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## Colorectal liver metastases: Current management and future perspectives

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### Abstract

The liver is the commonest site of metastatic disease for patients with colorectal cancer, with at least 25% developing colorectal liver metastases (CRLM) during the course of their illness. The management of CRLM has evolved into a complex field requiring input from experienced members of a multi-disciplinary team

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involving radiology (cross sectional, nuclear medicine and interventional), Oncology, Liver surgery, Colorectal surgery, and Histopathology. Patient management is based on assessment of sophisticated clinical, radiological and biomarker information. Despite incomplete evidence in this very heterogeneous patient group, maximising resection of CRLM using all available techniques remains a key objective and provides the best chance of long-term survival and cure. To this end, liver resection is maximised by the use of downsizing chemotherapy, optimisation of liver remnant by portal vein embolization, associating liver partition and portal vein ligation for staged hepatectomy, and combining resection with ablation, in the context of improvements in the functional assessment of the future remnant liver. Liver resection may safely be carried out laparoscopically or open, and synchronously with, or before, colorectal surgery in selected patients. For unresectable patients, treatment options including systemic chemotherapy, targeted biological agents, intra-arterial infusion or bead delivered chemotherapy, tumour ablation, stereotactic radiotherapy, and selective internal radiotherapy contribute to improve survival and may convert initially unresectable patients to operability. Currently evolving areas include biomarker characterisation of tumours, the development of novel systemic agents targeting specific oncogenic pathways, and the potential re-emergence of radical surgical options such as liver transplantation.

**Key Words:** Colorectal; Cancer; Liver; Metastases; Management; Review

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**Core Tip:** The management of colorectal liver metastases is a complex evolving field requiring input from an experienced multi-disciplinary team involving radiology (cross sectional, nuclear medicine and interventional), Oncology, Liver surgery, Colorectal surgery, and Histopathology. Patient management is based on clinical, radiological and biomarker information. Despite incomplete evidence in this very heterogeneous patient group, maximising resection of colorectal liver metastases using all available techniques remains a key objective and provides the best chance of long-term survival. For unresectable patients, optimal systemic and locoregional chemotherapeutic, biological and radiotherapeutic treatments improve survival, and may convert initially unresectable patients to operability.

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## INTRODUCTION

Colorectal cancer (CRC) represents a major worldwide health care burden, as the second most common cancer diagnosed in women and third most common in men, and accounting for 10% of all annually diagnosed cancers and cancer-related deaths worldwide<sup>[1]</sup>.

As result of improvements in detection through screening<sup>[2]</sup>, better referral pathways<sup>[3]</sup>, centralisation of services<sup>[4]</sup>, effective primary surgery<sup>[5]</sup>, development of systemic chemotherapy<sup>[6]</sup>, biological agents<sup>[7]</sup>, and understanding of tumour biology<sup>[8]</sup>, survival rates following diagnosis have improved<sup>[9]</sup>.

Nevertheless, at least 25%-50% of patients with CRC develop colorectal liver metastases (CRLM) during the course of their illness.

From a historical perspective, the surgical management approach to CRLM has undergone a significant evolution. Starting from an era prior to the 1930s during which liver surgery for malignancy presented insurmountable challenges for technical and oncological reasons, tentative attempts at liver resection for malignancy were

made in the subsequent decades resulting in early reports establishing proof of principle that long term survival following resection of CRLM was possible<sup>[10,11]</sup>. These results were confirmed and emphasised by larger landmark studies firmly establishing liver surgery as a potentially curative treatment for CRLM<sup>[12,13]</sup>.

The era since has been characterised by progress in understanding of tumour biology as well as surgical and oncological developments. These overlapping and interdependent factors have directed the modern management of CRLM to a multidisciplinary approach involving radiology (cross sectional, nuclear medicine and interventional), Oncology, Liver surgery, Colorectal surgery, Histopathology, and Specialist nursing<sup>[14]</sup>. The paramount importance of the MDT cannot be overemphasised as it represents the forum where key management decisions are made after consideration of information spanning many different disciplines, with demonstrable benefits in terms of significant treatment alterations<sup>[15,16]</sup>, numbers of patient offered resection<sup>[17,18]</sup>, and ultimately translating into improved survival<sup>[19,20]</sup>.

In the following review, we present modern management of CRLM. In order to assist the reader, section contents are provided below: (1) Diagnosis and staging of CRLM post resection of CRC; (2) Tumour characterisation and biomarkers in CRC; (3) Systemic and locoregional chemotherapy and targeted agents in CRLM management; (4) Surgical management of resectable CRLM; and (5) Histopathological assessment of resected CRLM.

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## SECTION 1: DIAGNOSIS, STAGING, AND SURVEILLANCE OF COLORECTAL LIVER METASTASES POST RESECTION

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The detection of CRLM is achieved during staging investigations in the case of synchronous CRLM and by post CRC resection surveillance programmes in the case of metachronous CRLM. The section below discusses the timing and epidemiology of metachronous CRLM, an understanding of which is essential in judging the effectiveness of post CRC resection surveillance practice. The section also describes current optimal staging of CRLM, and finally current practice as it applies to surveillance after resection of CRLM.

### ***CRLM epidemiology***

Colorectal cancer is the third most common cancer worldwide and accounts for 10% of all cancers. It is a major cause of morbidity and the second most common cause of cancer related mortality<sup>[1]</sup>.

Although it is regularly reported that approximately 50% of patients with colorectal cancer develop liver metastases, either as synchronous or metachronous disease<sup>[21-25]</sup>, this is likely an exaggeration of true incidence originating from an historic autopsy study of patients who died with colorectal cancer<sup>[26]</sup>. Large epidemiological studies from multiple European centres demonstrate the incidence of both synchronous and metachronous liver metastases in patients with colorectal cancer to be lower, at approximately 25%<sup>[27-31]</sup>. The incidence of synchronous liver metastases in epidemiological studies ranges from 13.8%–17.1%<sup>[27,29,30]</sup> and the rate of metachronous liver metastases in these studies ranges from 7.6%–15.1%<sup>[27,29,30,32]</sup>. The interval between primary diagnosis and the detection of metastatic disease used in the literature ranges from the time of primary resection<sup>[29]</sup>, to 3 mo<sup>[29,33]</sup>, or 6 mo after diagnosis, and this lack of a consensus regarding the definition of metachronous metastases may partly explain the reported variation<sup>[24,32]</sup>. Further confounders include evolution in the sensitivity of pre-operative staging, and the reported increase in synchronous disease<sup>[28]</sup>. CRLM occur more frequently in male patients and in patients with left sided CRC, relating to embryological origin of the primary tumour<sup>[27,30]</sup>.

With regards to metachronous disease, most recurrences occur early in follow up: 76%–85.3% occur within a year and 83%–97.5% within 3 years, with 30%–40% of patients having disease confined to the liver<sup>[33,34]</sup>. Approximately 2% of patients will develop liver metastases between 5 and 10 years after resection of the primary tumour<sup>[27,29,33]</sup>.

### ***CRC surveillance programmes***

Surveillance programmes accompanied the widespread introduction of liver resection for CRLM, to detect recurrent disease early, with a view to improve survival. A meta-analysis of five randomised controlled trials published in 2002 supported this hypothesis by demonstrating a survival benefit associated with more intensive follow

up regimes<sup>[35]</sup>. This encouraged the introduction of more intensive surveillance programmes, although a subsequent large multicentre randomised control trial performed in the United Kingdom by Primrose *et al.*<sup>[36]</sup> failed to replicate these findings. In this study, intensive surveillance regimes with computed tomography (CT) with or without carcino-embryonic antigen (CEA) resulted in an increased rate of surgical treatment with curative intent, but this failed to translate to improved survival when compared to the minimal surveillance group<sup>[36]</sup>. Interestingly, the reported incidence of metachronous disease in this study was markedly lower than that reported in the previous meta-analysis (8.4% *vs* 32%). The stage-specific case mix and risk of recurrence within tumour stage across studies remained similar but one explanation for this reported difference was possibly superior pre-operative staging. This would provide an explanation for the previously reported improved benefit of more intensive follow up programmes with early recurrence in these older studies representing undetected residual disease<sup>[36]</sup>. A further meta-analysis published in 2016 of 15 randomised controlled trials came to a similar conclusion to that of Primrose *et al.*<sup>[36]</sup> and demonstrated no overall survival benefit with more intensive follow up regimes<sup>[36,37]</sup>.

In summary, surveillance programmes with either regular CEA or CT increase the likelihood of detecting recurrent disease and result in an increased proportion of patients undergoing surgical treatment with curative intent. This has not, however, been shown to translate into improved patient survival in trials. This counter-intuitive finding may partially be explained by the failure of randomised trials to detect small differences: If 25% of patients develop CRLM post CRC resection, of which 25% are operable, and of which 25% are 10 year survivors, the difference in overall survival in a surveillance group may prove beyond detection. In practice, the real world observation of lives saved following resection of metachronous CRLM has resulted in the continued adoption of surveillance programmes using CT and serum CEA, although the additional value of the latter has been difficult to demonstrate in trials<sup>[36]</sup>.

### **CRLM characterisation and staging**

Imaging has an important role in defining optimal treatment of CRLM. Knowing the size, location and vascular relationships of CLRM is essential prior to treatment planning and assessment of neoadjuvant response. Imaging techniques include ultrasound, CT, magnetic resonance imaging (MRI) and fluoro-18-deoxyglucose (FDG) positron emission tomography (PET-CT).

**Ultrasound:** Ultrasound has a limited role in pre-operative evaluation as it has a low sensitivity (64%) for CRLM compared with other imaging modalities<sup>[38]</sup>. In recent years contrast-enhanced ultrasound (CEUS) has become widely used to characterise liver lesions based on dynamic assessment of tumour vascularity. CEUS has a reported sensitivity of 80%-90%, comparable to CT and is significantly more sensitive than grey-scale ultrasound for detecting small CRLM less than 10 mm<sup>[39,40]</sup>. Nevertheless, CEUS does not offer comprehensive information needed for surgical planning as compared to CT or MRI. Intra-operative ultrasound (IOUS) has an established role in lesion detection and mapping of major hepatic vessels during surgery. IOUS has been shown to identify new lesions in 16% of patients and alter clinical management in 9%<sup>[41]</sup>. Contrast enhanced IOUS has higher sensitivity and specificity than traditional IOUS particularly for detection of “disappearing” lesions in the setting of neoadjuvant therapy<sup>[42,43]</sup>.

**Computed tomography:** CT is the modality of choice for detection of liver and extrahepatic metastases. The high spatial resolution of CT combined with isotropic pixel size enables reformatted images in various planes, which enables better delineation of tumour and adjacent vascular structures for accurate segmental localisation<sup>[44]</sup>. The portal venous phase (approximately 60-70 s after administration of contrast agent) is the most reliable phase for detection of CRLM with a detection rate of 85% and a positive predictive value of 96%<sup>[45]</sup>. CRLM are typically hypovascular with variable heterogeneity depending on size and previous treatment. Since CRLM are hypovascular, arterial phase imaging does not improve detection but is helpful for pre-surgical or pre-embolisation planning<sup>[46]</sup>. The performance of CT is somewhat limited in detecting CRLM < 10 mm which are interpreted as too small to characterise<sup>[47]</sup>. In addition fatty liver is not uncommon post chemotherapy which can further limit detection of liver metastases.

**Magnetic resonance imaging:** Compared to CT, MRI has superior soft tissue contrast which makes it an invaluable tool for detection and characterisation of CRLM particularly those below < 10 mm<sup>[48]</sup>. CRLM are typically T1-hypointense, mildly T2-

hyperintense with heterogeneous but predominantly rim enhancement in the arterial phase and hypo-enhancement in portal venous and delayed phases. Two advances which have revolutionised the role of MRI in the last decade are diffusion weighted imaging (DWI) and the use of hepatocyte-specific contrast agents. DWI measures the mobility of water molecules in tissues. Apparent diffusion coefficient values are quantitative estimates of diffusion restriction. CRLM show restricted diffusion of water molecules due to their hypercellular nature which manifests as high signal intensity lesions with low apparent diffusion coefficient values. Addition of DWI improves sensitivity and specificity for lesion detection and characterisation<sup>[49,50]</sup>. Hepatocyte-specific contrast agents are highly sensitive for detection of small lesions, which may be virtually occult on other sequences<sup>[51]</sup>. This also allows for detection of “disappearing” lesions which can mimic complete response to neoadjuvant therapy<sup>[52]</sup>. Gadobenate dimeglumine (MultiHance, Bracco) and gadoxetate disodium (Eovist, Bayer) are both hepatocyte-specific contrast agents which are preferentially taken up by hepatocytes and excreted into the biliary tree. In the delayed hepatobiliary phase (10–120 min after administration) normal hepatocytes are hyperintense compared to liver metastases, which do not retain the contrast agent. DWI has similar sensitivity and specificity as MRI with extracellular contrast agent but lower sensitivity than MRI with hepatocyte-specific contrast agent<sup>[53]</sup>.

**Positron emission tomography/computed tomography:** There is lack of clinical evidence to show that Fluorine<sup>18</sup> labelled Positron Emission Tomography/Computed Tomography (<sup>18</sup>FDG PET-CT) has significant impact on the clinical management of localised non-metastatic colorectal cancer preoperatively<sup>[54]</sup>. Its role in the initial assessment colorectal cancer, therefore, is not yet established<sup>[55]</sup>. Most centres do not carry out a routine <sup>18</sup>FDG PET-CT at this stage.

<sup>18</sup>FDG PET-CT is considered to be very accurate and sensitive in the detection of CRLM, especially those greater than 10 mm<sup>[56]</sup>. However, small liver metastases (< 10 mm) and liver metastases from some mucinous adenocarcinomas can be missed<sup>[57-59]</sup>.

<sup>18</sup>FDG PET-CT has been found to be accurate in identifying extrahepatic metastasis. Some studies suggest addition of <sup>18</sup>FDG PET-CT can lead to change in management in over one-third of patients avoiding unnecessary metastasectomy<sup>[60-62]</sup>, with a significant impact on survival<sup>[63]</sup>. However, other studies have disputed this and found only a modest 8% change in surgical management with 6% of false positive findings<sup>[64,65]</sup>. The role of <sup>18</sup>FDG PET-CT in addition to standard imaging of CT chest, abdomen and pelvis, and MR liver in presurgical patients remains uncertain. Some authors have proposed it could be used as problem solving modality<sup>[66]</sup> to identify extrahepatic metastases in high risk patients<sup>[48]</sup>. Despite its shortcomings, <sup>18</sup>FDG PET-CT remains part of our imaging algorithm prior to hepatic metastasectomy.

There is insufficient evidence for the use <sup>18</sup>FDG PET-CT on routine surveillance, however, it does have a supplementary role in the context of rising CEA if CT fails to identify the site of disease<sup>[67]</sup>.

### **Surveillance after resection of CRLM**

Given that over half of patients undergoing liver resection for CRLM develop recurrence<sup>[68]</sup>, that approximately half of these are hepatic only<sup>[69]</sup>, and in the light of favourable outcomes after re-hepatectomy (see section 4) for intra hepatic recurrence, there is an intuitive and logical justification for surveillance following resection of CRLM. However, there is considerable heterogeneity in surveillance practice<sup>[70]</sup>, and concerns have been raised regarding the implications of irradiation<sup>[71]</sup> and health care costs<sup>[72]</sup>.

Defining optimal surveillance requires a knowledge of when recurrence occurs, and how best to detect it. In a retrospective multi-institution cohort study of 2320 patients undergoing initial hepatectomy for CRLMs, Hallet *et al*<sup>[73]</sup> reported that 89.1% of recurrences developed within 3 years. Recurrence was intrahepatic in 46.2%, extrahepatic in 31.8% and combined intra/extrahepatic in 22%.

Despite this concentration of recurrence in the early years, and many surveillance protocols suggesting follow up for 5 years<sup>[69,74]</sup>, there is consistent evidence of recurrence occurring beyond 5 years in a significant minority of patients. Pulitanò *et al*<sup>[75]</sup> reported that whilst 93% of recurrences occurred within the first 5 years of follow-up, 11% of patients who were disease-free at 5 years developed later recurrence. Similarly, Tomlinson *et al*<sup>[76]</sup> found that of patients who were found to be disease free at 5 years, 23% had a documented first recurrence after 5 years, and Viganò *et al*<sup>[77]</sup> reported that 15% of the patients disease-free at 5 years developed later recurrence.

Heterogeneity applies not only to length of surveillance but also to surveillance type, reflecting the lack of evidence in this area.

However, in a prospective study of 76 patients, Bhattacharjya *et al*<sup>[78]</sup> reported that the use of CT or tumour markers CEA alone failed to demonstrate early recurrence in 12 and 18 patients respectively, and that the combination of tumour markers and CT detected significantly more recurrence than either modality alone, thus supporting the combination of CT and CEA in the follow-up of patients with resected colorectal liver metastases.

In an attempt to rationalise surveillance in long term survivors, Galjart *et al*<sup>[74]</sup> produced a stratification risk score based on primary nodal status and disease free interval between primary and CRLM resection to determine surveillance intensity. The authors found that in patients who were disease free after 5 years, recurrence rate beyond 5 years was 3% in the low risk group, but 12% in the high-risk group.

The role of other modalities such as MRI or PET-CT in post-operative surveillance is not defined but is predominantly used to investigate, confirm and characterise recurrence where it is suspected from CT and CEA results.

In conclusion recurrence after resection of CRLM is frequent and occurs mostly in the first 3 years post resection. Nevertheless, up to 23% of patients who are disease free at 5 years may develop recurrence thereafter, such that protocols ending surveillance at 5 years would miss those patients. Generating good evidence for optimal length, frequency, and type of surveillance is likely to be challenging, and surveillance protocols are likely to be determined by clinician/patient preference as well as health care system resource issues.

## SECTION 2: TUMOUR CHARACTERISATION AND BIOMARKERS IN COLORECTAL CANCER

The development of liver resection for CRLM has stimulated attempts to identify prognostic factors to aid in patient selection. Such factors have included primary CRC characteristics (tumour site, TNM stage), CRLM characteristics (size of largest liver metastasis, number of lesions, grade of differentiation, margin status), and other factors such as CEA, presence of additional extra-hepatic disease, and time interval between the emergence of CRC and CRLMs<sup>[79-82]</sup>. The limitations of individual factors in prognostication prompted their combination to produce risk scores such as the Fong score<sup>[83]</sup>, however even this was found wanting in terms of prognostication<sup>[84-86]</sup>. It seems likely that the prognostic shortcomings of clinical criteria reflect the fact that they are merely surrogate markers for the underlying molecular biological markers that truly determine tumour biology.

Although a detailed account of current CRC biomarkers is beyond the scope of this review, the following summaries and [Figure 1](#) give an impression of some of the key CRC oncogenic pathways ([Figure 1A](#)) and the biomarkers KRAS, NRAS, BRAF, TP53, PIK3CA, APC, and Mismatch Repair Deficiency (MMRD), chosen for their prominence, and also because they inform the rationale for current chemotherapy and biological targeting treatments ([Figure 1B](#)).

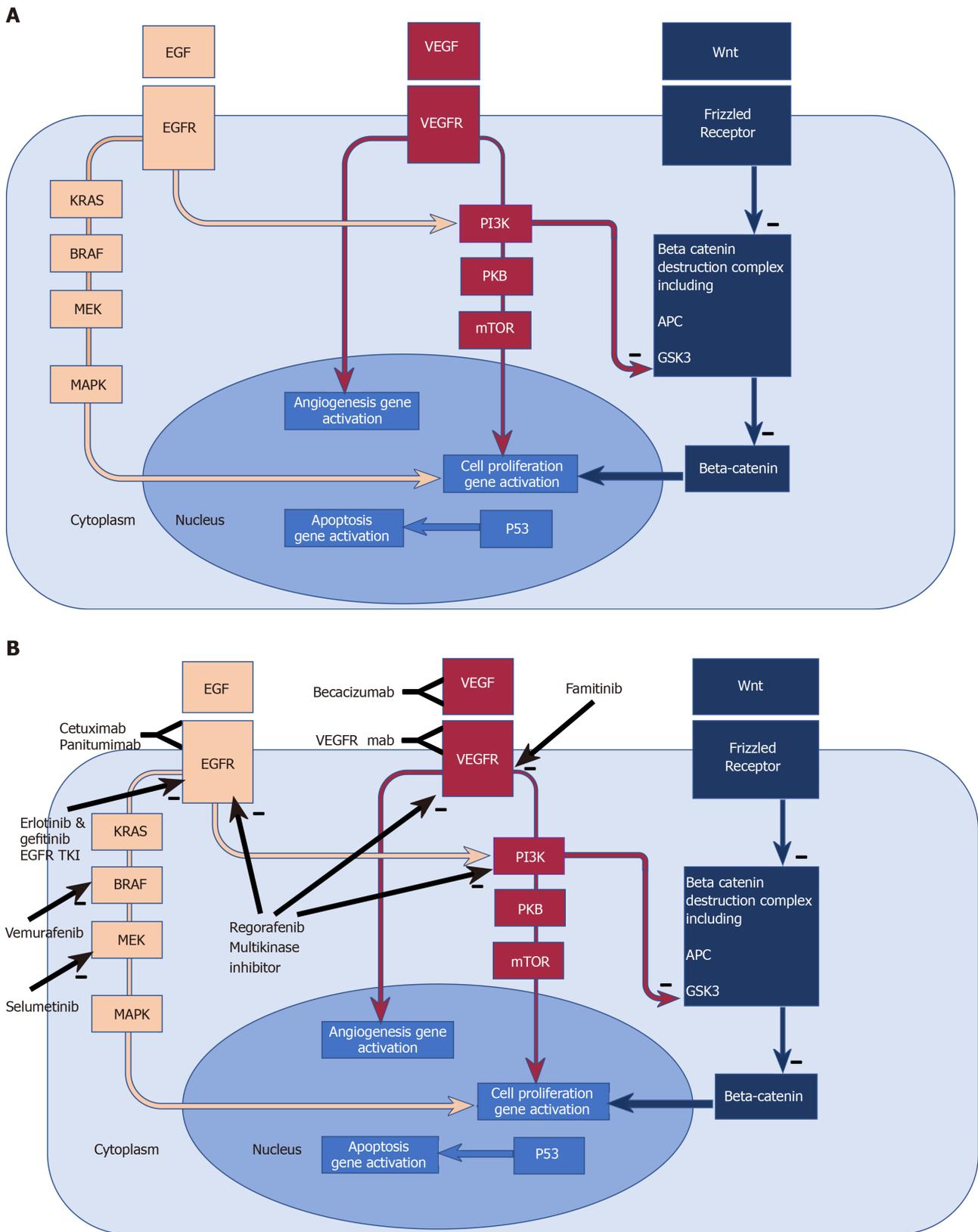
### KRAS

KRAS is a GTP-binding protein and the first member of the KRAS-BRAF-MEK-MAPK pathway which is activated following binding of ligand to Epidermal Growth Factor Receptor (EGFR).

KRAS mutation leads to constitutive activation of the pathway and is one mechanism in EGFR blockade resistance. Once acquired, KRAS mutation persists with 96% concordance between primary tumours and metastases<sup>[87]</sup>.

KRAS mutation (predominantly at codon 12<sup>[88]</sup> and 13<sup>[89]</sup>) is present in approximately 30% of colorectal cancers, and associated with more aggressive disease and more frequent recurrence after resection of colorectal liver metastases<sup>[90]</sup>, although the poor prognostic effect of mutant KRAS may be limited to left sided primary tumours<sup>[81]</sup>.

In terms of its implications for treatment of colorectal liver metastases, it has been reported that mutant KRAS is associated with a higher incidence of positive margins<sup>[91]</sup>, with some authors reporting better outcomes in mutant KRAS patients whose metastases were resected with wider margins in anatomical (rather than non-anatomical) resections<sup>[92]</sup>. However, these results have been challenged with the alternative interpretation that the increased recurrence rate in the non-anatomical group may have been related to a higher proportion of radiofrequency ablation (RFA) treated tumours<sup>[91]</sup>. Thus it may be that the higher recurrence rate seen in mutant KRAS



**Figure 1 Biomarkers, molecular pathways, existing and emerging therapeutic targets in colorectal cancer.** A: Biomarkers and molecular pathways in colorectal cancer. Epidermal Growth Factor Receptor (EGFR) pathway: EGFR is a transmembrane receptor tyrosine kinase<sup>[340]</sup>. EGF binding to the extracellular domain results in activation of down- stream intracellular signalling pathways such as RAS-RAF-MEK-MAPK, and the PI3K PKB mTOR pathway, amongst others, which favour cell proliferation and survival<sup>[341-344]</sup>; Angiogenesis pathway: Vascular endothelial growth factors influence angiogenesis in health and disease *via* binding to the vascular endothelial growth factor receptor. Deregulated angiogenesis impacts on progression in solid tumours, thus providing potential anti-angiogenic therapies<sup>[345]</sup>; Wnt pathway: The *Wnt* genes are vast family of highly conserved genes with wide ranging roles in development, cell proliferation and migration and tumorigenesis<sup>[346]</sup>. Beta catenin accumulation in the cytoplasm and nucleus leads to cell proliferation. Excess beta catenin accumulation is prevented by

its destruction by the "beta catenin destruction complex" (a multiprotein assembly containing adenomatous polyposis coli and GSK3). Wnt binding to its receptor frizzled leads to impaired function of the Beta catenin destruction complex and hence beta catenin accumulation and cell proliferation<sup>[347]</sup>. Mutations in adenomatous polyposis coli prevent the formation of the beta catenin complex, and therefore allow beta catenin accumulation and cell proliferation. PI3K inhibits the function of GSK3<sup>[112]</sup>, thereby impairing the beta catenin destruction complex, hence contributing to the tumorigenic accumulation of beta catenin. B: Existing and emerging therapeutic targets in colorectal cancer pathways. B: Cetuximab and Panitumumab are monoclonal antibodies targeting the EGFR, thus blocking activation of downstream signalling pathways. Mutated and constitutively active downstream effectors (such as RAS and RAF) confer resistance to EGFR blockade. Erlotinib and gefitinib are EGFR Tyrosine kinase inhibitors and are associated with improved PFS when combined to Bevacizumab in the DREAM trial<sup>[156]</sup>. Vemurafenib is a RAF inhibitor which in combination with EGFR blockade<sup>[157]</sup> has shown marked responses in some case reports<sup>[158]</sup>. Selumetinib is a MEK kinase inhibitor showing tumour response in some patients with *KRAS* mutant colorectal cancers progressing on Oxaliplatin<sup>[159]</sup>. Regorafenib inhibits is a multi-kinase inhibitor<sup>[153]</sup>, with OS benefit in randomised double blind control trials<sup>[154,155]</sup>. Bevacizumab is a Monoclonal antibody against VEGFA with the most prominently established role in the treatment of metastatic colorectal cancer. Farnitinib is a multiple tyrosine kinase inhibitor and targets the vascular endothelial growth factor receptor tyrosine kinase. Monoclonal antibodies targeting the VEGF receptors are also under investigation<sup>[160]</sup>. EGF: Epidermal Growth Factor; EGFR: Epidermal Growth Factor Receptor; EGFR TKI: Epidermal Growth Factor Receptor tyrosine kinase inhibitor; K-ras: K-Ras protein (product of the proto-oncogene *KRAS*); BRAF: BRAF protein (product of the proto-oncogene *BRAF*); MEK: Mitogen activated protein kinase which activates MAPK (mitogen-activated protein kinase); VEGF: Vascular endothelial growth factor; VEGFR: Vascular endothelial growth factor receptor; PI3K: phosphoinositide 3-kinase; PKB: Protein kinase B; mTOR: Mammalian target of Rapamycin; Wnt: Wnt protein product of proto-oncogene Wnt; Frizzled Receptor: Receptor for Wnt; APC: Protein product of the tumour suppressor gene APC (Adenomatous polyposis coli); GSK3: Glycogen synthase kinase 3.

patients after resection of colorectal liver metastases is not directly caused by the higher positive margin rate, but that the two are manifestations of underlying aggressive biology<sup>[93]</sup>.

### **BRAF**

*BRAF* is part of the mitogen-activated protein kinase cascade (MAPK), downstream from *KRAS*.

*BRAF* mutation, most commonly at the V600E codon<sup>[94]</sup>, is found in 5%-15% of colorectal cancer patients<sup>[94]</sup> and is associated with aggressive disease, resistance to EGFR blockade<sup>[95]</sup>, worse overall survival (OS) in patients with non-metastatic primary colorectal cancer<sup>[96]</sup>, and patients with metastatic colorectal cancer treated with palliative chemotherapy<sup>[97]</sup>.

As a result of aggressive and often multisite disease associated with *BRAF* mutation, the incidence of *BRAF* mutation in patients undergoing resection of CRLM is low (2%-4%). Those patients with *BRAF* mutation who do undergo liver resection have a worse overall survival in comparison to patients with wild type *BRAF*<sup>[98]</sup>. The most recent and largest case control study<sup>[99]</sup> suggests this effect is not due to more frequent recurrence, but to the lethal multisite recurrence pattern in those patients in whom disease recurs.

In spite of these findings, in those patients with *BRAF* mutation who do undergo liver resection, long term survival (37% 5 years, and median survival 40 mo) is reported, and compares favourably with systemic chemotherapy<sup>[98,99]</sup>, such that liver resection in these highly selected patients is still deemed indicated, though with appropriate counselling regarding outcome.

### **TP53 and combination mutations**

*TP53* is a tumour suppressor gene, the product of which (P53) plays crucial roles in the regulation of the cell cycle, induction of apoptosis, and Deoxyribonucleic acid (DNA) repair<sup>[100]</sup>.

The incidence of *TP53* mutation in patients with CRLM ranges between 40%-60%<sup>[101]</sup>.

Although many studies have associated altered P53 activity with advanced stage<sup>[102]</sup> and poor survival in primary CRC<sup>[103]</sup>, reports are conflicting in relation to the prognostic significance of mutant in patients undergoing resection of CRLM with Tanaka *et al*<sup>[104]</sup> identifying it as a predictor of poor survival, in contradiction of other studies<sup>[105]</sup>. Thus, although mutation undoubtedly has a key role in the early stages of CRC oncogenesis, its part in CRLM specifically is less clear.

The discrepancy in reported studies may also be in part explained by interactions between *P53* and other mutations, as suggested by the poor prognosis associated with the combination of *P53* and *KRAS*<sup>[106]</sup> in patients undergoing liver resection for CRLM.

### **Phosphoinositide3-kinase catalytic subunit alpha**

Phosphoinositide3-kinase catalytic subunit alpha (*PIK3CA*) encodes the subunit of phosphoinositide-3 kinase, which controls downstream genes involved in cell proliferation and survival<sup>[107]</sup>. *PIK3CA* mutations result in loss of apoptosis, increased tumour invasiveness<sup>[108]</sup>, and resistance to EGFR blockade<sup>[109]</sup>.

Mutant *PIK3CA* is reported in 20% of patients with CRLM and associated with

shorter time to relapse following resection<sup>[110]</sup>, and significantly worse OS in patients harbouring the combination of mutation in *PIK3CA* and the Adenomatous Polyposis Coli gene (*APC*)<sup>[111]</sup>. As further discussed in **Figure 1** and in the *APC* section below, mutant *phosphoinositide-3 kinase* inhibits the function of *glycogen synthase kinase 3*<sup>[112]</sup>, thereby impairing the beta catenin destruction complex, hence contributing to the tumorigenic accumulation of beta catenin.

### **APC**

*APC* is one component of a protein complex (the beta catenin destruction complex) which degrades beta catenin. Thus *APC* mutations allow the accumulation beta catenin in the cytoplasm and nucleus, resulting in activation of genes promoting cell proliferation and tumorigenesis<sup>[113]</sup>.

*APC* mutation is reported in 50% of patients with CRLM, and, whilst not prognostic on its own, is associated with significantly worse OS in patients harbouring the combination of mutation in *PIK3CA* and *APC*<sup>[111]</sup>.

