

1 Systematic lymphadenectomy versus sampling of ipsilateral mediastinal lymph-nodes during
2 lobectomy for non-small cell lung cancer: a systematic review of randomised trials and a meta-
3 analysis.

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33 Key words: Lung cancer, surgery, lymph node staging

34 Competing Interest Statement: the authors have none.

35 Word count 2996 text of 4743 words in total manuscript

36 Structured Abstract (249/250 words)

37 Objectives

38 Complete dissection of ipsilateral mediastinal lymph nodes is increasingly regarded as the standard of
39 care during lobectomy for cancer.

40 Methods

41 We searched for randomised trials of systematic mediastinal lymphadenectomy versus mediastinal
42 sampling. We performed a textual analysis of the authors' own starting assumptions and conclusion.

43 We analysed the trial designs and risk of bias. We extracted data on early mortality, perioperative
44 complications, overall survival, local recurrence and distant recurrence for meta-analysis.

45 Results

46 We found five randomised controlled trials recruiting 1,980 patients spanning 1989 to 2007. Long-
47 term survival was better with lymphadenectomy compared with sampling (Hazard Ratio 0.78; 95% CI
48 0.69-0.89) as was perioperative survival (Odds Ratio 0.59; 95% CI 0.25-1.36, non-significant). There
49 was a higher rate (non-significant) of perioperative complications including bleeding, chylothorax and
50 recurrent nerve palsy with lymphadenectomy. There was however an overall high risk of bias and a
51 lack of intention to treat analysis.

52 Conclusions

53 The starting position in 3/5 studies was a conviction concerning the desirability of systematic
54 dissection. Higher rates of clinically important surgically related morbidity alongside lower
55 perioperative mortality appear inconsistent, although neither were significant. The methodological
56 lapses made the overall conclusion insecure. The multiple variables in patients, cancers and available
57 treatments suggest that large pragmatic multicentre trials, testing currently available strategies, are the
58 best way to find out which are more effective. The number of patients affected with lung cancer
59 makes trials feasible. The existence of these five surgical trials suggests that there may be a will to
60 partake in trials internationally.

61 Introduction

62 The surgical approach to ipsilateral mediastinal (N2) nodes at the time of lobectomy for lung cancer
63 has long been a subject of interest among thoracic surgeons. It was the subject of European Society of
64 Thoracic Surgeons (ESTS) Guidelines in 2006 which stated “adherence to these guidelines will
65 standardize the intraoperative lymph node staging and pathologic evaluation, and improve pathologic
66 staging, which will help decide on the best adjuvant therapy”. [1] The opening statement of the
67 International Association for the Study of Lung Cancer (IASLC) staging project’s Proposals for the
68 Revision of the N Descriptors in the 8th Edition of the Tumor Node Metastasis (TNM) Classification
69 for Lung Cancer reads: ‘Nodal status is considered to be one of the most reliable indicators of the
70 prognosis in patients with lung cancer and thus is indispensable in determining the optimal therapeutic
71 options.’[2] The extent of nodal dissection and the number of nodes removed and sent to the
72 pathology laboratory is used as a quality standard in some jurisdictions.

73 Arguments in favour of more extensive lymph nodes dissection fall into three groups.

- 74 1. More accurate N staging makes research comparisons between treatment effects more
75 reliable.
- 76 2. More complete N staging provides more information on which to plan already available and
77 novel adjuvant treatments.
- 78 3. Removal of unsuspected or microscopic cancer by complete lymphadenectomy maximises the
79 possibility of cure.

80 As far as the first two arguments are concerned, there can be little doubt that systematic ipsilateral
81 mediastinal lymphadenectomy, rather than lymph node sampling protocols, maximises the
82 information available for pathological staging as far as the ipsilateral mediastinum is concerned.
83 However in the era of modern imaging and less invasive biopsies how much it actually adds to staging
84 is open to question.[3;4] Furthermore, an operation for lung resection through either thoracotomy or
85 videothoracoscopy, offers no opportunity to sample nodes on the other side of the chest. These can

86 and, if necessary, should be assessed preoperatively by imaging and one or more of the minimally
87 invasive biopsy techniques now available.

