Cancer

Comparison of resection and ablation for hepatocellular carcinoma: A cohort study based on a Japanese nationwide survey

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Background & Aims: The treatment of choice for early or moderately advanced hepatocellular carcinoma (HCC) with good liver function remains controversial. We evaluated the therapeutic impacts of surgical resection (SR), percutaneous ethanol injection (PEI), and radiofrequency ablation (RFA) on long-term outcomes in patients with HCC.

Methods: A database constructed on the basis of a Japanese nationwide survey of 28,510 patients with HCC treated by SR, PEI, or RFA between 2000 and 2005 was used to identify 12,968 patients who had no more than 3 tumors (\leq 3 cm) and liver damage of class A or B. The patients were divided into SR (n = 5361), RFA (n = 5548), and PEI groups (n = 2059). Overall survival and time to recurrence were compared among them.

Results: Median follow-up was 2.16 years. Overall survival at 3 and 5 years was respectively 85.3%/71.1% in the SR group, 81.0%/61.1% in the RFA, and 78.9%/56.3% in the PEI. Time to recurrence at 3 and 5 years was 43.3%/63.8%, 57.2%/71.7%, and 64.3%/76.9%, respectively. On multivariate analysis, the hazard ratio for death was significantly lower in the SR group than in the RFA (SR vs. RFA:0.84, 95% confidence interval, 0.74–0.95; p=0.006) and PEI groups (SR vs. PEI:0.75, 0.64–0.86; p=0.0001). The hazard ratios for recurrence were also lower in the SR group than in the RFA (SR vs. RFA:0.74, 0.68–0.79; p=0.0001) and PEI groups (SR vs. PEI:0.59, 0.54–0.65; p=0.0001).

Conclusions: Our findings suggest that surgical resection results in longer overall survival and shorter time to recurrence than either RFA or PEI in patients with HCC.

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Introduction

Hepatocellular carcinoma (HCC) is the fifth most common cancer in men and the seventh in women, worldwide [1]. Outcomes remain disappointing, despite recent progress in the techniques of diagnosis and therapy. Japanese [2], European [3] and American [4] clinical practice guidelines strongly recommend surgical resection (SR) and percutaneous ablation, including radiofrequency ablation (RFA) and percutaneous ethanol injection (PEI), for the management of early or moderately advanced HCC (i.e., up to 3 tumors 3 cm or less in diameter) in patients with adequately maintained liver function. Although comparative studies of these treatments have been conducted previously [5–7], the most suitable treatment strategy still remains controversial.

By nationwide surveys initiated in 1965, the Liver Cancer Study Group of Japan has prospectively collected data on patients with HCC in Japan. The Group conducted two retrospective analyses to define the treatment with the best outcomes [8,9]. However, each of the analyses was flawed, and had several problems: data on RFA were not included in the first report [8], and the follow-up period was short in the second one [9]. Although the second analysis demonstrated that surgical resection was superior to RFA and PEI for preventing recurrence [9], no apparent difference in the overall survival could be discerned between surgery and percutaneous ablation therapies (RFA and PEI). Thus, the treatment of choice for less advanced HCC still remains under debate.

Before starting this study, the results of 2 randomized controlled trials (RCT) were available [10,11]. As we pointed out in a previous report [12], however, the study designs of these 2

Abbreviations: HCC, hepatocellular carcinoma; SR, surgical resection; RFA, radio-frequency ablation; PEI, percutaneous ethanol injection; TACE, transcatheter hepatic arterial chemoembolization.



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Keywords: Hepatectomy; Surgical resection; Radiofrequency ablation; Percutaneous ethanol injection.

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trials were critically flawed by factors such as insufficient sample size, excessively optimistic hypotheses, and high conversion ratios. Because of these problems, the results of the two RCTs do not allow firm conclusions to be drawn concerning the important clinical question: is surgery or percutaneous ablation the treatment of choice for early or moderately advanced HCC? To answer this question, we conducted this cohort study based on the latest data available from a Japanese nationwide survey.

Patients and methods

Patients and settings

The Liver Cancer Study Group of Japan has performed nationwide surveys of patients with primary liver cancer since 1965. Patients are registered and followed up, as reported previously [9]. Although this study protocol was not submitted to the Institutional Review Board of each institution participating in the nationwide survey, the collection and registration of data of patients with HCC were performed with the approval of each institution. Because RFA has been available for clinical use since 1999 in Japan, we set the study period from 2000 to 2005, to exclude preliminary experiences with RFA. During this period, a total of 28,510 patients with HCC were registered and received surgical resection, RFA or PEI as the primary treatment with curative intent for HCC. We identified 12,968 patients who met the following criteria: (1) liver function classified as liver damage A or B defined by the Liver cancer Study Group of Japan [13]; (2) number of tumors 3 or less; (3) maximum tumor diameter \leq 3 cm. The 12,968 patients were divided into 3 groups according to the treatment received: SR group (n = 5361, 41.3%), RFA group (n = 5548, 42.8%), and PEI group (n = 2059, 15.9%). The diagnostic criteria and details of follow-up were described previously [8]. Because it has been unusual for biopsies to be performed in cases treated by percutaneous ablation in Japan, histological findings such as microscopic vascular invasion, tumor grading, and microscopic intrahepatic metastasis were not evaluated in this study. Relevant clinical data were collected and analyzed.