This effect may be mediated by the fact that mutant *PIK3CA* inhibits the function of Glycogen synthase kinase 3<sup>[112]</sup>, another component of the beta catenin destruction complex, thereby contributing to the tumorigenic accumulation of beta catenin.

### **MMRD**

The mismatch repair system is a group of enzymes which repair errors which accumulate during DNA replication. When the proteins of the mismatch repair system do not function correctly, errors or mutations occur in the DNA. As a result, tumours which are mismatch repair deficient have high levels of mutation or are “hypermuted”. The most common mismatch repair protein which is altered in colorectal cancer is *MLH1* which may be mutated in the germline (approximately 15% of cases), or absent due to promoter hypermethylation (sporadic, 85% of cases). Other proteins which are frequently affected include *MSH2*, *MSH6* and *PSM2*. Mismatch repair deficiency in tumours can be assessed using protein immunohistochemistry or by examining microsatellites on DNA using Polymerase chain reaction (microsatellite instability)–these tests are highly concordant<sup>[114]</sup>.

Sporadic mismatch repair deficient tumours are more common in older patients and in the right colon, and in early stage cancers. Hypermethylation leads to production of high levels of immune stimulating neoantigens and increased immune infiltrates, which in early stage cancers confers a good prognosis. However, in later stages the positive prognostic effect of mismatch repair deficiency becomes lost by a process of immune editing. Mismatch repair deficient tumours are considered chemo refractory and sporadic mismatch repair deficient cancers are often associated with *BRAF* mutations which confer a further negative prognosis. However, the advent of immune checkpoint blockade with anti-PD-1 and anti-CTLA4 inhibitory antibodies has heralded a new era for the small number of patients with advanced MMRD colon cancers<sup>[115,116]</sup>. Treatment with novel immunotherapy drugs may lead to long term remission for these patients.

Interestingly, MMRD colon cancer may less commonly metastasise to the liver than non MMRD colon cancer. Many MMR tumours downregulated HLA expression as a mechanism of immune evasion, and HLA negative tumours are less common in liver metastases. This is believed to be due to the presence of natural killer cells in the liver which eliminate cells with an absent “self” phenotype<sup>[117]</sup>.

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## **SECTION 3: SYSTEMIC AND LOCOREGIONAL CHEMOTHERAPY AND TARGETED AGENTS IN COLORECTAL LIVER METASTASES MANAGEMENT**

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### **Introduction**

The role of chemotherapy in the overall management of colorectal liver metastases is evolving and complex, consistent with the multitude of different but sometimes overlapping contexts in which chemotherapy may be considered.

Although evidence exists to guide management in some scenarios, even then decision making remains nuanced in the face of heterogeneity within randomised trial groups, as well as patient specific factors such as individual chemotherapy tolerance, and risks associated with comorbidities.

Seen from the perspective of maximising the chance of liver resection, as the treatment which offers the best chance of long-term survival, these different contexts

may be classified into three broad categories, although it is acknowledged that these may overlap: (1) Patients with unequivocally unresectable disease; (2) Those with up-front resectable disease; and (3) Those patients between these 2 ends of the spectrum, whose disease is deemed initially unresectable, but with the potential of conversion to resectability by downsizing chemotherapy.

The section below discusses chemotherapeutic options for the three categories above in the scenario of metachronous colorectal liver metastases, with synchronous metastases discussed in a later separate section (see section 4).

Prior to describing options for these broad patient groups, we discuss chemotherapy related hepato-toxicity, as this has a significant influence on decision making.

### **Chemotherapy related toxicity**

Chemotherapy associated hepato-toxicity presents in three main entities: Steatosis, steato-hepatitis, and sinusoidal obstruction syndrome.

**Steatosis:** Liver changes associated with fat accumulation in hepatocytes are termed “non-alcoholic fatty liver disease”. Whilst indolent in most patients, a progressive form of “non-alcoholic fatty liver disease” can lead to steato-hepatitis, and thereafter progress to fibrosis and ultimately cirrhosis<sup>[118]</sup>. 30%-40% of patients treated with 5-Fluorouracil develop reversible steatosis demonstrated radiologically and histologically<sup>[119-121]</sup>. Steatosis is associated with increased complications post liver resection, though not increased mortality<sup>[122]</sup>.

**Steato-hepatitis:** Steato-hepatitis is hypothesised to be the end result of the “two hit theory” where the first insult (steatosis) is compounded a second insult in the form of reactive oxygen species. Irinotecan is the drug predominantly associated with steatohepatitis, with high BMI patients particularly at risk, presumably as result of pre-existing steatosis<sup>[122]</sup>. In terms of its impact on liver surgery, patients with steatohepatitis have been shown to have not only more frequent post-operative complications, but also significantly increased 90d mortality rate (15% *vs* 2% for patients without steatohepatitis<sup>[122]</sup>).

**Chemotherapy-associated hepatic sinusoidal obstruction syndrome:** Sinusoidal obstruction syndrome (SOS) was first recognised in the context of bone marrow transplantation and treatments involving combinations of several cytotoxic drugs<sup>[123]</sup>. In the context of chemotherapy for colorectal liver metastases oxaliplatin is the predominant drug associated with SOS, with 78% of patients receiving oxaliplatin having evidence of sinusoidal injury<sup>[124]</sup>. SOS is associated with Increased morbidity post liver resection, though not mortality<sup>[125]</sup>.

**Chemotherapy duration:** As well as the type of agent, there is some evidence that the length of chemotherapy course may impact on perioperative complications. In terms of minimising chemotherapy associated hepato-toxicity, Karoui *et al*<sup>[125]</sup> found that patient receiving fewer than 6 chemotherapy cycles experienced significantly fewer post liver resection complications than those who had received more than 6 cycles (19% *vs* 54% complication rate) although there was no impact on mortality rates.

In the context of other evidence discussed below, hepatotoxicity may influence choice of chemotherapeutic agent, for example with a caution in relation to the reported increased mortality associated with irinotecan in patients with pre-existing steatosis who are potential surgical candidates.

### **Chemotherapy for patients with unequivocally unresectable disease**

The subgroup of patients with liver unresectable metastasis represents a very heterogeneous group, and therefore a careful multidisciplinary evaluation of patient and tumour’s characteristics as well as treatment toxicities is crucial in the decision-making process. In this setting, patients may be distinguished into three different subgroups: (1) Patients with good performance status but with tumour burden related symptomatic disease; (2) Patients with good performance status but without symptoms related to tumour burden; and (3) Patients with poor performance status. In the first case, the objective of treatment is the tumour shrinkage with the aim of symptom control, whereas in the second subgroup the objective is disease control with improvement of OS and preservation of quality of life. In the third group, best supportive care represents the most appropriate option because active treatment will not be tolerated.

Although a comprehensive description of systemic treatment options for metastatic disease is beyond the scope of this review, this section provides a summary of the current indications for first-line medical treatment in metastatic CRC.

According to international guidelines<sup>[126]</sup> chemotherapy plus target agents (anti-EGFR or anti-vascular endothelial growth factor) provide the best first line treatment for patients with appropriate performance status. In particular, doublet therapy based on fluoropyrimidines (5-FU/capecitabine) and oxaliplatin or irinotecan (FOLFOX/XELOX/FOLFIRI) represents the standard of care in order to improve survival<sup>[127-129]</sup> More recently, triplet chemotherapy with FOLFOXIRI has been associated with a further 25% increase in median OS, although at the expense of greater toxicity<sup>[130,131]</sup>. As trials show no difference in the outcomes when using oxaliplatin or irinotecan-based doublets, the choice is mainly related to the different safety profile<sup>[132]</sup>. In addition, biological agents could be added to chemotherapy according to tumour (*RAS* mutational status, sidedness) and patient characteristics.

**EGFR blockade:** The key evidence in favour of EGFR blockade in the context of colorectal liver metastases comes from randomised trials demonstrating improved OS and progression free survival (PFS) in patients treated with EGFR blockade added to conventional chemotherapy compared with chemotherapy alone. Summarising this evidence, a meta-analysis of randomised trials showed that combining cetuximab or panitumumab to oxaliplatin or irinotecan regimens increased response rates in patients with initially inoperable CLM<sup>[133]</sup>. In terms of the relative efficacy of oxaliplatin *vs* irinotecan based regimens in combination with EGFR blockade, the CELIM study comparing the efficacy of FOLFOX + cetuximab to FOLFIRI + cetuximab, showed no significant difference in efficacy between the 2 regimens<sup>[134]</sup>. In a trial comparing triplet chemotherapy (FOLFOXIRI) + panitumumab to FOLFOXIRI alone, EGFR blockade was associated with improved response rates though no difference in PFS or OS<sup>[135]</sup>.

In terms of the efficacy of EGFR blockade alone, Cetuximab alone was found to be less effective alone than in combination with Irinotecan in the BOND study<sup>[136]</sup>.

In terms of patient selection for EGFR based therapy, CRC harbouring mutations in *KRAS*<sup>[137]</sup> and *NRAS*<sup>[138]</sup> genes which result in constitutive activation of the downstream signalling cascade have been demonstrated to be insensitive to treatment with anti-EGFR blockade. Furthermore, some *RAS* wild type CRC may also prove insensitive to EGFR blockade, possibly due to the presence of other mutations in downstream genes, including that of *BRAF*, present in 9% of CRC, and associated with poor prognosis<sup>[139]</sup>, or amplification of receptor tyrosine kinase genes<sup>[140]</sup> or mutations in the EGF receptor itself<sup>[141]</sup>. In addition, there is growing evidence that primary tumour sidedness may also affect response to EGFR blockade, with right sided tumours failing to benefit, even when *RAS* wild type, as discussed further below<sup>[142]</sup>.

**Anti-angiogenic agents:** Bevacizumab is the only anti-vascular endothelial cell growth factor agent approved in first line setting for metastatic CRC. Several trials have demonstrated that bevacizumab improves overall response rate, PFS and OS when added to irinotecan based regimens and PFS when added to oxaliplatin based regimens<sup>[143,144]</sup> regardless of *RAS* status. Furthermore, a meta-analysis of 6 randomized clinical trials assessing bevacizumab in patients with metastatic CRC reported improved PFS and OS<sup>[145]</sup>. In terms of combining bevacizumab with triplet chemotherapy, the phase II OLIVIA trial studied the addition of bevacizumab to FOLFOX or FOLFOXIRI in patients with initially unresectable liver and demonstrated improved PFS, overall response rate and R0 rates in the FOLFOXIRI + bevacizumab group<sup>[146]</sup>, with confirmation of these results in the phase III TRIBE trial<sup>[147]</sup>.

**Factors influencing choice of targeted therapy:** In considering the choice between EGFR blockade and antiangiogenic agents in combination with chemotherapy in *RAS* WT patients, evidence is somewhat conflicting.

Whilst the FIRE 3 trial<sup>[148]</sup> (comparing FOLFIRI plus cetuximab *vs* FOLFIRI plus bevacizumab as first-line treatment for patients with metastatic colorectal cancer), and the PEAK trial<sup>[149]</sup> (comparing FOLFOX plus panitumumab *vs* FOLFOX plus bevacizumab) both reported improved OS in the EGFR blockade group, the CALGB 80405 trial showed no difference in OS between EGFR blockade and anti-angiogenic agents<sup>[150]</sup>.

Combination of EGFR blockade with anti-angiogenic agents was examined in the PACCE trial which suggested prohibitive increased toxicity<sup>[151]</sup>, and although this was not confirmed in the combination CAIRO 2 study<sup>[152]</sup>, concerns regarding toxicity have led to an avoidance of the combination of EGFR blockade with anti-angiogenics.

The choice of which targeted therapy is best added to conventional chemotherapy may also be influenced by the sidedness of the primary tumour. It is increasingly recognised that right and left sided colon cancers have different biological and clinical behaviours which impact on their response to systemic treatment. In a systematic review of 6 randomised trials examining treatment regimens for *RAS* wild type colon

cancer, Arnold *et al*<sup>[142]</sup> found that right sided tumours had worse prognosis, that EGFR blockade benefit was restricted to left sided tumours, that there may be possible adverse effect of EGFR blockade to right sided tumours, and that right sided tumours may benefit more from anti-angiogenic therapies, thus giving rise to the consideration of triplet therapy combined with *bevacizumab* for right sided tumours.

**Novel agents:** Novel agents targeting other aspects of known oncogenic pathways (Figure 1B) are also in varying stages of assessment. These include multi-kinase inhibitors, agents targeting other steps in the EGF receptor signalling pathway, antiangiogenic agents, and immune checkpoint inhibitors.

Multi-kinase inhibitors such as regorafenib inhibits a wide range kinases impacting on several oncogenic pathways<sup>[153]</sup>, and has shown OS benefit in randomised double blind control trials<sup>[154,155]</sup>.

EGFR pathway blockade using EGFR tyrosine kinase inhibition by agents such as erlotinib or gefitinib has been associated improved PFS when combined to bevacizumab in the DREAM trial<sup>[156]</sup>.

The *BRAF* mutation, present in 10% of colorectal cancers, and associated with aggressive disease and poor prognosis has been targeted by the agent *vemurafenib* in combination with EGFR blockade<sup>[157]</sup> with marked responses in some case reports<sup>[158]</sup>.

MEK kinase has been targeted by the inhibitor selumetinib with tumour response shown in some patients with *KRAS* mutant colorectal cancers progressing on oxaliplatin<sup>[159]</sup>.

The potential for exploiting anti-angiogenic pathway is also under investigation with other agents such as famitinib which inhibits multiple receptor tyrosine kinases, and monoclonal antibodies targeting the VEGF receptors<sup>[160]</sup>.

Pembrolizumab is an immune checkpoint inhibitor which impacts on cytotoxic immune responses. In a phase 2 study mismatch-repair status predicted clinical benefit of immune checkpoint blockade with pembrolizumab<sup>[115]</sup>.

### **Chemotherapy for patients with up-front resectable disease**

In patients with up-front resectable colorectal liver metastases, the role of chemotherapy has been investigated in both neoadjuvant and adjuvant roles.

**Neoadjuvant chemotherapy:** In the context of initially resectable liver metastases, neoadjuvant chemotherapy may have theoretical advantages or objectives such as assessing chemo-responsiveness to inform future treatment strategy, provide tumour shrinkage to increase chance of R0 resection, and to eliminate undetectable micro-metastases. Weighed against these potential advantages are the disadvantages of chemotoxicity, and hepatotoxicity in particular. In the midst of these conflicting principles, 2 randomised trials provide evidence.

The first, the EORTC 40983 trial<sup>[161]</sup>, which compared liver resection alone to FOLFOX (6 cycles preop) - liver resection - FOLFOX (6 cycles post op). At 3 years the study showed a significantly better 8% higher PFS in the peri-operative chemo group, but no difference in OS, and significantly more complications in the chemotherapy group (25% *vs* 16%). Moreover, the long term outcome<sup>[162]</sup> showed no OS benefit in the chemotherapy group. The absence of OS benefit has been attributed to the fact that with a sample size of 364, the trial was powered to detect a PFS, but insufficiently powered for OS. In comparison, trials such as the MOSAIC trial<sup>[163]</sup> included a relatively large sample size of 2246, and was able to detect a 4.2% OS benefit at 6 years of follow-up for patients treated with FOLFOX over those treated with Leucovorin 5-FU after resected stage III colon cancer.

Thus, despite improved PFS in the peri-operative chemo group, the absence of OS survival and the increased complication rate has not led to peri-operative chemotherapy being used routinely in patients with initially resectable liver metastases. Moreover, in a meta-analysis of 18 studies, neo-adjuvant chemotherapy in resectable colorectal liver metastases was not associated with a survival benefit<sup>[164]</sup>.

The evidence for targeted therapies in the perioperative context is, if anything, weaker. Primrose *et al*<sup>[165]</sup> compared 2 perioperative systemic regimens (FOLFOX - surgery - FOLFOX *vs* cetuximab + FOLFOX - surgery - cetuximab + FOLFOX) in patients with initially resectable colorectal liver metastases, and found a significantly inferior disease free survival (DFS) in the cetuximab group (20.1 *vs* 14.5 mo). Although some confounding factors have been suggested (possible different baseline characteristics between groups, 11% missing outcome data, and more ablations EGFR blockade in patients with upfront resectable liver metastases).

Peri-operative or neoadjuvant bevacizumab in upfront resectable disease has not

been investigated.

In practice the use of neoadjuvant chemotherapy in the context of upfront resectable CRLM is influenced not only by the evidence above, but also by nuances in individual case presentations which blur the boundaries of what is meant by “upfront resectable”. Adam *et al*<sup>[166]</sup> allude to the concept of patients who may be “technically resectable, but in whom a poor oncological outcome is suspected. A hypothetical example is shown in **Figure 2**. Both patient A (with a single superficial CRLM) and patient B (with 10 superficial CRLM) are “technically” resectable, but there would likely be consensus amongst MDTs that whilst patient A would best be recommended for upfront liver resection, patient B would best be served by neoadjuvant chemotherapy in the first instance.

In the context of better defining patients who are technically resectable but may have a poor oncological outcome, Fong *et al*<sup>[83]</sup> developed a preoperative oncological score including five factors: Node-positive disease, disease-free interval from primary to metastases < 12 mo, > 1 hepatic lesion, > 5 cm in the highest hepatic lesion diameter and carcinoembryonic antigen level > 200 ng/mL. Patients with ≤ 2 criteria showed a better outcome, while chemotherapy might be considered in case of patients with ≥ 3 criteria.

This highlights the heterogeneity of “upfront resectable” patients, and MDTs may take additional factors than those included in the Fong score into account in decision making, resulting in a “case by case” approach.

**Adjuvant chemotherapy:** There is no level I evidence for the use of adjuvant therapy in patients with resected colorectal liver metastases, However, meta-analysis of available trials suggests that there may be a benefit to this approach<sup>[167]</sup>. Included in this meta-analysis are the report from Portier *et al*<sup>[168]</sup> who compared Surgery alone *vs* surgery with followed by 6 mo of systemic adjuvant fluorouracil and folinic acid, and demonstrated an improved DFS at 5 years of 33.5% for patients in the chemotherapy group *vs* 26.7% for patients in the control group, though no OS survival benefit.

Kim *et al*<sup>[169]</sup> compared the outcome of 3 different adjuvant chemotherapy regimens (oxaliplatin/ fluoropyrimidine (group I), irinotecan/fluoropyrimidine (group II) and fluoropyrimidine alone (group III). Median DFS was 23.4 mo in group I and significantly better than the combined other groups, 14.1 mo in group II and 16.3 mo in group III ( $P = 0.03$ ).

The EORTC 40983 trial<sup>[161]</sup> also provides some evidence of chemotherapy benefit in PFS, although it is difficult to establish whether this was attributable to adjuvant chemotherapy, as the trial group also received neo-adjuvant treatment.

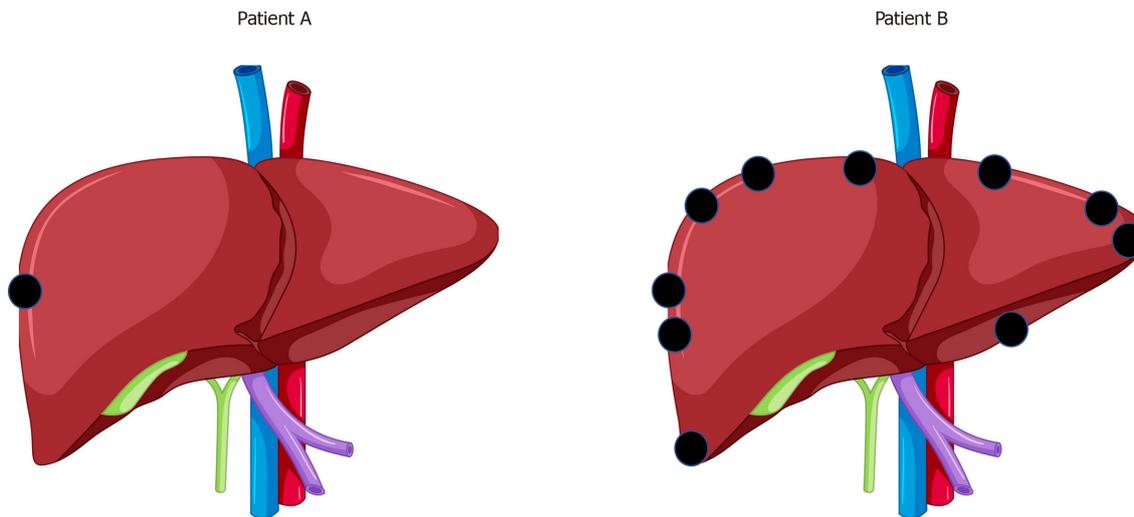
Thus, in the context of adjuvant chemotherapy for resected colorectal liver metastases there is some, though limited, evidence for improved DFS with certain agents. As a theoretical consideration, adjuvant treatment allows chemotherapy delivery and avoids the increased liver surgery complications associated with neo-adjuvant chemotherapy.

### **Conversion and down-sizing chemotherapy for patients with initially unresectable disease**

The results of downsizing chemotherapy for initially unresectable colorectal liver metastases are well established. In a systematic review including 10 studies of downsizing systemic chemotherapy and rescue liver surgery for initially unresectable CLM, Lam *et al*<sup>[170]</sup> reported objective response rate of 64% (range, 43%–79%) of patients after systemic chemo-therapy, with 22.5% of patients converted to a resectable status and macroscopically curative liver resection overall. For those resected patients, median overall survival was 45 (range, 36–60 mo) mo with 19% of patients alive and recurrence-free, thus comparing favourably to chemo alone, and to outcomes for patients undergoing up-front resectable liver metastases.

Downsizing regimens based on oxaliplatin<sup>[171]</sup> and irinotecan<sup>[172]</sup> have achieve similar response rates in the range of 50% and rates of liver metastases resection of 33%-40%. Moreover, in a randomised controlled trial comparing FOLFIRI and FOLFOX, the two regimens had identical response rates (55%) and similar levels of clear margin (R0) resections<sup>[173]</sup>. The triplet combination of folinic acid 5FU, oxaliplatin and irinotecan has also been studied, and in randomised trials comparing FOLFOXIRI to FOLFIRI<sup>[130]</sup> and FOLFIRINOX to FOLFOX or FOLFIRI<sup>[174]</sup>, the triplet combination was associated with improved response rates, progression free survival, overall survival, and increased resection rates, but at the expense of greater toxicity.

**EGFR blockade in downsizing setting:** Given the evidence demonstrating the benefit of adding EGFR blockade to conventional chemotherapy in the setting of



**Figure 2** A hypothetical example is shown. A: Patient A (with a single superficial colorectal liver metastases); B: Patient B (with 10 superficial colorectal liver metastases).

unequivocally unresectable colorectal liver metastases<sup>[133]</sup>, the potential for such combination to maximise conversion of initially unresectable liver metastases has also been explored. Thus addition of EGFR blockade to systemic chemotherapy in RAS wild type patients was associated with improved conversion to resectability and R0 rates<sup>[175]</sup>, in comparison to systemic chemotherapy alone. Furthermore, in the CELIM trial comparing cetuximab with either FOLFOX or FOLFIRI, both regimens demonstrated similar high response rates and increased resectability rates<sup>[134]</sup>.

The impact of adding EGFR blockade to triplet chemotherapy has also been studied in The VOLFI trial comparing FOLFOXIRI with panitumumab *vs* FOLFOXIRI alone, showing improved response rates and resection rates in the panitumumab group<sup>[135]</sup>.

**Antiangiogenic therapy in downsizing:** Anti-angiogenic therapies have also been studied in the downsizing context. Wong *et al*<sup>[176]</sup> reported a 40% conversion to operability with XELOX and bevacizumab. Similarly, increased resection rates, R0 rates and PFS were associated with addition of Bevacizumab to triplet chemotherapy in the OLIVIA trial<sup>[146]</sup>.

As discussed in the section relating to inoperable colorectal live metastases, the choice of addition of EGFR blockade or antiangiogenic therapy is a complex one, and is influenced not only by RAS status, but also by primary tumour sidedness<sup>[142]</sup>.

In conclusion, an improvement in OS is clearly demonstrated for patients converted to R0 surgery by use of conversion chemotherapy. Radiological response should be evaluated 2-3 moly by RECIST criteria, taking into account the radiological pattern of response to antiangiogenic agents. Timing of surgery is critical in order to avoid overtreatment of lesions which may disappear and to avoid liver toxicity. The benefit derived from adjuvant treatment (chemotherapy alone or in association with target agents) in patients that received complete resection of liver metastasis after conversion therapy is still unclear.

### **Locoregional intra-arterial therapies**

In addition to the systemic agents described above, the option of locoregional chemotherapy, delivered intra-arterially by a variety of means also exists. The following section describes current knowledge of hepatic arterial infusion (HAI) chemotherapy, and trans arterial delivery of irinotecan coated beads (DEBIRI).

**Hepatic arterial infusion chemotherapy:** The underlying biological rationale for considering hepatic arterial infusion chemotherapy is based on the fact that the blood supply to colorectal liver metastases is predominantly arterial, and that such infusion provides favourable pharmacodynamics allowing high intrahepatic and low systemic concentrations of drugs<sup>[177]</sup>. The potential role of hepatic arterial chemotherapy, *via* surgically or percutaneously placed catheters<sup>[178]</sup>, has been studied in varying contexts, including patients with unresectable colorectal liver metastases, but also in downsizing and adjuvant scenarios.

In the unresectable CRLM context, although initial reports from randomised trials of

HAI<sup>[179]</sup> suggested survival benefit, the modest increase in survival was not widely been felt to justify the quality of life cost brought about by the considerable toxicity associated with Floxouridine. However, further studies with newer agents including Oxaliplatin HAI, 5FU/leucovorin intravenously (IV)<sup>[180]</sup>, Oxaliplatin + Irinotecan + 5FU HAI + cetuximab IV<sup>[181]</sup> in first or second line settings reported median overall survival of 25 to 27 mo, with conversion to operability in 29% and 37% survival at 4 years for those who underwent resection. Thus, although the place of HAI remains uncertain in the first line setting, these results could form the justification for a randomised trial of HAI *vs* conventional systemic chemotherapy in second line treatment.

In the adjuvant setting one non randomised report<sup>[182]</sup> studying 2368 consecutive patients after complete resection of CLM suggest a potential significant benefit in OS for patients receiving HAI with significantly improved median OS 67 mo *vs* 47 mo without HAI ( $P = 0.001$ ) and 10-year survival (38.0% *vs* 23.8% without HAI). In terms of randomised data, although one randomized trial demonstrated increased disease-free survival with systemic chemotherapy (5-FU) plus HAI compared to systemic chemotherapy alone (37.4 *vs* 17.2 mo,  $P < 0.01$ )<sup>[183]</sup>, a meta-analysis did not demonstrate an improved OS<sup>[184]</sup>.

In summary, HAI has progressed a great deal since the early reports associated with prohibitive toxicity, and with improvements in catheter placement options. Non-randomised results suggest a potential benefit, although this needs confirmation in carefully designed trials, some of which are in progress<sup>[177,185]</sup>.

**DEBIRI:** DEBIRI consists of trans arterial delivery of irinotecan coated beads, theoretically allowing slow drug delivery for prolonged antineoplastic effect.

The mechanism of action of DEBIRI<sup>[186]</sup> presents a paradox in that intra-arterial delivery implies a regional effect of the drug, although irinotecan is a prodrug that requires activation in healthy liver parenchyma to its active Topo-isomerase 1 inhibiting metabolite. Animal models suggest that although much lower overall doses are given in DEBIRI, drug levels at 24 h are higher in tumour and lower in serum than with either intra-arterial or intravenous administration. Further animal model studies suggest that beads cause ischaemic embolization in the predominantly arterial vascularity of tumours. Although beads alone have little tumour burden reducing effect, there is a dose response to DEBIRI beads suggesting that ischaemia and the drug act in concert. This is perhaps as a result of ischaemia induced acid pH, at which the active form of irinotecan is much more effective, and thus perhaps explaining its sparing of neighbouring liver parenchyma where ischaemia is less marked owing to the predominant portal circulation.

The clinical experience of DEBIRI was reviewed by Akinwande *et al*<sup>[187]</sup> in a systematic review including 11 single arm retrospective and prospective phase studies and two prospective randomized control trials involving 850 patients. Overall toxicity rates were reported at 35% with 10% high grade toxicity, and 2 possible treatment related deaths (0.2%). Overall response rate was 56%, in spite of the fact that patients referred for DEBIRI typically had undergone at least 2 prior lines of chemotherapy. Progression free survival and overall survival was 8.1 mo and 16.8 mo, respectively, comparing favourably with comparable cohorts.

Two randomised trials have examined DEBIRI *vs* conventional chemotherapy. Martin *et al*<sup>[188]</sup> compared FOLFOX and bevacizumab to FOLFOX, bevacizumab + DEBIRI (FOLFOX - DEBIRI), and found that the DEBIRI patients had significantly better overall response, and improved median progression-free survival (15.3 mo *vs* 7.6 mo). Fiorentini *et al*<sup>[189]</sup> compared DEBIRI with systemic FOLFIRI, and found that the DEBIRI group had significantly improved OS (OS median 22 and 15 mo respectively,  $P = 0.031$ ), PFS [median 7 *vs* 4 mo ( $P = 0.006$ )], although the study was criticized for the absence of *Cetuximab* in the FOLFIRI arm.

In summary, DEBIRI has been shown to be safe in the treatment of colorectal liver metastases and to have promising response rates in the setting of patients who have been exposed to multiple prior lines of chemotherapy, with some early randomised evidence of favourable results in comparison to systemic chemotherapy. Its ideal role, in terms of patient group and optimal context, remains to be determined by future trials.

### **Radiation based therapies for unresectable CRLM**

In addition to chemotherapy in all its forms, unresectable CRLM may be treated by radiation either by selective internal radiotherapy (SIRT) or stereotactic body radiotherapy (SBRT).

**Selective internal radiation therapy:** The blood supply of metastatic liver tumours is

predominantly arterial, in contrast to that of hepatocytes which is mostly portal venous<sup>[190,191]</sup>. This, together with significant arterial neovascularisation in the tumour bed<sup>[192]</sup>, provides the physiological underpinning of SIRT, which achieves tumour destruction by delivery of radioactive microspheres *via* its arterial supply. Yttrium-90, which undergoes beta decay, is the most commonly used radionuclide used to label microspheres, on account of favourable penetration characteristics: Mean and maximal penetration are 2.5 and 10 mm respectively, thus delivering maximal irradiation to the tumour whilst sparing surrounding parenchyma<sup>[193]</sup>. Currently glass and resin-based versions of the sphere are commercially available. A newer sphere which employs Holmium-166 rather than Yttrium-90 is also available and being evaluated<sup>[194]</sup>.

In the context of colorectal liver metastases, interest in SIRT originated from studies done in patients with unresectable liver or liver dominant metastases who had proved refractory to conventional chemotherapy. These studies suggested response to SIRT in the face of prior chemo refractory status<sup>[195,196]</sup>, and in some reports, significantly improved OS in patients who responded to SIRT<sup>[197-199]</sup>.

On the basis of the above and other studies, 3 randomised prospective trials<sup>[200-202]</sup> were carried out to investigate the potential role of SIRT by comparing FOLFOX + SIRT *vs* FOLFOX alone as first-line treatment for mCRC with liver-only or liver-predominant metastases. The combined results of the 3 trials were reported by Wasan *et al*<sup>[203]</sup>. The overall findings were that there was no OS survival benefit to the addition of SIRT to FOLFOX, but that progression within the liver within the first 12 mo of follow-up was significantly lower in the SIRT group.

It was concluded that given the absence of OS survival, SIRT could not be recommended as first line treatment for mCRC with liver-only or liver-predominant metastases, but that its role in other contexts required investigation. In this perspective Gibbs *et al*<sup>[204]</sup> reviewed the outcomes of the FOXFIRE trials with respect to primary tumour sidedness and found that the median OS for patients with right-sided primaries was significantly higher for patients in the SIRT arm compared to the control group, and that left sided primary tumour patients did not benefit from SIRT.