88 The third argument in support of systematic lymphadenectomy, the chance of additional cures by
89 removal of otherwise undetected lymph node metastases, has recently prompted discussion. Lim and
90 eminent European colleagues have argued cogently that if low volume N2 disease does not preclude
91 lung resection then mediastinal dissection at the time of thoracotomy spares the patient preoperative
92 biopsies.[5] There appear to be substantial transatlantic differences as outlined by Rocco and
93 colleagues: “North American surgeons are more likely to surgically stage the mediastinum before
94 operation, are less likely to offer surgical treatment when N2 disease is identified preoperatively, and
95 are more likely to use induction therapy before resection. By contrast, European surgeons may offer
96 operation as the initial treatment followed by adjuvant therapy in selected cases of N2 disease, and
97 they may perform a more aggressive intraoperative nodal dissection.”

98 There is yet another consideration. With pressure to reduce the burden of surgery in frail elderly
99 patients or in the presence of comorbidities there is increasing interest in treatment with stereotactic
100 ablative radiotherapy (SABR/SBRT).[6] Full pathological N2 staging is not possible, at least as part
101 of the therapeutic intervention, making it not equivalent to surgery. The same argument has been
102 raised against videothoracoscopy (VATS) but has largely been resolved by evidence that surgeons
103 experienced in VATS can achieve the required nodal clearance standards. [7;8]

104 The use of protocols for mediastinal lymph node dissection (MLND) and mediastinal lymph node
105 sampling (MNLS) have been studied in randomised controlled trials. Four RCTs[9-12] were included
106 in a meta-analysis reported in late 2014.[13] The authors concluded “Results for overall survival,
107 local recurrence rate, and distant metastasis rate were similar between MLND and MLNS in early
108 stage NSCLC patients. There was no evidence that MLND increased complications compared with
109 MLNS. Whether or not MLND is superior to MLNS for stage II–IIIA remains to be determined.” We
110 have added a fifth study[14] and performed a detailed analysis of the text and the data.

111

112 Materials and Methods:

113 *Search strategy and selection of studies*

114 A systematic review of literature on surgical policy with respect to mediastinal lymph node sampling
115 or radical lymph node dissection in patients with primary lung cancer was conducted according to the
116 PRISMA guidelines.[15;16] This selection of studies for inclusion was based on predefined eligibility
117 criteria and conducted according to a predefined methodological approach.

118

119 *Search strategy*

120 An extensive search for published articles was conducted on May 1st 2015 in collaboration with a
121 medical librarian, using among others the electronic databases Medline (Ovid), Embase.com, the
122 Cochrane library and Web of Science. A total of ten databases were searched from inception until
123 May 2015 and updated in April 2016. The main search terms were chosen to identify ‘non-small cell
124 lung cancer’ and ‘mediastinal lymph node dissection or sampling’. Appropriate thesaurus terms (for
125 Medline, Embase and CINAHL) and words and phrases in title and/or abstract were combined by
126 Boolean logical operators and adapted to the appropriate syntax of each databases. (Full details of
127 databases used, and the syntax for each database, are available as an appendix).

128

129 *Selection of studies*

130 The resulting papers were then screened manually for relevance by two independent investigators
131 (SM and TT). Any disagreement about including a paper, was to be resolved by discussion with RY.
132 Studies were included if they reported comparisons of randomly assigned groups of patients
133 undergoing mediastinal lymph node dissection or sampling for non-small cell lung cancer. We limited
134 our search to studies that were conducted in humans, published in the last 35 years and written in
135 English. We excluded studies reporting inadequate data on survival. To ensure that no potentially
136 valid studies were missed, the reference lists of relevant reviews and included studies were cross-
137 checked.

138

139 *Data extraction*

140 Data were extracted by two of the investigators (SM and TT) using standardised tables developed for
141 this purpose and independently checked by another investigator (RY). From each study we collected
142 the number of patients, patient baseline characteristics, recurrence rates, and overall survival. The risk
143 of bias was assessed (by SM and FM) using the Cochrane Handbook [17] and from information
144 available in the publications. The authors' prior position, the vulnerability of the study design to bias,
145 and the authors' own interpretation of their results were extracted from the text.

