

REVIEW ARTICLE

Non-small cell lung cancer: The role of surgery after induction chemo and/or radiotherapy

A. Stamatelopoulos¹, S. Zaragkas², C. Sofoudis³

¹Department of Thoracic Surgery, "KAT" General Hospital, Athens; ²National Center of Emergency Care, EKAB, Athens; ³Department of Surgery, "Metaxa" Cancer Hospital, Piraeus, Greece

Summary

Stages I and II non small cell lung cancer (NSCLC) are primarily treated by anatomic pulmonary resection. Selected patients with stage IIIB disease are still candidates for surgical treatment. Unfortunately, most patients with locally advanced NSCLC don't benefit from surgery alone or even by the combination of chemotherapy and radiotherapy. In order to achieve local and distant disease control, which seems to be the cause of failure of the above mentioned treatments, surgery

after induction chemoradiotherapy has been proposed. This approach seems to be the state of the art of therapy for stage IIIB patients improving survival but with eventual increased risk, especially pulmonary and septic complications. This review of previously published studies indicates the important role of this combined treatment in terms of survival and its risks related either to induction treatment or to surgery.

Key words: chemotherapy, induction treatment, lung cancer, radiotherapy

Background

NSCLC remains the major cause of mortality of cancer in USA and Europe. Stages I and II are primarily treated by anatomic pulmonary resection with eventual adjuvant radiotherapy in stage II patients with N1 positive lymph nodes, in order to reduce the incidence of regional recurrence, usually without substantial benefits in the overall survival [1]. Selected patients with stage T4 N0-1 M0 disease are still considered for primary operative treatment. The majority of patients with locally advanced NSCLC (stages IIIA and IIIB) are not considered candidates for surgical treatment and have 5-year survival rates of 15% and 5%, respectively [2]. Surgery and radiotherapy are not sufficient to control stage IIIA and IIIB lung cancer [3-7]. The frequent failure of these therapeutic approaches lies in the fact that both seem inadequate to eradicate regional disease and control disseminated micrometastatic disease [8,9]. Even the combination of radiotherapy and chemotherapy, used in an attempt to achieve regional and distant control, is also related with a low 5-year survival rate of 8-17% [7,10], mostly because

local failure rates are in excess of 50%. Two randomized trials published in 1994 proved that induction chemotherapy followed by surgery can improve survival in patients with stage IIIA disease [11-14]. The results of these first reports along with the known superiority of chemoradiotherapy compared to chemotherapy in the treatment of nonoperable stage III disease focused the attention on the possibility to use preoperative chemoradiotherapy followed by surgery as an approach to improve the local disease control, especially in N2 positive patients. In 1995 Sugarbaker et al. [15] achieved 22% nodal downstaging using induction chemotherapy while in the same year the Southwest Oncology Group trial yielded an improved nodal downstaging of 53% using preoperative chemoradiotherapy with a slight improvement of patients' survival [16]. Since then several trials have confirmed the superiority of chemoradiotherapy followed by surgery in the treatment of patients with locally advanced NSCLC with better results in overall survival but with significant morbidity and mortality related either to induction treatment or to surgery. Table 1 shows the different treatment modalities of stage III NSCLC and the related survival.

Table 1. Results of different modality therapies in the treatment of locally advanced non small cell lung cancer

<i>Year</i>	<i>Authors</i>	<i>Patients, n</i>	<i>Therapy</i>	<i>Overall survival %</i>
1971	Paulsen, Urschel [3]	193	S	5y:7
1980	Martini et al. [4]	241	S	3y:20
1988	Naruke et al. [5]	345	S	5y:16
1982	Pearson et al. [6]	79 (N2+)	S	5y:9
1996	Dillman et al./ CALGB [7]	155	CT+RT (78 pts) RT (77 pts)	5y:17 5y:6
2000	Sause et al. [10]	458	CT+RT (142 pts) RT (152 pts) HFX RT (154 pts)	5y:8 5y:5 5y:6
1994	Rosell et al. [11]	60	CT-S-RT S-RT	3y:20 5y:17 3y:5 5y:0
1994	Roth et al. [12]	60	CT-S-CT RT-S-RT	3y:43 5y:36 3y:19 5y:15
1995	Sugarbaker et al. [15]	74	CT-S-RT	3y:33 nodal downstage 22
1995	Albain et al./SWOG [16]	75	CT/RT-S	3y:38 nodal downstage 53