Statistical analyses

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The baseline characteristics of the three groups (Table 1) were compared by analysis of variance for continuous variables and by Chi-square or Mantel-trend tests for categorical variables. Consistent with our preliminary report [9], the SR group had a higher proportion of younger patients and male patients than the RFA and PEI groups. Hepatitis C virus infection was less prevalent in the SR group than in the RFA and PEI groups. Based on the liver damage class, serum albumin and total bilirubin levels, platelet counts, and the indocyanine green retention rate at 15 min, liver function was better in the SR group than in the RFA and PEI groups, consistent with our previous report [9]. As for tumor-related factors, the number of tumors was smaller, and the maximum tumor diameter was larger in the SR group than in the RFA or PEI group. The SR group had the lowest proportion of patients with abnormally elevated alpha-fetoprotein levels (≥15 ng/ml) and the highest proportion of patients with abnormally elevated des-γ-carboxy pro-thrombin levels (≥40 AU/ml).

Overall survival and time to recurrence curves were plotted using the Kaplan–Meier method and compared with the use of the log-rank test. Recurrence was diagnosed on the basis of imaging studies, clinical data, and/or histopathological studies at each institution [9].

The therapeutic impacts of surgical resection, RFA and PEI were estimated using a Cox proportional hazards model including the following 10 covariates: age, gender, liver damage class, hepatitis C virus antibody, hepatitis B surface antigen, platelet count, number of tumors, tumor size, and serum alpha-fetoprotein and des-y-carboxy prothrombin levels. The results of multivariate analysis were expressed as hazard ratios with 95% confidence intervals. p values of <0.05 were considered to indicate statistical significance.

For the subgroup analyses, the study populations were classified into 8 subgroups according to the tumor size (< or $\geqslant 2$ cm), tumor number (single or multiple), and liver damage class (A or B). Macroscopic vascular invasion was excluded from the subgroup analyses because its presence is a contraindication to percutaneous ablation therapies. The therapeutic impacts of the three treatments were evaluated in each of these subgroups, and hazard ratios with 95% confidence intervals and p values were calculated according to the above three factors (tumor size, number of tumors, and liver damage class).

Results

The median follow-up after treatment was 2.16 years, and the 5th and 95th percentiles were 0.14 and 5.19 years, respectively. The overall survival rates at 3/5 years were 85.3%/71.1% in the SR group, 81.0%/61.1% in the RFA group, and 78.9%/56.3% in the PEI group (Fig. 1). The median survival times were 8.4, 5.9, and 5.6 years in the three groups, respectively. The time to recurrence rates at 3/5 years in the 3 groups were 43.3%/63.8%, 57.2%/71.7%, and 64.3%/76.9%, respectively (Fig. 2).

According to the results of the multivariate analysis, the hazard ratio for death in the SR group was 0.84 (0.74–0.95, p = 0.006) relative to that in the RFA group, and 0.75 (0.64–0.86, p = 0.0001) relative to that in the PEI group (Table 2A). The hazard ratios for recurrence in the SR group were 0.74 (0.68–0.79, p = 0.0001) and 0.59 (0.54–0.65, p = 0.0001) relative to those in the RFA and PEI groups, respectively (Table 2B). These results indicated that the overall survival and time to recurrence rates were both significantly better in the SR group than in the RFA and PEI groups.

The overall survival rates following surgical resection, RFA and PEI in the 4 subgroups with a single tumor are shown in Fig. 3A–D. The results of the subgroup analyses (summarized in Fig. 4A) showed that the overall survival was significantly longer in the SR group than in the RFA group in 2 subgroups of patients, namely, those who had a single tumor smaller than 2 cm in diameter with liver damage class A, and those who had a single tumor 2 cm or larger in diameter with liver damage class B.

As shown in Fig. 4B, the time to recurrence was shorter in the SR group than that in the RFA group in the 4 following subgroups: patients with a single tumor with liver damage class A (regardless of the tumor size), those with multiple tumors 2 cm or larger in diameter with liver damage class A, and those with a single tumor 2 cm or larger in diameter with liver damage class B.

Discussion

Our study showed that surgical resection was associated with significantly lower risk of both death and recurrence as compared to RFA and PEI in patients with early or moderately advanced HCC. Our previous preliminary report [9] suggested that surgery reduces the risk of recurrence, but failed to demonstrate any difference in the overall survival between surgery and percutaneous ablation therapies in patients with early or moderately advanced HCC. The present study reconfirms that surgery is associated with a reduced recurrence rate and newly shows that surgery yields a longer overall survival than percutaneous ablation therapies.