146 *Statistical analysis*

147 Overall survival data were extracted as event rates following systematic mediastinal lymph node
148 dissection versus mediastinal lymph node sampling of all randomised comparisons. Where possible
149 hazard ratios (HR) were derived from Kaplan-Meier curves. The method described by Williamson et
150 al [18] was used to estimate a logarithmic HR with corresponding variance when the number of
151 patients at risk was given at each time frame. If these data were not provided, the method described by
152 Parmar et al [19] was used. For each study, we used a spreadsheet programmed to estimate the overall
153 HR with 95% confidence intervals (CI) using an inverse variance-weighted average.[20] Whereas OR
154 was derived from the percentages of deaths in each arm at the time of reporting (early mortality), the
155 HR gives an estimate of the overall relative survival which is more relevant when considering a time
156 to event endpoint. HR was used to calculate absolute mortality risk reduction at 5 years. To illustrate
157 early mortality and complications we used OR as these outcomes are not time-to-event outcomes and
158 therefore differences in length of follow up, the number and timing of events does not have to be
159 taken into account.[20]

160

161 Reported study characteristics are presented as numbers or percentages in tables. The linearized
162 occurrence rate (LOR) for each late mortality was calculated by dividing the number of deaths by the
163 total follow-up time in patient-years, and then pooled on a logarithmic scale using the inverse
164 variance method within a random-effects model. The pooled linearized occurrence rate was used to
165 estimate the absolute mortality risk reduction at 5 years. Heterogeneity among the included studies

166 was analysed with the I^2 measure with values of 25%, 50%, and 75% taken to represent, respectively,
167 low, moderate, and high heterogeneity.[17]. Statistical analyses were performed using Review
168 Manager for Windows.[21]

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Results

Figure 1 illustrates the literature search process. After removal of duplicates, 2489 titles and abstracts were screened. After successive exclusions there were nine papers [9-12;14;22-25] reporting five randomised trials from which data were extracted for meta-analysis.

Technical definitions of the procedures in all included studies are provide in Appendix 2 and surgical procedures in Appendix 3.

There are variations in the words used and hence in the abbreviations. In the authors' abbreviations S variably stands for either 'sampling' or 'systematic' which are opposites in the context of this analysis. The essential difference under test is between *systematic* mediastinal lymph node dissection to achieve complete lymphadenectomy, identified in our analysis as [MLND] and lymph node *sampling* abbreviated to [MLNS]. D for dissection, when used, signifies a systematic lymphadenectomy.

In Table 1 we have extracted from the text an indication of the authors' prior position and a summary of their own conclusions.

Results of the meta-analysis

For perioperative survival (Fig.2a) there was an overall non-significant difference in favour of the more radical arms [MLND] compared with sampling [MLNS] (Odds Ratio for death 0.59 (95% CI 0.25-1.36)). This was largely due to the ACOSOG Z0031 trial. However complications (Fig.3) were generally higher after dissection than after sampling. Bleeding 4% versus 2.8%; bronchial secretions 12.1% versus 7.7%; chylothorax 1.8% versus 0.7%; recurrent laryngeal nerve injury 2.4% versus 1.1%.

Overall survival (Fig.2b) was greater after mediastinal dissection than after sampling (HR 0.78 (95% CI 0.69-0.89) Absolute mortality risk reduction at 5 years was calculated using linearized occurrence

220 rate (LOR) calculated from the HR. For the [MLND] group the pooled LOR was 0.0688 (i.e. late
221 mortality of 6.88% per year) and for the [MLNS] group this was 0.578 (i.e. late mortality of 5.78%
222 per year). We have considered these LOR from three studies in the MLND and MLNS groups as the
223 most reliable estimate of late mortality.[9-11] Absolute mortality risk at 5 years for the MLNS group
224 was 34.4%. A HR of 0.78 (Fig.2b) was considered as the baseline risk for overall mortality, and this
225 information was used to calculate the relative mortality risk reduction (MLND compared to MLNS)
226 of 0.22. The relative mortality risk reduction and 5 year risk of death in the MLNS group resulted in
227 absolute mortality risk reduction of 7.6% in favour of MLND group.