CT: chemotherapy, RT: radiotherapy, HFX: hyperfractionated radiotherapy, S: surgery, y: year, pts: patients

Induction treatment and related toxicity

Almost all studies use platinum-based chemotherapy. Usually, initial treatment with 2-3 cycles of chemotherapy is followed by concurrent chemotherapy and radiotherapy. Concurrent chemoradiation is based on clinical data indicating that chemotherapy can sensitize the tumor cells to radiation, thus enhancing the effects of radiotherapy [17].

Almost all chemotherapeutic agents induce diffuse alveolar damage, insidious in most cases [18,19]. The concomitant use of radiotherapy and high concentrations of O₂ (>50%) during surgery may exacerbate the toxic effects of the chemotherapeutic regimen used. The most reliable prognosticator of the postoperative toxic effects of induction chemotherapy seems to be the reduction in the carbon monoxide (CO) diffusing capacity [20-22].

Radiation-induced early pulmonary injury is characterized by interstitial edema and pneumonitis, and at a later stage by lung fibrosis. Radiation-related lung injury depends on the total dose and the dose per fraction delivered to the lung [23,24]. The deleterious effects of radiation on the bronchial blood flow have been well-defined by Yamamoto et al. [25] and they partially explain the major risk of bronchial stump in-

sufficiency and the development of bronchopleural fistula (BPF). Vester et al. reported 20 cases of BPF among 33 patients after pneumonectomy who had received radiation or chemoradiation before surgery [26]. On the other hand technical difficulties of complex resections and reconstructions in a field of fibrosis and obliteration of the normal tissue plans as the one after induction treatment contributes to a higher risk of BPF and adult acute respiratory distress syndrome (ARDS), especially in the case of pneumonectomy [27,28].

Another common postoperative complication is the prolonged air leakage over 7 days with an incidence of 13-16% [29,30]. This is usually due to the fragility and the stiffness of lung parenchyma after chemotherapy that does not allow the sealing of air leaks and the complete expansion of the lung.

Induction treatment is the most important factor of pulmonary complications after surgery [31-33].

Myelosuppression, if serious, may precipitate severe pneumonia, especially in patients with obstruction of the bronchial tree as indicated by Burkes et al. [34]. It is considered wise to eliminate the obstruction preferably before the induction therapy, otherwise to cover the patient with broad spectrum antibiotics.

Cardiac toxicity is infrequent. There is a significant higher risk for patients receiving other cardiotoxic

drugs such as immunomodulating agents (interferons and IL-2), antidepressants, antiarrhythmics and others, radiation or have a history of previous cardiac disease; moreover, abnormal findings in the preoperative echocardiography increase the risk of postoperative arrhythmias [35,36]. Ginsberg proposed strict monitoring of the patients receiving cardiotoxic drugs during induction treatment [37].

Hepatic, gastrointestinal, neurological and neural toxicities are mostly related to the use of platinum-based regimens, but usually don't have any impact on the surgical resection.

Criteria for response to induction treatment

The initial evaluation of response to induction treatment is based on patient's restaging using CT scan of the thorax, brain and abdomen, bronchoscopy and complete functional evaluation (nutritional status, cardiac performance, and pulmonary function tests). Mediastinoscopy isn't part of the patient's routine restaging procedure. Tumor response is evaluated according to WHO criteria shown in Table 2 [38].

Unfortunately, the radiographic assessment after neoadjuvant therapy is often inaccurate and not related to the resectability or the survival of the patients. Structural imaging in NSCLC has several limitations. Tumors may be obscured by atelectasis or radiation pneumonitis after radiotherapy [39]. Lymph node in-

volvement based on their size is considered positive for nodes >1 cm on CT imaging. However, lymph node enlargement may be the result of benign reactive hyperplasia. On the other hand, nodes < 1 cm may contain tumor cells at the definitive histopathologic examination. In addition, it is well known that tumors may regress gradually after induction treatment and the assessment of response in these patients requires serial CT assessments. Finally, some lesions may permanently persist radiologically even after disease control by the induction therapy [40]. In several trials there have been patients with overestimated or underestimated disease stage (Table 3) [15,16,41,42].