In summary, the current role of SIRT is evolving and will doubtless be further refined as the results of new trials become available. In the United Kingdom, based on a review of current evidence<sup>[205]</sup>, SIRT is commissioned for use in patients with unresectable or ablatable colorectal liver metastases who have progressed or are refractory to both oxaliplatin-based and irinotecan-based chemotherapy, with five or fewer liver tumours, a percentage tumour to liver volume of  $\leq 25\%$ , and World Health Organisation (WHO) performance status 0-1<sup>[206]</sup>.

**Stereotactic body radiation therapy for colorectal liver metastases:** The results of studies suggesting benefit to local ablative therapies such as RFA<sup>[207]</sup> in the treatment of colorectal liver metastases has prompted investigation of whether similar benefits could be achieved by radiotherapy. Stereotactic body radiation therapy offers an alternative approach to the treatment of liver metastasis by precise targeted delivery of radiation. The potential benefits would be the use of a non-invasive technique, without need for general anaesthetic, and perhaps an opportunity of overcoming the limitations of ablation such as tumour size restriction, and problems such as heat sink effects in tumours situated near vascular structures.

In a systematic review, Petrelli *et al*<sup>[208]</sup> analysed the results of a total of 18 studies, encompassing 656 patients, with colorectal liver metastases, numbering 1-2 lesions in most cases, with a size range of 0.7-11.6 cm in size, the majority having received systemic chemotherapy, with a median follow up of two years.

The pooled one and two-year OS were 67.18% and 56.5% respectively, and median PFS and OS were 11.5 and 31.5 mo. The pooled one-year and two-year local control was 67% and 59.3%. In terms of liver related toxicity, pooled grade 1-2 and grade 3-4 liver toxicity<sup>[209]</sup> were 30.7% and 8.7%, with mild nausea and fatigue reported as other toxicities. There were 4 cases of liver failure (0.6%), and three treatment related deaths (0.004%).

The optimal irradiation dose is likely to be multifactor dependant, but reports suggest improved local control rates after increasing biological equivalent dose, with local control rates of 90% in patients exposed to higher biologically effective dose<sup>[210,211]</sup>, with dose response relation confirmed in a pooled analysis<sup>[212]</sup>. In terms of lesion size limits, although early reports correlate large tumour size ( $> 3$  cm) with poorer rates of local control<sup>[213]</sup>, more recent studies report local control in tumours 3-6 cm as equivalent to that achieved with tumours less than 3 cm by use of higher irradiation doses<sup>[214]</sup>.

The interpretation of data relating to the effectiveness of SBRT in the treatment of

colorectal liver metastases is difficult for a number of reasons: Firstly the studies are subject to case selection bias, and markedly heterogeneous in terms of population and techniques: The study populations vary in age and performance status, number and size of metastases, median follow-up, subsequent chemotherapy delivery, SBRT techniques, and fractionation. Secondly, the absence of randomised trials makes it difficult to assess the hypothesised additional benefit that SBRT may bring to optimal chemotherapy and existing ablation methods.

In this regard, there is a difficult problem with recruitment to such trials, with 2 examples of such studies (the French OLIVER trial (NCT03296839) investigating chemotherapy +/- SBRT<sup>[215]</sup>, and the Dutch RAS01 trial (NCT01233544)<sup>[216]</sup> comparing systemic chemo + RFA or SBRT) both closed with insufficient recruitment. Undoubtedly part of the problem with recruitment in such areas is the fact that both patients and clinicians may not perceive equipoise. Furthermore, different techniques are often complementary rather than in competition, such that their indication for use may be subtly but importantly different. For example, a tumour adjacent to a large vein may not be appropriate for ablation because of heat sink effect, but potentially a good indication for SBRT.

In summary, the results of SBRT in terms of local control and overall survival are hard to ignore, especially as they are achieved in the context of patients who have exhausted other treatment options. Although formal comparisons with other treatments will be difficult to carry out, ongoing studies to define SBRT technique such as irradiation dose and fractionation will likely deliver ongoing improvements in outcomes and help to define the niche for SBRT in the armamentarium for treatment of colorectal liver metastases.

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## SECTION 4: SURGICAL MANAGEMENT OF RESECTABLE COLORECTAL LIVER METASTASES

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### **Introduction**

The success of liver resection for CRLM in achieving long term survival has driven the investigation of numerous techniques to increase resection rates. In defining 'resectability', there is distinction to be made between what is technically feasible, and what is oncologically sensible. In this regard, clinical, biochemical and histopathological factors<sup>[79-82]</sup> and risk scores such as the Fong score<sup>[24]</sup> (see section 2) have provided some direction in decision making. From the sole perspective of technicality however, CRLM may be thought of as resectable provided that clear margins are achieved, and that the Future Liver Remnant (FLR) is of sufficient size, with adequate arterial supply, portal venous supply, hepatic venous drainage, and biliary outflow. The techniques used to increase resectability include downsizing chemotherapy (discussed in section 3), portal vein embolization (PVE), Associating Liver Partition and Portal vein Ligation for Staged hepatectomy (ALPPS), and the use of ablation technology. Surgery may be carried out laparoscopically or open, and in selected patients prior to or synchronously with resection of the primary CRC. These considerations are discussed in more detail in this section.

### **Liver resection for CRLM: General considerations**

**Biopsy of CRLM:** Biopsy of suspected CRLM should be avoided. The problem of needle track seeding with malignant cells following biopsy of malignant liver lesions is well documented in the context of HCC<sup>[217]</sup>. In terms of this risk in biopsy of CRLM, Rodgers *et al.*<sup>[218]</sup> reported that out of 43 patients who had undergone CRLM biopsy, 7 (16%) developed needle track seeding<sup>[218]</sup>. In a similar study Ohlson *et al.*<sup>[219]</sup> reported a needle track seeding rate in 5 (10%) of 51 biopsied patients. Jones *et al.*<sup>[220]</sup> reported a 19% rate of needle track seeding and found that following resection of CRLM, biopsied patients had a significantly lower 4 year survival, with biopsy being identified as an independent predictor of poor survival in regression analysis. These findings, taken together with the low percentage (< 2%) of benign lesions resected unnecessarily following incorrect radiological diagnosis of a CRLM argue strongly against pre-operative biopsy of CRLM<sup>[221]</sup>.

**Anatomical vs non-anatomical resections:** In a systematic review of 2505 patients included in 12 studies, Moris *et al.*<sup>[222]</sup> found that there was no difference between anatomical and non-anatomical (parenchymal sparing) hepatectomy in terms of peri-operative and long term oncological criteria, thus arguing in favour of a parenchymal sparing approach whenever appropriate.

**Resection margins:** There is consensus that positive margins after resection of CRLM remains a negative prognostic factor<sup>[223]</sup>. Although historical practice suggested a liver resection margin of 1cm in resection of CRLM, a Propensity Score Case-Match study from Hamady *et al*<sup>[224]</sup> showed that 1 mm cancer-free resection margin achieved 33% 5-year overall disease-free survival, and that additional margin width did not add disease-free survival advantage. Moreover, De Haas *et al*<sup>[225]</sup> reported that although patients with involved (R1) margins experienced more recurrences, the contraindication of R1 resection should be revisited in the current era of effective chemotherapy because survival was similar, in their study, to that of R0 resection. Thus, although R0 resection is doubtless preferable, the necessity of R1 resection for lesions near structures that cannot be sacrificed, or for preservation of liver parenchyma, may be accepted in selected patients.

**Extra-hepatic disease:** Whilst a full review of resection of extra-hepatic disease is beyond the scope of this review, there is consensus in favour of proceeding with liver resection of CRLM in particular scenarios<sup>[226,227]</sup>.

Positive retroperitoneal or coeliac lymphadenopathy is still an absolute contraindication to liver resection, but hepatectomy may be carried out in selected patients with hepato-duodenal ligament lymphadenopathy, albeit with less good 5 year survival than for patients without hilar lymphadenopathy<sup>[228]</sup>.

Although studies relating to resection of pulmonary resection should be interpreted with caution, because of significant patient selection bias, a Liver Met Survey registry study reported that selected patients who had resection of liver and lung metastases had similar overall survival to those who had undergone removal of isolated liver metastases<sup>[229]</sup>.

In terms of peritoneal disease, current studies suggest that in selected patients, cytoreductive surgery in combination with chemotherapy is associated with better survival than with chemotherapy alone, but there is controversy regarding the benefit of hyperthermic intraperitoneal chemotherapy over systemic chemotherapy<sup>[230]</sup>.

**Laparoscopic and robotic liver resection:** Laparoscopic liver surgery has increased rapidly over the last decade with reports of minor and major liver resections<sup>[231,232]</sup>, ALPPS<sup>[233]</sup> and both paediatric<sup>[234]</sup> and adult<sup>[235]</sup> live donor liver donation.

The international consensus conference on laparoscopic liver resection<sup>[236]</sup> established a range of recommendations and guidelines with an imperative that the innovators in this field deliver high quality evidence to validate its introduction into standard practice, and randomised clinical trials comparing laparoscopic and open liver resection followed as a result<sup>[237,238]</sup>. The ORANGE II trial<sup>[239]</sup> closed prematurely after failing to recruit. The OSLO COMET trial<sup>[237]</sup> compared laparoscopic with open parenchymal sparing liver resection for minor liver resections in 280 patients. The trial demonstrated a significant reduction in 30 d complications with the laparoscopic approach and a shorter hospital stay of 3 compared to 4 d. There was no difference in resection margin status or overall survival between groups. The significantly increased initial operative costs of the laparoscopic approach were offset by the shorter stays in recovery and hospital stay resulting in no overall difference between the two groups.

Thus the evidence from OSLO COMET trial, case series and cohort studies suggest that laparoscopic liver surgery is not inferior to open liver resection in terms of operative mortality, margin negativity and overall survival for both minor and major resections. Furthermore, there may be benefits in terms of reduced length of stay, reduced post-operative pain, and a reduction in the need for blood transfusion. At this time there remains a significant heterogeneity in adoption of not only laparoscopic but also robotic<sup>[239]</sup> liver surgery and it is appropriate that these evolving techniques should be performed in high volume centres with expertise in advanced minimally invasive procedures<sup>[240]</sup>.

### **Liver function and volume assessment**

Liver failure after resection has mortality of up to 80%<sup>[241]</sup>, and hence there is much interest in the assessment of liver function, in particular the prediction of function in the future remnant liver (FRL), with a view to maximising safety following liver resection.

Although global clinical liver function assessment systems exist, such as the Childs Pugh score for assessment of liver function in the presence of chronic liver disease, and the MELD score for risk stratification of patients with end-stage liver disease awaiting transplantation, neither the Childs Pugh score<sup>[242]</sup> or MELD score<sup>[243]</sup> have proved useful in the context of liver resection in patients without underlying liver disease. Moreover, these scoring systems apply to the whole liver and cannot be used to predict function

of a defined part of the liver such as the FRL.

Modern imaging software allows the accurate calculation of volumes of defined parts of the liver, such that the volume of the FRL may be assessed either as an absolute value or as a fraction of the whole liver. Whilst volume alone may be helpful in patients with completely healthy liver, in which case a minimum FRL of 25% has been advocated, in cases where liver parenchyma is suboptimal volume may not correlate with function<sup>[244,245]</sup>, particularly in patients with steatosis, chemotherapy associated liver injury, or after PVE or ALPS. For those on the limit of threshold, decision making is difficult, and thus the shortcoming of purely volumetric assessments has prompted the investigation of dynamic liver function tests, which are discussed below.

**Indocyanine Green:** Indocyanine Green (ICG) is a tricarboyanine dye that binds to albumin and is distributed evenly in the blood within minutes of intravenous injection. ICG is taken up by the liver and is excreted in bile without conjugation<sup>[246]</sup>.

Whilst having some value in predicting post op liver failure an death in the context of HCC resection in cirrhotic patients<sup>[247]</sup>, this was not the case in resection of colorectal liver metastases in chemotherapy affected livers<sup>[248]</sup>. Moreover, ICG clearance provides a global assessment of liver function and does not offer the possibility of assessing parts of the liver, in particular the future remnant liver left in situ after a resection. Although calculating fractional ICG excretion has been reported<sup>[249]</sup> this assumes homogenous liver function, and in this regard, Hepato-biliary scintigraphy offers potential opportunities.

**Hepatobiliary scintigraphy:** Hepato-biliary scintigraphy (HBS) uses a gamma camera detection system in combination with cross-sectional imaging to quantitatively assess hepatic processing of a labelled molecule, both globally and/ or regionally in the liver, thus allowing future remnant liver functional assessment. Two main labelled molecules, Galactosyl human Serum Albumin and iminodiacetic acid (IDA) derivatives have been reported on most widely. (1) Technetium-99 m galactosyl human serum albumin scintigraphy: Galactosyl human Serum Albumin is exclusively taken up in the liver by an active transport mechanism on the sinusoidal surface of hepatocytes, and is thereafter degraded in lysosomes without biliary excretion, thus offering the advantage of not being affected by high bilirubin concentrations. Its use has been developed significantly in Japan where it is reported as a useful technique in the prediction of post liver resection liver failure<sup>[250]</sup>, but little used outside Japan owing to availability; (2) Hepatobiliary scintigraphy using IDA derivatives: Technitium labelled IDA derivatives, of which Mebrofenin is the most effective because of its high hepatic specificity and low competitive displacement by bilirubin, are taken up in the liver and then excreted into bile by active transport mechanisms. Protocols reviewed by Rassam *et al*<sup>[251]</sup> allow the calculation of hepatic extraction of Tc99 Mebrofenin as a percentage of total dose per minute, adjusted for body surface area. Single-photon emission CT-computed tomography (SPECT-CT) is combined with the extraction data to provide values for total liver or future remnant liver. Early studies determined that pre-operative values calculated for future remnant liver function correlated well with actual future remnant function measured post operative<sup>[244]</sup>, thus suggesting the technique as a valuable pre-operative function assessment of the FLR; (3) Use in predicting post hepatectomy liver failure: Dinant *et al*<sup>[245]</sup> studied 46 patients with mixed tumour histology requiring liver resection, with and without underlying liver parenchymal disease. Patients with uptake above 2.5%/min/m<sup>2</sup> had a 3% chance of liver failure in comparison to those with uptake below 2.5%/min/m<sup>2</sup> who had a 56% chance of liver failure. Moreover, patients with uptake above 2.2%/min/m<sup>2</sup> had a 3% chance of mortality whilst those with uptake below 2.2%/min/m<sup>2</sup> had a 50% chance of liver failure. The volume of the future remnant was not significantly associated with any of the outcome parameters. Similarly, in a review of 55 high-risk patients undergoing major liver resection, de Graaf *et al*<sup>[252]</sup> identified patients who developed postoperative liver failure. Thus, patients with values above and below 2.69%/min/m<sup>2</sup> had 2.4% and 57% chance of developing liver failure respectively. Likewise, Chappelle *et al*<sup>[253]</sup> studied 88 patients undergoing liver resection and found that post op liver failure was strongly associated with FRL- F but not future remnant volume, and that no liver failure mortality was observed in patients with FRL-F of above 2.3%/min/m<sup>2</sup>; and (4) Tc 99 Mebrofenin use in post PVE situation and ALPPS: Cieslak *et al*<sup>[254]</sup> studied 163 patients undergoing liver resection whose need for PVE was based on FRL-F by Tc99Mebrofenin extraction, with a cut off value of 2.7%/min/m<sup>2</sup>. The authors noted that 8/29 patients required PVE based on low HBS values in spite of satisfactory volume assessments, thus suggesting

that HBS may have prevented post op liver failure in those patients. Similarly, Chapelle *et al*<sup>[255]</sup> used a cut off value of 2.3%/min/m<sup>2</sup> as cut off for proceeding to PVE and found a lower incidence of post op liver failure than observed in a historical control group. Cieslak *et al*<sup>[256]</sup> identified Mebrofenin hepato-biliary scintigraphy parameters which identified non response to PVE at an earlier stage than conventional volume assessment 6 weeks post PVE, thus potentially allowing early selection of patients who may require ALPS. A significant concern with ALPS is the incidence of post op liver failure after the second stage, raising the impression that liver volume does not correlate well with function in the post ALPS setting, perhaps due to functional immaturity of rapidly proliferating hepatocytes. Supporting this notion, in the second stage of ALPS, Olthof *et al*<sup>[257]</sup> found that liver volume growth was out of proportion with the increase in function as assessed by HBS, and suggest the use of HBS FLR assessment in this setting rather than just volume. In conclusion, in the context of liver resection for colorectal liver metastases, assessment of the FLR is crucially important to avoid PHLF. Increasing evidence supports the role of hepato-biliary scintigraphy, as a technique which offer a specific functional assessment applicable to defined regions of the liver. Further confirmation and definition of the potential should be forthcoming with the results of a large multicentre prospective trial<sup>[258]</sup>.

### **Downsizing chemotherapy for conversion of initially inoperable CRLM**

The role of downsizing chemotherapy for initially unresectable colorectal liver metastases (discussed in more detail in section 3) is well established, with a systematic review by Lam *et al*<sup>[170]</sup> and others<sup>[259]</sup> reporting a response rate of 64%, with 22.5% of patients converted to curative liver resection overall.

The paradox of this chemotherapeutic success is the phenomenon of the disappearing metastasis, which presents a problem for the surgical team.

**Disappearing metastasis:** Radiologically disappearing metastasis reported with frequencies ranging from 6%<sup>[260]</sup>, 24%<sup>[261]</sup>, and up to 37%<sup>[262]</sup>, Perhaps reflecting differences in imaging practice between centres and also different chemotherapy regimens. The percentage of patients in whom all CLM disappear radiologically is low (0%-6%).

Metastasis disappearance is usually a radiological phenomenon rather than a biological one: In a systematic review of 11 studies describing disappearing colorectal live metastases, it was found that in 65% of cases of “disappeared metastasis”, a lesion was found at laparotomy. Moreover, of the 35% of lesions not found at laparotomy and therefore not resected, 80% regrew, at site of radiologically disappeared metastasis<sup>[263]</sup>. Furthermore, there is not a good correlation with complete radiological response and complete pathological response: In Adam *et al*<sup>[264]</sup> study, complete pathological response was seen in 4% of patients undergoing liver resection for CLM, but none of these had complete radiological response.

Thus in terms of management of the disappearing liver metastasis the guiding principle is that viable tumour is present at the lesion site in the vast majority of cases, and therefore resecting the target lesion remains the objective. This may be achieved by resecting remnant lesions found at laparotomy visually, by palpation or intra-operative ultrasound. For lesions which are undetectable at laparotomy, a “territorial” resection, encompassing the lesion by reference to fixed landmarks, is sometimes possible. The use of 3D augmented reality imaging software may help in this regard in the future<sup>[265]</sup>.

Some groups have investigated the pre-operative marking of CRLM with Fiducia labels. In a study from Kepenekian *et al*<sup>[266]</sup> 76 metastases were marked of which 23 disappeared with preoperative chemotherapy. Four complications were associated with marking: Two intrahepatic haematomas, one fiducial migration and one misplacement. After a median follow-up of 47.7 mo, no needle-track seeding was noted. Four disappearing CRLM were resected, with two local recurrences, and other missing lesions were treated with thermoablation. Thus Fiducia label placement presents an option in the management of disappearing CRLM, although concerns regarding selection of which CRLM to mark, procedural complications, and needle track seeding persist.

In the absence of the above strategies, close surveillance of the target area is the default. In future, such lesions may be targeted by image guided stereo-tactic ablation of the disappeared metastasis site.

### Portal vein embolization

Portal vein embolization has been credited to various authors<sup>[267-269]</sup>, but most notably to Makuuchi *et al*<sup>[270]</sup> and Kinoshita *et al*<sup>[271]</sup> both of whom reported the use of pre-operative PVE to induce hypertrophy prior to liver resection in the 1980s, on the background of prior reports of portal ligation as part of two-stage extended hepatectomies<sup>[268]</sup>. PVE embolization causes atrophy of the ipsilateral liver segments and a compensatory hypertrophy of the FRL. Assessment of the adequacy of hypertrophy of the FRL remains challenging. Functional liver assessment is well established within Japanese centres<sup>[269]</sup> but morphological changes in liver volume using CT volumetry as an assessment of hypertrophy remains the mainstay of assessment in many units. When performed, function assessment has traditionally been assessed using indocyanine green clearance however, more recently <sup>99</sup>Tc-labelled Mebofenin Hepatobiliary scintigraphy and <sup>99</sup>Tc-galactosyl-human serum albumin scintigraphy have been introduced as discussed above.

A systematic review of PVE reported a major complication rate resulting in non-resectability of 0.4% and a mortality rate of 0.1% however, complications in the published literature are likely under reported. Moreover, detailed descriptions of reasons for failure to progress to curative liver resection are frequently lacking in published literature. A systematic review of published cohort series reports an overall failure to proceed to curative liver resection following PVE of 18.7%. The majority of these failures to proceed were due to progression of liver disease (14.2%) and failure to induce sufficient hypertrophy of the FRL (2.8%). The mean time between PVE and liver resection was 36.9 d<sup>[268]</sup>.

The borderline resectability of tumours that necessitate PVE to enable curative resection, combined with concerns regarding the effect of the changes to the liver parenchymal metabolism, gene expression and the microenvironment on tumour growth post-PVE have led some authors to examine the use of chemotherapy during the interval between PVE and resection in an effort to control tumour growth. Cohort series have suggested that continuation of chemotherapy during the interval between PVE and resection does not change hypertrophy of the FLR<sup>[272-274]</sup>. Some cohort studies have examined the different responses of metastatic disease to neoadjuvant chemotherapy and used this to stratify patients into “slow” and “fast” responders<sup>[273,275]</sup>. A cohort series has demonstrated subsequent discordant tumour behaviour following PVE between these groups with “slow” responders more likely to demonstrate progression of tumour growth with an accompanying increased risk of failing to progress to curative liver resection<sup>[273]</sup>.

PVE remains an important tool in the armamentarium for management of patients with otherwise unresectable colorectal liver metastases where the FLR would otherwise be insufficient following resection. Despite promising reports from cohort studies, the published literature remains incomplete and frequently lacks detailed descriptions of complications or technical or clinical failure. Moreover, in the most recent systematic review colorectal metastasis comprised 39.6% of the patients and this heterogeneity limits translation of findings to clinical practice<sup>[268]</sup>.

### Two-staged hepatectomy

The concept of the “two-staged hepatectomy” was introduced by Adam *et al*<sup>[276]</sup>, as a technique that could be applied to approximately 4% of patients with conventionally irresectable metastases to make them eligible for liver resection with curative intent. This approach involved a combination of systemic chemotherapy to downstage tumours, with or without PVE, with subsequent planned staged operations that permitted curative resection of large tumour burden that would otherwise have been considered unresectable. The interval between operations enabled hypertrophy of the remnant liver to theoretically reduce the chance of liver insufficiency and patients would receive chemotherapy during the interval between operations in an effort to control tumour growth. The reported results from this small early cohort demonstrated a similar risk of failure to proceed second stage operation when compared to PVE, of 19% (3/16). 54% (7/13) developed recurrent disease after completion of the second stage and the median survival was 31 mo from the second hepatectomy<sup>[276]</sup>. In current practice, the term, “two-staged hepatectomy” as reported by Adam *et al*<sup>[276]</sup> is used less and considered as part of the multimodal approach which has become a mainstay of current practice.

### Associating liver partition and portal vein ligation for staged hepatectomy

The development of ALPPS was the result of an unplanned intraoperative decision by Dr Schlitt from Regensburg, Germany. Motivated by a concern for inadequate FLR

during a planned extended right hemihepatectomy, a decision was made to perform a hepaticojejunostomy on to the left hepatic duct. In order to do so, liver parenchyma along the falciform ligament was divided, thus devascularising segment IV, and the right portal vein was ligated with the hope of causing hypertrophy of the remnant segments II and III. Post-operatively, rapid hypertrophy was observed within 8 d and resection of the in situ diseased hemiliver was completed<sup>[277]</sup>.

The combination of portal vein ligation, inflammatory injury and the absence of cross portal circulation due to the parenchymal transection has been proposed as the mechanism for the observed more rapid hypertrophy compared to PVE alone.

Despite the enthusiasm for this novel technique, the first case series reported a 12% mortality and significant morbidity<sup>[278]</sup>. This was in excess of the mortality and morbidity of standard practice with a PVE and two staged approach. The rapid introduction of ALPPS to surgical practice with limited scientific rigor has been heavily criticised<sup>[278]</sup>, leading to attempts to rationalise its use<sup>[278,279]</sup>. The LIGRO trial was a randomised control trial comparing ALPPS with two staged hepatectomy with PVE<sup>[280]</sup>. This demonstrated a significant increase in the primary endpoint of resection rates (92% *vs* 57%) with ALPPS without a significant increase in 30 or 90d mortality between groups. The rate of inadequate hypertrophy in the two stage hepatectomy group was higher in the trial than that reported in cohort series and salvage ALPPS was performed in 24%, however, 90d mortality in both groups remained high (TSH 6.1% *vs* ALPPS 8.3%)<sup>[280]</sup>.

Advocates for ALPPS suggest that the rate of completion of the second stage is higher with ALPPS compared to the more established two stage approach with PVE. However, this is likely at the expense of a higher peri-operative mortality<sup>[281]</sup>. More recent case series have suggested that with modifications to the original technique such as; prolonging the interval between operations, performing a more limited or laparoscopic parenchymal transection<sup>[282]</sup>, and the use of the ALPPS risk score<sup>[283]</sup> the peri-operative mortality can be substantially reduced<sup>[284]</sup>.

Opponents highlight that this remains an experimental, unproven technique that carries a mortality considerably in excess of the 1%-2% mortality observed in high volume units for liver resections following PVE<sup>[278]</sup> and therefore it should be reserved for highly selected cases such as those considered to be high risk of tumour escape with PVE or as a salvage technique where PVE has failed to produce sufficient FLR hypertrophy. The exact role of ALPPS in the surgical armamentarium remains a matter of debate<sup>[284]</sup>.

### **Ablation techniques for CRLM**

The observation of long term survival after resection of colorectal liver metastases, and evidence suggesting that locoregional resection is oncologically equivalent to major anatomical resection<sup>[222]</sup> has prompted interest in minimally invasive ablative techniques which might achieve similar results to non-anatomical resection with less morbidity. Radiofrequency ablation and microwave ablation (MWA) have been investigated in the context of a variety of liver tumours including colorectal liver metastases.

**Radiofrequency ablation:** RFA delivers alternating electrical current to cause ionic agitation, with the resulting heat generation causing denaturation and coagulation of the targeted tissue<sup>[285]</sup>.

The benefit of radiofrequency ablation over systemic chemotherapy alone was suggested by the European Organisation for Research and Treatment of Cancer 40004 CLOCC trial (ClinicalTrials.gov, No. NCT00043004) comparing systemic chemotherapy alone to chemotherapy combined with RFA +/- resection for patients with inoperable CRLM, which showed a significantly improved progression-free survival for patients treated with RFA in the initial analysis<sup>[286]</sup> and at 9.7 years of median follow up<sup>[207]</sup>.

Whilst this randomised trial provides grounds for a genuine benefit of RFA over chemotherapy alone, comparing the effectiveness of RFA to that of liver resection is difficult, since RFA for CRLM is currently often used in situations where liver resection is not deemed appropriate as a result of unfavourable disease factors or patient comorbidities. In this context, the absence of randomised data makes comparisons of RFA to liver resection subject to a major confounder with an adverse bias against RFA.

Meta-analyses have nevertheless assessed the efficacy of RFA in comparison to liver resection.

In their 2012 meta-analysis, Weng *et al*<sup>[287]</sup> acknowledged the confounding factors above, but reported that liver resection was significantly superior to RFA in 3 and 5

year overall and disease free survival. Postoperative morbidity was higher in liver resection, but no significant difference was found in mortality between liver resection and RFA. In a subsequent meta-analysis, Van Amerongen *et al*<sup>[288]</sup> reported similar findings. In the most recent systematic review of 18 studies and 2667 patients<sup>[289]</sup>. Kron *et al*<sup>[289]</sup> reported that in 8/18 studies liver resection patients had significantly higher overall survival and disease-free survival, as well as lower local recurrence (LR) rates than RFA treated patients.

Based on HCC results where outcomes for lesions less than 5 cm were oncologically equivalent to resection, and achieved with less morbidity<sup>[290]</sup>, it was hypothesised that RFA may have a particular role in the treatment of small colorectal liver metastases. Berber *et al*<sup>[291]</sup> reported that tumor size (> 3 cm), ablation margin, and proximity to hepatic vessels > 4 mm were found to be independent predictors of LR local recurrence after RFA. Hur *et al*<sup>[292]</sup> and Ko *et al*<sup>[293]</sup> reported similar findings and suggested that for colorectal liver metastases < 3 cm, resection and RFA had similar oncological and local recurrence outcome, but that RFA was less morbid.

However, in contrast to these studies, subgroup analysis from the systemic reviews above does not support idea that CLRM < 3 cm allows results equivalent to resection: Weng *et al*<sup>[287]</sup> showed poorer OS for lesions < 3 cm treated with RFA compared to resection. In Van Amerongen's *et al*<sup>[288]</sup> study, subgroup analysis looking exclusively at solitary lesions and lesions of less than 3 cm found that in both cases, there was a significantly higher rate of local recurrence in the RFA group (solitary lesions OR = 7.68,  $P = 0.001$ , and lesions < 3 cm, OR = 8.75,  $P = 0.001$ ). In Kron's *et al*<sup>[289]</sup> systematic review, 4 studies provided evidence comparing RFA to resection for lesions < 3 cm. Two of the four studies reported worse OS and higher local recurrence for RFA than liver resection<sup>[294,295]</sup>, but the other 2 studies<sup>[292,293]</sup> found no OS or LR difference between RFA and liver resection.

Thus, the literature provides conflicting results, raising the question of whether other factors within the group of patients with solitary lesions < 3 cm may account for these differing conclusions, including technical and operator factors. In addition, historical case series data may not reflect modifications and technical advancements in tumour ablation such as better lesion targeting due to the advent of navigation systems and appreciation of the importance of ablation zone validation. For example, there is evidence that open RFA has lower recurrence rates than percutaneous RFA<sup>[296-299]</sup>. In addition, operator learning curve is reported to impact on outcome<sup>[298]</sup>. Also, operator training may be relevant. In their meta-analysis, Kron *et al*<sup>[289]</sup> point out that the clinician carrying out the RFA are surgeons and radiologists in 11% and 33% of studies respectively, with no specified practitioner in 56% of studies, raising another potential confounding factor.

In conclusion, there is randomised evidence showing a benefit for RFA over chemotherapy alone. On the subject of RFA *vs* liver resection, none of the available evidence is randomised, and significantly confounded by patient selection, with patients undergoing RFA typically having adverse disease characteristics and other additional non cancer related comorbidities. In this light, the finding of worse survival outcomes for RFA patients is not surprising, but difficult to interpret. In terms of local recurrence rates, the role of RFA in colorectal liver metastases < 3 cm remains controversial, with conflicting reports. Whilst such controversy may be settled by randomised trials, in practice this may prove difficult to achieve. The LAVA trial<sup>[300]</sup> closed due to insufficient recruitment, perhaps due to the perception of non-equipose on the part of both clinicians and patients. The COLLISION trial<sup>[301]</sup> and HELARC trial (Trial ID NCT02886104)<sup>[302]</sup> are currently in progress.

**Microwave ablation:** MWA produces tissue destruction as a result of heat generated by electromagnetic waves. The theoretical advantages of MWA are faster and greater heat generation than in RFA, penetration through tissues with low conductivity and less heat sink effect<sup>[303]</sup> in instances of tumours near blood vessels.

In terms of the efficacy of MWA in comparison to chemotherapy alone, no randomised studies have been carried out.