228

229 Local recurrence (Fig.2c) was non-significantly lower after MLND (55/900; 6.1%) than sampling
230 (75/878; 8.5%. P=0.12). Distant recurrence (Fig.2d) was also non-significantly lower after MLND
231 (191/900; 21.2%) rather than sampling (219/878; 24.9%. P=0.07).

232

233 The burden of complications (Fig.3) is greater for MLND which is to be expected due to the more
234 extensive dissection to achieve a systematic lymphadenectomy. These included bleeding, chylothorax
235 and recurrent nerve injury.

236 Discussion

237 The main objective of any additional, more complex surgery is to provide a benefit that outweighs any
238 additional risk. In this meta-analysis of 1,980 patients undergoing either mediastinal sampling the
239 hazard ratio for overall survival was 0.78 (95% CI 0.69 to 0.89) favouring systematic
240 lymphadenectomy [MLND] rather than sampling [MLNS] and this equates with an absolute reduction
241 in risk of death at 5 years of 7.6%. (Fig.2b) If these data are reliable this would be clinically
242 significant confirming this procedure as standard. It would also provide a caveat about equivalence of
243 SABR/SBRT instead of surgery for primary lung cancer. There are however a number of things that
244 reduce confidence in the validity of this conclusion.

245

246 How do we explain the better perioperative survival (Fig.2a) associated with the more extensive
247 lymphadenectomy [MLND]? This is counterintuitive and is made more so by the tally of
248 complications. (Fig.3) As might be expected, bleeding (P=0.36), chylothorax (P=0.08) and recurrent
249 nerve injury (P=0.14) were all more frequent with the more extensive surgery; although not
250 statistically significant in this analysis they are anticipated complications of more extensive surgery in
251 the mediastinum. Despite the excess morbidity with [MLND] the early mortality was lower. In
252 unblinded trials, run by doctors with a vested interest in the outcome, there are opportunities for
253 reassignment or exclusion of patients in trials. The exercise of bias may be subliminal but later we
254 will discuss data which suggest it may have happened.

255

256 These five trials were intended to test in survival terms the *effectiveness* of extending the surgery
257 performed at the time of lobectomy to include lymphadenectomy. This has direct bearing on three
258 distinct drives for change in clinical practice.

- 259 1. When stereotactic radiotherapy is used as treatment for primary lung cancer rather than
260 lobectomy[26] lymphadenectomy is precluded.
- 261 2. When videothoracoscopic surgery is used instead of open lobectomy, the prior assumption is
262 that lymphadenectomy is less often complete.[7]

263 3. An increasing role of lymphadenectomy will be to provide more tissue and more complete
264 staging to guide multimodality therapy.[27]

265

266 Despite a difference in overall survival, this was not associated with a significant reduction in the
267 rates of either local or distant recurrence and we cannot infer from the trials whether the apparent
268 effect on survival is due to removal of more involved nodes having a beneficial effect on survival or
269 the information from more accurate nodal staging guiding adjuvant treatment with consequent benefit.
270 Only three studies mention the use of post-operative radiotherapy and it is not clear if the rates of use
271 varied. Chemotherapy is not mentioned in the any of the reports of three of the trials.[10;12;14;22;23]
272 Use of preoperative chemotherapy was an exclusion criterion in one of the trials[25] and was used in a
273 few cases where small-cell lung cancer or a non-lung primary was the cause of mediastinal nodal
274 metastases.[11] *It is not clear whether or not adjuvant chemotherapy was given to patients
275 with N2 disease in any of the studies; this might have made a difference in outcomes.*

276

277 It is also possible that the additional knowledge concerning staging obtained *during* the study
278 influenced the composition of the reported trial arms in two of the studies. In the ACOSOG Z0030
279 trial all patients had sampling and frozen section and the protocol required patients with any positive
280 nodes to not be randomised.[25] We are not told how many patients were excluded in this process and
281 we cannot estimate what effect, if any that would have on the conclusions. After randomisation and
282 presumably in the knowledge of findings during the trial “retrospective review found 155 patients to
283 be ineligible for participation”. It appears that this was a decision which included knowledge of
284 pTNM thus nullifying the intention to treat principle. This revision of the assigned arms took out 14%
285 of randomised patients (155/1111) and overall there was an imbalance of 5% between the arms.

