



Total neoadjuvant therapy for rectal cancer

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ABSTRACT

The established standard of care in the treatment of locally advanced rectal cancer is trimodal therapy with neoadjuvant radiation, surgery and adjuvant chemotherapy. While the data supporting neoadjuvant radiation and surgery is well founded, there is little to no evidence that shows a benefit from adjuvant chemotherapy. The majority of cancer related deaths from rectal cancer are due to distant metastatic disease. Extrapolation from colon cancer data and small studies suggest that earlier administration of chemotherapy may improve outcomes. This article provides the background and theoretical arguments for the delivery of chemotherapy in the neoadjuvant setting. It will discuss early results, longer term outcomes, and future directions of neoadjuvant chemotherapy for locally advanced rectal cancer.

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Introduction

Trimodality therapy combining pelvic radiation, surgery and chemotherapy is the current standard of care for patients with locally advanced rectal cancer (LARC). Over the last several decades, improvements in surgical techniques and the selective use of neoadjuvant radiation have dramatically improved the local recurrence rates for this disease. Historical rates of local recurrence for LARC were upwards of 25%, but these strategies have yielded consistently low rates of between 5% and 10%.^{1–4} Despite these improvements, neoadjuvant radiation and optimal surgery have not shown consistent survival benefits.^{5–7} Patients with LARC currently have a 30–35% risk of distant metastatic recurrence, which is the most frequent cause of cancer related death in this population.^{4,8} Recent efforts to decrease the rate of distant recurrence have focused on delivering both radiotherapy and systemic chemotherapy in the neoadjuvant setting, a strategy known as total neoadjuvant therapy (TNT).

Background

The Swedish Rectal Cancer Trial proved that neoadjuvant radiation dramatically improved local recurrence rates for LARC.² This study showed a greater than 50% reduction in local recurrence, but was widely criticized because of the high local recurrence rate (27%) in the surgery only group. Critics pointed to Heald's excellent results with surgery alone, and surmised that radiation only compensated for inadequate operative techniques.¹ The Dutch Rectal Cancer Trial standardized surgery, mandated total mesorectal excision (TME) and still showed that the addition of neoadjuvant radiation reduced local

recurrence by more than 50%.⁹ The advantages of neoadjuvant delivery of radiation were supported in the German trial that compared preoperative and postoperative long course chemoradiation.⁷ While only the German study used long course chemoradiation, these foundation trials were instrumental in establishing our current American trimodal therapy regimen.

While the advantage of adjuvant chemotherapy in the treatment of stage III colon cancer has been proven, the survival benefit for adjuvant chemotherapy in LARC has not been well-demonstrated in the era of trimodal therapy.^{3,10–12}

The largest prospective randomized trial of adjuvant chemotherapy after neoadjuvant radiation and surgery was the EORTC trial. This four armed study aimed to answer two questions. First, is there an advantage to adding radiosensitizing fluorouracil to the neoadjuvant radiation regimen? Secondly, is there an advantage to adjuvant fluorouracil and leucovorin chemotherapy in patients who received neoadjuvant radiation? While the findings in this study did support the use of radiosensitizing chemotherapy in the neoadjuvant setting, there was no demonstrated survival benefit with adjuvant chemotherapy.^{3,13,14} Subgroup analysis found that patients that had clinical downstaging of their primary tumors (ypT0–2) were the only patients to benefit from chemotherapy with improved disease free survival (DFS) and overall survival (OS).¹⁵

Several other trials have attempted to demonstrate the benefits of postoperative chemotherapy as an adjunct to preoperative radiation and surgery. These trials either failed to demonstrate an advantage, or were closed early due to poor accrual.^{6,12,16} One common theme among these trials is poor compliance with adjuvant chemotherapy. Completion rates for planned chemotherapy ranged from 43% to 74% in these trials.