Therefore, pathologic response to the induction treatment is now considered more accurate for estimation of patients' response and as a predictor of future outcome. Only patients with progressive disease and those considered medically inoperable should be excluded from surgical treatment. Recent data indicate the possibility of using PET scan as a predictor of pathologic response after preoperative chemoradiation [43-45] with better results than CT in this setting (Table 4) [46-48].

Surgery

Surgical treatment is performed 4-8 weeks after the end of neoadjuvant therapy. Complex resections are often needed, 20-40% in stage IIIA and up to 60% in stage IKB [16,35,36,49,50]. Studies on chemotherapy and radiotherapy as induction treatment in patients with locally advanced NSCLC report mortality rates of 0-23%, higher than those treated with surgery alone as first therapeutic intervention, indicating the increased risk of the preoperative anticancer therapy. A significantly higher mortality with pneumonectomy is also observed. Initial trials reported mortality rates of 10-17.5% [51-54]. Fowler et al. [27] and Deutch et al. [28] presented even higher mortality rates after pneumonectomy, reaching 43 and 33%, respectively. This excess in mortality rates after pneumonectomy was attributed to BPF and ARDS. Both complications are related to the induction chemo and/or radio-

Table 2. WHO criteria for response to induction treatment

<i>Response</i>	<i>Criteria</i>
Complete response	Disappearance of all measurable disease and absence of new lesions
Partial response	Reduction of measurable tumor >50% and absence of new lesions
Minimal response	Reduction of measurable tumor between 25 and 50% and absence of new lesions
Stable disease	Reduction of measurable tumor <25% and absence of new lesions
Progressive disease	Increase of the measurable tumor >25% or appearance of new lesions

Table 3. Clinical (radiologically-based) vs. histopathologic assessment of response to induction therapy

<i>Authors</i>	<i>Regimen</i>	<i>Clinical response (%)</i>		<i>Pathological response (%)</i>	
		<i>CR+PR</i>	<i>SD</i>	<i>CR</i>	<i>PR</i>
Sugarbaker et al. [15]	Chemotherapy	0	88	0	22
Martini et al. [41]	Chemotherapy	73	23	19	10
Faber et al. [42]	Chemoradiotherapy	65	23	20	26
Albain et al. SWOG 8805 [16]	Chemoradiotherapy	59	29	15	57

CR: complete response, PR: partial response, SD: stable disease

Table 4. CT and PET scans in the assessment of tumor response to induction chemotherapy

Authors	Primary tumor Patients, n		Mediastinal lymph nodes		
	CT	PET			
Hellwig et al, 2004 [46]	CR: 0 PR: 24 NC: 2	CR: 8 PR: VT 16 SD: 1 SUV threshold 25 Sensitivity: 81% Specificity: 64% Accuracy: 76% PPV: 89% NPV: 58%	PET vs. CT (%) Sensitivity: 64 vs. 64 Specificity: 96 vs. 79 Accuracy: 91 vs. 77 PPV: 70 vs. 33 NPV: 94 vs. 93		
Mc Manus et al, 2003 [47]	CR: 10 PR: 37 SD: 11 PD: 9	CR: 6, PR: 4 CR: 19, PR: 14, PD: 4 CR: 6, PR: 3, SD: 2 CR: 1, PR: 3, PD: 5			
Cerfolio et al, 2004 [48]		PET vs. CT for different SUV			
		SUV \geq 60%	SUV \geq 70%	SUV \geq 80%	SUV \geq 90%
	Sensitivity	100 vs. 63	95 vs. 47	90 vs. 47	63 vs. 42
	Specificity	95 vs. 54	97 vs. 59	100 vs. 63	100 vs. 68
	Accuracy	96 vs. 57	96 vs. 56	96 vs. 57	88 vs. 59
	PPV	90 vs. 41	94 vs. 38	100 vs. 27	100 vs. 40
	NPV	100 vs. 74	97 vs. 69	95 vs. 70	84 vs. 69

