovery as the winning models (Fig. 8E).

Discussion

Current analyses of proportional recovery after stroke are subject to various confounds. We here proposed a subset approach to minimize a key confound, compression enhanced coupling, which we validated in synthetic data experiments. We furthermore used hierarchical Bayesian models to analyse one of the largest datasets of upper limb recovery poststroke (n = 385) and evaluate various conceivable patterns of stroke recovery in overall model comparisons.

We first carried out the subset approach focusing on those patients considered to be fitters to the proportional recovery rule. Thus, we considered all 118 participants with an initial Fugl-Meyer score of > 10 to exclude non-fitters (Feng *et al.*,

Figure 7 Continued

(out-of-sample) deviance, which is the key measure we use to compare models; black error bars indicate the corresponding standard error (i.e. uncertainty) in that deviance estimate. Grey triangles are the difference from the top-ranked model and grey bars the associated standard error. The lowest (i.e. best) LOOCV deviance value is indicated by the vertical dashed grey line. The filled black circles mark the models' in-sample deviances, which are susceptible to overfitting and, thus, not appropriate measures of accuracy. The standard-form regression model provided the best out-of-sample performance and was ranked first in the model comparison, closely followed by the proportional to lost function recovery model. However, the explained variance was low at 31.5% (standard-form regression) and 21.3% (proportional to lost function recovery).

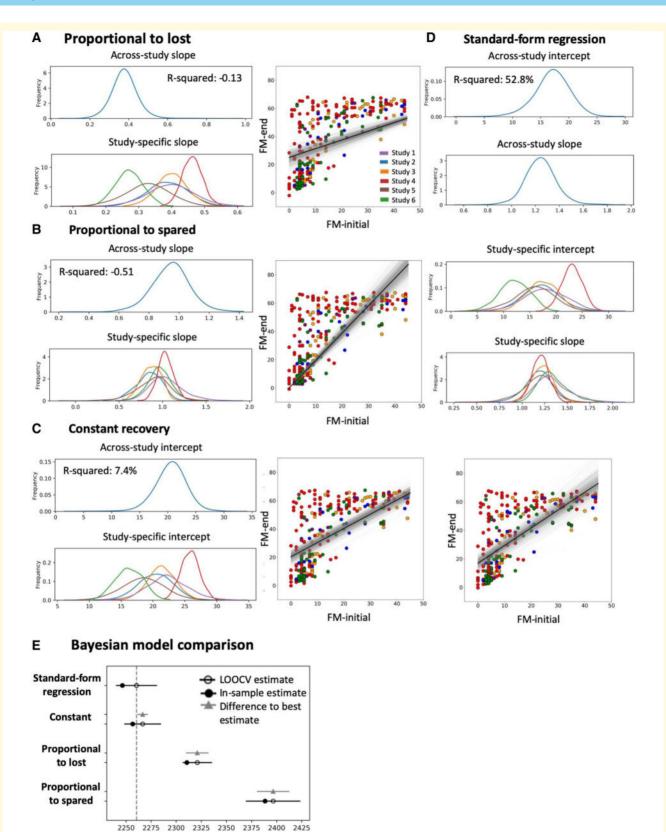


Figure 8 Hierarchical Bayesian analysis of fitters and non-fitters combined for FM-initial 0-45 (n = 270). Recovery models: proportional to lost function recovery (**A**), proportional to spared function recovery (**B**), constant recovery (**C**), and unconstrained standard-form regression (**D**). Marginal posterior distributions are presented on the *left* side for **A**–**C** and in the *upper* part of **D**. Distribution of initial against end scores in conjunction with an overlay of sampled fits are added on the *right* side for **A**–**C** and in the *lower* part of **D** (thick black line: mean, grey lines: 2000 sampled marginal posterior parameter fits). (**E**) Final model comparison. Based on LOOCV, model comparison selected the standard-form regression model. Pure constant recovery was the best follow-up model.