As opposed to the definitive data supporting the use of adjuvant oxaliplatin, fluorouracil, and leucovorin (FOLFOX) in colon cancer, the

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majority of the negative trials in rectal cancer treated patients with only fluorouracil and leucovorin, without oxaliplatin. It is reasonable to extrapolate colon cancer data to the adjuvant treatment of rectal cancer, and the National Comprehensive Cancer Network (NCCN) guidelines for rectal cancer reflect this. Large national database trails and systematic reviews have provided some evidence that patients would realize a survival benefit from adjuvant FOLFOX chemotherapy.^{17–19} One British study that attempted to randomize patients to adjuvant capecitabine and oxaliplatin (CAPOX) or observation was closed due to poor accrual, presumptively because oncologists were uncomfortable with the randomization to the observation group given the definitive benefit of adjuvant therapy for colon cancer.¹⁶

One prospective randomized trial that did show a benefit with FOLFOX for patients with LARC was the ADORE trial in Korea.²⁰ Rather than enrolling patients at the initiation of therapy, this trial selected for tumors that had a poor response to neoadjuvant CRT. The study randomized patients with pathologic stage II or III rectal cancers after standard long course CRT and surgery to adjuvant chemotherapy with either fluorouracil/leucovorin or FOLFOX. The authors demonstrated a significant 3 year DFS advantage in the patients treated with FOLFOX. It is noteworthy that 96% of patients in this study completed all of their planned chemotherapy.

In the United States, the current standard of care in the treatment of LARC is neoadjuvant long course chemoradiation (CRT) followed by extirpative surgery and then adjuvant chemotherapy with FOLFOX. The CRT is delivered over 5.5 weeks and the usual waiting period before surgery is 6–8 weeks. Adjuvant chemotherapy is generally delivered at least one month after an uncomplicated surgery, and later if there are postoperative complications. Under the current standard treatment, in the best circumstances, adjuvant FOLFOX is delivered 4–5 months after the initiation of multimodality therapy. Such a delay in systemic chemotherapy would be unacceptable in colon cancer, as a systematic review demonstrated that a delay in the initiation of adjuvant chemotherapy had an adverse effect on cancer specific survival.²¹ The authors found that for every month that treatment was delayed, the relative OS decreased by 14%. By extrapolation, delivering systemic chemotherapy in the neoadjuvant setting for LARC should lead to improved survival.

A pathologic complete response (pCR) after neoadjuvant radiation has long been used as a surrogate for the effectiveness of various treatment regimens. In most studies of traditional long course chemoradiation followed by a 6–8 week waiting period before surgery, pCR rates cluster around 20%.^{22–24} It is well documented that a patient with a pCR has improved cancer specific outcomes with decreased local recurrence and improved disease free survival.^{23–25} It is also clear that waiting longer to operate after the completion of long course CRT leads to a higher pCR rate.^{26–31} While a pCR does portend a better oncologic outcome, it appears that this is a marker for a biologically more favorable tumor, rather than a goal unto itself. The Lyon R90-01 trial, which is another of the foundation trials that supports our current standard of care in LARC, showed that the longer wait increases pCR, but it does not have any influence on outcomes.³² While waiting longer for surgery after CRT may achieve a higher percentage of patients with a pCR, there is no good evidence that the longer wait achieves better outcomes, only better prognostication. At best, the act of waiting longer merely allows us to identify the patients who are going to do well by virtue of attaining a pCR.

Total neoadjuvant therapy – early results

The initial studies that provided the proof of concept for TNT were driven by two motives: better oncologic outcomes and organ sparing (watch and wait) approaches. It was felt that preoperative chemotherapy would lead to better tolerance – one of the problems noted in the negative studies of adjuvant therapy in LARC. Additionally, earlier treatment would allow for sterilization of micrometastatic

disease at a time when it is theoretically more vulnerable.²¹ Neoadjuvant chemotherapy has been shown to be beneficial in the treatment of gastric cancer and colorectal liver metastases.^{33,34} At the same time, a growing body of literature suggests that eliminating extirpative surgery was possible with rectal cancers that achieved a complete clinical response to neoadjuvant chemoradiation.^{35,36} Because the proportion of patients with a pathologic complete response after CRT was relatively small (~20%), the hope was that the addition of neoadjuvant chemotherapy, and consequently a longer preoperative time interval, would lead to a substantially higher rate of complete responders. In theory, this would improve cancer specific outcomes and allow for selective non operative management.