286

287 In the table of staging provided in the report by Wu and colleagues [12] the distribution between
288 stages I, II and III was 42%, 30% and 28% for patients having sampling but was 24%, 28% and 48%
289 for patients having systemic nodal dissection. In the design of the trial these should have been

290 according to clinical staging (cTNM). We suspect that the intraoperative findings may have been
291 used to restage the patients by pTNM thus inadvertently violating the randomisation process by
292 reassigning the patients on the basis of trial findings. The revised staging has subsequently been used
293 to make stage specific comparisons which are therefore erroneous.[12] If there is a 20% stage shift
294 between the three stages, occult N2 disease, undiscovered by sampling is very common. What we
295 cannot deduce is whether mediastinal nodal dissection will then alter the outcome for the patient. This
296 illustrates the distinction to be made between ‘efficacy’ and ‘effectiveness’ as used in evidence based
297 medicine.[28] The *efficacy* of removing more nodes in discovering more microscopic metastases was
298 not the question and indeed was never in doubt: the harder you look the more you see.

299

300 The textual analysis reveals potentially important information. The authors of two studies state a prior
301 conviction concerning the value of MLND.[11;25] There are sources of potential bias in these trial
302 reports which are summarised in Table 3. In particular, in three of the five do not provide an intention
303 to treat analysis and significant numbers of patients were excluded post-randomisation. In the other
304 two reports it was not clear whether there was an intention to treat analysis and in Wu et al [15] there
305 was >10% imbalance between the two arms, which was not explained.

306

307 The clinical context has changed over time. Four out of five trials predate the routine use of PET CT
308 scanning in the pre-operative staging of patients with NSCLC. No authors mention the use of post-
309 operative adjuvant chemotherapy which is considered standard for those with Stage III disease. So
310 any conclusions drawn are less applicable to current practice.

311

312 The assessment of risk of bias (Table 3) shows that there are methodological uncertainties for all the
313 studies. Of particular concern is the lack of intention to treat analysis in three of them and uncertainty
314 about it in the other two. There are few randomised studies of the effectiveness of surgery in lung
315 cancer and the RCTs which we have found and analysed here show poor reliability. Four of these
316 RCTs were included in a previous meta-analysis reported in late 2014.[13] We have added a fifth
317 study and performed a detailed analysis of the text and the data. The claimed survival benefit from

318 mediastinal dissection is not supported by good evidence and ideally its overall value should be tested
319 in a large pragmatic randomised trial involving contemporary diagnostic, surgical and oncological
320 practice as has been proposed as a trans-Atlantic collaboration.[29] It would have to run by an
321 independent clinical trials unit. Until and unless the results of such a trial are available, patients be
322 made aware of the risks and benefits of each of the approaches and participate in a shared decision
323 making discussion with their physician/surgeon on the best option for their individual situation. The
324 authors are willing to work towards setting up such a trial and between us we have a track record in
325 being involved in and leading multicentre clinical trials of oncology and surgery.

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330 Table 1: Trialists starting position and conclusions