In considering MWA *vs* liver resection, a small RCT including a total of 30 patients with multiple metastatic colorectal liver metastases, Shibata *et al*<sup>[304]</sup> randomised patients to liver resection or MWA, and found equivalent results in OS or DFS at 3 years for both treatment modalities.

In terms of comparing of RFA *vs* MWA, Although a metanalysis by Huo *et al*<sup>[305]</sup> found MW ablation and RF ablation had similar 1 and 5-year overall survival, disease-free survival, local recurrence rate, and adverse events overall for a variety of tumour types including mostly HCC, the studies that related specifically to CLRM suggested a lower local recurrence for MWA. Thus Correa *et al*<sup>[306]</sup>, in a matched cohort analysis

showed patients in the MWA group had lower ablation-site recurrence rates (6% vs 20%;  $P < 0.01$ ), and similar results were reported by Liu *et al*<sup>[307]</sup>. However, the evidence is not unanimous, with some studies finding no difference in local recurrence rates between RFA and MWA<sup>[307]</sup>.

Some studies have examined potential differences in tissue effects between MWA and RFA, and have found less heat sink for MWA<sup>[307]</sup> in treating lesions near blood vessels, though more complications<sup>[308]</sup> for peribiliary lesions.

In conclusion, the confounding factors relating to patient selection that make the RFA studies difficult to interpret apply equally to MWA, with the additional fact that there is generally less data for MWA than RFA. No randomised studies comparing MWA to RFA exist, and it may be that the two techniques have complementary rather than competing roles given the suggestion of slightly different tissue consequences in relation to tumours near blood vessels and bile ducts

### **Management of synchronous CRLM**

**Introduction:** The scenario of synchronous operable CRLM presents another dilemma in opening the options of carrying out liver resection prior to, or synchronously with, the primary CRC. The section below discusses the evidence relating to synchronous and liver first surgery and is followed by a section on the various scenarios where these options may be considered.

**Simultaneous liver and colon surgery:** The reported experience of a number of studies analysing the outcome of simultaneous resection of a primary colorectal tumour and liver metastases has allowed some guidance of when this approach is appropriate. In a retrospective multicentre study, Reddy *et al*<sup>[309]</sup> analysed the outcomes of 610 patients who underwent simultaneous ( $n = 135$ ) or staged ( $n = 475$ ) resections. Combined hospital stay was lower after simultaneous resections (median 8.5 vs 14 d,  $P < 0.0001$ ). Mortality and severe morbidity were similar after simultaneous colorectal resection and minor hepatectomy compared with isolated minor hepatectomy. For major hepatectomy (defined as resection of at least three segments) however, simultaneous colorectal resection increased mortality (8.3% vs 1.4%,  $P < 0.05$ ) and severe morbidity (36.1% vs 15.1%,  $P < 0.05$ ). Moreover, combined severe morbidity after staged resections was lower compared to simultaneous resections (36.1% vs 17.6%,  $P = 0.05$ ). Severe morbidity experienced by patients undergoing combined resection included hepatic failure, intestinal anastomotic leaks, fascial dehiscence, intra-abdominal abscesses, isolated and multiple organ failure, aspiration, and pulmonary embolism. Consistent with these conclusions, Jones *et al*<sup>[310]</sup> reported that the rate of major complications was higher in patients undergoing simultaneous resection.

In a single centre retrospective study, De Haas *et al*<sup>[311]</sup> reported significantly worse progression free survival in the simultaneous surgery group, but also noted that the staged surgery group had received significantly more chemotherapy, highlighting the difficulty in comparisons in such studies. Similar interpretation questions were raised in a large population study<sup>[312]</sup> involving 442 and 776 patients undergoing simultaneous and staged resections respectively. The simultaneous resection group had a worse median overall survival, but also had received significantly less chemotherapy.

In a recent meta-analysis involving 32 studies<sup>[313]</sup>, it appeared that the messages from earlier studies relating to avoiding major hepatectomy in the context of simultaneous resections was heeded. In this analysis, the synchronous resection group were found to have a smaller proportion of bilobar disease and underwent less major resections. Consequently, there was no difference between the synchronous and staged resection groups in terms of major morbidity and overall survival.

In conclusion, although interpretation of outcomes is difficult because of patient group heterogeneity, the consistent message from available studies is that simultaneous colon and liver resection can be performed safely in selected patients. Specifically, this excludes liver resections involving 3 or more segments.

**Liver-first surgery:** The concept of carrying out liver-first surgery in the context of synchronous colorectal liver metastases was first reported by Mentha *et al*<sup>[314]</sup>. The scenarios where liver first surgery has been advocated include: (1) Following downsizing of initially unresectable liver metastases with an asymptomatic primary tumour in situ, when it is deemed that there is potentially a limited time window for successful liver resection; (2) In the situation of synchronous operable primary and colorectal liver metastases where the colorectal liver metastases are, by virtue of their size or site, deemed most threatening and may become inoperable during time taken

to complete a primary first treatment plan; and (3) In the specific instance of synchronous rectal cancer and liver metastases, where the significant time interval between irradiation of the primary tumour and its resection (3 mo window after long course irradiation) provides an opportunity for metastases to be resected substantially sooner than would be achieved if waiting till after resection of the primary.

Since Mentha's original report, other studies series have been contributed such as that from Brouquet *et al*<sup>[315]</sup> reporting 156 consecutive patients with synchronous resectable CLM of which 72 patients underwent primary-first surgery, 43 combined, and 27 liver-first strategies, with no difference in morbidity, mortality of long term outcome between the groups.

These studies exemplify the problems of interpretation in this area: The numbers of patients reported on by individual centres are inevitably limited, and the patients are inevitably selected for their most appropriate treatment strategy, thus introducing a selection bias in any comparisons between groups.

Although a number of systematic reviews and meta-analyses have since been written, and thus allowed a greater numbers of patient cases to be studied, the issue of selection bias remains.

Thus, in a report from the Livermet survey, Andres *et al*<sup>[316]</sup> reported in a total of 787 patients including 58 who underwent liver first surgery. The liver first group included more rectal cancer, neoadjuvant rectal radiotherapy, and underwent more chemotherapy, but overall survival and disease-free survival were similar in both groups.

In their systematic review, Jegatheeswaran *et al*<sup>[317]</sup> reported on 4 studies in which patients underwent neoadjuvant chemotherapy first, then liver resection, then resection of the primary tumour. 74% completed the entire treatment protocol. 79% proceeded to liver resection, with disease progression on chemotherapy being the principle reason for not undergoing hepatectomy. In a further systematic review, Lam *et al*<sup>[318]</sup> reported very similar findings and conclusions.

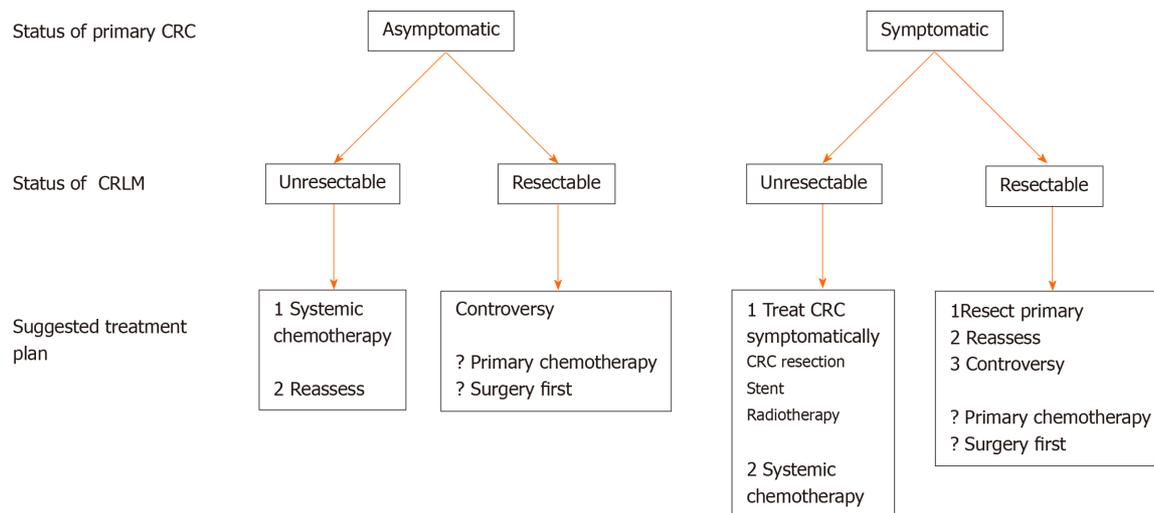
In Network meta-analysis reviews, Kelly *et al*<sup>[319]</sup> and Gavrilidis *et al*<sup>[315]</sup> reviewed 18 studies and 32 studies respectively and found no significant differences in long-term survival and major morbidity were found between the surgical approaches.

In conclusion there are no randomised trials comparing liver-first versus primary-first surgery, and the highly specific nature of individual patient presentation in this context is such that it seems very unlikely that such a trial would be feasible. Nevertheless, in selected patients, the liver first approach results in short- and long-term outcomes that are similar to those achieved when the primary tumour is resected first.

**Synchronous liver metastases management scenarios:** The definition of synchronous has not been uniform in existing studies, with some authors including only metastases diagnosed at the time of or before diagnosis of the primary tumour, whilst other include metastases diagnosed up to 3 or even 6 mo after diagnosis of the primary. Based on prognostic outcomes, the EGOSLIM consensus group suggested a terminology of synchronous liver metastases (detected at or before diagnosis of the primary tumour), Early metachronous metastases (detected within 12 mo after diagnosis or surgery of the primary) and Late metachronous metastases (detected more than 12 mo after diagnosis or surgery of the primary)<sup>[320]</sup>.

One significant aspect of synchronous presentation of primary tumour and liver metastases is the dilemma of which disease site should be treated first, or whether systemic chemotherapy should be the initial treatment. The conventional order of primary resection followed by liver resection, dictated by chronology in the metachronous situation, may not be the most appropriate in synchronous presentation.

In practice, the order of treatment is partly dictated by the constraints of the clinical presentation which may be summarised in **Figure 3** according to primary symptomatology and liver disease resectability. (1) Asymptomatic primary and unequivocally unresectable liver metastases. In this scenario there is consensus to treat with up front chemotherapy, with a range of systemic chemotherapy agents combined with EGFR blockade and anti-angiogenic agents, guided by principles as described in the section on unresectable metachronous liver metastases, with the intention of achieving maximal response, survival, and perhaps in some cases conversion to a resectable scenario for the liver metastases. For those patients who are converted to operability, liver first surgery may be considered over colon first. In the context of downstaged liver metastases, simultaneous liver and colon resection should be perhaps be avoided on the strength of Liver Met Survey data showing 5-year survival



**Figure 3 Management options in synchronous colorectal cancer and colorectal liver metastases, according to presentation criteria.** CRC: Colorectal cancer; CRLM: Colorectal liver metastases.

rates were 42% for liver first approach compared with 33% for colon first surgery and 28% for one-stage surgery<sup>[320]</sup>; (2) Symptomatic primary and unequivocally unresectable liver metastases. In this instance, the objective is to deal with symptoms from the primary, and thereafter offer optimal systemic chemotherapy. However, the differing possible scenarios and lack of evidence leaves much freedom for a pragmatic approach based on diverse clinical circumstances with symptomatology in relation to bleeding, obstruction or perforation. Bleeding may respond to systemic chemotherapy and may be managed by blood transfusion, thus avoiding the need for surgery to the primary tumour. Perforation will usually mandate primary resection unless an entirely palliative approach is appropriate. Obstruction may require resection of the primary tumour, though the options of proximal stoma and stenting may also be appropriate, with relative merits of each outside the scope of this review. Once primary symptoms have been addressed, systemic chemotherapy is indicated with the aim of maximising survival and conversion of liver metastases to an operable scenario, once again guided by principles as described in the section on unresectable metachronous liver metastases; (3) Asymptomatic primary and resectable liver metastases. This scenario is perhaps the one that gives rise to most discussion and controversy. Although the EGOSLIM consensus group recommended systemic chemotherapy first for this scenario, there was not unanimity in this recommendation, and it was pointed out that evidence for such a recommendation was lacking<sup>[321]</sup>. The only randomised evidence in this area comes from the EORTC 40983 trial<sup>[161]</sup>, comparing surgery alone to FOLFOX–surgery–FOLFOX, which showed an improved DFS in the peri-operative chemotherapy group, though no OS advantage in the early or long term<sup>[162]</sup>. However, the experimental group received both neoadjuvant and adjuvant chemo, such that it is difficult to state whether any survival advantage was associated with neoadjuvant treatment, adjuvant, or both. Arguing against the value of neoadjuvant treatment, Adam *et al*<sup>[321]</sup> showed no benefit associated with neoadjuvant treatment prior to resection of solitary metachronous liver metastases<sup>[321]</sup>. Although providing some evidence, both Adam’s study and the EORTC trial are nevertheless not directly applicable to the scenario of synchronous liver metastases, as almost 2/3 of the liver metastases in the EORTC trial were metachronous, and Adam’s study relates exclusively to metachronous liver metastases. In a retrospective report Bonney *et al*<sup>[322]</sup> studied 1301 patients with synchronous liver metastases, and compared those who received neoadjuvant chemotherapy prior to liver resection to those who underwent liver surgery without neoadjuvant chemotherapy. Neoadjuvant chemotherapy did not affect outcome and was not associated with any survival advantage. Of note, the surgery up front group had a greater number of solitary metastases, and therefore a separate analysis was undertaken to take this into account. The authors found that for patients with solitary CRLM, neither neoadjuvant nor adjuvant chemotherapy was associated with a survival advantage. In contrast, for patients with multiple liver metastases, although neoadjuvant chemotherapy conferred no benefit, adjuvant chemotherapy was found to be associated with a survival advantage. In summary, the evidence base in this scenario is largely lacking, and to some extent conflicting. It

would appear that the scenario of “synchronous asymptomatic primary and resectable liver metastases” is not a homogeneous scenario to be treated by a “one size fits all” approach, but a very heterogeneous one, requiring approach flexibility by experienced MDT. Current evidence certainly does not justify neoadjuvant chemotherapy in all cases of synchronous resectable liver metastases; and (4) Symptomatic primary and resectable liver metastases. In this scenario, priority is given to dealing with symptoms from the primary as outlined in the section on symptomatic primary and unequivocally unresectable liver metastases. Thereafter however, once recovered from primary surgery, the next most appropriate treatment depends on the results of restaging. If restaging shows progression with now unresectable liver metastases, clearly chemotherapy is indicated. If restaging suggests disease progression in the liver though still resectable, then a period of systemic chemotherapy may be most appropriate to re-establish disease stability prior to reassessing with a view to liver resection. If restaging suggests stable and resectable metastases, then the scenario becomes similar in principle to the situation of “resectable primary and resectable liver metastases”, where the evidence for neoadjuvant chemotherapy prior to liver resection is not absolute, and there may be circumstances for proceeding to liver resection, with a view to adjuvant chemotherapy after.

### **Orthotopic liver transplantation for colorectal liver metastases**

Some CRLM remain unresectable on account of proximity to vital structures that cannot be sacrificed, or because of insufficient remnant liver volume. However, the favourable results of liver resection in comparison to chemotherapy alone raises the question of whether total hepatectomy, followed by liver transplantation, might have a place in the management of unresectable liver only metastases.

Studies investigating OLT for unresectable CRLM during the 1990s reported poor outcomes in Europe and the United States with 5 year survival of 12%-21%<sup>[323,324]</sup>, and thus much lower than outcome achieved following transplantation for other indications.

In 2006, on a background of improvements in both liver transplantation and CRLM management, and the favourable organ to recipient ratio in Norway, the Oslo University Hospital group initiated a study to reassess the survival of patients with non resectable CRLM after LT (SECA Trial)<sup>[325]</sup>.

21 patients underwent deceased-donor LT, with 1, 3, and 5-year OS of 95%, 68%, and 60% respectively, thus comparing favourably to 19% OS in a comparative retrospective cohort of patients with unresectable CRLM treated with chemotherapy alone<sup>[326]</sup>. Median time to recurrence was 6 mo and all patients followed for longer than 11 mo experienced recurrence, most frequently in the lungs<sup>[327]</sup>. Similarly, Toso *et al*<sup>[328]</sup> reported the outcomes of 12 patients who underwent OLT for unresectable liver metastases, with a 5 year OS of 50%, and with 4 out of 12 patients showing no sign of recurrence at 48 mo.

The wide inclusion criteria of the SECA 1 study allowed the identification of 4 clinical features associated with a worse survival: Pretransplant tumor diameter > 5.5 cm, a pre-transplant CEA > 80 µg/L, time interval from resection of the primary to transplantation < 2 years, and progression of the metastases under neo-adjuvant chemotherapy. These and other criteria have been used to inform more selective recruitment criteria to the ongoing SECA II trial, with preliminary results showing overall survival at 1, 3, and 5 years of 100%, 83%, and 83%, respectively<sup>[329]</sup>.

Further trial are also in progress, including the TRANSMET (NCT02597348) and SECA III (NCT03494946) trials which compare OLT to optimal systemic chemotherapy in unresectable CRLM.

In conclusion, it appears that in selected patients with unresectable CRLM, OLT is associated with OS Figures which are comparable to those achieved for other OLT indications. The outcome of randomised trials comparing OLT to optimal systemic chemotherapy are eagerly awaited but results favouring OLT would doubtless contribute to the already complex debate regarding organ allocation.

## **SECTION 5: HISTOPATHOLOGICAL ASSESSMENT OF COLORECTAL LIVER METASTASES**

Following resection of CRLM, histopathological assessment is essential, and yields critically important information which directly influences further management. The assessment of margins is an obvious example, affecting decisions regarding re-operation, as well as the timing and intensity of surveillance. Another is the real

response to chemotherapy, which may influence oncological management. The following section describes current practice in CRLM histopathological assessment.

### **Current best practice**

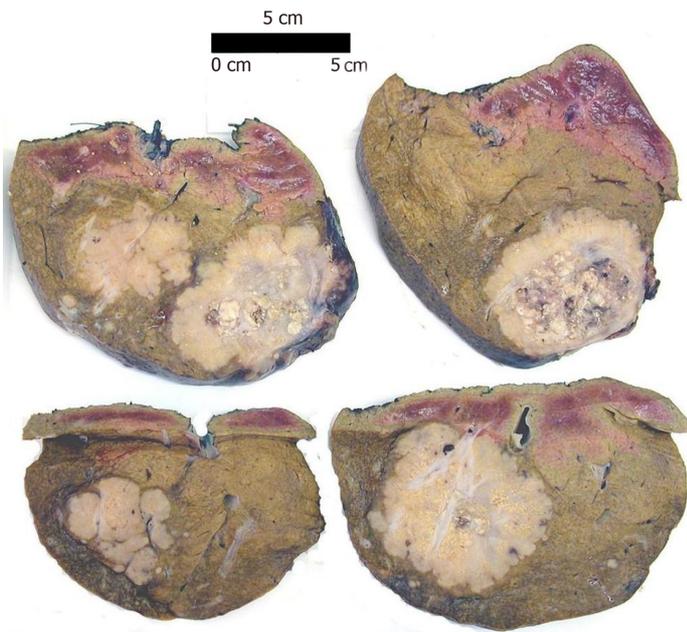
The role of histopathology is predominantly one of post-operative assessment of resected liver specimens, with pre-operative biopsy or intra-operative frozen section being required only rarely (the latter usually in the context of lymph nodes suspicious for metastasis, or unexpected subcapsular lesions not identified on preoperative imaging)<sup>[330]</sup>.

**Pre-operative assessment:** Preoperative percutaneous needle biopsy is avoided where possible due to the risk of tumour seeding along the biopsy needle tract<sup>[330,331]</sup>. In rare cases where percutaneous liver biopsy is deemed to be necessary, usually in the context of multiple known primary tumours, the test can be modified to mitigate the risk of tumour seeding. Endoscopic ultrasound fine needle aspiration may be technically feasible in some cases, in particular for intra-abdominal lymph node sampling where reasonable yields can usually be obtained to allow for additional immunohistochemical assessment, if required.

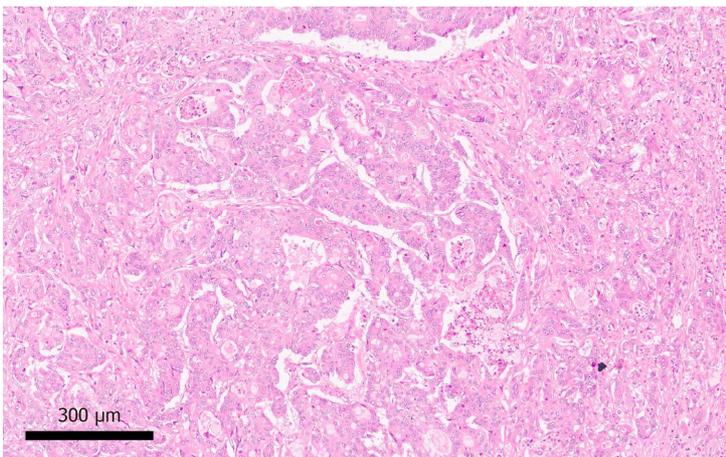
Routine haematoxylin and eosin (H and E) stained slides are examined in the first instance. A limited panel of immunohistochemical stains such as CK20 and CDX-2 can be used to confirm morphological findings suggestive of colorectal origin<sup>[332]</sup>. An expanded panel to include CK7 and other specific localising antibodies can be undertaken depending on morphological appearance and clinical history<sup>[330,332]</sup>.

The biopsy report should contain a morphological description of the tumour including the degree of differentiation, details of immunohistochemical analysis, and a conclusion indicating the site, or possible sites, of primary origin. A description of the adjacent/background liver tissue should also be included as the presence of chronic liver disease may influence risk assessment for surgery and chemotherapy<sup>[333]</sup>.

**Post-operative assessment:** The approach to the resected liver specimen involves both macroscopic and microscopic assessment. (1) Macroscopic assessment: The macroscopic assessment should include the size and weight of the resection specimen, along with a description of the capsule, including areas of disruption or adhesions. Surfaces other than the capsule are painted with ink to allow margin identification. Specimens can be sectioned fresh or fixed, with fixed tissues allowing for more accurate slicing<sup>[330]</sup>. An example of a fixed specimen is shown in [Figure 4](#). Findings should be carefully correlated with the description in the operation note, especially in the case of complex specimens. Tumour deposit number and size should be assessed. It is also important to correlate with imaging data to ensure that all preoperatively and intraoperatively identified lesions are sampled for microscopic assessment. At least one block should be taken of each metastatic deposit, as well as one block of representative background liver<sup>[330]</sup>; (2) Microscopic assessment: The microscopic assessment should include a morphological description of any lesions present, including degree of differentiation. An example of the histological appearance of a colorectal metastasis is shown in [Figure 5](#). Immunohistochemistry is not routinely carried out, but should be included if the morphological features are unusual or there is diagnostic uncertainty<sup>[330]</sup>. Other factors that are assessed include evidence of capsular breach by the tumour, distance to the resection margin (a distance of 1 mm or more being considered “not involved”), the presence or absence of lymphovascular invasion, and the number of involved lymph nodes, if present. The presence or absence of background chronic liver disease should be commented upon<sup>[330]</sup>. Molecular tests (KRAS, BRAF, NRAS, microsatellite instability) should also be conducted if not previously completed on the primary tumour<sup>[333]</sup>. The results of these molecular tests can be crucial for the selection of the most appropriate chemotherapy agent, to aid with prognostication, and to establish or exclude a diagnosis of a hereditary tumour syndrome<sup>[333]</sup>. The effect of preoperative neoadjuvant therapy should be evaluated if applicable. This includes an assessment of tumour response and the presence of chemotherapy-induced injury such as sinusoidal obstruction syndrome (more common with oxaliplatin) or steatohepatitis (more common with irinotecan) in the background liver tissue. The former can be assessed using the chemotherapy-induced sinusoidal injury score<sup>[333-347]</sup>. In cases where selective internal radiotherapy has been administered, therapeutic microspheres may also be present. If preoperative portal vein embolization has been undertaken then embolic material may be present within portal vein branches, along with variable degrees of parenchymal atrophy due to relative ischaemia, shown in [Figure 6](#). Tumour response to chemotherapy involves assessing the percentage area of viable tumour compared to fibrosis and necrosis. The



**Figure 4** Multiple colorectal metastases in a formalin-fixed liver resection specimen showing a pale cut surface with typical lobulated border. Non-capsular surfaces inked for margin identification (scale bar: 5 cm).



**Figure 5** Colorectal metastasis with typical cribriform glandular architecture and central comedonecrosis (Hematoxylin-eosin staining, × 10 magnification).

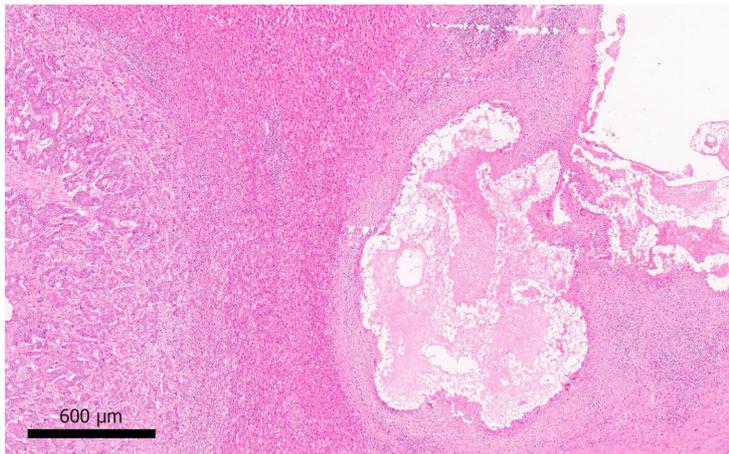
four tiered system advocated by the American Joint Committee on Cancer based on a modification by Ryan *et al*<sup>[335]</sup> is currently recommended by the Royal College of Pathologists for assessment of response in primary colorectal carcinoma (Table 1)<sup>[336]</sup>. While necrosis, as illustrated in Figure 7, is very common, there is evidence to suggest that the most predictive factor for outcome in the assessment of tumour response to chemotherapy is fibrosis (Figure 8)<sup>[333,337]</sup>.

#### **Future perspectives**

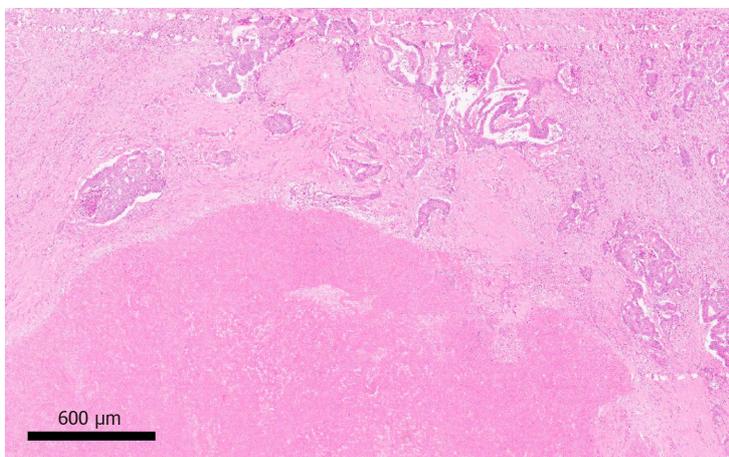
Several biomarkers are under development which have both prognostic and predictive potential. One such marker is programmed cell death protein (PD-1), whose dominant ligand is PD-L1, expressed on the surface of activated T cells to regulate proliferation and activation. When carcinoma develops tumour cells may express PD-L1 and thus reduce their immunogenicity. Assessment of PD-L1 expression in tumour cells using immunohistochemistry may therefore provide prognostic information and predict response to treatment with PD-1/PD-L1 inhibitors. This has shown encouraging initial results reported in microsatellite instability-high colorectal carcinoma<sup>[337,339]</sup>.

**Table 1 Assessment of response to chemotherapy in primary colorectal carcinoma using the Tumour Regression Score (AJCC)**

Evaluation	Tumour regression score
No viable cancer cells (complete response)	0
Single cells or rare small groups of cancer cells (near-complete response)	1
Residual cancer with evident tumour regression, but more than single cells or rare small groups of cancer cells (partial response)	2
Extensive residual cancer with no evident tumour regression (poor or no response)	3



**Figure 6 Embolic material within a large portal vein branch, with adjacent adenocarcinoma, in a patient who underwent preoperative portal vein embolization (Hematoxylin-eosin staining, × 4 magnification).**

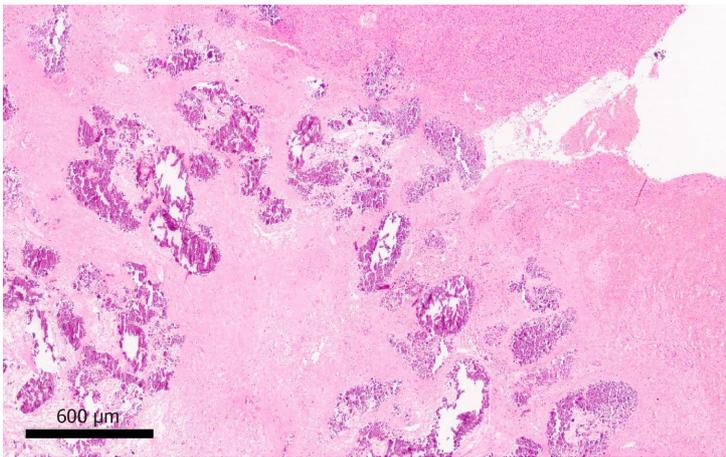


**Figure 7 Extensive confluent tumour necrosis with fibrosis in keeping with a partial response to neoadjuvant therapy (Hematoxylin-eosin staining, × 4 magnification).**

## CONCLUSION

The management of colorectal liver metastases is highly complex owing to multiple treatment modalities. Adding to this complexity is the marked heterogeneity of the patient group, and the nuanced overlap between ‘different’ scenarios. In this context, no single specialty team, let alone individual clinician, is solely equipped to carry out optimal decision making.

Effective management results from careful and informed discussion from an experienced multi-disciplinary team involving radiology (cross sectional, nuclear medicine and interventional), Oncology, Liver surgery, Colorectal surgery, and Histopathology. Furthermore, it is incumbent on such MDTs to remain up to date in



**Figure 8** Confluent fibrosis and dystrophic calcification without viable residual tumour cells, consistent with pathological complete response to neoadjuvant therapy (Hematoxylin-eosin staining, × 4 magnification).

what is a fast-evolving field. In the not distant future, geneticists and molecular biologists may be added to the list of specialty representatives required in MDT discussions.

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## Critically ill patients with cancer: A clinical perspective

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### Abstract

Cancer patients account for 15% of all admissions to intensive care unit (ICU) and 5% will experience a critical illness resulting in ICU admission. Mortality rates have decreased during the last decades because of new anticancer therapies and advanced organ support methods. Since early critical care and organ support is associated with improved survival, timely identification of the onset of clinical signs indicating critical illness is crucial to avoid delaying. This article focused on relevant and current information on epidemiology, diagnosis, and treatment of the main clinical disorders experienced by critically ill cancer patients.

**Key Words:** Acute respiratory failure; Cancer; Cardiotoxicity; Chemotherapy; Critical care; Infection; Mechanical ventilation; Neutropenia; Postoperative; Sepsis

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**Core Tip:** Cancer patients are commonly admitted to intensive care unit because of acute respiratory failure due to pulmonary infiltrates or pneumonia, healthcare associated infection by multidrug-resistant pathogens, postoperative care, cardiovascular complications, and neurological disorders. Early critical care and organ support is associated with improved outcomes. Standardized diagnosis strategy and evidence-based therapy are critical in the management of specific clinical disorders.