One of the earliest reports of a TNT regimen was from Habr-Gama et al., who were pioneers of the watch and wait approach. A relatively small number of patients with low rectal cancers were treated with 50.4 Gy of pelvic radiation and six cycles of fluorouracil and leucovorin (three cycles were concomitant to radiation). They reported a 65% complete clinical response rate and an impressive 97% completion of therapy.³⁷

The Spanish GCR-3 trial was a TNT trial evaluating four cycles of induction CAPOX chemotherapy followed by chemoradiation and surgery. The study compared this regimen to the classic chemoradiation, surgery and adjuvant chemotherapy in a randomized fashion. They enrolled 108 patients in the trial and reported their early results in 2010.³⁸ In the initial publication, they had similar rates of pCR (13.5% vs 14.3%), downstaging, tumor regression, and R0 resection. There was a significant difference in the percentage of patients who completed the chemotherapy protocol, favoring the TNT regimen (91% vs 54%, $p < 0.0001$). The toxicity during chemotherapy also favored the TNT regimen.

In what has come to be known as the “Timing Trial,” Garcia-Aguilar et al. conducted a phase 2 multicenter non-randomized trial of sequential patient groups treated with neoadjuvant CRT and increasing time intervals and cycles of chemotherapy prior to TME. The authors evaluated 259 patients with clinical stage II and III rectal cancers. The first group of patients served as a control group, receiving CRT followed by surgery at 6–8 weeks. Subsequently, the next groups received 2, 4, or 6 cycles of FOLFOX at 2 week intervals between CRT and surgery. With increasing numbers of chemotherapy cycles, patients waited longer between chemotherapy and surgery – up to 20 weeks for patients in the group treated with 6 cycles of neoadjuvant chemotherapy. With more than 60 patients in each group, the authors demonstrated that increased time and number of FOLFOX cycles correlated with a significant increase in the pCR rates (Table 1).²² While the 18% pCR rate for the control group was in agreement with historical data, the patients that received 6 cycles of neoadjuvant chemotherapy had a 38% rate of pCR. Importantly, there was no difference in surgical complications or technical difficulty between the groups; and no patients had progression of disease during the course of treatment – addressing two of the perceived concerns with a prolonged waiting period before surgery.

In a smaller single institution series, Myerson et al. treated patients with clinical stage II-IV rectal cancer with short course radiation (5 fractions of 5 GY over 5 days) followed by four cycles of FOLFOX chemotherapy prior to TME surgery. With 76 patients enrolled

Table 1

Data from the timing trial.²² Pathologic complete response rates at surgery for patients with rectal cancer treated with variable cycles of neoadjuvant chemotherapy between chemoradiation and surgery ($p = 0.0036$).

Group	Group 2	Group 3	Group 4
1 (n = 60) no chemo	(n = 67) 2 cycles FOLFOX	(n = 67) 4 cycles FOLFOX	(n = 65) 6 cycles FOLFOX
pCR (%)	18%	25%	38%

in this pilot study, the authors demonstrated a 28% pCR rate.³⁹ The authors did not evaluate the technical difficulty of the surgical procedure, but the authors were able to achieve R0 resections in 95% of patients.