worse

Deviance

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2015) and a score of <45 to decrease compression enhanced coupling (Fig. 1C). In this case, model comparison pointed in the direction of either proportional to lost function, with a recovery proportion of 65%, or a combination of proportional to lost function and constant recovery (Fig. 2H) as the underlying relationships. These findings were, therefore, generally in line with previous assumptions of proportional to lost function recovery post-stroke (Prabhakaran et al., 2008). However, the pure proportional to lost function recovery model could only explain 21% of the variance in recovery. The combination of proportional to lost function and constant recovery in the standard-form regression model explained 32%. Therefore, both values were drastically reduced in comparison to earlier studies, reporting up to 94% (Winters et al., 2015). Given the likely confounds by compression enhanced coupling in these earlier studies, the current estimates of explained variance may be considered more accurate. As the standard-form regression directly linked initial and follow-up Fugl-Meyer scores, it is important to note that this model was not prone to the confounds due to mathematical coupling.

Of note, these conclusions substantially depended on the exclusion of patients with very low FM-initial scores, socalled non-fitters: a completely different picture arose when using the subset approach to the entire spectrum of subjects, i.e. fitters and non-fitters combined (FM-initial 0-45 to decrease compression enhanced coupling, n = 270 (Fig. 1D). The model comparison led to the selection of a composite of proportional to spared function and constant recovery as the winning model (Fig. 2I); the explained variance was 53%. In contrast to proportional to lost function, proportional to spared function recovery suggests that patients with greater preservation of function have a higher capacity to improve, presumably because basic abilities to move limbs could enable the reacquisition of more sophisticated movement patterns more easily. Indeed, functional neuroimaging data have shown that a higher degree of residual motor function is associated with a more physiological and thus lateralized motor network architecture (Rehme et al., 2011). This lateralized architecture in turn has been shown to constitute a strong predictor for good motor recovery (Grefkes and Fink, 2014). Taken together, considering this recovery pattern could have important implications for the conceptualization of recovery trajectories.

The pressing current questions are: Are we in need of more studies jointly analysing fitters and non-fitters, particularly given the higher explained variance for the whole sample? Is 32% or even 53% explained variance sufficient to justify a recovery rule that may guide individual predictions in a future of precision neurology?

Clinical importance and prediction of recovery post-stroke

Overestimation of the proportional recovery rule becomes particularly problematic when it impacts clinical practice, e.g. prompts the assumption of a spontaneous recovery process that exclusively depends on initial motor impairment. In particular, such a conclusion may limit the allocation of valuable therapy sessions to some stroke subjects and generate a negative prior expectation towards tailored therapies (Byblow *et al.*, 2015; Hawe *et al.*, 2019*b*). Putting its suitability for single-participant prediction aside, Byblow and Stinear (2019) and Kundert *et al.* (2019) recently underscored the proportional recovery rule's purpose for explaining the recovery process in stroke populations in general. From this perspective, it may be that proportional to lost function recovery explains fitters' trajectories better than other change models, but the low level of explained variance suggests a need for further and better predictors.

Because of the increase in the explained variance of motor recovery when jointly considering fitters and non-fittersfrom 32% to 53%-we may also need to rethink conventional analysis approaches and increasingly shift the focus on severely affected subjects by including non-fitters more often. This might be particularly important in view of the number of severely affected patients, e.g. 37% of non-fitters in our study and generally increasing numbers of patients with severe arm impairments (Hayward et al., 2017). Additionally, recent studies have provided evidence that certain practices to classify subjects into fitters and non-fitters may be biased, as they lead to increased estimates of explained variance and potentially erroneous conclusions. This situation may particularly arise when dividing patients into fitters and non-fitters on results based on clustering initial and change scores (Hawe et al., 2019; Kundert et al., 2019). Nevertheless, even 53% of explained variance can be considered low, suggesting that recovery is influenced by more factors than mere initial motor impairment as measured by the Fugl-Meyer scale. In this respect, our finding of higher explained variance when estimating parameters for fitters and non-fitters combined does not stand against the observation that there are grossly different recovery patterns across patients, which may necessitate differing therapeutic (rehabilitative) approaches for differently impaired patient subgroups.