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## INTRODUCTION

Cancer is one of the main causes of morbidity and mortality worldwide<sup>[1]</sup>. Overall cancer-death rates have decreased in both men and women due to reduced tobacco use, improved early detection (*e.g.*, colorectal, breast, and cervix) and enhanced treatment options<sup>[2-4]</sup>. Currently, critical care medicine contributes as a supportive care for patients with cancer.

In the past decades, patients with advanced hematological or oncological disease were not candidates for entry to intensive care unit (ICU) due to low survival rates; however, expectancy in life-span has changed over the last 25 years because of a breakthrough in terms of new anticancer therapies and organ support methods<sup>[5]</sup>. Cancer patients account for 15% of all admissions to ICU<sup>[6]</sup> and 5% will experience a critical illness resulting in ICU admission<sup>[7]</sup>. These frequencies may grow considering the current global burden of cancer and demographic features. Analysis from large databases suggests that a higher proportion of cancer patients survive at ICU discharge<sup>[7,8]</sup>. Since the five-year survival rate is 41%<sup>[9]</sup>, reluctance to admit cancer patients to the ICU must be avoided from medical practice. In fact, most recent evidences support an increased ICU admission because of improved ICU and hospital outcomes<sup>[8-11]</sup>.

Patients with hematological malignancy or solid tumor are at higher risk for ICU admission as a consequence of acute respiratory failure due to pulmonary infiltrates or pneumonia, healthcare associated infection by multidrug-resistant pathogens related or not with immunosuppression, postoperative care, cardiovascular complications, and neurological disorders<sup>[6,12-14]</sup>.

The aim of this article was to provide critical care clinicians with an overview on relevant and current information on epidemiology, diagnosis, and treatment of the main clinical disorders experienced by cancer patients with a critical illness.

## ADMISSION CRITERIA TO INTENSIVE CARE UNIT

The main reasons for admitting cancer patients to ICU are postoperative care, acute respiratory failure (ARF), and sepsis. Other clinical situations are cardiac complications, neurological disorders, acute kidney injury, bleeding, and oncological emergencies<sup>[15]</sup>. Mucositis, acute graft-versus-host disease, diffuse alveolar hemorrhage, cardiac dysfunction, hypertension and hepatic venoocclusive disease are other causes in hematological malignancies<sup>[16]</sup> (Table 1).

Several studies indicate that early ICU admission is associated with higher survival rates<sup>[17-21]</sup>; thus, timely identification of patients at onset of clinical signs indicating critical deterioration is crucial to avoid delayed organ support<sup>[6]</sup>. The ability of physician to identify what patient is expected to benefit from ICU management is limited. As proposed by Namendys-Silva *et al*<sup>[22]</sup>, the following criteria may help for this purpose: Sequential Organ Failure Assessment (SOFA) score between 7 and 10 or < 3 organ failures, recent diagnosis of oncohematological disease, cancer-related medical emergencies (*e.g.*, tumor lysis syndrome, pulmonary infiltrates in patients with leukemia or leukostasis as the initial manifestation of leukemia), likelihood of cure or disease control, Eastern Cooperative Oncology Group scale between 0 and 2, and postoperative intensive care for patients undergoing complex surgical procedures who require hemodynamic monitoring and/or ventilatory support.

As decision-making for ICU admission and management may be challenging, the following strategy is recommended: (1) Full-code ICU management: Full organ support methods (*e.g.*, invasive mechanical ventilation, vasopressors, renal replacement therapy, nutritional support) without limitations of ICU resources for patients with curative therapeutic options, patients in remission, and those with expected life-span  $\geq 1$  year<sup>[5]</sup>; (2) Time-limited ICU trial: ICU management with full-code status for a limited period. Although the time of full-code should be judged in accordance with the patient's clinical course rather than with a fixed time, a reasonable interval could be 2 wk in hematology patients (1 wk if multiple organ failure) and 1 wk in patients with solid tumors (4-5 d if multiple organ failure)<sup>[5,6,23]</sup>; (3) Patients with poor performance status not eligible for further anticancer therapy, dying patients, and those rejecting critical care treatment should not be admitted to the ICU in general<sup>[5]</sup>; and (4) Other indications: Exceptional ICU admission (same as time-limited ICU trial) for patients in whom new drugs (approved or not) are available; prophylactic ICU admission with full-code for high-risk patients (*e.g.*, patients at risk of tumor lysis syndrome or acute respiratory failure after chemotherapy); palliative ICU admission

**Table 1** Reasons for intensive care unit admission in patients with cancer<sup>[15]</sup>

Cause	Comment
Postoperative care	Elective or emergency
Acute respiratory failure	(1) Infectious: Bacterial, viral, fungal; and (2) Noninfectious: Diffuse alveolar hemorrhage, interstitial lung disease, pulmonary drug toxicity, transfusion-related acute lung injury
Cardiovascular disorders	Sepsis and septic shock, pulmonary embolism, drug-induced cardiomyopathy
Bleeding disorders	Tumor erosion, coagulopathy, thrombocytopenia
Alteration of mental status	(1) Metabolic: Sepsis, drugs, multiorgan system failure, seizure, hyponatremia, hypoxia, hypercapnea; (2) Mass effect: Central nervous system bleeding, tumor effects; and (3) Others: Posterior reversible encephalopathy syndrome
Oncologic emergency	Tumor lysis syndrome, leukostasis, superior vena cava syndrome, cardiac tamponade, hypercalcemia
Acute decompensated chronic comorbidity	Chronic obstructive pulmonary disease, cardiac disorders ( <i>e.g.</i> , cardiomyopathy, coronary artery disease), chronic kidney disease, chronic hepatopathy
Others	Initiation of chemotherapy for surveillance

for optimizing medical care with noninvasive strategies (*e.g.*, noninvasive ventilation, vasopressors without invasive hemodynamic monitoring, electrical cardioversion, pneumothorax decompression, optimizing pain relieve)<sup>[6]</sup>.

## ACUTE RESPIRATORY FAILURE

ARF is the leading cause of unplanned ICU admission in cancer patients<sup>[24]</sup>. The incidence is higher in patients with acute lymphoblastic leukemia, acute myeloid leukemia, hematopoietic stem cell transplant (HSCT), neutropenia, and lung cancer<sup>[25-29]</sup>. Ventilatory support is used in 35%-50% of critically ill cancer patients<sup>[11,30,31]</sup>; the associated ICU and hospital mortality rate is as high as 50% and 65%, respectively<sup>[31,32]</sup> (Table 2). Mortality-related factors in patients with ARF can be grouped into five categories: (1) Respiratory failure associated with organ dysfunction; (2) Factors inherent to delayed ICU admission; (3) Factors associated with chronic underlying comorbidities; (4) Factors involved with the initial treatment of respiratory failure; and (5) Factors related to the etiology of respiratory failure.

Five major pathophysiological mechanisms can explain ARF in cancer patients (Table 3). Ventilation/ perfusion mismatch is the most common mechanism, usually caused by pulmonary infiltrates, pneumonia, atelectasis or pulmonary embolism. Increased intrapulmonary shunt occurs in primary or secondary acute respiratory distress syndrome. Drug-associated interstitial lung disease and high-degree metastasized lungs explain disorders of oxygen diffusion<sup>[33]</sup>.

Primary tumor location, clinical stage, admission from the emergency department, medical admission, malignancy-unrelated ICU admission, sepsis, adverse event to chemotherapy, and Acute Physiology And Chronic Health Evaluation (APACHE) II score have been found as risk factor for severe ARF requiring invasive mechanical ventilation<sup>[34]</sup>. Causes of ARF in patients with cancer are depicted in Table 4<sup>[35]</sup>.

Direct actions focused on the best therapeutic options are required in cancer patients with ARF. Clinical examination is crucial since pulmonary infiltrates and respiratory symptoms (*e.g.*, increased respiratory rate, cough, sputum, rales, thoracic pain, and hemoptysis) are associated with increased ventilatory support and mortality rates<sup>[43]</sup>. DIRECT approach may suggest the cause of ARF<sup>[36]</sup>: Identification of the type and duration (D) of respiratory symptoms, assessment of immunosuppressive (I) therapy, interpretation of X-ray (R) pattern, clinician's experience (E), clinical (C) finding, and high-resolution computed tomography scan (T)<sup>[36,37]</sup>. Figure 1 depicts a diagnostic algorithm for ARF.

Bacterial infection, usually in immunocompromised patients, is the main cause of ARF<sup>[30]</sup>. It is common in early stages of lymphoproliferative disorders<sup>[38]</sup>. Opportunistic infections have been reported prior to initiation of anticancer therapy in patients with T-cell diseases<sup>[39]</sup>. Noninfectious causes (*e.g.*, lung infiltrates, leukemic infiltrates, diffuse alveolar hemorrhage, drug-related interstitial lung diseases, and noninfectious lung diseases after HSCT) are difficult to identify, therefore more invasive diagnostic studies are needed for reaching diagnosis such as bronchoscopy and bronchoalveolar lavage (BAL)<sup>[25,26,40]</sup>. Thrombocytopenia, bleeding disorders, and hypoxemia may preclude bronchoscopy and/or lung biopsy. Pattern of computed tomography (CT)

**Table 2 Incidence and mortality of acute respiratory failure in cancer patients<sup>[25]</sup>**

	Incidence	Need for ICU admission	Hospital mortality
<b>Hematological malignancy</b>			
Acute myeloid leukemia	22%-84 %	66%	45%
Acute lymphoblastic leukemia	7%-18.5%	12%-15%	38.5%
Lymphoproliferative diseases	8%	8%	40%-50%
Myelodysplastic syndrome	29.4%	20%	17%
Autologous hematopoietic stem cell transplant	3%-28%	42%	3%-55%
Allogeneic hematopoietic stem cell transplant	24%-30%	50%	51%
Prolonged neutropenia	8%-29.5%	11%-16%	5%-12%
<b>Solid tumor</b>			
Lung cancer	26%-50%	100%	11.2%-60%
Other solid tumors	0.7%-10.3%	100%	6.1%-55%
Patients on immunotherapy	1.3%-3.6%	1.3%	-

ICU: Intensive care unit.

**Table 3 Mechanisms and features of hypoxemia**

Mechanism	PaO <sub>2</sub>	PaCO <sub>2</sub>	D <sub>A-a</sub> O <sub>2</sub>	Comments
Disorders in oxygen diffusion	↓	↓	↑	Decreased surface area or short time for hematosis (e.g., hydrostatic edema, interstitial pneumonia, drug-associated interstitial lung disease, high-degree metastasized lungs)
Ventilation/ perfusion mismatch	↓	↑	↑	(1) Decreased ventilation in normally perfused lung regions (e.g., pulmonary infiltrates, pneumonia, atelectasis); and (2) Declined perfusion in normally ventilated lung areas (e.g., pulmonary embolism)
Increased intrapulmonary shunt	↓	↓	↑↑	Pulmonary venous blood bypasses ventilated alveoli without be oxygenated (e.g., acute respiratory distress syndrome)
Hypoventilation	↓	↑↑	N	Hypoventilation
Decrease in pressure of inspired oxygen	↓	↓	N	Decreased pressure of inspired oxygen

scan may help to identify the cause of ARF<sup>[37]</sup>. Table 5 summarizes invasive and noninvasive diagnostic procedures in cancer patients with ARF. Infectious and noninfectious causes of pulmonary complications following HSCT are depicted in Figure 2<sup>[41]</sup>.

Etiology of ARF may be identified using the information of clinical, laboratory, imagenological, and invasive investigations as following<sup>[25,42-44]</sup>: (1) Acute or subacute onset; symptoms of upper respiratory tract with fever plus centrilobular nodules or ground-glass opacities on CT scan: Viral infection or atypical pneumonia. Exclude bacterial co-infection; (2) Acute onset; suspect bacterial infection plus alveolar consolidation on X-ray or CT scan: Bacterial infection. Consider bronchoscopy and BAL if sputum cannot be obtained; (3) Subacute onset; T-cell deficiency without prophylaxis for *Pneumocystis jirovecii* plus diffuse ground-glass opacities on CT scan: Pneumocystis pneumonia; (4) Subacute onset; risk factors for invasive aspergillosis (e.g., prolonged neutropenia, allogeneic HSCT, graft versus host disease, T-cell deficiency) plus consolidation or cavitation on X-ray or CT scan: Invasive pulmonary aspergillosis; and (5) Acute or subacute onset; variable clinical presentation: Disease-related infiltrates, diffuse alveolar hemorrhage, alveolar proteinosis, drug-related pulmonary toxicity.

Hydrostatic pulmonary edema (Biomarkers: Natriuretic peptide or N-terminal pro-B-type natriuretic peptide; echocardiography), pulmonary embolism (Biomarkers: D-dimer, high-sensitive cardiac troponin; echocardiography; CT pulmonary angiogram), pleural effusion/ pneumothorax (X-ray; ultrasound; CT scan), and cardiac tamponade (Echocardiography) should be ruled out.

**Table 4 Causes of acute respiratory failure in patients with cancer<sup>[35]</sup>**

CNS and neuromuscular disorders	Chest wall and pleural disorders	Vascular disorders	Airway disorders	Parenchymal disorders
<b>Drug intoxications:</b> Narcotics; Sedatives; Neuroleptics	<b>Pleural disorder:</b> Malignant pleural effusion; Pleural tumor (primary or metastatic); Tension pneumothorax	Acute pulmonary embolism; Tumor embolism; Pulmonary venoocclusive disease	<b>Airway obstruction:</b> Endobronchial metastases; External airway compression; Primary tumor of periglottic area	<b>Pneumonitis:</b> Infection; Chemotherapy; Radiotherapy; Aspiration
<b>Encephalopathies:</b> Infection; Metabolic; Seizure	<b>Chest wall disorders:</b> Chest wall tumor (primary or metastatic); Rib fracture		<b>Others:</b> Tracheoesophageal fistula; Bronchiolitis obliterans	<b>Acute respiratory distress syndrome:</b> Infection; Chemotherapy; Radiotherapy; Transfusion
<b>Intracranial tumors:</b> Primary; Metastatic				<b>Complications of HSCT:</b> Peri-engraftment respiratory distress syndrome; Diffuse alveolar hemorrhage; Idiopathic pneumonia syndrome
<b>Neuropathies/myopathies:</b> Nerve palsy				<b>Others:</b> Lymphangitic carcinomatosis; Pulmonary leukostasis; Bronchiolitis obliterans organizing pneumonia
<b>Paraneoplastic syndromes:</b> Eaton-Lambert syndrome; Myasthenia gravis; Guillain-Barré syndrome				

CNS: Central nervous system; HSCT: Hematopoietic stem cell transplant.

Treatment of cancer patients with ARF is focused to restore oxygenation, relieve dyspnea and respiratory distress, and improve patient comfort<sup>[25]</sup>. Mortality rates remain high<sup>[17,34]</sup>; thus, noninvasive devices are preferred. Although early noninvasive ventilation (NIV) was associated with improved survival rates<sup>[45]</sup>, failure of NIV or high-flow nasal oxygen therapy (HFNO) was associated with increased mortality<sup>[24,32]</sup>. The most challenging issue is choosing those patients in which a specific respiratory strategy is beneficial over others. Physicians need to consider the following risk factors for NIV failure<sup>[5]</sup>: (1) Prior to NIV: Vasopressor need, multiple organ failure, airway involvement by malignancy, acute respiratory distress syndrome, unknown etiology of ARF, and delayed-onset ARF; and (2) During NIV: Patient not tolerating NIV, not improvement of arterial blood gases within 6 h, respiratory rate > 30 breath per minute, NIV dependency ≥ 3 d, clinical or respiratory deterioration, and unknown etiology of ARF.

A trial of NIV is recommended for most patients with ARF by reversible underlying cause<sup>[32,45,46]</sup>; however, HFNO is a promising alternative to NIV<sup>[47-50]</sup>. In a France-Belgium 28-center-randomized controlled trial of 374 immunocompromised patients with ARF, Lemiale *et al*<sup>[51]</sup> found no difference in primary and secondary outcomes between intermittent NIV and standard oxygen therapy. A recent meta-analysis of immunocompromised patients showed that intubation rate was lower in the HFNO group than those in the conventional oxygen therapy group and NIV group; however, HFNO did not improve survival or length of stay<sup>[52]</sup>. The ongoing FLORALI-IM randomized controlled trials may contribute to clarify these findings<sup>[53]</sup>.

## NEUTROPENIA AND SEPSIS

Chemotherapy in patients with cancer has resulted in improved survival, although increased the number of cases with neutropenia. Hematological malignancies and myelodysplastic syndromes are other causes of neutropenia<sup>[54,55]</sup>. Neutropenia is related to severe invasive infections, septic shock, multiple organ dysfunction, and increased mortality<sup>[56,57]</sup>. Mokart *et al*<sup>[57]</sup> found a hospital mortality rate of 45.3% in patients admitted to ICU. In 7512 critically ill patients with cancer included in a recent systematic review, neutropenia was independently associated with unfavorable outcomes; nevertheless, granulocyte colony-stimulating factor was related to reduced mortality rate<sup>[58]</sup>.

**Table 5 Invasive and noninvasive diagnostic procedures in cancer patients with acute respiratory failure<sup>[5]</sup>**

Diagnostic procedure	Comments
Blood cultures	Hospital-acquired bacteria
Multislice or high-resolution CT scan	In most cases without contrast media; MRI if a pulmonary CT scan is not feasible
Echocardiography	Cardiac evaluation
Sputum examination	Bacteria; Fungi; Mycobacteria
Induced sputum	<i>Pneumocystis jirovecii</i>
Nasopharyngeal aspirates or nasal swabs	Adenovirus, metapneumovirus, coronavirus, parainfluenza virus types 1, 2, 3 and 4; influenza virus types A and B, respiratory syncytial virus A and B; rhinovirus A, B, and C; bocavirus and enterovirus
Polymerase chain reaction blood test	Herpesviridae; Cytomegalovirus; Epstein-Barr virus
Circulating <i>Aspergillus</i> galactomannan	<i>Aspergillus</i> spp.
Serologic tests	<i>Chlamydia pneumoniae</i> ; <i>Mycoplasma pneumoniae</i> ; <i>Legionella pneumophila</i>
Urine antigen	<i>Legionella pneumophila</i> ; <i>Streptococcus pneumoniae</i>
BAL (mandatory)	(1) Cytospin preparation including Giemsa stain for cytological diagnostics and Gram stain; (2) Quantitative or semi-quantitative bacteriological cultures including culture media to detect <i>Legionella</i> spp., mycobacteria and fungi; (3) Calcofluor white or equivalent stain (assessment of fungi); (4) Quantitative (if possible) PCR for <i>Pneumocystis jirovecii</i> ; (5) Direct immunofluorescence test for <i>Pneumocystis jirovecii</i> ; (6) <i>Aspergillus</i> antigen (Galactomannan ELISA); and (7) <i>Mycobacterium tuberculosis</i> PCR, atypical mycobacteria
BAL (optional)	(1) PCR for cytomegalovirus, respiratory syncytial virus, influenza A/B virus, parainfluenza virus, human metapneumovirus, adenovirus, varicella zoster virus, and <i>Pneumocystis jirovecii</i> (quantitative); and (2) <i>Aspergillus</i> antigen (Galactomannan ELISA); Panfungal or <i>Aspergillus</i> / mucormycetes PCR
Transbronchial biopsies	Not recommended in general in febrile neutropenic and/or thrombocytopenic patients as the first line procedure

CT: Computed tomography; BAL: Bronchoalveolar lavage; PCR: Polymerase chain reaction.

According to the absolute neutrophil count, neutropenia is classified as mild (1000-1500 cells/mm<sup>3</sup>), moderate (500-999 cells/mm<sup>3</sup>), severe (100-499 cells/mm<sup>3</sup>), and deep (< 100 cells/mm<sup>3</sup>)<sup>[54]</sup>. Infection usually appear with severe or deep neutropenia<sup>[59]</sup>. Febrile neutropenia (FN) is defined as a single oral or axillary temperature > 38.3 °C (101 °Fahrenheit) or a temperature > 38.0 °C (100.4 °Fahrenheit) sustained over 60 min in patients with severe neutropenia<sup>[56]</sup>.

Fever may be the earliest and only sign of infection in neutropenic cancer patient. The incidence of FN varies between 10% and 50% in patients with solid tumors receiving antineoplastic therapy and up to 80% in patients with hematological malignancies<sup>[54]</sup>. The risk of infection is high in severe neutropenia, moderate neutropenia expected to decline to severe within 48 h, and moderate neutropenia lasting more than seven days.

The main independent prognostic factors for mortality in neutropenic patient are age > 60 years, APACHE scores, Simplified Acute Physiology Score scores, SOFA score, need for mechanical ventilation, high serum procalcitonin, need for renal replacement therapy, and allogeneic HSCT<sup>[10,55,57]</sup>.

Risk-stratification scores allow a quick and objective risk assessment. Several risk scores have been validated to evaluate the risk of complications in patients with FN (Table 6<sup>[54,60-62]</sup>). Because increased complication and mortality rates, high-risk patients are the following: Group 1-3 of the Talcott classification system, < 20 points in the Multinational Association for Supportive Care in Cancer risk index, and ≥ 3 points in the Clinical Index of Stable Febrile Neutropenia score. High-risk patients generally require in-hospital treatment and intravenous administration of broad-spectrum antibiotics<sup>[60-62]</sup>.

Other risk factors in high-risk patients are the following<sup>[55,63-65]</sup>: (1) Planned deep neutropenia for more than 7 d; (2) Evidence of liver failure: Abnormal aminotransferases > 5-fold upper limit of normal value or hyperbilirubinemia; (3) Renal impairment: Serum creatinine increase > 50% or > 26.5 μmol/L within 48 h,

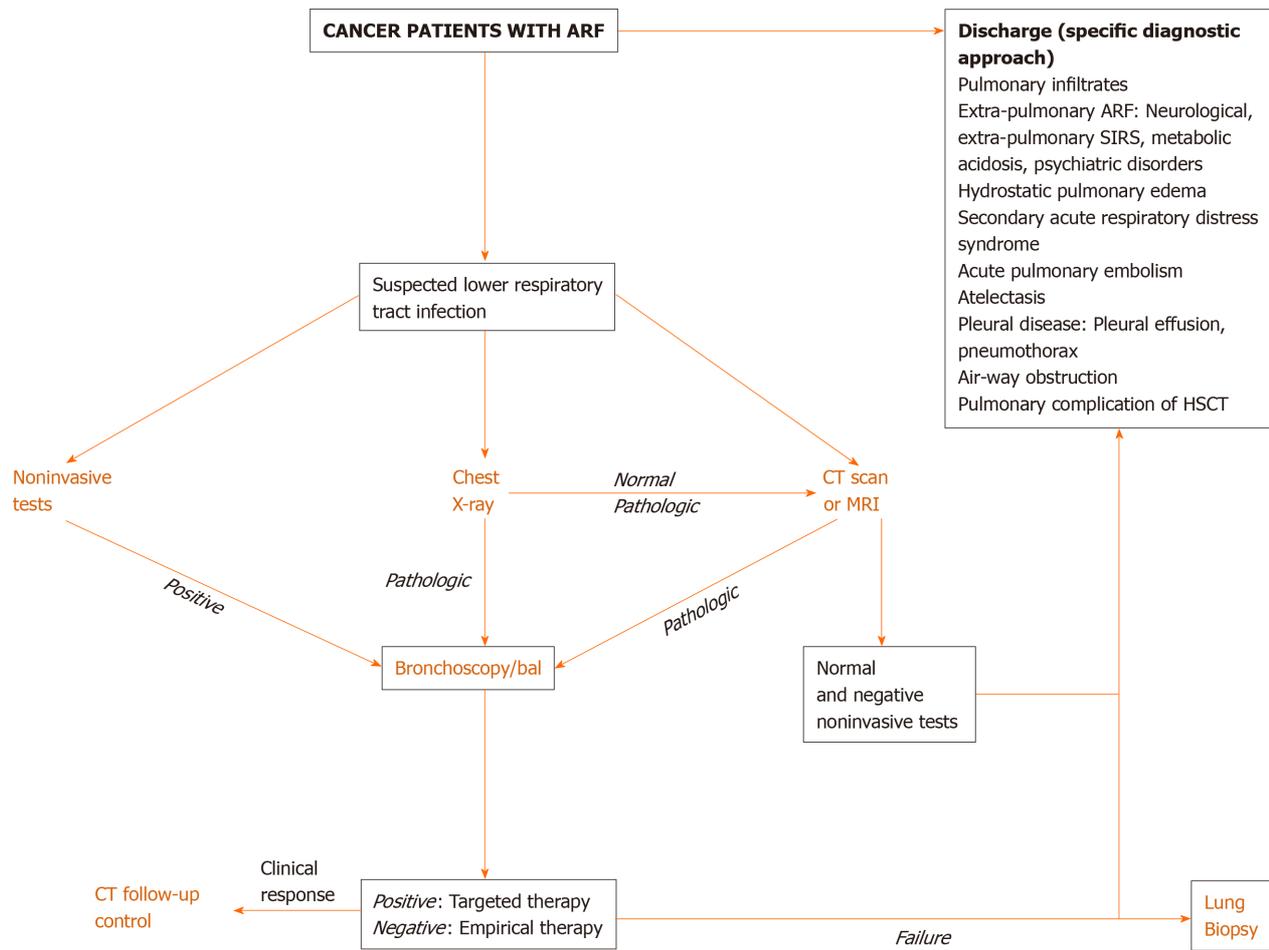
**Table 6 Risk-stratification tools for patients with febrile neutropenia<sup>[54,60-62]</sup>**

Description/Criteria	Group/ Points
<b>Talcott classification system</b>	
Patients hospitalized at onset of fever and neutropenia (inpatient at presentation)	1
Outpatients at presentation but with comorbidities which require hospitalization	2
Outpatients at presentation with uncontrolled cancer but without comorbidities	3
Outpatients at presentation without comorbidities and controlled cancer	4
<b>Multinational association of supportive care of cancer (MASCC) risk-index</b>	
Burden of febrile neutropenia	
No or mild symptoms: No fever, hemodynamic compromise or clinically significant signs and symptoms of particular site of infection	5
Moderate symptoms: Any others not included in mild or severe symptoms	3
Severe symptoms: High grade fever, any hemodynamic compromise or any of the serious complications requiring high dependency unit support	0
No hypotension (systolic blood pressure > 90 mmHg)	5
Solid tumor or hematological malignancy with no previous fungal infection	4
No chronic obstructive pulmonary disease	4
No dehydration requiring parenteral fluids	3
Outpatient status	3
Age < 60 yr	2
<b>Clinical Index of Stable Febrile Neutropenia (CISNE) score</b>	
Eastern Cooperative Oncology Group performance status ≥ 2	2
Stress-induced hyperglycemia	2
Chronic obstructive pulmonary disease (on steroids, supplemental oxygen, or bronchodilators)	1
Chronic cardiovascular disease (excluding single uncomplicated episode of atrial fibrillation)	1
Mucositis (at least the presence of patchy ulcerations or pseudomembranes, or moderate pain with modified diet)	1
Monocytes < 200 cells/mm <sup>3</sup>	1

urine output < 0.5 mL/kg/h for 6 h, or increased concentration in newer biomarkers for sepsis associated-acute kidney injury (*e.g.*, insulin like growth factor binding protein-7, kidney injury molecule-1, neutrophil gelatinase associated lipocalin, tissue inhibitor of metalloproteinase-2); and (4) Pathophysiological imbalance and comorbidities such as, but not limited to: (a) Hemodynamic instability: Hypotension, decreased capillary refill or mottling, hyperlactatemia, central venous oxygen saturation < 70%, and central venous-to-arterial carbon dioxide difference > 6.0 mmHg; (b) Oral or gastrointestinal mucositis interfering with swallowing; (c) Gastrointestinal symptoms: Ileus, severe diarrhea, pain, nausea, and vomiting; (d) Neurological disorders or changes in mental status; (e) Intravascular catheter-related infection; (f) New pulmonary infiltrates or hypoxemia, or decompensated chronic lung disease; and (g) Coagulation abnormalities: International normalized ratio > 1.5, activated partial thromboplastin time > 60 s, or platelet count < 100000 cells/mm<sup>3</sup>.

Most patients with FN have scarce clinical features. Clinically documented infection is only reported in 20%-35%<sup>[54]</sup>. Thus, the International Immunocompromised Host Society recommends three categories of patients<sup>[66]</sup>: (1) Microbiologically documented infection: Clinical site of infection and the associated pathogen is identified; (2) Clinically documented infection: Clinical site of infection is identified, but without isolation of the pathogen; and (3) Unexplained fever: Clinical site of infection and pathogen are not identified. The most patients with FN have unexplained fever.

Since the risk of infection is related to the intensity and duration of neutropenia, the risk for developing FN and its severity must be anticipated for an early diagnosis and treatment of unexplained fever; underlying disease, immune status, co-morbidities, and type of intervention (*e.g.*, chemotherapy scheme, intrinsic hematological toxicity,

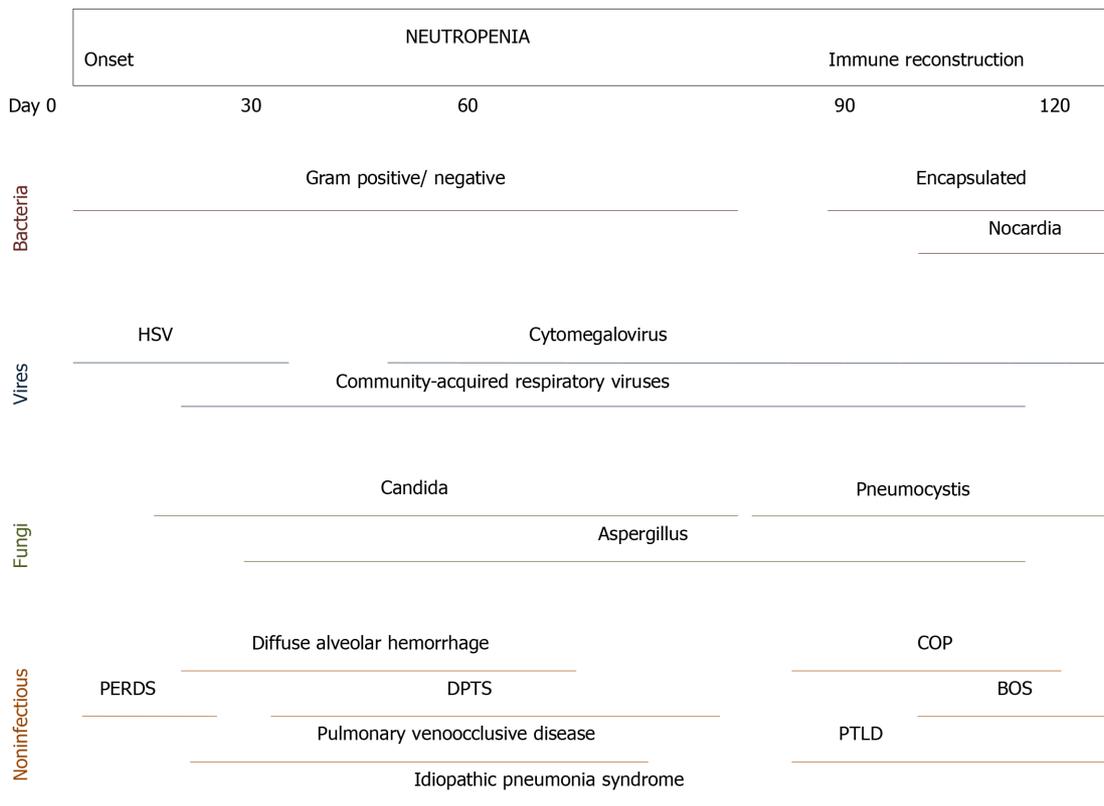


**Figure 1 Diagnostic approach for cancer patients with suspected pulmonary infection.** ARF: Acute respiratory failure; BAL: Bronchoalveolar lavage; CT: Computed tomography; HSCT: Hematopoietic stem cell transplant; MRI: Magnetic resonance image; SIRS: Systemic inflammatory response syndrome.

dose and duration) need to be evaluated. Qualitative disorders of neutrophil function may also increase the risk of infections even with normal neutrophil count<sup>[55]</sup>.