CR: complete response, PR: partial response, NC: no change, PD: progressive disease, PPV: positive predictive value, NPV: negative predictive value, SUV: standard uptake value, CT: computed tomography, PET: positron emission tomography, VT: viable tumor

therapy. Radiotherapy and the extensive lymph node dissection may devitalize the bronchial tissue contributing to BPF. The factors mentioned above alter the lymphatic drainage of the remaining lung, probably contributing to ARDS. In an attempt to resolve these problems several strategies have been taken into consideration. Covering the bronchial stump with viable tissue has reduced the incidence of bronchial stump fistula. Various tissues have been used to this purpose: flap of intercostal muscle [31], pleura, diaphragmatic flap, pericardial flap [55,56] and the serratus anterior muscle [53].

The important issue in question is the combination of the quality of the flap used, the easiness and simplicity of tissue harvesting and the effectiveness of the procedure. Intercostal muscle flap must be harvested prior to chest retraction and has the disadvantage of a tissue initially located in the radiation field. Serratus anterior is also included in the radiation field. Harvesting and transposition of the serratus anterior may lead to scapular winging. Doddoli and colleagues [57] reported 15% incidence of BPF, although the bronchial stump was covered with intercostal muscle or pleura and considered this high rate as a result of the quality of the tissue used to cover the bronchial stump. On the other hand Lardinois et al. [58] did not find any significant difference between intercostal and diaphragmatic flaps used for mediastinal reinforcement after pneumonectomy

following induction therapy. Diaphragmatic and pericardial flaps seem to be less problematic. The relationship between radiation dose and bronchial stump fistula and the disappointing results reported by Fowler et al. [27] and Deutch et al. [28] have directed radiation therapy towards lower doses, around 30-45 Gy. Most trials have made clear that survival is directly associated with complete resection of the tumor and tumor response to the induction treatment [16,57,59,60]. Based on these data, few researchers have attempted to reintroduce the concept of high dose rate radiotherapy (HDRT) in order to achieve better rates of complete pathologic response and nodal downstaging. Cerfolio et al. [60], Vora et al. [61], and Sonnett et al. [62,63] using HDRT and concurrent platinum-based chemotherapy achieved 27-45% complete pathologic response rates and 64-85% nodal downstaging with improved survival (5-year overall survival 38-46.2%, disease free survival 56.4-65%). Vora et al. [61] and Sonnet et al. [62,63] proved that pneumonectomy is feasible after HDRT reporting no deaths, while Cerfolio and coworkers [60] still consider pneumonectomy as a very risky resection and report significantly high rates of morbidity (58.3%) and mortality (16.7%) (Table 5).

After neoadjuvant therapy pneumonectomy is often necessary for radical resection of the tumor. Technical difficulties in performing the operation are

Table 5. Results of surgery after high dose radiotherapy and chemotherapy

<i>Authors</i>	<i>Induction regimen</i>	<i>Patients resected, n</i>	<i>CR (%)</i>	<i>Mediastinal nodal downstaging (%)</i>	<i>Pneumonectomies</i>	<i>Results</i>
Vora et al. 1999 [61]	5940 cGy Cisplatin+Etoposide	33	27	65		Median survival 41 months 5y survival 42.8% CR 5y survival 57.1% Mediastinal CR 5y survival 46.4% Mortality: 0% Morbidity: 21% (7/21)
Sonnett et al. 1999 [62]	5940-6600 cGy Various regimens	–	42	83		Median survival 19 months No mortality Morbidity 21% (4/19)
Sonnett et al. 2004 [63]	5940-6600 cGy Various regimens	40	45	85		Median survival 53 months 5y survival 46.2% 5y DFS 56.4 No mortality Morbidity 17.5% (7/40)
Cerfolio et al. 2005 [60]	>6000 cGy Carboplatin-based chemotherapy	54	28	83		5y survival 38% 5y DFS 65% Mortality 3.7% (2/54) Morbidity 22% (12/54)
Daly et al. 2006 [55]	5940 cGy Cisplatin+Etoposide	30	33	47	30	Pneumonectomy mortality 16.7% (2/12) Median survival 33 months 5y survival 38% Mortality 13.3% (4/30)