Likert-like scales and ceiling effects

It is also essential to be aware of a particular score's characteristics. The Fugl-Meyer score is a Likert-like scale, and thus is a summary of multiple Likert-like items, comprising ordinal data (Likert, 1932). It is this combination of multiple items that renders the parametric statistical approaches applied here feasible (Norman, 2010; Harpe, 2015). Positively, reported test-retest and inter-rater reliabilities for Fugl-Meyer scores are r > 0.95 over repeated measurements (Gladstone *et al.*, 2002). However, as previously emphasized, the Fugl-Meyer assessment is highly susceptible to ceiling effects (Gladstone *et al.*, 2002). Here, we further dissected these ceiling effects and highlighted the induction of compression enhanced coupling with change formulation models that link initial scores and recovery (Lord, 1956;

A. K. Bonkhoff et al. ks whether a patient is able, partially able or

Hawe *et al.*, 2019*a*; Hope *et al.*, 2019). Amongst our total sample size of 385 subjects, 39 (10%) reached maximum scores at follow-up, and many more were likely compressed towards, but not at ceiling. Our synthetic data experiments showed that this degree of ceiling effect was sufficient to impede correct conclusions. Independent of the simulated ground truth mechanism, we would always discover proportional to lost function recovery.

Here, we relied upon the logic of subsets to decrease confounding effects by ceiling. That is, we focused on lower ranges of initial motor performance scores, which are less likely to lead to maximum end motor performance scores. The relationships identified in the ceiling-reduced subsets could then be extended to the entire sample, as generalization was ensured by the assumed constant relationship between initial and end scores inherent to linear regression. Importantly, our synthetic data experiments additionally demonstrated that we did not incur any new confounds, which would affect conclusions when defining subsets on initial scores.

Bayesian hierarchical models

Insufficient numbers of subjects could endanger successful subset analyses relying on the data of just one study. This may be particularly the case as it may not be feasible to increase the size of individual studies, as high-quality data acquisition is time-consuming and costly. Here, the subset approach was only rendered possible due to our Bayesian hierarchical framework that facilitated the fusion of multiple datasets with individual-level data (Gelman and Hill, 2006). In this way, we could maximize the number of included subjects, while retaining as much information on each study's characteristics as possible and modelling uncertainty explicitly (McElreath, 2018). This combination of merging studies and preserving individual features was particularly appealing, as it addressed both similarities and dissimilarities between individual studies. On the one hand, we had similar scores from similar patients at similar time points and yet considered various study sites and likely minor variations in therapies on the other hand. Also, our Bayesian hierarchical models were capable of effectively handling diverging sample sizes in the six studies considered (McElreath, 2018). Lastly, as anticipated in Hope et al. (2019), they allowed for the evaluation of various generative models on the nature of recovery-proportional to lost function, proportional to spared function, and constant recovery-through model comparisons.

Limitations and future directions

We decreased distorting ceiling effects by limiting analyses to subsets of initial scores. However, we acknowledge that there are drawbacks to this approach, such as the exclusion of substantial portions of the entire sample. Also, it does not represent a definitive handling of the ceiling problem. The Fugl-Meyer assessment is based on several single items. For

example, it asks whether a patient is able, partially able or unable to move the hand from the ipsilateral ear to the contralateral knee. This multitude of items could potentially result in multiple subceilings. These may remain present even in case of excluding data at the scale's maximum. Therefore, one viable strategy to circumvent these kinds of ceiling effects could be the increased use of behavioural and clinical assessments with continuous scales, for example, muscle forces, movement speeds or other kinematic parameters. Another strategy could be the construction of more elaborate scoring systems that allow for the detection of even very subtle variation, especially at the top of the scale. Nevertheless, motor impairment may be maximally recovered and effectively indistinguishable from a healthy pre-stroke level in some cases. As a result, some natural ceiling would occur and require special attention, primarily concerning statistical procedures. Future research may thus utilize our subset analysis or further approaches for censored data, such as frequentist Tobit models (Tobin, 1958) and Bayesian counterparts (Gelman and Hill, 2006).