There has been a change in the epidemiological patterns of infections because of a wide spread multidrug-resistant bacteria amongst humans, animals and environmental reservoirs<sup>[67]</sup>. Microorganisms causing infection mostly come from the normal flora of the skin, oropharyngeal cavity, and gastrointestinal tract. Infection is localized in approximately 30% of cases, mainly in the upper respiratory tract or skin, but only 20%-40% are microbiologically documented<sup>[59]</sup>. Among gram-negative bacteria, carbapenem-resistant *Enterobacteriaceae* such as *Escherichia coli*<sup>[67-74]</sup> and *Klebsiella pneumoniae*<sup>[67-69,72-75]</sup>, *Pseudomonas aeruginosa*<sup>[68,69,72-74]</sup> and *Acinetobacter baumannii*<sup>[67,68,76]</sup> prevail. The most common gram-positive pathogens are methicillin-sensible<sup>[68]</sup> and methicillin-resistant *Staphylococcus aureus*<sup>[67,68,77]</sup>, *Streptococcus viridians*<sup>[68,71]</sup> and *Streptococcus pneumoniae*<sup>[68]</sup>; vancomycin-resistant *Enterococcus faecium* may be found<sup>[67,69]</sup>. The main fungi identified are *Candida* and *Aspergillus* species<sup>[55,78]</sup>. Approximately 50% of invasive aspergillosis are found in patients with hematological malignancy or immunocompromised patients with prolonged severe neutropenia<sup>[78]</sup>. Mortality rates of invasive fungal infection exceeds 30%<sup>[79]</sup>.

The Third International Consensus Definitions for Sepsis and Septic Shock is recommended to use in FN patients (Figure 3)<sup>[80]</sup>. In a large meta-analysis, neutropenia was independently associated with poor outcomes<sup>[81]</sup>; therefore FN should be treated as infectious disease until proven otherwise and must be considered as medical emergency. Therapeutic approach is based on the risk of complications and death, presence of life-threatening infection and magnitude and duration of neutropenia. High-risk patients are vulnerable to develop septic shock; early intravenous administration of broad-spectrum antibiotics against gram-negative and gram-positive bacteria is obligatory. Low-risk patients could be treated in-hospital with intravenous antibiotics or as outpatient with oral antibiotics depending on the clinical picture and comorbidities.



**Figure 2 Pulmonary complications in patients with hematopoietic stem cell transplant<sup>[44]</sup>.** BOS: Bronchiolitis obliterans syndrome; COP: Cryptogenic organizing pneumonia; DPTS: Delayed pulmonary toxicity syndrome; HSV: Herpes simplex virus; PERDS: Peri-engraftment respiratory distress syndrome; PTLD: Post-transplant lymphoproliferative disorder.

Culture samples must be taken before the onset of antibacterial agents. Information of the general/local epidemiology and resistance profiles is of paramount importance to guide empirical antibiotic therapy<sup>[82]</sup>. Broad-spectrum antibiotics covering *Pseudomonas spp.* and methicillin-resistant *Staphylococcus aureus* are used (Table 7<sup>[40,54,55,79,83]</sup>). Empirical antimycotic therapy must be promptly started if invasive fungal infection is suspected<sup>[79]</sup>.

Treatment needs to be reassessed within 48-72 h; clinical and microbiological data help to modify therapy. In patients with documented infection, duration of therapy is based on the isolated organism and the site of infection. It is usually continued until recovering severe neutropenia; granulocyte colony-stimulating factors may be used<sup>[84]</sup>. In patients with FN of unidentified etiology, antibiotic therapy should be discontinued after 72 h of apyrexia and clinical recovery irrespective of absolute neutrophil count<sup>[56,85]</sup>.

## CARDIOVASCULAR DISORDERS

Several cardiovascular disorders may be developed in cancer patients such as sepsis/septic shock, chemotherapy-associated cardiotoxic disease (CACD), pulmonary embolism, and cardiac tamponade. In this section we refer to CACD since sepsis/septic shock is treated in other section, and pulmonary embolism and cardiac tamponade are nonspecific complication of cancer patients described in other high-quality articles<sup>[86,87]</sup>.

Cardiovascular diseases and cancer are interwoven because of increased cancer survival and cardiotoxic anticancer therapy<sup>[88]</sup>. Up to 33% of cancer survivors may die due to heart disease<sup>[89]</sup>. Mortality rates in patients with CACD are 3.5-fold higher than those in patients with idiopathic cardiomyopathies<sup>[90]</sup>. Cardiovascular effects of chemotherapy may also affect the quality of life and compromise survival expectation.

Left ventricular dysfunction is the most common and serious consequence of CACD, usually secondary to cardiomyopathy or myocarditis (Table 8)<sup>[91,92]</sup>. Early

**Table 7** Empiric antibiotic therapy in high-risk patients with febrile neutropenia<sup>[40,54,55,79,83]</sup>

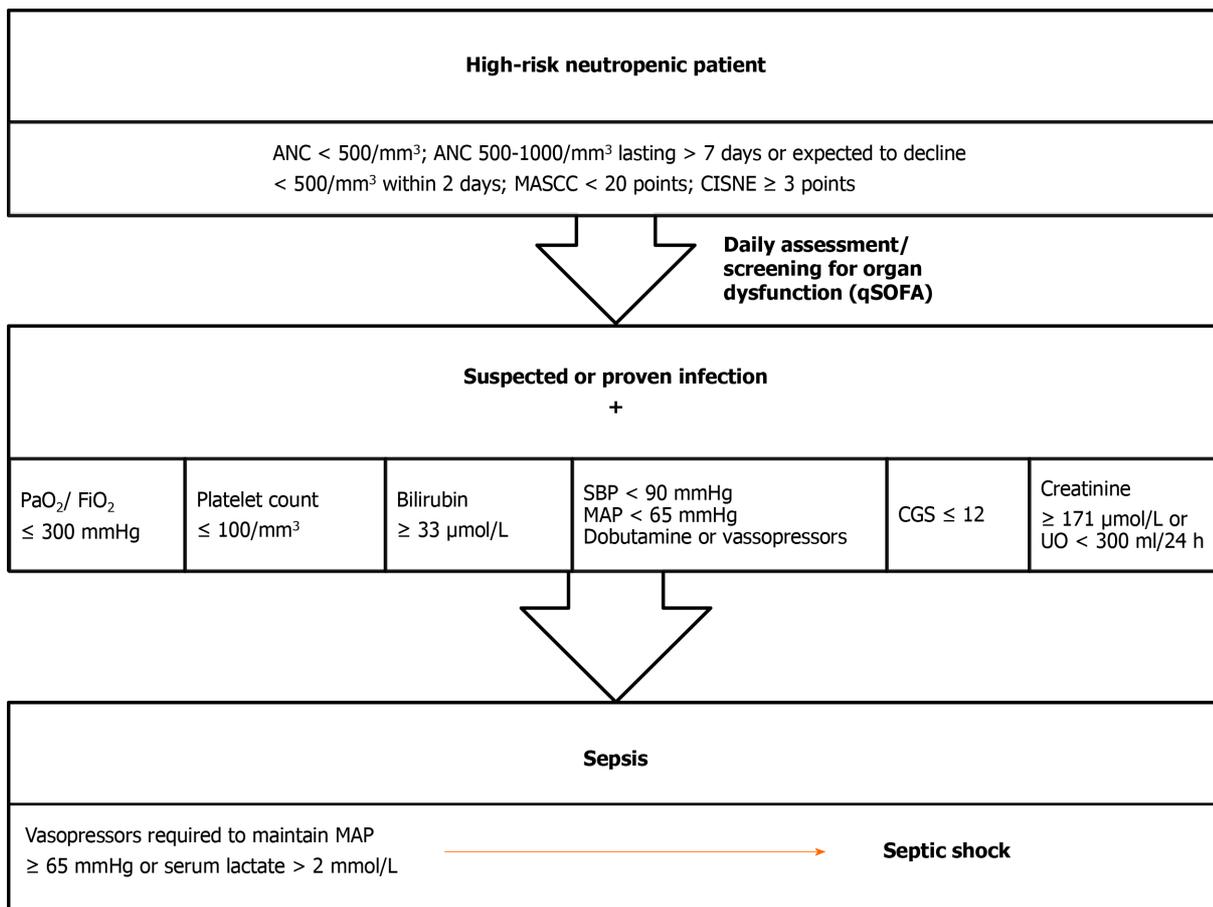
Antibiotherapy	Indication
Antipseudomonal $\beta$ -lactam agent (cefepime, ceftazidime) OR Carbapenem (meropenem or mipenem/cilastatin) OR Piperacillin/tazobactam OR Novel cephalosporin/ $\beta$ -lactamase inhibitor (Ceftolozane/tazobactam or Ceftazidime/avibactam) PLUS Aminoglycosides (optional) PLUS Vancomycin	All patients with febrile neutropenia
Vancomycin, linezolid or daptomycin	Suspected catheter-related infections Skin or soft-tissue infection Risk of methicillin-resistant <i>Staphylococcus aureus</i>
Linezolid or daptomycin	Risk of vancomycin-resistant <i>Enterococcus spp.</i>
Carbapenem	Risk of extended-spectrum $\beta$ -lactamase-producing gram negative bacteria
Polymyxin-colistin or tigecycline	Risk of <i>Klebsiella pneumoniae</i> carbapenemase
Ciprofloxacin + clindamycin OR Aztreonam + vancomycin	Penicillin-allergic patients
Trimethoprim/sulfamethoxazole	Suspected <i>Pneumocystis pneumonia</i>
Antifungal drugs (echinocandins, amphotericin B lipid-based formulations)	Suspected invasive mycosis

**Table 8** Main cardiovascular complications of oncological therapy<sup>[91,92]</sup>

Cardiovascular complications	Types	Oncological therapies
Left ventricular dysfunction	Cardiomyopathy or myocarditis	Anthracyclines ( <i>e.g.</i> , doxorubicin, auronubicin, epirubicin, idarubicin), antiangiogenic agents ( <i>e.g.</i> , bevacisumab, sunitinib, sorafenib), alkylating agents ( <i>e.g.</i> , cyclophosphamide, cisplatin), monoclonal antibodies ( <i>e.g.</i> , trastuzumab, lapatinib), tyrosine kinase inhibitors ( <i>e.g.</i> , imatinib, dasatinib, nilotinib, sunitinib, sorafenib, lapatinib)
Arrhythmias	QT prolongation, bradycardia, heart block; Atrial arrhythmias; Ventricular arrhythmias or sudden cardiac death	Taxanes, arsenic trioxide, tyrosine kinase inhibitors ( <i>e.g.</i> , imatinib, dasatinib, nilotinib, sunitinib, sorafenib, lapatinib), anthracyclines ( <i>e.g.</i> , doxorubicin, auronubicin, epirubicin, idarubicin)
Coronary artery disease	Acute coronary syndromes (included acute myocardial infarction); Chronic ischemic heart disease	Antimetabolites ( <i>e.g.</i> , gemcitabine, cytarabine), cisplatin, taxanes, thalidomide, bevacisumab, radiotherapy
Pericardial disease	Pericarditis (effusive or constrictive form)	Radiotherapy
Hypertension	New-onset or worsening	Vascular endothelial growth factor inhibitors, antiangiogenic agents ( <i>e.g.</i> , bevacisumab, sunitinib, sorafenib), cisplatin, interleukins, interferon

CACD may be detected in up to 48% while late-onset disorders may be seen in up to 30%<sup>[93]</sup>. The highest incidence of CACD is reached by anthracyclines such as doxorubicin (3%-26%), alkylating agents such as cyclophosphamide (7%-28%), and monoclonal antibody such as trastuzumab (2%-28%)<sup>[94]</sup>.

CACD is classified as type 1 or type 2 depending on the administered therapy<sup>[95]</sup>.



**Figure 3 Sepsis diagnosis and treatment in neutropenic patients.** ANC: Absolute neutrophil count; CISNE: Clinical Index of Stable Febrile Neutropenia score; CGS: Coma Glasgow Scale; MAP: Mean arterial pressure; MASCC: Multinational association of supportive care of cancer risk-index; SBP: Systolic blood pressure; UO: Urine output.

CACD type 1 is typically related to anthracycline drugs, not reversible with cessation of therapy, and dose-dependent; necrosis, vacuoles and disruption of sarcomeres are seen as histopathological findings. CACD type 2, usually associated with monoclonal antibodies such as trastuzumab, is reversible with cessation of therapy, dose-independent, and no ultrastructural disruption in cardiomyocyte cell is found.

There is no consensus to define CACD, but there is convergence regarding clinical or echocardiographic left ventricular dysfunction as the main condition<sup>[95]</sup>. Diagnosis of CACD can be made if at least one of the following criteria is reached<sup>[95,96]</sup>: (1) Cardiomyopathy with compromised left ventricular function; (2) Symptoms or signs of heart failure linked to the presence of third noise, tachycardia, or both; (3) Left ventricular ejection fraction (LVEF) less than 55% with a symptomatic decrease of 5%, or an asymptomatic decrease of 10%; and (4) Reduced LVEF > 10% from baseline or LVEF < 53% (the normal reference value for 2D echocardiography), confirmed in two consecutive echocardiography assessments within 2-3 wk apart.

Echocardiography was widely disseminated due to its easy availability, low cost, free of radiation, and information concerning the hemodynamic status and valvular diseases. There is no agreement regarding the time and frequency to achieve echocardiography in cancer patients on chemotherapy, although it is suitable before starting therapy (especially if there are cardiovascular risk factors or history of cardiac disease), during treatment, and 6 to 12 mo after completion<sup>[97]</sup>.

Measurement of LVEF alone may overlook small changes. A variation in myocardial deformation, assessed by myocardial strain image, may precede significant decline in LVEF<sup>[98-100]</sup>. Magnetic resonance image (MRI) is very useful to determine the size of heart chambers and their function, but cannot be used at bedside for critically ill patients in the ICU. Thus, it should be used when other tests are inconclusive<sup>[91,95]</sup>.

The high-sensitive cardiac troponins and N-terminal pro-B-type natriuretic peptide are cardiac biomarkers without general recommendation for diagnosis of cardiotoxicity; however, these noninvasive diagnostic methods are cheaper than other imaging studies or myocardial biopsy. Cardiac troponins are associated with

prognosis in patients on anticancer therapy; thus, higher plasma concentration requires closer monitoring and a possible therapy modification<sup>[91,101]</sup>. Cut-off points have not been established.

The treatment of adverse-side effects of antineoplastic therapy should be individualized depending on the risk factors for cardiotoxicity, severity, and prognosis (Figure 4<sup>[92,102,103]</sup>). The International Cardio Oncology Society-One trial found beneficial effects of prophylactic enalapril in patients on anthracycline therapy<sup>[104]</sup>. A recent study conducted in Brazil showed that carvedilol administered during chemotherapy reduced troponin levels and the risk of systolic dysfunction<sup>[105]</sup>. A recent meta-analysis showed the usefulness of  $\beta$ -blockers to preserve left ventricular function during anthracycline therapy<sup>[106]</sup>. Consequently, we would expect an increased cardiac tolerability with higher doses of chemotherapy with little or no interruption.

$\beta$ -blockers may have further positive effects on malignancy. Since  $\beta$ -adrenergic receptors are overexpressed in malignant breast tissue, propranolol was tested on early-stage breast cancer patients<sup>[107]</sup>. Molecular analysis showed reduced Ki67 protein expression and decreased phosphorylation of mitogenic signaling regulators; additionally, reduced tumor proliferative indices, metastases rate, and mortality rate were also found<sup>[107]</sup>. Propranolol also modifies mitogenic and apoptotic signaling in late-stage breast cancer<sup>[108]</sup>. Long-term  $\beta$ -blockers improved survival outcomes in older ovarian cancer patients with cardiovascular disease<sup>[109]</sup>.

Statins are drugs commonly used in patients with cardiovascular diseases and cancer. Statins regulates cell membrane integrity, cell signaling, protein synthesis, and cell cycle progression; they also modify angiogenesis and tumor growth<sup>[110]</sup>. Several studies demonstrated that statins are associated with reduced mortality rates in patients with breast cancer, renal cell carcinoma, and colorectal cancer<sup>[111,112]</sup>. A recent meta-analysis showed that statins was associated with improved outcomes in patients with lung cancer<sup>[113]</sup>, but it was not supported by powered randomized controlled trials. Conversely, other meta-analysis of randomized controlled trials evidenced that statins did not improve overall survival rates or progression-free survival rates in patients with active cancer<sup>[114]</sup>.

For patients with severe heart failure or cardiogenic shock, inotropic drugs and left ventricular mechanical support devices must be considered<sup>[115,116]</sup>. Glucocorticoids are the first-line therapy, and tumor necrosis factor- $\alpha$  inhibitors as second choice, for myocarditis with lymphocyte infiltration in patients treated with immune checkpoint inhibitors<sup>[91]</sup>. Cardiac transplant may be an option in selected patients. As expected, the criteria for transplanting these patients differ according to institution and country because active malignancy is generally considered as an absolute contraindication; nevertheless, it is interesting that survival rates after cardiac transplant in cancer patients is similar to those in noncancer patients<sup>[102,117]</sup>.

Recently, cardio-oncology has emerged as a clinical (and scientific) area dedicated to diagnose and treat anticancer therapy-related cardiovascular complications to avoid interruption of treatment. This new discipline combine together cardiologists, oncologists, and hematologists in specialized units<sup>[118,119]</sup>. In institution without cardio-oncology unit, cancer patients with potentially fatal cardiovascular complications must be admitted to the ICU. Thus, it is necessary to adopt clinical guidelines according to the center resources to provide the best care, especially in cases with acute decompensated heart failure, cardiogenic shock, hypertensive emergency, and arrhythmias.

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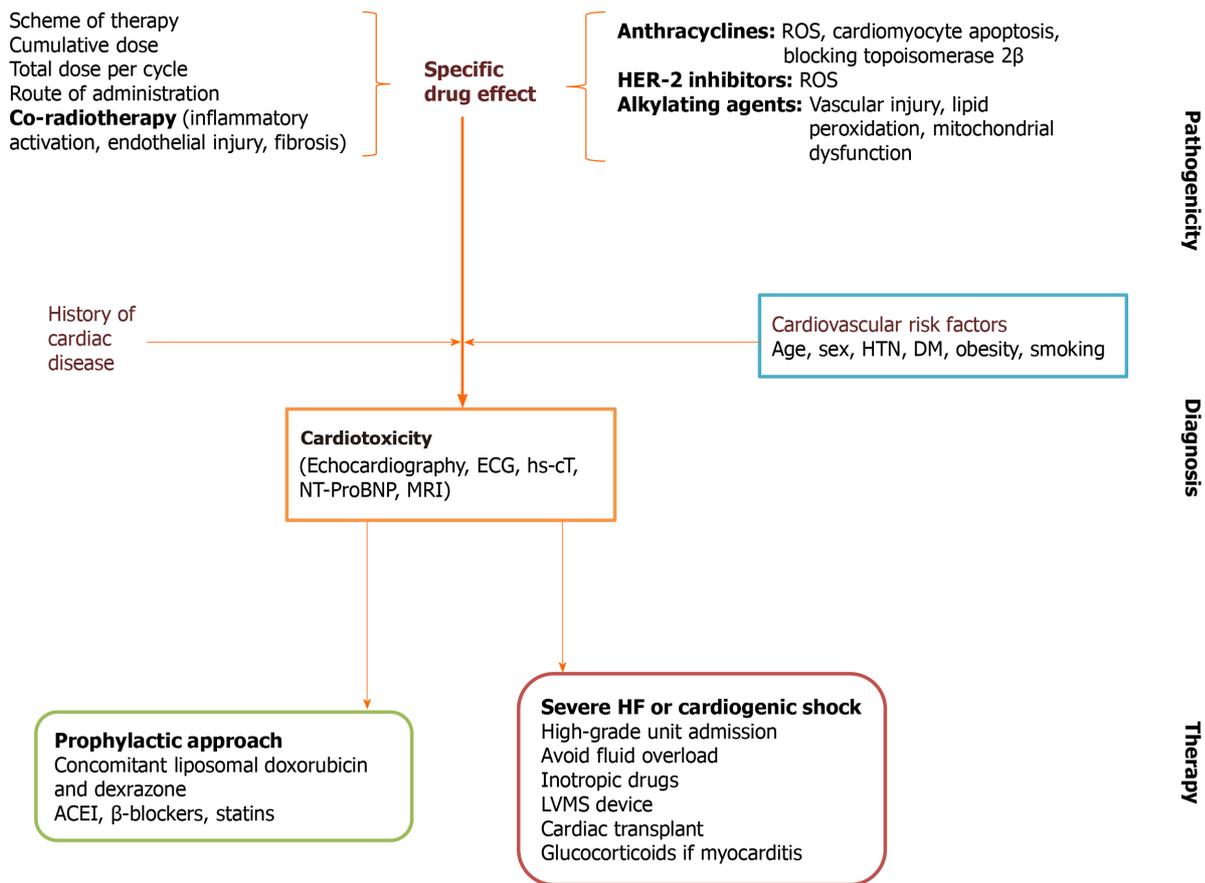
## PERIOPERATIVE CARE

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ICU is commonly required for cancer patients in the postoperative period because of the complexity of surgical procedure and potential complications. Topics regarding anesthetic management and surgical issues were addressed in this review.

### **General considerations**

Effects of chemotherapy and radiotherapy on respiratory system must be recognized before orotracheal intubation. Severe mucositis lead to pseudomembranous material, edema, and bleeding, which compromises the airway and increases the risk of aspiration during endotracheal intubation. Radiation on the head and neck region may produce permanent tissular fibrosis limiting mouth opening and tongue mobility. Radiotherapy-associated airway fibrosis and tracheal stenosis, usually not recognized on physical examination, may affect intubation and ventilation<sup>[120]</sup>; thus, monitoring of pulse oximetry and arterial blood gases in perioperative period is mandatory.



**Figure 4 Pathogenic, diagnostic and therapeutic approach of chemotherapy-associated cardiac dysfunction**<sup>[92,102,103]</sup>. ACEI: Angiotensin-converting enzyme inhibitor; ECG: Electrocardiography; DM: Diabetes mellitus; hs-cT: High-sensitive cardiac troponins; HTN: Arterial hypertension; LVMS: Left ventricular mechanical support; MRI: Magnetic resonance image; NT-ProBNP: N-terminal pro-B-type natriuretic peptide; ROS: Reactive oxygen species.

Excessive perioperative fluid administration has been correlated with surgical and pulmonary complications; therefore, fluid administration need to be monitored using dynamic indexes to optimize volume status<sup>[121,122]</sup>. Chemotherapy drugs such as bleomycin and mitomycin may cause lung toxicity<sup>[123]</sup>. However, in a large cohort of patients from the cancer registry of the Mayo Clinic, only seven patients receiving systemic bleomycin developed acute respiratory distress syndrome after surgery<sup>[124]</sup>.

Transfusion-related immunomodulation is associated with decreased survival rates in cancer patients. This is a secondary phenomenon produced by multiple immunomodulatory mediators derived from white blood cells, red blood cells, and platelets of the donor<sup>[125]</sup>. Transfusion of red blood cells in the perioperative period affects the survival of cancer patient; thus, reducing blood transfusions could have a positive impact on outcome<sup>[126]</sup>. On the other hand, Manning-Geist *et al*<sup>[127]</sup> observed that perioperative transfusion of red blood cells after debulking surgery in ovarian cancer was not related with wound complication and thrombosis.

### Anesthetic topics

Cancer surgery induces neuroendocrine and immune stress response, which may be reduced by regional anesthesia. Surgical manipulation is associated with spreading of tumorigenic cells and releasing cancer-growth factors<sup>[128]</sup>; thus, immune system modulation may contribute to reduce the incidence of metastases<sup>[129]</sup>.

Changes in immune system has been reported with anesthetic gases<sup>[130]</sup>. Volatile anesthetics inhibit leukocyte activity and stimulate angiogenesis and metastases<sup>[131]</sup>; however, evidence is not conclusive because most studies were carried out *in vitro*. In ovarian cancer cells, isoflurane was related to cell cycle progression and cell proliferation, and increased expression of tumorigenic markers such as insulin-like growth factor 1 within the first 24 h<sup>[131]</sup>. In breast cancer surgery, preserved natural killer (NK) cells activity was found with propofol-paravertebral anesthesia while reduced NK activity was demonstrated using sevoflurane<sup>[132]</sup>.

Hong *et al*<sup>[133]</sup> found that cancer patients treated with volatile inhaled anesthesia had

a 5-year overall survival rate similar to those on total intravenous anesthesia. The ENIGMA-II trial did not show negative effects of nitrous oxide on cancer recurrence or mortality<sup>[134]</sup>. Further randomized controlled trials are required.

Recent studies suggest that opioids inhibit the cellular and humoral immunity, promote proliferation and migration of tumor cells, and facilitate angiogenesis<sup>[129,135]</sup>. Opioid-induced immunomodulation is manifested in two ways: (1) Direct effects on immune cells *via*  $\mu$  receptor and toll-like receptor 4 expressed in the surface of NK cells, macrophages and T-cells (peripheral effects)<sup>[136]</sup>; and (2) Indirect effects through the sympathetic nervous system and hypothalamic-pituitary-adrenal axis, which suppress lymphocyte proliferation and NK cell cytotoxicity in lymphoid organs (central effects)<sup>[137,138]</sup>. Nonetheless, the type of drug and the administration period may modify the immunological effects of opioids<sup>[139,140]</sup> (Table 9<sup>[131,140-142]</sup>).

Propofol, a sedative drug commonly used in operating room and ICU, has been associated with tumor growth inhibition and reduced risk of metastasis. In patients undergoing hepatectomy for hepatocellular carcinoma and colon cancer surgery, propofol-based total intravenous anesthesia was associated with improved survival rates and reduced postoperative metastases compared with desflurane anesthesia<sup>[143,144]</sup>. Instead, Huang *et al*<sup>[145]</sup> observed no significant difference in locoregional recurrence or overall 5-year survival rates using desflurane or propofol anesthesia in patients undergoing breast cancer surgery.

### Surgical topics

High-local chemotherapy concentration is reached using the hyperthermic intraperitoneal chemotherapy method. Systemic toxicity, including hematological toxicity, is less common than those with systemic administration of chemotherapy<sup>[146]</sup>; nonetheless, hematological and pulmonary toxicity may be occasionally produced with potentially fatal outcomes<sup>[147]</sup>.

The Enhanced Recovery After Surgery (ERAS) program reduces surgical stress and improve recovery for an early hospital discharge. This approach includes three components<sup>[148,149]</sup>: (1) Preoperative: Preadmission counseling, early discharge planning, reduced fasting duration, carbohydrate loading, no/selective bowel preparation, antibiotic prophylaxis, thromboprophylaxis, pre-warming, and no premedication; (2) Intraoperative: Short-acting anesthetic agents, mid-thoracic epidural anesthesia/ analgesia, surgical techniques, no drains, avoidance of fluid overload, and maintenance of normothermia; and (3) Postoperative: Mid-thoracic epidural analgesia, no nasogastric tube, prevention of nausea and vomiting, avoidance of salt and fluid overload, early removal of catheters, early oral nutrition, nonopioid oral analgesia/nonsteroidal anti-inflammatory drugs, early mobilization, stimulation of gut motility (*e.g.*, chewing gum), defined discharge criteria, and audit of compliance and outcomes.

ERAS program has become a widely accepted surgical practice worldwide. Positive outcomes have been found in several surgical locations including elective and emergency surgery<sup>[149-151]</sup>. ERAS protocols have led to decreased length of hospitalization by 30% to 50%, as well as reduced complications, readmission rates, and health costs<sup>[149,142]</sup>.

Laparoscopic surgery within ERAS protocols in cancer patients has also shown optimistic outcomes<sup>[153,154]</sup>. ERAS program resulted in improved outcomes, reduced hospitalization cost, and enhanced quality of life as shown by Wang *et al*<sup>[155]</sup> in a meta-analysis of elective gastric cancer surgery.

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## NEUROLOGICAL DISORDERS

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Neurological symptoms and signs are commonly seen in cancer patients. Neurological symptoms may be the initial expression of undiagnosed cancer, emerge during the course of disease, or appear linked to treatment<sup>[156]</sup>. Cancer patient may also develop nonmalignancy-related neurological disorders, which require a rational approach to exclude cancer-related complications.

Neurological disorders require early diagnosis and treatment to reduce functional loss. Surgical treatment is often required, for which the multidisciplinary approach is mandatory<sup>[157]</sup>. Neurological disorders in cancer patient is produced by<sup>[158]</sup>: (1) Direct effects of tumor: Brain metastases, cerebral edema, seizures, spinal cord compression, hydrocephalus, leptomeningeal carcinomatosis; (2) Indirect effects of tumor: Paraneoplastic syndromes, stroke, cerebral venous thrombosis, infection, metabolic and electrolytic disorders; and (3) Treatment effects: Convulsions, cerebrovascular

Table 9 Immunological effects of opioids

Opioids	Immunological effects
Morphine	Decreased NK cell cytotoxicity <sup>[131]</sup> ; Impaired intestinal barrier function <sup>[140]</sup>
Fentanyl and sufentanil	Decreased NK cell cytotoxicity <sup>[141]</sup> ; Inhibition of cellular and humoral immunity <sup>[141]</sup>
Tramadol	Reverse the immunosuppression after surgery <sup>[142]</sup>

NK: Natural killer.

accident (*e.g.*, intracranial hemorrhage due to thrombocytopenia, venous sinus thrombosis), leukoencephalopathy, loss of vision or hearing, peripheral neuropathy, aseptic meningitis, opportunistic infections, acute or late post-radiation necrosis.

The most common neurological emergencies are brain metastases, seizures, and obstructive hydrocephalus<sup>[156]</sup>. Intracranial hypertension related to cerebral edema, hydrocephalus or mass effect is commonly seen.

### Brain metastases

Brain metastases complicate up to 20% of cancer patients and are 10-fold more frequent than primary brain tumors<sup>[159]</sup>. Cancer producing metastases are lung (*e.g.*, nonsmall cells), breast (*e.g.*, HER-2), kidney and melanoma<sup>[158,160]</sup>. Fifty percent of metastases are solitary lesion. Distribution of brain metastases are cerebral hemispheres (80%), cerebellum (15%) and brainstem (3%). Cerebral edema associated with metastases produces intracranial hypertension. Pathogenesis of edema is complex, including vasogenic edema secondary to capillary leakage, venous stasis, and cerebrospinal fluid obstruction<sup>[159,160]</sup>.

Cerebral metastases may be the initial feature of cancer in 8-10% of cases. It may be characterized by intracranial hypertension with alterations in level of consciousness, headache, and vomiting; focal neurological deficit such as sensory or motor defects, speech disorders, instability, and cognitive impairment; or asymptomatic. Seizures almost always occur when there are multiple metastases, intralesional bleeding, herniation, hydrocephalus, or sudden-onset ischemia of large vessels<sup>[158,160]</sup>. Diagnosis is made by contrast enhanced MRI. Contrast CT is useful if MRI is contraindicated or intracranial hemorrhage is suspected, but it is less sensitive for posterior fossa or small tumors<sup>[159,160]</sup>.