331

First author	Start	End	Starting position	Authors' Interpretation of the results
Izbiki	1989	1991	"To what extent [MLND] contributes to the chance of cure remains controversial." [22]	"... [MLND] is a safe operation that can be performed with acceptable morbidity and mortality rates." [22] "[MLND] did not improve survival ... hazard ratio 0.78 95% CI 0.47-1.24" [10]
Sugi	1985	1998	"... pulmonary resection without mediastinal lymph node dissection has been considered a palliative operation." [11]	"... peripheral non-small-cell carcinomas smaller than 2 cm in diameter do not require [MLND]." [11]
Wu	1989	1995	"The usefulness of [MLND] ... is still a matter of controversy in the field of thoracic surgical oncology." [12]	'As compared with [MLNS] ... [MLND] can improve survival in resectable NSCLC.' [12]
Allen ACOSOG	1999	2004	"Unfortunately, despite the fact that surgical staging of mediastinal lymph nodes is thought to be important, most surgeons do not perform a complete lymphadenectomy at the time of lung cancer resection." [25]	"...no difference in local (P = .52), regional (P = .10), or distant (P = .76) recurrence between the 2 groups." [MLNS][MLND][9] There was no difference in survival (p=0.25).[9]
Zhang	2006	2007	"Compared [MLNS], [MLND] carries the potential advantage of accurate staging and survival benefit. But it may also be associated with increased surgical risks by prolonging operation time, increasing blood loss, and resulting in more complications." [14]	"[MLND] and [MLNS] have similar surgical risks and mediastinal staging effect in patients with NSCLC." [14] "[MLND] had significantly better five-year survival than [MLNS] (55.7% vs. 37.7%, P = 0.005)." [14]

332

333 [MLND]: mediastinal lymph node dissection

334 [MLNS]: mediastinal lymph node sampling

335

336

337 Table 2: Risk of Bias Assessment based on information presented in the publications. (ITTA:
 338 intention to treat analysis)

339

STUDY	Sequence generation	Allocation concealment	Blinding	Incomplete outcome reporting	Selective outcome reporting
Izbicki et al	Clear	Unclear	Not possible	Yes: No ITTA	No
Sugi et al	Unclear	Unclear	Not possible	Unclear	No
Wu et al	Unclear	Unclear	Not possible	Yes: No ITTA	No
ACOSOG	Unclear	Unclear	Not possible	Yes: No ITTA	No
Zhang et al	Unclear	Unclear	Not possible	Unclear	No

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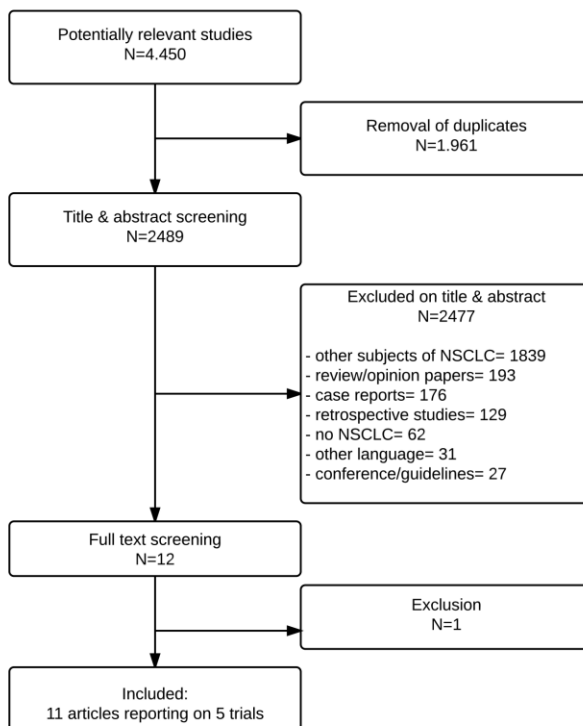
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343 Figure Legends