Furthermore, we did not attempt to differentiate between potential non-linearities of the Fugl-Meyer scale, e.g. is a 10-point gain from 0 to 10 the same as a 10-point gain from 50 to 60? Especially when considering the involvement of different functional domains and their interactions, a linear recovery pattern seems rather unlikely. For example, motor recovery might also be influenced by recovery from visuospatial neglect. Such non-linearities might thus not be detectable by the linear regression models we, and the majority of the field, have focused on so far. Therefore, our results encourage research into other model types, for example, non-linear models, such as decision tree-like algorithms (Stinear et al., 2012) and exponential recovery functions (van der Vliet et al., 2020). Additionally, we may need to refocus on a variety and multivariate combination of indicators of stroke recovery, such as behavioural, physiological, and imaging biomarkers, which have already shown promise (Stinear, 2017; Ward, 2017; Findlater et al., 2019).

Our study highlights the opportunity for novel insights to be gleaned by Bayesian hierarchical modelling, as it facilitates model comparisons and the creation of large datasets, thereby increasing the generalizability of obtained inferences. Therefore, they are likely to become more common in stroke research, as well as in other clinical fields. Indeed, the strategies outlined here may inspire and guide future studies, raise awareness of the better handling of ceiling and change models, as well as the pernicious nature of compression enhanced coupling; especially, as these effects may frequently occur in biomedical data.

In this study, we relied on a relatively large number of 385 subjects. Nonetheless, we are still in need of larger stroke recovery datasets. The individual studies that we combined all specified upper limb motor impairment as inclusion criterion and primarily recorded Fugl-Meyer scores. Some studies even explicitly excluded patients with communication or memory deficits (Winters et al., 2015) or patients with concomitant posterior or cerebellar artery stroke (Byblow et al., 2015). To explore the influence of non-motor impairments on the recovery of motor impairments and vice versa, more ambitious data-rich studies in future research (cf. Bzdok and Ioannidis, 2019; Bzdok et al., 2019) will need to simultaneously record a multitude of stroke symptoms, such as motor impairments of upper and lower limbs, aphasia, neglect, apraxia and haemianopia. In particular, the field needs to take advantage of collaborative data collection and move beyond behavioural scores for both predictor and outcome variables. In this way, a range of potential explanatory and predictive variables could be incorporated to reliably increase explained variance and accuracy of out-ofsample prediction of stroke recovery-in case of fitters and also non-fitters (Grefkes and Fink, 2016; Bernhardt et al., 2017; Boyd et al., 2017).

Conclusion

Our Bayesian approach to systematically revisit post-stroke motor performance revealed only weak signs of proportional to lost function recovery for those defined to be fitters to the proportional recovery rule. Variance in recovery could only be explained by up to 32%, which is <50% of that previously reported. Additionally, a combination of proportional to spared function and constant recovery emerged as a likely relationship for the recovery of the entirety of stroke subjects, at a higher explained variance of 53%. Importantly, these estimates were obtained after de-confounding effects of mathematical coupling and ceiling by means of subset analyses (Hawe et al., 2019a; Hope et al., 2019). In summary, these lower levels of explained variance may motivate research moving beyond behavioural measures and the consideration of combinations of various biomarkers, such as clinical. imaging. and demographic. physiological. Ultimately, our findings may also pave the way for more common use of Bayesian hierarchical analyses. In this way, we may distil and accumulate evidence resting upon merged clinical datasets and efficiently ensure reliable generalization performance and modelling of uncertainty.

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Competing interests

The authors report no competing interests.

Supplementary material

Supplementary material is available at Brain online.

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