CR: complete pathological response, y: year, DFS: disease free survival

frequent, since the resection is done in a devascularized, fibrotic and tumor-contaminated operative field. Under these conditions the attempt to proceed in a more conservative surgical resection is very challenging. If tumor infiltration can be excluded and free margins of resection can be obtained by frozen sections (confirmed by histological examination), a lobectomy with reconstruction of the bronchus or the pulmonary artery would be a valid alternative to pneumonectomy, reducing the risks for patients. Rendina et al. were the first to report the feasibility of bronchovascular reconstruction after preoperative chemotherapy [64]. In 2003 Ohta et al. reported no mortality and 7 complications in a series of 20 patients who underwent sleeve resection, with a telescopic anastomosis, after preoperative concurrent chemoradiotherapy [65].

Prevention of ARDS is based on both the surgical technique and perioperative management of the patient. Anatomic resections other than pneumonectomy are related to a minor risk of ARDS. Hyperhydration of patients in the perioperative period must be absolutely avoided, as well as blood transfusions. Daly et al. [55] used a protocol based on minimal fluid infusion of 50-70 ml/h and a tolerable urine output of 20 ml/h. Sonnet et al. combined a protocol of fluid restriction to aggressive diuresis [63]. Low inspired oxygen tension facilitated by positive end expiration pressure with mainte-

nance of adequate tissue oxygenation reduces the risk of pulmonary fibrosis and can minimize the risk of ARDS [66].

Postoperative management

Every effort must be done to extubate the patients immediately after the operation. In case this is not possible, ventilatory support must not exceed 48 hours. Most crucial issues in the postoperative management of patients include postoperative analgesia, fluid balance and pulmonary toilet. Several approaches have been used to minimize postoperative pain. Epidural continuous analgesia seems to be the most effective, especially when it starts preoperatively [67,68] with less sedation and superior efficacy than parenteral narcotics. Additional intercostal nerve blockade provides a further benefit for post-thoracotomy pain relief [69]. More recent data indicate that continuous infusion of local anesthetics via pump to the incisional site may have better results for pain control compared to continuous epidural infusion [70]. Fluid overload is a well known factor contributing to post-pneumonectomy pulmonary edema [71]. Therefore, it is of great importance to avoid it in order to reduce the risk of ARDS in the postoperative period, especially in patients undergoing pneumonectomy. Strategies

used in this direction include fluid restriction, aggressive diuresis and use of drugs to control intraoperative hypotension than fluid administration as already mentioned [55,63]. Pulmonary toilet is essential after thoracotomy since atelectasis, pneumonia and respiratory failure are common and important complications after lung surgery [72]. Bronchodilators and chest physical therapy along with an adequate postoperative pain relief may facilitate spontaneous pulmonary toilet, although some patients, especially those with impaired pulmonary reserves, may require repeat bronchoscopy or minitrack immediately after the first signs of sputum retention.

Conclusion

Traditionally, locally advanced NSCLC is considered an incurable disease with low survival after resection alone. Concurrent chemoradiation used as an alternative treatment leads to 5-year survival of 5-25% and a high rate of local failure of >50%. Surgery after concurrent chemoradiation has increased the overall survival of these patients, especially with HDRT. Covering the bronchial stump with viable tissue after pneumonectomy has significantly reduced the incidence of bronchial stump insufficiency. Since pneumonectomy is still considered a high risk operation by some authors, the application of more conservative resections with bronchovascular reconstruction, when possible, could be a valid alternative, although further phase II and III trials in this field are required. Simple measures in the perioperative management of the patients may maintain the incidence of ARDS in acceptable levels. The limitations of radiographic assessment of patient's response after induction treatment and the need for surgery in order to evaluate the pathologic response make the need for better preoperative evaluation of the patient's response imperative. This could lead to a better selection of patients who will benefit from the post-induction surgical treatment and will define a group of nonresponders, candidates for investigation with novel therapeutic approaches. Preliminary data on the role of PET scan in this field appear extremely promising.

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