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345 Figure 1

346 Flow chart of searches



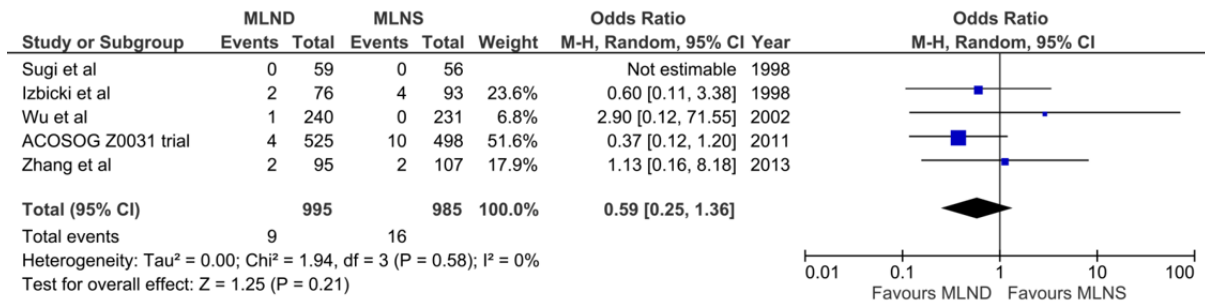
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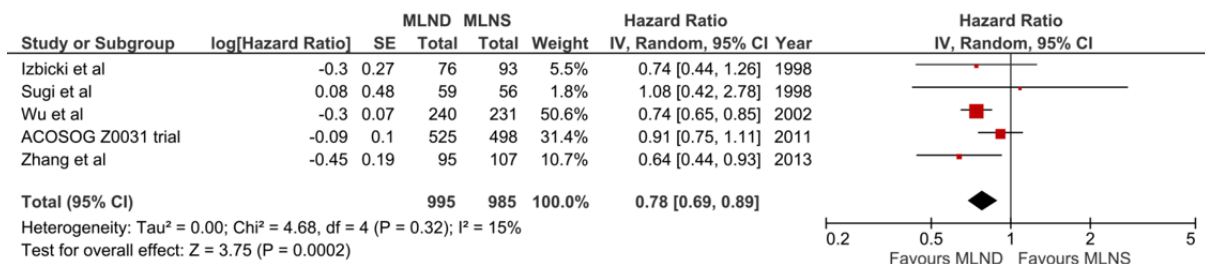
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350 Figure 2 a to d

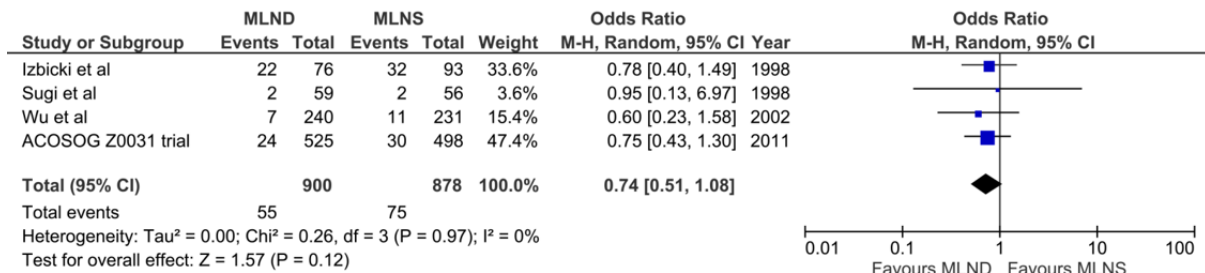
351 Forest plots of comparison in meta-analysis.