Some authors have suggested that radiation is not necessary if the primary tumor is not T4 and does not encroach on the mesorectal fascia by MRI. Schrag et al. conducted a small pilot study to evaluate induction chemotherapy with the selective use of CRT.⁴⁰ In this trial, patients with stage II and III tumors that were confined to the mesorectum were treated with six cycles of FOLFOX with bevacizumab for cycles 1–4. Patients were then restaged and neoadjuvant CRT was recommended only if the tumor did not respond or if the patient did not tolerate chemotherapy. Thirty-two patients were entered in the trial. Two patients did not tolerate chemotherapy and received neoadjuvant CRT. Of the patients that completed the neoadjuvant chemotherapy, none required neoadjuvant CRT. The pCR rate of these patients was 25%. There were no local failures and DFS was 84% at 4 years.

Total neoadjuvant therapy – long term outcomes

While complete tumor responses and R0 resections are good surrogates for the efficacy of TNT therapy, the goal of treatment is to improve long term, disease specific and overall survival. Without demonstrated improvements in these outcomes, TNT's only value would be earlier completion of therapy.

The Spanish GCR-3 trial's long term oncologic outcomes disappointed many advocates of TNT therapy. Despite a significant and highly disparate difference in the number of patients who completed the chemotherapy regimen, the 5 year actuarial results of the TNT and traditional CRT groups showed no difference in DFS (62% vs 64%, $p=0.85$), OS (75% vs 78%, $p=0.64$), local recurrence (5% vs 2%, $p=0.61$), or distant metastatic disease (23% vs 21%, $p=0.79$).⁴¹

While the original timing trial was only powered to evaluate pCR rates, the patients in Garcia-Aguilar's study were followed for long term oncologic outcomes. Again, this prospective study compared sequential groups of patients treated with incrementally increased dosing regimens of CRT and chemotherapy in the neoadjuvant setting. The authors demonstrated that disease free survival was significantly associated with ypTNM stage, study group, and pCR⁴² (see Table 2). Interestingly, the number of neoadjuvant chemotherapy cycles did not seem to have a dose related effect on cancer specific outcomes. This is in contrast to the group's earlier findings that an increased number of neoadjuvant chemotherapy cycles lead to an increased rate of pCR.

Of the patients in the control group treated with traditional neoadjuvant chemoradiation, surgery, and then adjuvant chemotherapy, only 69% received any chemotherapy. In order to demonstrate that the survival differences were attributable to the neoadjuvant delivery of chemotherapy, the authors did a subgroup evaluation only of

patients who received ≥ 1 cycle chemotherapy. Again, disease free survival significantly favored the patients who were in the neoadjuvant chemotherapy group.

Importantly, regardless of treatment group, staging at surgery was significantly associated with both disease free and overall survival in a dose related manner. Patients that had a pCR had a 94% actuarial 5 year DFS, while those with yp stage III disease had a 51% 5 year DFS. This lends credence to the observation that the biology of the tumor is the most important determinant of outcome. Regardless, this study suggests that TNT can help to exploit certain biologically susceptible cancers.

Markovina et al. evaluated the long term oncologic results of the patients who were treated in the short course TNT pilot discussed previously. They performed a matched pair analysis comparing patients treated in the short course TNT pilot study to patients treated with conventional neoadjuvant CRT and adjuvant chemotherapy.⁴³ Compared to patients treated with conventional trimodal therapy, the patients that received short course TNT had significantly improved 3 year disease free survival (68% vs 85% DFS at 3 years, $p=0.032$) and distant metastasis-free survival (70% vs 88% DMFS at 3 years, $p=0.028$). There was no difference in local control or overall survival between the two groups.

Memorial Sloan Kettering performed a cohort analysis on their patients who received TNT therapy to those treated with traditional neoadjuvant chemoradiation and adjuvant chemotherapy. As part of their practice, patients who had a complete clinical response were observed in a watch and wait protocol. Consistent with prior studies, they found that the patients in the TNT cohort received significantly more cycles of chemotherapy with fewer dose reductions.⁴⁴ The authors combined the complete clinical responders who were observed with those patients found to have a complete pathological response at surgery. In their analysis, patients in the TNT group had a complete response rate of 36%, compared to a 21% complete response rate in those receiving traditional trimodal therapy. No long term oncologic outcomes were reported in this study.