Treatment is discouraging. Several factors such as type and location of primary tumor, age, and extracranial disease are involved in prognosis. Therapeutic options include surgical resection, radiotherapy, stereotactic radiosurgery and chemotherapy<sup>[159-167]</sup>. In patients with good performance status and known primary tumor, surgical resection of unique lesions of noneloquent areas followed by radiation therapy is recommended<sup>[159]</sup>. In eloquent area lesions, radiation therapy is preferred. Radiation of the entire skull is chosen for multiple and symptomatic metastases, although prognosis is not improved and almost half of patients die due to neurological progression<sup>[162,163]</sup>. Traditional cytotoxic chemotherapy is not routinely used in the treatment of brain metastases because of low response rates<sup>[164]</sup>; however, germ-cell tumors and non-Hodgkin lymphoma with nervous system involvement are treated with chemotherapy<sup>[166,167]</sup>. Metastases secondary to melanoma and renal carcinoma do not respond to chemotherapy<sup>[158]</sup>. Targeted therapies and immunotherapy are promising oncospecific therapies<sup>[168-172]</sup>.

Despite aggressive treatment, many patients develop malignant cerebral edema and seizures. Cerebral edema occurs through disruption of blood-brain barrier by direct effect of metastases, as well as released several cytokines and growth factors by the tumor cells including the endothelial vascular growth factor with promoting angiogenesis<sup>[159]</sup>. These factors favor endothelial clefts formation with fragmentation and fenestration of endothelium, and consequently, injury to the basement membrane<sup>[159]</sup>. Vasogenic edema with fluid leakage and increased interstitial fluid pressure is then developed. Peritumoral edema eventually leads to symptoms and signs of mass effect and increased intracranial pressure.

Glucocorticoids are indicated for all symptomatic patients with metastases-associated cerebral edema. Dexamethasone is the most used due to its long half-life and lower mineralocorticoid activity. Recommended dose is 4-8 mg/d (up to 16 mg/d in very severe symptomatic patients). Higher doses have not additional benefits and side effects may occur. Dexamethasone doses should be progressively decreased in 2

or more weeks to avoid complications of chronic steroid administration (*e.g.*, immunosuppression, hyperglycemia, increased risk of opportunistic infections)<sup>[173]</sup>. Other therapies include hyperventilation, hypertonic sodium chloride or mannitol 20% in severe intracranial hypertension to prevent herniation in neurocritically ill patients<sup>[174]</sup>.

### Seizure

Seizure complicating brain tumor is commonly found as simple, complex-partial or generalized epilepsy<sup>[158]</sup>. Status epilepticus may also be developed. Seizures depend on the type and location of brain tumor, as well as cancer-related complication. The reasons of cancer-related seizure are listed in **Table 10**. Diagnosis is made by clinical feature and electroencephalography showing epileptic changes on brain waves. Epileptiform waves could be present even in absence of clinically visible seizures<sup>[175]</sup>. Hemiplegia and other focal symptoms may appear up 75% of patients depending on tumor location; infratentorial disease is related to ataxia, vomiting, dysarthria and nystagmus<sup>[158]</sup>.

Seizure prophylaxis is not recommended for patients with brain tumor; however, this is a controversial recommendation because of improved accurate diagnosis and prognosis using the current continuous electroencephalography, and the introduction of newer and less toxic anticonvulsants (*e.g.*, levetiracetam, lamotrigine, and lacosamide)<sup>[176]</sup>. Once airway, breathing, circulation, and “dextrose” (the “ABCDs”) have been addressed, acute seizure is treated with parenteral benzodiazepines (*e.g.*, IV lorazepam or diazepam; intramuscular midazolam) as first-line agents. Second-line therapy (*e.g.*, phenytoin/fosphenytoin, valproic acid, phenobarbital, or levetiracetam) should be initiated within 30 min if first-line treatment failed. If second-line agents are ineffective, treatment is escalated to anesthetic agents such as continuous infusion of midazolam, propofol, or pentobarbital<sup>[177]</sup>. When mass effect or worsening edema is present, dexamethasone can be effective in controlling seizures. For metastasis-related seizures, chemotherapy, radiotherapy and surgery are alternative therapies. Surgical resection is recommended for patients with tumor located in the posterior fossa. Early diagnosis and urgent correction are required for metabolic or electrolytic imbalance-induced seizures.

Maintenance anticonvulsant medication requires more careful evaluation since the old anticonvulsants (*e.g.*, phenytoin, carbamazepine, and phenobarbital) simultaneously induce CYP coenzymes. These coenzymes accelerate the metabolism of steroids and chemotherapeutic agents. Newer antiepileptic drugs such as levetiracetam, without CYP metabolism, are recommended in these circumstances. Other options are gabapentin, pregabalin, lamotrigine, and lacosamide<sup>[178]</sup>.

### Acute hydrocephalus

Acute hydrocephalus is a medical emergency caused by a stopped cerebrospinal fluid (CSF) flow or an increased CSF content. **Table 10** lists the reasons of acute hydrocephalus in cancer patients. Since 80% of maximum ventricular dilation is reached in almost 6 h, acute hydrocephalus may be rapidly developed. Clinical diagnosis is suspected in patients presenting headache, blurred vision, transient loss of visual field, ataxia, vomiting, and impaired consciousness. Headache is present in 50% of cases (on occipital region if increased intracranial pressure), exacerbates with the Valsalva maneuver, and is associated with nausea and vomiting<sup>[158,160]</sup>. Papilledema and focal neurological signs may be present. Tumor interference the CSF flow with a valve-way mechanism at the level of third or fourth ventricle may result in periodic increased intracranial pressure<sup>[160]</sup>. Noncontrasted CT scan allows identifying the size of ventricles. Obstructive hydrocephalus is classically characterized by ventriculomegaly proximal to the site of obstruction and periventricular edema.

The treatment of acute hydrocephalus should be early and effective. Several procedures have been described such as emergency ventriculostomy, ventricular bypass, endoscopic ventriculostomy, aqueductoplasty (due to aqueduct stenosis), septostomy (in isolated lateral hydrocephalus), and in some cases tumor debulking. Radiotherapy and chemotherapy are options in patients with hydrocephalus secondary to leptomeningeal carcinomatosis or metastatic CSF seeding. Patients with nonsevere obstructive hydrocephalus could be treated with osmotic agents to reduce intracranial pressure (*e.g.*, mannitol 20% or hypertonic sodium chloride) and/ or drug interfering with CSF production such as acetazolamide, furosemide, and glucocorticoids<sup>[179]</sup>.

**Table 10 Causes of cancer-related seizure and cancer-related acute hydrocephalus<sup>[158]</sup>**

Causes	Comments
<b>Cancer-related seizure</b>	
Low-grade tumors	Glioma and oligodendroglioma have intrinsic epileptogenic activity as a result of their long survival and reduced seizure threshold
High-grade tumors	Usually secondary to necrosis, hemorrhage or edema
Brain metastases	Up to 40%
Tumor location	Cortical tumors and those on epileptogenic areas ( <i>e.g.</i> , mesial temporal lobe and insula) are associated with intractable epilepsy
Stroke	Ischemic or hemorrhagic
Drug toxicity	Cytarabine, methotrexate, cisplatin, vincristine, cyclophosphamide, anthracyclines
Neoplastic meningitis	
Paraneoplastic encephalitis	
Central nervous system infections	
Electrolytic imbalance	Hyponatremia, hypocalcaemia
Metabolic disorders	Hypoglycemia
Liver or kidney failure	
Aggravated preexisting epilepsy	Withdrawal medication
<b>Cancer-related acute hydrocephalus</b>	
Stopped CSF flow by tumor obstruction of ventricular system	Colloid cysts, ependymoma, intraventricular meningioma, choroid plexus papilloma or posterior fossa tumor; in adults it is often due to leptomeningeal carcinomatosis and intra-ventricular extension of metastasis
Increased CSF content due to deficit in reabsorption	Venous sinus thrombosis, infectious meningitis, metastatic seeding or subarachnoid hemorrhage

CSF: Cerebrospinal fluid.

## CHEMOTHERAPY IN ICU

Chemotherapy in ICU may be an option for patients with critical illness driven by the oncological disease, scheduled or ongoing chemotherapy in absence of contraindications, and requirement for monitoring or preventing potentially severe chemotherapy-side effects in high risk patients. Particularly, anticancer chemo or radiotherapy is necessary in cases of acute respiratory failure due to high grade non-Hodgkin lymphoma or hyperleukocytosis<sup>[5]</sup>. Antineoplastic drugs used by ICU team may be challenging due to little experience; indeed, associated sepsis or organ support methods at the time of chemotherapy onset are erroneously considered as a contraindication<sup>[6]</sup>.

Organ support therapies accompanied by chemotherapy may be beneficial in critically ill patients with cancer-related organ dysfunction<sup>[180]</sup>. Patient's consent, comorbidities, performance status, cancer-related life expectancy, and life-span-expanding treatment are necessary to be evaluated to improve outcome. A close collaboration with the attending oncologist or hematologist is mandatory. Organizational issues should be assured for success, including clinical protocols, securing of the medication circuit, consultation with pharmacist and experienced nurses, and daily rounds with the attending oncologist or hematologist<sup>[181]</sup>.

Studies identifying prognostic factors and outcomes of patients receiving chemotherapy in the ICU are scarce and have several limitations such as retrospective design, small sample size, and several nature of cancer<sup>[182-184]</sup>. Additionally, the following period and subgroup of analyzed patients may have an impact on clinical response (*e.g.*, solid tumor vs. hematological malignancy; traditional chemotherapy vs. targeted immunotherapy; urgent vs. maintenance chemotherapy), which need to be considered to state prognosis.

ICU and hospital mortality rates for patients with solid tumors who received chemotherapy in ICU range from 25% to 54%, and 58% to 77%, respectively<sup>[182-184]</sup>. One-year survival rates are as low as 7%-12%<sup>[182,185]</sup>. Lung cancer and acute respiratory failure due to airway compression or pulmonary infiltrates may explain the high

mortality rates<sup>[182-184]</sup>. In patients with hematological malignancy 25%-40% die in the ICU; 30-d, 6-mo and 1-year mortality rates is 40%, 51%-77% and 50%, respectively<sup>[10,185]</sup>. Risk factors for mortality are degree of organ dysfunction and life-support methods such as ventilatory support, vasopressors, and renal replacement therapy.

## CONCLUSION

Patients with cancer and organ dysfunction need to be early admitted to ICU for improving survival. Clinical and pathophysiological condition, cancer status, and expected life-span must be collectively evaluated to decide full or time-limited organ support methods. Specific disorders require a specialized and well-trained medical staff to optimize diagnosis, enhance treatment, and improve outcomes.

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## Retrospective Cohort Study

## Primary small cell oesophageal carcinoma: A retrospective study of different treatment modalities

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**ORCID number:** Mohammad Alfayez  
0000-0002-4190-0270.**Author contributions:** Alfayez M collected and analyzed the data, wrote the manuscript, read and approve the final manuscript.**Institutional review board****statement:** NHS Greater Glasgow and Clyde Ethics Committee has reviewed the research proposal for the study title primary small oesophageal cancer: A retrospective study of different modalities of treatment. The study is a historical cohort which was looking at the outcomes of patients with small cell of oesophagus who were treated at the Beatson West of Scotland Cancer Centre. There was no requirement to obtain ethical approval for such historical study.**Informed consent statement:**

Consent was not obtained but the presented data are anonymized and risk of identification is low.

**Conflict-of-interest statement:** The author has no conflict of interest related to the manuscript.**Data sharing statement:** Technical appendix, statistical code, and dataset available from the corresponding author at [malfayez@nhs.net](mailto:malfayez@nhs.net). No additional data are available.**Mohammad Alfayez**, Faculty of Medicine, Umm Al-Qura University, Makkah 21514, Saudi Arabia**Mohammad Alfayez**, King Abdullah Medical City, Makkah 21514, Saudi Arabia**Mohammad Alfayez**, Beatson West of Scotland Cancer Centre, Glasgow G12 0YN, United Kingdom**Corresponding author:** Mohammad Alfayez, MD, PhD, Assistant Professor, Faculty of Medicine, Umm Al-Qura University, Alabdeh campus, Makkah-Taif Road, Makkah 21514, Saudi Arabia. [malfayez@nhs.net](mailto:malfayez@nhs.net)**Abstract****BACKGROUND**

Primary small cell of esophageal carcinoma is an aggressive tumor with no established treatment guidelines. A treatment strategy was adopted based on small cell carcinoma of the lung because of many similar clinicopathological features. Here, we report one of the largest case series in a western population.

**AIM**

To review the practice of treating small cell oesophageal cancer (SCOC) with different treatment modalities treated at our institution between 2001 and 2014.

**METHODS**

A total of 28 cases of SCOC have been identified. All cases were identified with a ten-digit code known as the CHI number. Data was collected using a combination of an electronic database, case notes and the chemotherapy electronic prescribing system (chemocare). We collected information on age, gender, performance status, staging of the disease (limited stage *vs* extensive stage).

**RESULTS**

The results showed 17 patients (61%) were diagnosed with limited stage small cell oesophageal cancer (LS-SCOC), while 11 patients (39%) were diagnosed with extensive stage small cell oesophageal cancer (ES-SCOC). The median age at diagnosis of SCOC was 72 years (range 52-86). The median survival for patients with ES-SCOC was 7 mo (95%CI: 1-12) *vs* LS-SCOC [median 23 mo (95%CI: 14-40)],  $P < 0.0001$ . Subgroup analysis of those who received treatment showed the median survival for patients who received palliative chemotherapy was 7 mo

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(95% CI: 1.5-12), concurrent chemoradiation 45 mo (95% CI: 38-) and sequential chemoradiation 20 mo (95% CI: 17-25),  $P < 0.0001$ .

## CONCLUSION

Our data strongly support the use of concurrent chemoradiation in the treatment of LS-SCOC in patients who are fit with no significant comorbidity.

**Key Words:** Chemotherapy; Chemoradiotherapy; Small cell carcinoma; Oesophageal cancer; Palliative chemotherapy; Radiotherapy

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**Core Tip:** Primary small cell oesophageal carcinoma is rare, prognosis is poor and there is no established optimum treatment strategy. Here, we report largest case series in western world. Our data strongly support the use of concurrent chemoradiation in the treatment of limited stage of small cell carcinoma of the oesophagus in patients who are fit with no significant comorbidity.

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## INTRODUCTION

Small cell cancer is a disease characterised by aggressive clinical features, dramatic but often short-lived sensitivity to anti-cancer therapy, and rapid dissemination. The gastrointestinal (GI) tract is one of the more common sites of extra-pulmonary small cell cancer<sup>[1]</sup>, and within the GI tract the oesophagus is the organ most frequently affected<sup>[2]</sup>. Since its first description in 1952<sup>[3]</sup>, only a few hundred cases have been reported, and because of its rarity, consensus on treatment is lacking. Furthermore, no randomised controlled trials have been conducted, however, retrospective cohort studies are reported in the literature. Treatment strategy for small cell carcinoma of the lung has been adopted for oesophageal cancer, as both share many clinical and pathological features. For patients with primary oesophageal small cell cancer in whom there is no evidence of metastatic spread, treatment options include resection<sup>[4,5]</sup>, radiotherapy<sup>[6]</sup>, chemotherapy<sup>[7-9]</sup> and combination modality treatment<sup>[2]</sup>. Here, we review the practice of treating small cell oesophageal cancer (SCOC) with different treatment modalities at our institution.

## MATERIALS AND METHODS

We analysed all cases of SCOC treated at our institution between 2001 and 2014. A total of 28 cases of SCOC have been identified. All cases were identified with a ten-digit code known as the CHI number. Data was collected using a combination of an electronic database, case notes and the chemotherapy electronic prescribing system (chemocare). We collected information on age, gender, performance status, staging of the disease [limited stage (LS) vs extensive stage (ES)]. Further data on treatment modality was also collected. This including palliative chemotherapy, sequential chemoradiation (chemotherapy followed by consolidation radiotherapy), or concurrent chemoradiation. None of the patients had surgical resection as primary modality of treatment. Staging was used similar to the staging used in small cell lung cancer. LS is defined as when the tumour is encompassed within a safe and a tolerable radiation field. ES is when the disease is too widespread to be treated within one safe and tolerable radiation field. All patients had a confirmed histological diagnosis of SCOC from an upper gastrointestinal endoscopic biopsy as well as staging with a computed tomography (CT) for chest, abdomen and pelvis. The middle oesophageal tumour is defined endoscopically between 24 cm to 32 cm from incisors while lower oesophageal tumour is defined 32-40 cm from incisors.

None of the patients underwent a CT head scan as part of the staging process. None of the patients had positron emission tomography/computed tomography (PET/CT). The diagnosis of SCOC was made based on classical cellular morphology as well as immunohistochemistry staining. All cases were discussed at regional multidisciplinary team meeting before starting their treatment. Information on date of death was obtained *via* survival analysis undertaken by the Information Service Division of NHS Scotland. Death records were complete until 1 February 2015, which served as the censor date for those alive.

## RESULTS

Seventeen patients (61%) were diagnosed with limited stage small cell oesophageal cancer (LS-SCOC), while 11 patients (39%) were diagnosed with extensive stage small cell oesophageal cancer (ES-SCOC). Four patients diagnosed with LS-SCOC had mixed pathology, three of them diagnosed with small cell carcinoma and adenocarcinoma, while one patient had LS-SCOC mixed with squamous cell carcinoma.

The median age at diagnosis of SCOC was 72 years (range 52-86), and it appeared to be more common in men (57%) than in women. The tumour is more likely to be located in the lower part of the oesophagus (82%) than in the middle (Table 1). No upper oesophageal SCOC has been recorded.

Two patients (7%) diagnosed with ES-SCOC did not receive any treatment, while eight patients received platinum-based palliative chemotherapy (Table 2). The overall median survival for ES-SCOC was 7 mo (95%CI: 1-12, Figure 1). Three patients with ES-SCOC were found to have brain metastasis, two of them did not receive chemotherapy. Four patients who were treated with palliative chemotherapy went onto have a palliative dose of radiotherapy to the oesophagus of 20 Gray (Gy) in five fractions (Table 2).

Four patients with LS-small cell of esophageal carcinoma received platinum-based chemotherapy. One patient with mixed pathology of SCOC and squamous cell carcinoma had three cycles of ECX (epirubicin, cisplatin, and capecitabine) followed by three cycles of platinum-based chemotherapy. The median survival for that patient was 13.3 mo (Table 2).

Five patients received concurrent chemoradiation. Five weeks of radiotherapy, as part of the concurrent chemoradiation regimen, was provided after two cycles of induction platinum-based chemotherapy. This was delivered concurrently with one to two cycles of platinum-based chemotherapy. The dose of radiotherapy was 4000-5000 cGy.

Eight patients received sequential chemoradiotherapy. Radiotherapy as part of sequential chemoradiotherapy was administered three to five weeks after the last cycle of chemotherapy, with the dose given being 4005-5000 cGy. No prophylactic cranial irradiation (PCI) was given to any patients. None of the patients who were treated radically were found to have any brain metastases (Table 3).

The overall median survival of the LS-SCOC patients was 23 mo (95%CI: 14-40, Figure 1). Subgroup analysis showed survival of patients who received sequential chemoradiotherapy, and those who received concurrent chemoradiation, was 20 mo (95%CI: 17-25) and 45 mo (95%CI: 39-) respectively (Figure 2).

Two patients with ES-SCOC who progressed shortly after first line chemotherapy were determined fit enough and managed to receive two to three cycles of second line chemotherapy with a combination of the chemotherapy drugs cyclophosphamide, doxorubicin, and vincristine (CAV). Both patients progressed on while receiving CAV chemotherapy (two to three cycles). The experience with second-line chemotherapy in patients diagnosed with LS-SCOC was variable. Among those that received sequential chemoradiation, only three out of five patients who received second line chemotherapy were re-challenged with platinum-based chemotherapy (Table 4). None of the patients who had been treated with concurrent chemoradiotherapy had received second-line chemotherapy.

## DISCUSSION

Primary SCOC is an uncommon cancer, and here we report one of the largest case studies in a Western population. The clinical features of our patients with SCOC and its distribution are similar to most studies in the literature<sup>[10]</sup>. Specifically, we describe a male: Female ratio of 1.33:1, with all tumours arising from the mid- to lower-

Table 1 Demographics of the patients and the tumours

Characteristic	All patients (28)	Palliative chemotherapy (15)	Concurrent chemoradiotherapy (5)	Sequential chemoradiotherapy (8)
Age (yr)				
Median	72	72	79	70
Range	52-86	53-86	58-83	52-78
Performance status of 0 or 1 (%)	82	67	100	100
Sex				
Male (%)	57	53	100	38
Female (%)	43	47	None	62
Tumour Stage				
Limited (%)	60	27	100	100
Extensive (%)	40	73	None	None
Location of the tumour				
Mid-oesophagus (%)	18	27	None	13
Low-oesophagus (%)	82	73	100	87

Table 2 Clinical and treatment details of the 15 patients who received palliative chemotherapy

Patient	Age	Sex	PS	Stage	Site	CT	Cycles (n)	Palliative RT	Response	Survival (mo)
1	80	M	1	ES	Low	PE	6	No	PR	16
2	58	M	1	ES	Low	PE	6	No	PR	12
3	67	F	2	ES	Mid	P	4	No	PR	9
4	80	M	3	ES	Mid	P	2	No	UK	1.5
5	59	M	1	ES	Mid	PE	2	Yes	UK	2
6	70	F	1	ES	Low	PE	4	Yes	PR	12
7	53	F	0	ES	Low	CE	6	No	PR	10
8	62	F	2	ES	Mid	P	4	No	PR	7
9	65	M	0	ES	Low	PE	4	No	PR	3.5
10	81	F	3	ES	Low	None	0	No	NA	1
11	84	F	2	ES	Low	None	0	Yes	NA	1
12	86	M	1	LS	Low	P	2	Yes	SD	14
13	75	M	1	LS	Low	PE	4	No	PR	3
14	72	M	0	LS	Low <sup>1</sup>	ECX/CE	3/3	No	SD	13
15	75	F	1	LS	Low	PE	2	No	PR	5.5

<sup>1</sup>Mixed pathology of small cell oesophageal cancer and squamous cell carcinoma. CE: Cisplatin and etoposide; CT: Chemotherapy; ED: Extensive stage; ECX: Epirubicin, cisplatin and capecitabine; F: Female; LD: Limited disease; M: Male; Mid: Middle; NA: Not applicable; Low: Lower; PE: Carboplatin and etoposide; PS: Performance status; PR: Partial response; RT: Radiotherapy; SD: Stable disease; UK: Unknown.

oesophagus.

Four cases out of 28 (14%) had mixed pathology with the reminder 24 (86%) cases having a pure variant of small cell carcinoma. Comparable findings were reported in a recent meta-analysis<sup>[11]</sup>. Whilst the prognosis for many patients with the more typical oesophageal squamous or adenocarcinoma is often poor, small cell cancers are particularly associated with rapid growth, early dissemination, and a resultant poor prognosis with a typical median overall survival of 12 mo in the recent published

**Table 3 Clinical and treatment details of the five patients who received concurrent chemoradiotherapy**

Patient	Age	Sex	PS	Site	CT	Cycles (n)	RT dose	Response	Relapse	Alive <sup>1</sup>	Survival (mo)
1	83	M	0	Low	PE	4	50 Gy in 25 Fr	PR	Local	1	45
2	79	M	1	Low <sup>2</sup>	CE	4	45 Gy in 25 Fr	CR	Liver	1	38
3	73	M	1	Low	PE	3	45 Gy in 25 Fr	CR	None	0	92
4	58	M	1	Low	CE	4	50 Gy in 25 Fr	CR	Local <sup>3</sup>	0	110
5	79	M	0	Low	CE	4	45 Gy in 25 Fr	PR	Liver	1	40

<sup>1</sup>1 = Died, 0 = Otherwise.

<sup>2</sup>Mixed pathology initially, biopsy confirmed recurrence of squamous cell carcinoma only.

<sup>3</sup>New primary with adenocarcinoma; patient had salvage surgery. CE: Cisplatin and etoposide; CT: Chemotherapy; Fr: Fractions; M: Male; PE: Carboplatin and etoposide; PS: Performance status; PR: Partial response; RT: Radiotherapy.

**Table 4 Clinical and treatment details of the 8 patients who received sequential chemoradiotherapy**

Patient	Age	Sex	PS	Site	CT	Cycles (n)	RT dose	Response	Site of relapse	2 <sup>nd</sup> Line CT	Survival (mo)
1	52	F	0	Mid	CE	6	50 Gy in 20 Fr	CR	Liver	2 Top	25
2	78	F	0	Low	PE	1	50 Gy in 20 Fr	CR	UK	None	25
3	71	M	0	Low	CE/PE	3	50 Gy in 20 Fr	CR	Local	6 PE	23
4	70	M	1	Low <sup>1</sup>	PE	5	50 Gy in 20 Fr	PR	Local	2 PE	20
5	67	F	1	Low	CE	4	45 Gy in 25 Fr	PR	Local <sup>2</sup>	3 ECX	65.5
6	70	F	1	Low	CE	4	50 Gy in 20 Fr	UK	UK	None	19
7	73	F	1	Low	PE	4	4005 cGy in 15 Fr	PR	UK	None	17
8	69	M	1	Low <sup>1</sup>	PE	5	50 Gy in 25 Fr	PR	UK	2 PE	20

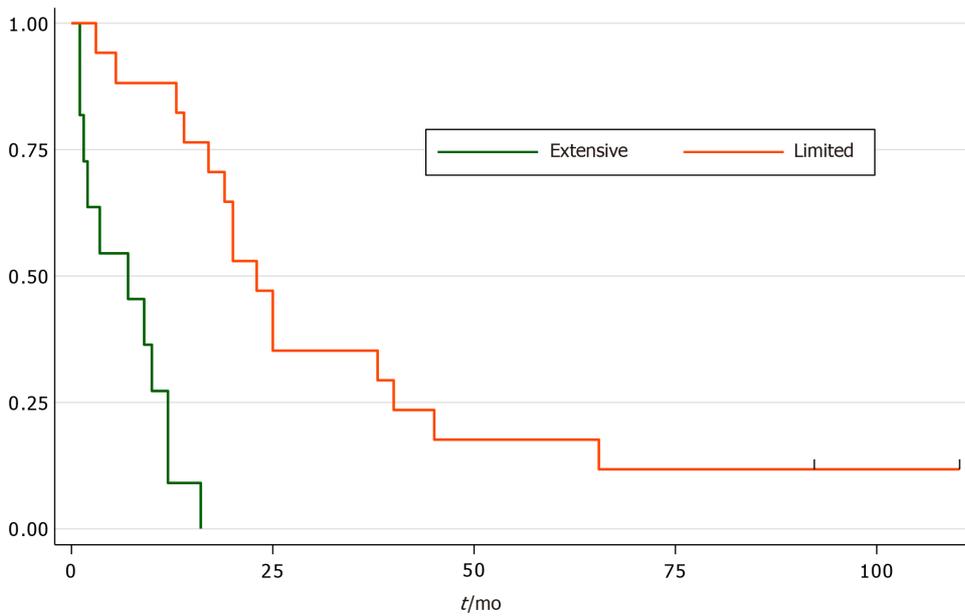
<sup>1</sup>Mixed pathology of small cell oesophageal cancer and adenocarcinoma.

<sup>2</sup>New primary with adenocarcinoma, patient had palliative chemotherapy. CE: Cisplatin and etoposide; CR: Complete response; CT: Chemotherapy; Fr: Fractions; M: Male; Mid: Middle; PE: Carboplatin and etoposide; Low: Lower; PS: Performance status; PR: Partial response; RT: Radiotherapy; Top: Topotecan; UK: Unknown; 2<sup>nd</sup> Line CT: Second line chemotherapy.

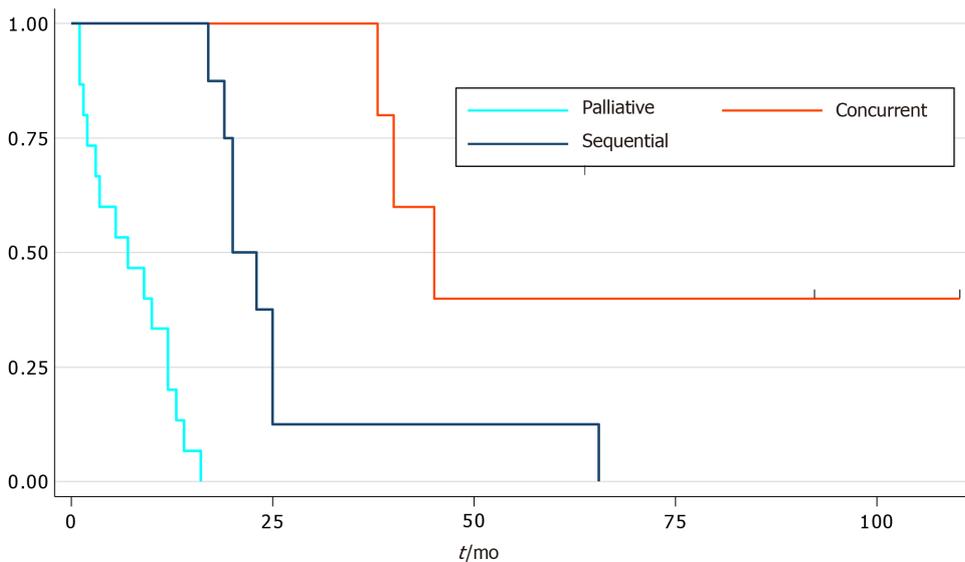
meta-analysis<sup>[11]</sup>.

The role of surgical resection in patients with SCOC is still not proven with outcomes remaining unfavourable. Primary surgery with or without adjuvant treatment has elicited poor outcomes<sup>[12-14]</sup> with a median survival in a number of surgical resection series is less than 12 mo<sup>[12]</sup>.

There is a general consensus that systemic chemotherapy should also be used in the treatment of small cell carcinoma of any primary site because of the high likelihood of early dissemination. It may be appropriate to extrapolate the data from small cell carcinoma of the lung to SCOC. In our case series, patients with ES-SCOC treated with systemic treatment had only a median survival time of nine months. Similar findings have been reported from a case series in the United Kingdom<sup>[15]</sup>. The treatment of choice in the first-line setting is platinum-based chemotherapy. The treatment choice for second-line chemotherapy is variable. However, extrapolating from small cell



**Figure 1** Kaplan Meier survival curves of extensive stage small cell oesophageal cancer [median 7 mo (95%CI: 1-12)] vs limited stage small cell oesophageal cancer [median 23 mo (95%CI: 14-40)]. Log-rank test  $P < 0.0001$ .



**Figure 2** Kaplan Meier survival curves for palliative chemotherapy (median survival 7 mo (95%CI: 1.5-12), concurrent chemoradiation 45 mo (95%CI: 38-) and sequential chemoradiotherapy 20 mo (95%CI: 17-25). Overall Log-rank test  $P < 0.0001$ . Concurrent

carcinoma of the lung, for late relapse (> 6 mo), it is reasonable to consider retreatment with platinum-based chemotherapy<sup>[16]</sup>. In our case series, all patients received platinum based chemotherapy as their first line chemotherapy here, such chemotherapy was administered to all patients that received active treatment. Only eight out of 25 patients (32%) were given second-line chemotherapy.

In contrast to systemic treatment, radiotherapy alone has not been widely used<sup>[15]</sup>. None of the patients presented in our series had primary radiotherapy as the sole treatment. However, radiotherapy has been used previously either to consolidate the primary site sequentially after systemic treatment or concurrently with chemotherapy. In our series sequential chemoradiotherapy has a median survival time of 23 mo (95%CI: 17.5-27.8). This is compatible with Hudson *et al*<sup>[15]</sup>'s case series.

There have recently been favourable reports of chemoradiotherapy as the sole treatment of SCOC<sup>[13]</sup>. Unfortunately, there are no randomised controlled trials to support its use. The results presented in our case series suggest that treating patients with LS-SCOC with concurrent chemoradiation yields the longest median survival

time of 45 mo (95% CI: 34.5-55.3). Although we recognise it is difficult to draw conclusions from this given there were so few patients involved. Furthermore, our data suggested re-biopsy of the local recurrence is warranted as a new primary tumour at the local site is a possibility.