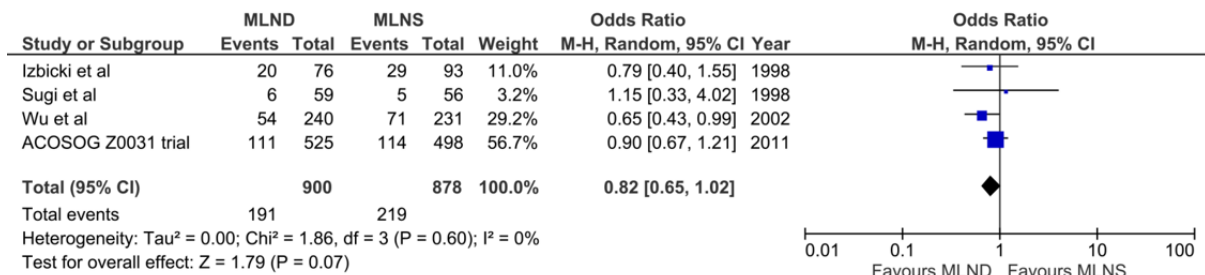
a. Perioperative survival Odds Ratio



b. Overall survival Hazard Ratio



c. Local recurrence Odds Ratio



d. Distant recurrence Odds Ratio

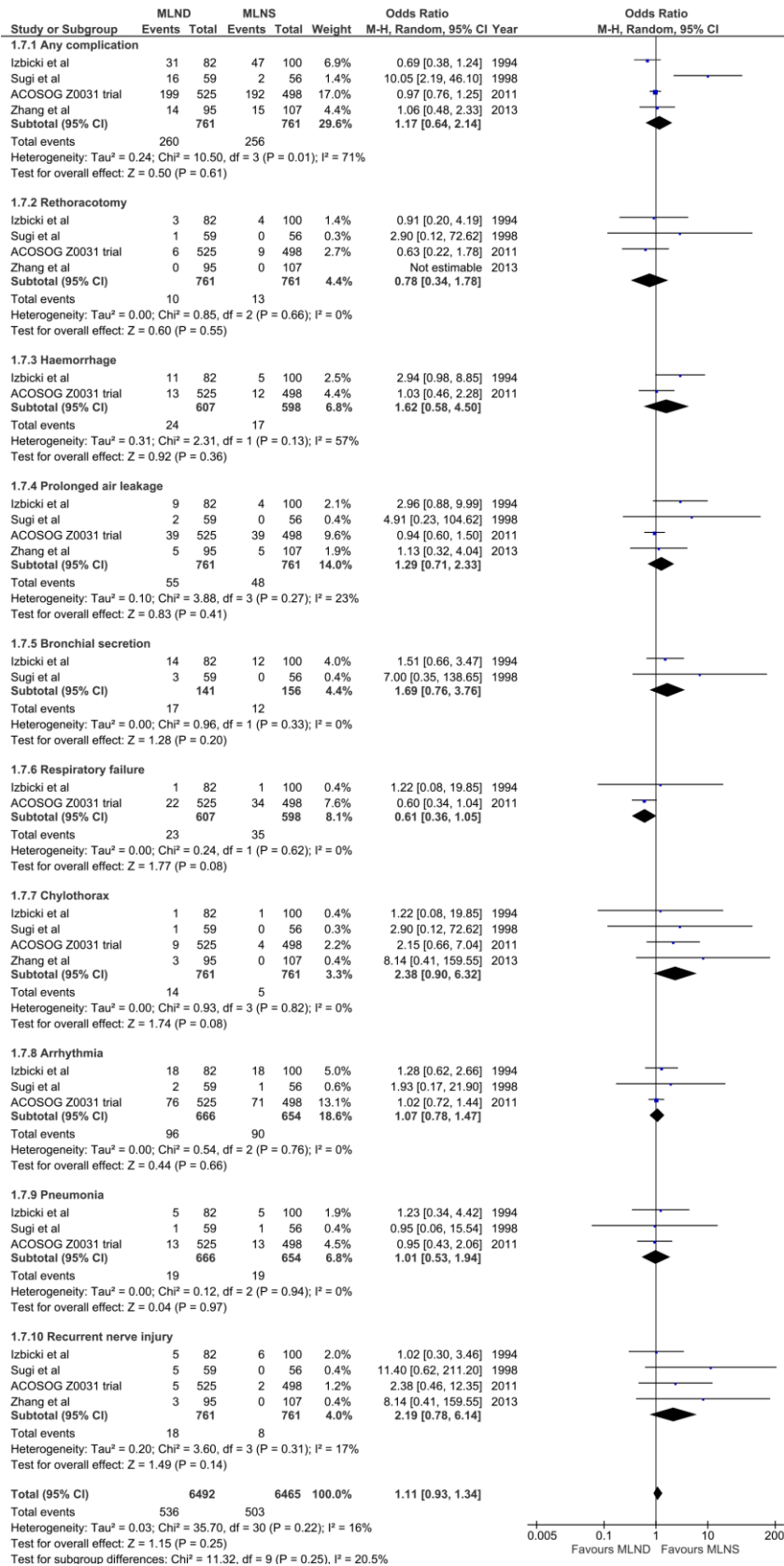
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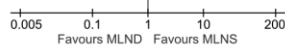
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355 Figures 3

356 Perioperative complications with Odds Ratio



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