Current trials

There are currently 3 large ongoing trials that should contribute to our growing experience with TNT for rectal cancer. Two of these trials compare traditional long course neoadjuvant chemoradiation, surgery and adjuvant chemotherapy to TNT regimens, and should provide evidence as to the efficacy of TNT. Each study uses different styles of TNT delivery and they should, therefore, provide some guidance as to the proper order and delivery method of chemotherapy and radiation. All of these trials are designed to evaluate long term oncologic outcomes.

RAPIDO is primarily a European trial comparing traditional trimodal treatment to TNT using short course radiation (5 Gy delivered over 5 days) followed by neoadjuvant CAPOX and then surgery. Interestingly, this trial seeks patients with advanced tumors that are at high risk for local and distant failure. The inclusion criteria for tumors require T4 or N2 tumors or involvement of the mesorectal fascia. RAPIDO will test the theory that short course radiation is safe as part of a TNT protocol. The authors hypothesize that the shorter course of radiation, combined with a short waiting period before the initiation of chemotherapy will have a positive impact on long term oncologic outcomes by initiating chemotherapy sooner.

The PROSPECT trial is a prospective randomized clinical trial comparing conventional trimodal therapy to neoadjuvant chemotherapy with selective use of neoadjuvant chemoradiation for patients whose tumors do not shrink with the neoadjuvant chemotherapy. If the primary tumor has a 20% reduction in size, the patient foregoes chemoradiation and has a TME. In contrast to the RAPIDO trial, PROSPECT tumors are relatively good prognostic cancers. To be eligible for the trial, tumors must be T3 without bulky nodal disease (N0 or N1) and

Table 2

Long term oncologic results from the timing trial evaluating patients that received a variable number of cycles of neoadjuvant chemotherapy after neoadjuvant chemoradiation.

ypTNM stage	5 year DFS (%)	p Value
0	94	<0.0001
I	88	
II	60	
III	51	
Pathologic complete response		
No	69	0.0001
Yes	96	
Study group		
Control	50	0.004
2 cycles FOLFOX	81	
4 cycles FOLFOX	86	
6 cycles FOLFOX	76	

candidates for a low anterior resection based on tumor height. This trial will test the hypothesis that selective use of radiation as part of a TNT regimen is safe and effective.

While the study is designed to test the feasibility of the watch and wait strategy after TNT therapy, the Organ Preservation in Rectal Adenocarcinoma (OPRA) trial will allow comparison of two different TNT strategies. In this trial, patients will be randomized to induction therapy (with chemotherapy first) or consolidation treatment (with chemoradiation followed by chemotherapy). Under this protocol, patients that have a complete clinical response are observed with serial exams and imaging. Those that have residual tumor are treated with TME. The OPRA trial allows inclusion of all stage II and III patients that have respectable disease. OPRA should provide significant insight into the appropriate sequencing of chemotherapy and radiation in a TNT protocol.

Summary

While the evidence supporting chemotherapy in the treatment of rectal cancer is not convincing, extrapolation from colon cancer studies suggests that chemotherapy should benefit patients with locally invasive rectal cancer. There are several possibilities as to why researchers have been unable to demonstrate a benefit from adjuvant chemotherapy in this population. The poor tolerance and long lag time to adjuvant chemotherapy are certainly two possibilities, and TNT could potentially overcome these shortcomings. While we await the results from the large prospective randomized studies, it is clear that TNT will offer some advantages over conventional trimodal therapy. The NCCN has recognized the importance of, and the heterogeneous approaches to TNT, and the new guidelines allow for almost any combination of trimodal therapy – both in the traditional delivery and as part of a TNT protocol.

Conflicts of Interest

None.

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