In our cohort, one patient treated with concurrent chemoradiation had an initial biopsy that was compatible with a carcinoma demonstrating mixed squamous and small cell features. Upon completion of treatment, repeat endoscopic and radiologic assessment revealed no evidence of residual tumour or metastatic disease. The patient remained well for three years before presenting with fatigue, weight loss, and abdominal pain. Investigations at this time demonstrated liver metastases. Fine-needle aspiration cytology of one of the liver lesions uncovered features of recurrent squamous cancer with no evidence of a residual neuroendocrine element. No further treatment was provided and the patient subsequently died two months later, 38 mo after diagnosis.

Another patient who diagnosed with pure SCOC treated with concurrent chemoradiation, remained well (with negative endoscopic/histological findings) until the development of symptoms of gastro-oesophageal reflux 21 mo after completion of CRT. Endoscopy demonstrated minor oesophagitis with no macroscopic tumour evident, through biopsies of this area revealed the presence of a moderately differentiated adenocarcinoma. The patient underwent salvage oesophagostomy and recovered very well from the operation, continuing to be alive today.

PCI has been shown to improve survival, as well as local control, in small cell carcinomas of the lung<sup>[17,18]</sup>. The role of PCI in patients with SCOC is unclear. None of the patients presented in this series with LS had a relapse in the brain. We think it is therefore reasonable to omit PCI in patients with SCOC, consistent with a previous case series report<sup>[15]</sup>. One of the drawback of the study is no robust collection of treatment toxicity.

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## CONCLUSION

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In conclusion, tumours such as SCOC provide treatment challenges because of the lack of RCT evidence. However, our data strongly support the use of concurrent chemoradiation in the treatment of LS-SCOC in patients who are fit with no significant comorbidity. Those patients have a better survival compared to the rest of the other groups. Further, PCI can be safely omitted in this group.

## ARTICLE HIGHLIGHTS

### **Research background**

Small cell oesophageal cancer (SCOC) is rare. Until now, there was no general consensus of optimal treatment in this group of patients.

### **Research motivation**

Future RCT involving this small group population is a priority to determine best modality of treatment.

### **Research objectives**

The main objective was to determine the best modality of treatment for patients diagnosed with SCOC.

### **Research methods**

This is a retrospective analysis of different treatment modalities on this highly poor prognosis as well as a rare group of esophageal carcinoma.

### **Research results**

The finding of this study will add to growing body of literature on the benefit of CCRT in the treatment of limited stage (LS) small cell cancer of esophagus.

### **Research conclusions**

Patient with LS of oesophageal cancer with good performance status should be treated with Concurrent chemoradiation.

**Research perspectives**

The future research will involve prospective studies.

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## Albumin-bound paclitaxel as new treatment for metastatic cholangiocarcinoma: A case report

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### Abstract

#### BACKGROUND

Cholangiocarcinomas are rare and very aggressive tumors. Most patients have advanced-stage or unresectable disease at presentation, and the systemic therapies have limited efficacy. Albumin-bound paclitaxel (nab-paclitaxel) is a solvent-free taxane that has been approved for the treatment of some cancers such as breast, non-small cell lung and pancreatic cancer, however it has not been applied to treat cholangiocarcinoma. We have both preclinical and clinical evidence of the efficacy of nab-paclitaxel in cholangiocarcinoma, yet no phase 3 trials have been made.

#### CASE SUMMARY

A 63-year-old man was diagnosed in December 2016 with stage III B intrahepatic cholangiocarcinoma. Surgery was performed, followed by adjuvant chemotherapy treatment with capecitabine and gemcitabine; although, the gemcitabine was suspended due to allergic reaction after two cycles. In April 2019, metastatic cholangiocarcinoma relapse was diagnosed, and a first-line treatment with FOLFOX scheme was started. Eight cycles were administered, producing an initial clinical improvement and decrease in blood tumor marker levels. Radiological and serological progression was noted in September 2019. As a second-line treatment, FOLFIRI was not recommended due to risk of worsening the patient's tumor-related diarrhea. A combination therapy with gemcitabine was not feasible, as the patient had previously suffered from an allergic reaction to this treatment. We decided to use nab-paclitaxel as a second-line treatment, and four cycles were administered. Both clinical and serological responses were observed, and a radiological mixed response was also noted.

#### CONCLUSION

Advanced cholangiocarcinoma could be treated with nab-paclitaxel monotherapy,

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which should be studied in combination with other types of treatment (chemotherapy, fibroblast growth factor receptor inhibitors).

**Key Words:** Cholangiocarcinoma; Chemotherapy; Albumin-bound paclitaxel; Case report; Metastatic; Clinical trial

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**Core Tip:** Cholangiocarcinomas are very aggressive tumors. Most patients have advanced-stage disease at presentation and the efficacy of systemic therapies for this setting is limited. Albumin bound paclitaxel (nab-paclitaxel) has been approved in some cancers but not in cholangiocarcinoma. We present a clinical case of metastatic cholangiocarcinoma treatment with second-line nab-paclitaxel and we review the preclinical and clinical evidence about its usefulness in these tumors.

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## INTRODUCTION

Cholangiocarcinoma (CC) is a tumor that arises from epithelial bile duct cells. Intrahepatic CC originates above second-order bile ducts, whereas the cystic duct is the anatomical point of distinction between perihilar and distal (extrahepatic) CC<sup>[1]</sup>.

This tumor type accounts for less than 3% of all gastrointestinal cancers<sup>[2]</sup>. Considering its location, intrahepatic disease is less frequent (between 10%-20% of cases), whereas distal disease is more common (40% of total cases) and perihilar disease is most common (50% of cases)<sup>[3]</sup>. However, the international classification (*i.e.*, the ICD) of CC does not distinguish between perihilar and distal CC<sup>[4]</sup>. Also, the American Cancer Society groups intrahepatic bile duct cancers together with primary liver cancers, while placing extrahepatic biliary cancers in a separate category that includes gallbladder cancer. Thus, incidence data on CC subtypes according to location are difficult to interpret<sup>[5]</sup>.

The incidence of intrahepatic CC is rising in the United States and Europe<sup>[6-8]</sup>, although the proportion of early stage or smaller size lesions remains low without an observed increase<sup>[7]</sup>. The increasing incidence of intrahepatic CC may be due to new diagnostic methods for obstructive jaundice, or may be related to a concomitant increase in certain risk factors (cirrhosis, alcoholic liver disease, hepatitis C virus infection). Extrahepatic CC incidence is declining, and some of these differences may be due to changes in the ICD<sup>[9]</sup>.

CCs are aggressive tumors, and only a minority of patients (approximately 35%) have early-stage disease that is amenable to surgical resection with curative intent. Most patients have advanced-stage disease at presentation<sup>[10]</sup>, and the available systemic therapies for these patients have demonstrated limited efficacy; the median overall survival time with the current standard-of-care first-line chemotherapy (cisplatin and gemcitabine) is less than 1 year<sup>[11]</sup>. The development of new therapies is therefore essential.

Albumin-bound paclitaxel (nab-paclitaxel), a solvent-free taxane, has been demonstrated to produce higher response rates and improved tolerability than solvent-based formulations in patients with advanced metastatic breast cancer or non-small-cell lung cancer, among others tumor types. Additionally, it has not yet been proven to be efficacious in CC-based phase 3 clinical trials<sup>[12]</sup>.

In this study, we present what is, to our knowledge, one of the first published cases in the literature on the use of nab-paclitaxel as treatment for metastatic CC. We demonstrate that this therapy achieves a significant clinical and serological response, and we thus encourage studying this drug as a new treatment option for patients with poor CC prognoses.

## CASE PRESENTATION

### Chief complaints

In December 2016, a 63-year-old male underwent a magnetic resonance cholangiography as an assessment for cholecystectomy surgery. A possible cholangiocarcinoma was reported, appearing as a 20 mm hypodense intrahepatic mass at the right liver lobe. Confluence of the hepatic ducts was observed (Figure 1).

### History of present illness

In August 2018, a significant elevation of CA19-9 (294.4 IU/mL, Figure 2) was reported, although no relapse was observed in the computed tomography (CT) scan. The patient was asymptomatic, and the liver blood test results were similar to those presented after surgery [aspartate aminotransferase (AST) 56 U/L, alanine aminotransferase (ALT) 97 U/L, gamma-glutamyltransferase (GGT) 455 U/L, alkaline phosphatase (FA) 187 U/L]. Close monitoring was implemented.

In September 2018, CA19-9 continued to increase (513.2 IU/mL, Figure 2). However, the CT scan did not reveal disease relapse. In January 2019, the patient was admitted for cholangitis. A magnetic resonance cholangiography was performed, and no changes were observed in the liver. After discharge in February 2019, close follow-up was continued.

During the following months, the patient experienced clinical deterioration, which included stomach-ache, dyspepsia, and loss of 4 kg of weight. A slight deterioration in the liver blood test was seen (AST 83 U/L, ALT 125 U/L, GGT 1580 U/L, FA 308 U/L) and a progressive rise in CA19-9 was also observed (from 671.3 IU/mL in February 2019 to 3220.9 IU/mL at the end of April 2019, Figure 2). A thorax-abdomen-pelvis computerized tomography (TAP-CT) scan was requested, and no disease relapse was observed. Given the high suspicion of relapse, a positron emission tomography-CT was performed in April 2019. Multiple supraclavicular, mediastinal, and bilateral hilar lymphadenopathies, as well as segment IVa liver nodes and increased soft tissue in the celiac trunk region; all showed increased metabolic activity (Figure 3).

After 25 mo without signs of radiological disease, a relapse of stage IV intrahepatic cholangiocarcinoma was diagnosed. We recommended that the patient begin a first-line chemotherapy with cisplatin and gemcitabine at the usual doses. However, since a poor tolerance to gemcitabine was previously presented, we decided to instead begin with the FOLFOX6 treatment scheme.

The FOLFOX6 treatment began in April 2019. Initial clinical improvement in cancer-related asthenia was observed, as well as a significant decrease in CA19-9 blood levels (from 3592 IU/mL in May 2019, after two cycles of FOLFOX, to 1138.8 IU/mL in August 2019, after eight cycles of FOLFOX, Figure 2). Grade 1 neurotoxicity and grade 1 rectal bleeding from hemorrhoids were the principal clinical chemotherapy-related toxicities that occurred. After cycle 4, grade 1 thrombopenia was presented, and cycles 5, 6, and 7 were scheduled without a 5-fluorouracil bolus. Grade 2 thrombopenia was then observed, and the administration of cycle 8 was delayed for 1 wk. In July 2019, CT scans were performed (prior to cycle 8) and segment IV liver nodes were not identified, as reported in the previous study (Figure 4). However, a small amount of free fluid in the pelvis, as well as a thickening of the peritoneal leaves, appeared. A mixed response was also considered. Given the improving clinical status of the patient, the same treatment was continued, and cycle 8 was administered with a 10% decrease in oxaliplatin dose.

### History of past illness

The patient was referred to our center for surgical evaluation. A TAP-CT scan and blood tests were performed. Distant metastases were not observed, and CA19-9 tumor markers were found to be elevated (3494 IU/mL, Figure 2).

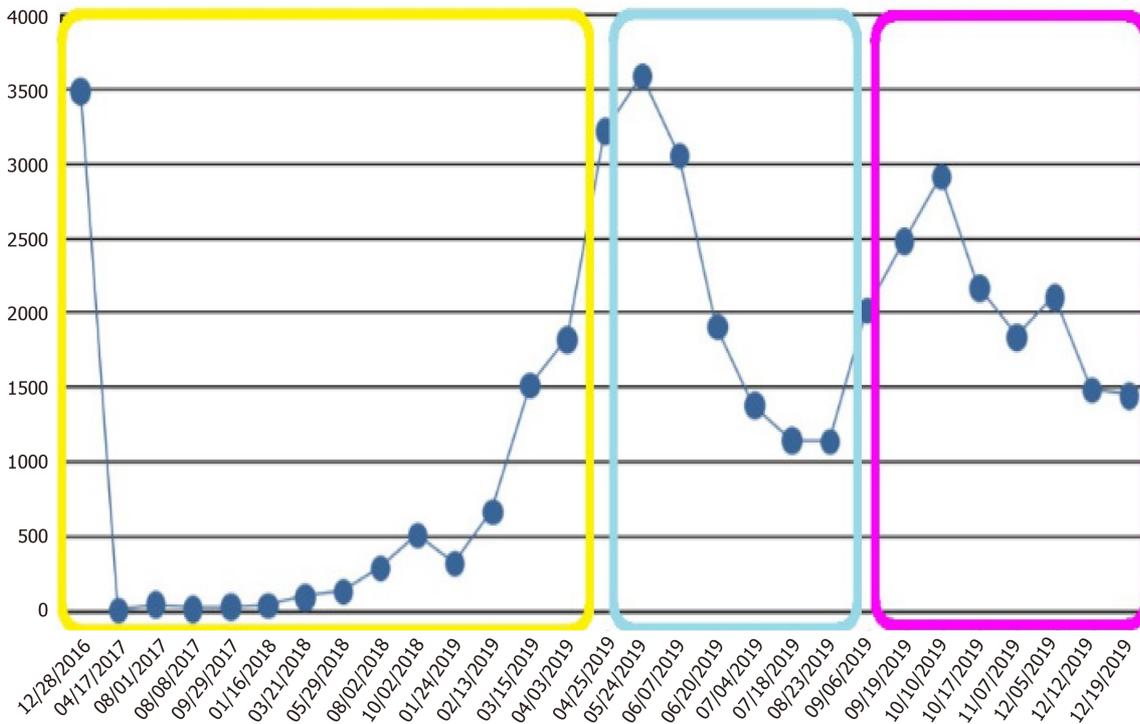
In March 2017, after a right portal embolization was performed that caused compensatory hypertrophy in the left liver lobe, the patient underwent surgery. A hilar tumor with right portal involvement was found. Resection of the extrahepatic bile duct with right trisegmentectomy extended to segment 1 and portal resection were both performed.

The pathology report revealed a moderately differentiated intrahepatic hilar cholangiocarcinoma infiltrating the liver parenchyma, perihilar adipose tissue, cystic duct, and gallbladder neck. Frequent perineural infiltration and vascular invasion were also observed. The tumor had metastasized in one of the four lymph nodes that were isolated from the hilum, which affected the resection margin of the surgical piece.

Stage III B (pT3N1M0) intrahepatic cholangiocarcinoma, a R1 resection, was



**Figure 1** Computed tomography scan performed in December 2016. A 20 mm hypodense intrahepatic mass at the right lobe, possible cholangiocarcinoma, was reported.



**Figure 2** Evolution of CA19-9 blood levels (IU/mL). Yellow: CA19-9 levels of localized cholangiocarcinoma at diagnosis, after surgery, and during follow-up; Cyan: CA19-9 levels during FOLFOX treatment; Magenta: CA19-9 levels during albumin-bound paclitaxel treatment.

diagnosed and the patient was referred to the Medical Oncology Department. Adjuvant chemotherapy treatment with capecitabine 1660 mg/m<sup>2</sup> on days 1 to 21 and gemcitabine 1000 mg/m<sup>2</sup> on days 1, 8 and 15 every 28 d, given for six cycles, was started. The patient received this treatment between May and November 2017. However, gemcitabine was suspended in July 2017 due to an allergic reaction. After completion of the adjuvant treatment, the follow-up period began.

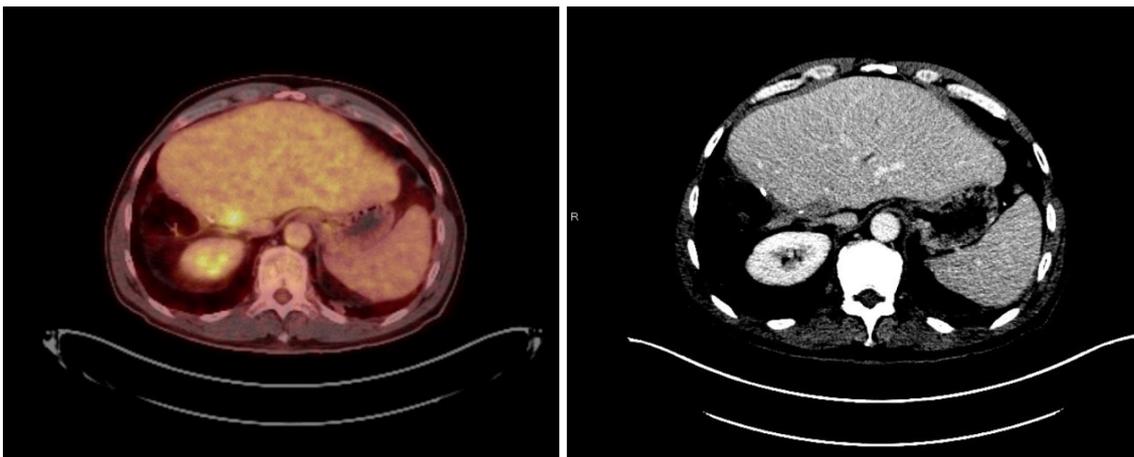
**Physical examination**

Despite initial clinical improvement, a progressive clinical deterioration was then presented, with an increase in asthenia. Grade 2 diarrhea (Table 1) and minimal effort dyspnea also appeared. Abdominal examination was normal, and hypoventilation in the right lower lung lobe was auscultated. Cycle 9 was not prescribed, due to grade 1 thrombopenia and persistent grade 2 neutropenia.

**Table 1 Diarrhea lab work**

Diarrhea lab work	
Hormonal and enzymatic study	Normal range
Thyrotropin, TSH	0.888 µIU/mL
Free T4	1.10 ng/dL
Free T3	2.57 pg/mL
Serum cortisol	16.50 µg/dL
ACTH	34.38 pg/mL
Pancreatic elastase E1	More than 437 µg/g of dry stool
Microbiology study	No pathogenic microorganisms identified
Stool culture	Usual bacterial flora in the sample
<i>Clostridium difficile</i> toxin/glutamate dehydrogenase	Negative
Autoimmunity study	Negative for celiac disease
Anti-transglutaminase immunoglobulin-A antibodies	3.63 UA/mL

We carried out a detailed study of diarrhea to rule out non-cancer-related causes. We confirmed that diarrhea was a symptom of the patient’s cancer (peritoneal carcinomatosis). ACTH: Adrenocorticotropic hormone; TSH: Thyroid-stimulating hormone.



**Figure 3** Positron emission tomography-computed tomography performed in April 2019. Cholangiocarcinoma relapse in segment IVa liver node (before FOLFOX6 treatment).

**Laboratory examinations**

Serological progression was observed: CA19-9 blood levels rose to 2023 IU/mL (with a previous rise in August 2019 of 1138.8 IU/mL, **Figure 2**) and carcinoembryonic antigen (CEA) blood levels also rose to 5 IU/mL (high CEA levels had not previously occurred). Regarding liver blood testing, AST levels were 74 U/L, ALT levels were 70 U/L, GGT levels were 849 U/L, and FA levels were 440 U/L. The remaining biochemistry parameters were normal, with the exception of grade 1 hypoalbuminemia.

**Imaging examinations**

Given the suspicion of disease progression, a new CT scan was performed in early September 2019. Both peritoneal carcinomatosis (**Figure 5**) and pleural involvement were confirmed by one last cytological study (**Table 2**).

**Genetic testing**

Massive genetic analysis of the tumor using next-generation sequencing (NGS) was requested. Several alterations could be identified in some genes, such as *RNF43*, *PTCH1*, *ATM* and *ARID1A*, as well as in variants of unknown significance.

**Table 2 Pleural effusion study**

Pleural effusion study	
Pleural effusion biochemistry	
Glucose	92 mg/dL
Total proteins	4.1 g/dL
Albumin	2.7 g/dL
Lactate dehydrogenase	137 IU/L
Cholesterol	12 mg/dL
Triglycerides	182 mg/dL
Adenosine deaminase	Not available
Pleural effusion hemogram	
Hemoglobin	0.2 g/dL
Platelets	2600/ $\mu$ L
White blood cells	850/ $\mu$ L
Neutrophils	0
Lymphocytes	800/ $\mu$ L
Blood test biochemistry	
Glucose	86 mg/dL
Total proteins	6 g/dL
Albumin	3.5 g/dL
Lactate dehydrogenase	208 IU/L
Cholesterol	195 mg/dL
Triglycerides	122 mg/dL
Microbiology study	No pathogenic microorganisms identified
Light's criteria	The pleural effusion meets two of three of Light's criteria for exudate, and is compatible with cancer
Ratio pleural/serum proteins	0.68 (> 0.5)
Ratio pleural/serum proteins	0.65 (> 0.6)
Pleural effusion lactate dehydrogenase > 2/3 upper limit of normal	No

We conducted an extensive study of pleural fluid to rule out non-cancer-related causes. The presence of cancer cells in the pleural effusion was confirmed by cytology.

Microsatellite instability was not found. Given the clinical deterioration, we decided to begin chemotherapy prior to obtaining these test results.

## FINAL DIAGNOSIS

Massive genetic analysis of the tumor using NGS was requested. Several alterations could be identified in some genes, such as *RNF43*, *PTCH1*, *ATM* and *ARID1A*, as well as in variants of unknown significance. Microsatellite instability was not found. Given the clinical deterioration, we decided to begin chemotherapy prior to obtaining these test results.

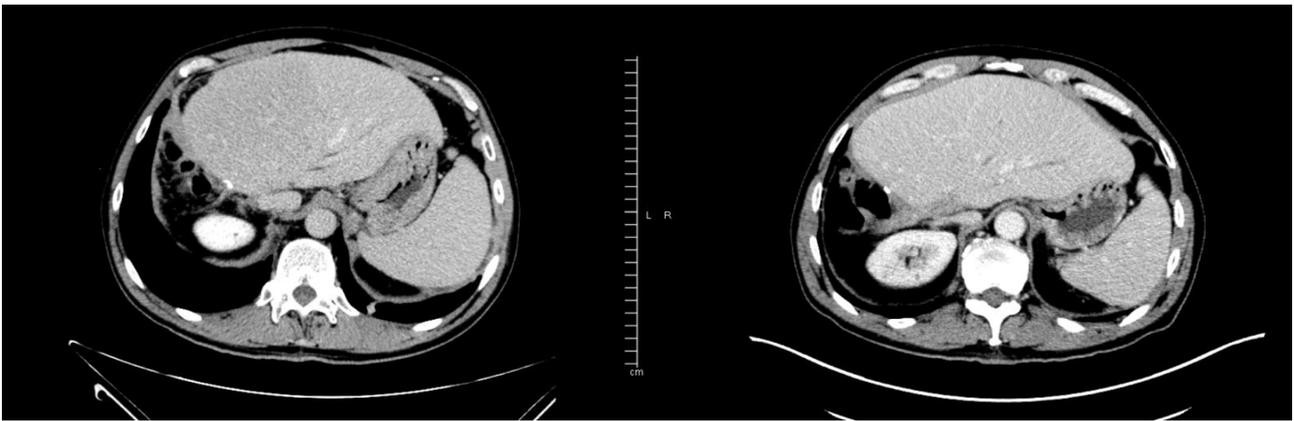


Figure 4 Computed tomography scans performed in July 2019 (left, after seven cycles of FOLFOX6 treatment, where a complete response of disease in segment IV liver is shown) and April 2019 (right, before FOLFOX6 treatment, where segment IV liver node metastasis is seen).



Figure 5 Computed tomography scan performed in September 2019. Peritoneal carcinomatosis (before albumin-bound paclitaxel treatment).

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## TREATMENT

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Stage IV cholangiocarcinoma with peritoneal and pleural progression to FOLFOX is presented. There are limited therapeutic options available. We decided to use nab-paclitaxel in the place of other options for specific reasons. On the one hand, we did not recommend that the patient receive FOLFIRI because of the potential risk of worsening his diarrhea. On the other hand, a combination treatment with gemcitabine was not feasible due to his previous allergic reaction to gemcitabine.

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## OUTCOME AND FOLLOW-UP

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Second-line treatment with nab-paclitaxel at the same doses as used for pancreatic cancer (125 mg/m<sup>2</sup> on days 1, 8 and 15 every 28 d) was started, although without the associated gemcitabine.

On cycle 1 day 8, grade 3 neutropenia (910 neutrophils/mL) and grade 1 thrombopenia (97500 platelets/mL) were observed, and so the treatment with a reduction of one dose level (100 mg/m<sup>2</sup>) was prescribed. On cycle 1 day 15, platelets had recovered (150000 platelets/mL) but neutrophils had declined (630 neutrophils/mL). We decided to prescribe a treatment with the same dose level (100 mg/m<sup>2</sup>), however we also prescribed two injected doses of granulocyte colony-stimulating factor (G-CSF).

On cycle 2 day 1, the patient reported clinical improvements with less asthenia, a 1 kg increase in weight, diarrheal improvements, and slight dyspnea improvements. CA19-9 blood levels rose to 2917.6 IU/mL (CA19-9 levels prior to the start of nab-

paclitaxel were 2023.1 IU/mL, **Figure 2**), and neutrophil and platelet levels were normal. Given the clinical improvements observed, we decided to continue the treatment. Cycle 2 days 1, 8 and 15 at 100 mg/m<sup>2</sup>, without GCSF, were scheduled.

Four cycles of nab-paclitaxel at 100 mg/m<sup>2</sup> doses were administered (except for cycle 1 day 1). GCSF treatment was not needed (except cycle 1 day 15). Neutropenia below 1500 neutrophils/mL and thrombopenia below 10000 platelets/mL were not detected by blood tests prior to cycles 2, 3 and 4, so the hematological tolerance was considered to be excellent (**Figure 6**).

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## DISCUSSION

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This clinical case is one of the first published concerning cholangiocarcinoma treatment using nab-paclitaxel monotherapy. Nab-paclitaxel has only been approved as a monotherapy for breast cancer<sup>[13,14]</sup>. In addition, it has proven to be useful when scheduled weekly<sup>[15,16]</sup>. In the remaining settings, a combination with other drugs (gemcitabine, carboplatin) was always required.

The only data on the efficacy of nab-paclitaxel in metastatic cholangiocarcinoma was phase 2 clinical trials but was part of a combination treatment in this case<sup>[17,18]</sup>. In addition, a retrospective registry of cases<sup>[19]</sup> and preclinical studies have also been performed<sup>[20,21]</sup>. However, no prospective evidence from phase 3 clinical trials has been found.

A combination of nab-paclitaxel with gemcitabine, as used in pancreatic cancer, is potentially more effective in cholangiocarcinoma in terms of disease control than nab-paclitaxel alone. In the phase 2 trials of first-line nab-paclitaxel combinations, the disease control rate is higher than 50% and ranges from 66% (in combination with gemcitabine)<sup>[17]</sup> to 84% (in combination with gemcitabine and cisplatin)<sup>[18]</sup>. However, our patient received nab-paclitaxel as a monotherapy and second-line treatment after platinum-containing chemotherapy, which can explain the reduced efficacy of nab-paclitaxel in this context. We decided to use weekly nab-paclitaxel based on data from the combination of weekly nab-paclitaxel and gemcitabine regimens for pancreatic cancer, and also from data showing the efficacy of weekly nab-paclitaxel monotherapy for breast cancer.

Achievement of a clinical and serological response was shown by a decrease in CA19-9 as well as improved liver function tests. There was also a mixed radiological response observed after four cycles of nab-paclitaxel. Therefore, we can consider that, although a new lesion appeared, the disease is controlled due to the shrinking or stabilization of most lesions. In a highly aggressive disease such as cholangiocarcinoma, a clinical response can be considered to be a clinical benefit and, therefore, a justification to continue treatment, despite the fact that a strict radiological response was not achieved. The objective of treatment for this patient was improving his quality of life, which was observed. Therefore, while we have evidence of the biological activity of nab-paclitaxel in cholangiocarcinoma, a partial radiological response was not observed.

We also have preclinical evidence of the efficacy of nab-paclitaxel in cholangiocarcinoma. In one study<sup>[20]</sup>, primary cultures prepared from human mixed and mucin intrahepatic cholangiocarcinoma specimens were evaluated for cell proliferation and apoptosis after incubation with increasing concentrations of different drugs. Nab-paclitaxel showed an inhibitory effect on cell proliferation in both mixed- and mucin intrahepatic cholangiocarcinoma primary cultures. Additionally, nab-paclitaxel induced a significant increase in apoptotic activity in only mucin-intrahepatic cholangiocarcinoma. In another study<sup>[21]</sup>, the inhibitory effect of paclitaxel and nab-paclitaxel in different cholangiocarcinoma cell lines was studied, revealing that both drugs induced anti-proliferative effects. Furthermore, a toxin-induced intrahepatic cholangiocarcinoma rat model was used to evaluate the *in vivo* tumor activity of paclitaxel, nab-paclitaxel and gemcitabine plus oxaliplatin regimen. Only nab-paclitaxel and gemcitabine plus oxaliplatin induced antitumor effect in the rat model. Compared with paclitaxel, nab-paclitaxel demonstrated increased effectiveness in reducing *in vivo* tumor formation by disrupting the desmoplastic stroma.

The genomic alterations identified in our patient's tumor by NGS do not appear to be related to nab-paclitaxel efficacy. In addition, we have no molecular markers that predict nab-paclitaxel activity in metastatic cholangiocarcinoma, as we do for other tumor types.

In a study evaluating the response of breast cancer to neoadjuvant chemotherapy in the GeparSepto trial according to the genomic alterations revealed by NGS, there was

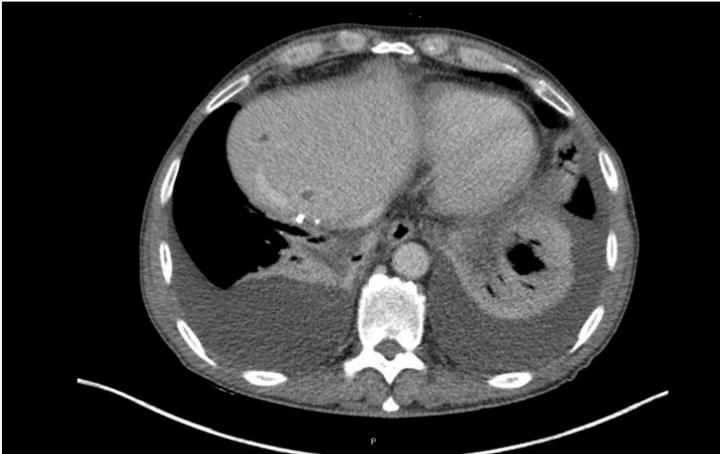


Figure 6 Computed tomography scan performed after four cycles of albumin-bound paclitaxel, where a mixed response was observed.

an increased response to nab-paclitaxel that was only observed in PIK3CA wild-type breast cancer patients<sup>[22]</sup>. The presence or absence of fibroblast growth factor receptor (FGFR) amplifications, a pathway that is aberrantly activated in 15%-20% of intrahepatic cholangiocarcinomas<sup>[23]</sup>, was not related to the nab-paclitaxel response in this study. In non-small cell lung cancer, nintedanib is the only approved agent that targets the FGFR axis. This agent is limited to adenocarcinoma and is used in combination with docetaxel, according to the results of LUME-Lung 1 trial<sup>[24]</sup>. Based on this trial, a combination of a taxane, such as nab-paclitaxel, and an FGFR inhibitor in patients with FGFR amplifications would be a viable option for future use in metastatic cholangiocarcinoma patients.

## CONCLUSION

Nab-paclitaxel monotherapy could be a viable treatment option for patients with advanced cholangiocarcinoma in later lines of treatment, after they have already progressed to standard therapies. This therapy has demonstrated preliminary efficacy in preclinical models. In addition, according to phase 2 clinical trial results, nab-paclitaxel is a potential first-line treatment in combination with either gemcitabine or gemcitabine plus cisplatin. Nab-paclitaxel should be studied as a potential treatment for metastatic cholangiocarcinoma in combination with not only chemotherapy but also with FGFR inhibitors. This is based on available efficacy data for a combination of taxane and FGFR inhibitor that has been used in other cancers. This approach could therefore be an interesting alternative to be explored over the next years.

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