Differences in the results between the present study and previous investigations are most likely related to the sample size and length of follow-up. The total number of subjects increased markedly from 7185 in our previous study to 12,968 in this study, and the median follow-up period increased from 10.4 months to 2.16 years (25.9 months). These factors are considered not only to have enhanced the reliability of our findings, but also to have strengthened our conclusions. We believe that our results, which are, of course, subject to the inherent drawbacks of the study design, are meaningful, given the current lack of credible data derived from well-designed RCTs.

The large sample size and prolonged follow-up period also allowed us to perform several subgroup analyses, which were not feasible in our previous study [9]. We classified the patients

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Table 1. Baseline characteristics.

Variables	SR	RFA	PEI	p value	
	n = 5361		n = 2059	•	
Age, median (5, 95 percentile), yr	66 (48, 77)	69 (52, 80)	69 (52, 80)	<0.0001a	
Sex				<0.0001b	
Male, No. (%)	3967 (74.0)	3569 (64.3)	1303 (63.3)		
Female, No. (%)	1394 (26.0)	1979 (35.7)	756 (36.7)		
Hepatitis virus infection				<0.0001	
HBs Ag(+)/HCV-Ab(-), No. (%)	908 (16.9)	462 (8.3)	141 (6.8)		
HBs Ag(-)/HCV-Ab(+), No. (%)	3393 (63.3)	4263 (76.8)	1632 (79.3)		
HBs Ag(+)/HCV-Ab(+), No. (%)	106 (2.0)	87 (1.6)	32 (1.6)		
HBs Ag(-)/HCV-Ab(-), No. (%)	760 (14.2)	512 (9.2)	160 (7.8)		
Unknown	194 (3.6)	224 (4.0)	94 (4.6)		
Liver damage			Managara da ma	<0.0001 ^b	
A, No. (%)	4000 (74.6)	3349 (60.4)	1204 (58.5)		
B, No. (%)	1361 (25.4)	2199 (39.6)	855 (41.5)		
Serum albumin, median (5, 95 percentile), g/dl	3.9 (3.1, 4.6)	3.7 (2.9, 4.4)	3.7 (2.8, 4.4)	<0.0001a	
Serum total bilirubin, median (5, 95 percentile), mg/dl	0.8 (0.4, 1.5)	0.9 (0.4, 1.9)	0.9 (0.4, 2.2)	<0.0001a	
Platelet count, median (5, 95 percentile), x 10⁴/μl	12.6 (5.8, 24.0)	9.9 (4.5, 20.4)	9.5 (4.4, 19.6)	<0.0001a	
ICG R15, median (5, 95 percentile), %	15 (5, 35)	22 (7, 51)	24 (8, 51)	<0.0001ª	
Tumor number				<0.0001°	
Single, No. (%)	4458 (83.2)	4068 (73.3)	1449 (70.4)		
Two, No. (%)	706 (13.2)	1096 (19.8)	443 (21.5)		
Three, No. (%)	197 (3.7)	384 (6.9)	167 (8.1)		
Tumor size, median (5, 95 percentile), mm	23 (12, 30)	20 (10, 30)	17 (10, 30)	<0.0001ª	
Alpha-fetoprotein		and six of	The state of the s	<0.0001 ^b	
≥15 ng/ml, No. (%)	2726 (50.9)	3028 (54.6)	1125 (54.6)		
<15 ng/ml, No. (%)	2457 (45.8)	2301 (41.5)	828 (40.2)		
Unknown, No. (%)	178 (3.3)	219 (3.9)	106 (5.2)		
Des-γ-carboxy prothrombin				<0.0001 ^b	
≥40 AU/ml, No. (%)	2182 (40.7)	1593 (28.7)	541 (26.3)		
<40 AU/ml, No. (%)	2651 (49.5)	3322 (59.9)	1169 (56.8)		
Unknown, No. (%)	528 (9.9)	633 (11.4)	349 (17.0)		

HBsAg, hepatitis B virus antigen; HCV-Ab, hepatitis C virus antibody; ICG R15, indocyanine green retention rate at 15 min.

^cMante-trend test.

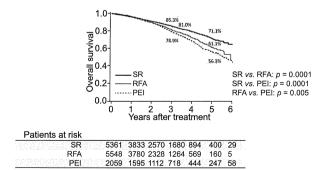


Fig. 1. Overall survival curves after surgical resection (SR), radiofrequency ablation (RFA), and percutaneous ethanol injection (PEI).

into 8 subgroups according to 3 factors (liver damage class, tumor size, and number of tumors), which have repeatedly been shown to be clinically relevant prognostic factors. The results of the sub-

group analyses indicated that surgical resection would effectively prevent recurrence in patients with relatively advanced HCC (2-3 cm in diameter) among the study populations, irrespective of liver damage class or number of tumors. This finding suggests that surgery might be superior to percutaneous ablation therapies in patients with a more advanced tumor stage. As for the subgroups with a single tumor, surgical resection yielded better overall survival and time to recurrence rates than RFA or PEI. Especially in the subgroup with a single tumor smaller than 2 cm in diameter, both the overall and time to recurrence rates were statistically significantly better after surgery than after RFA, whereas no such statistically significant differences in these two parameters between the two treatment groups were detected in a few subgroups with a single tumor, maybe due to the insufficient sample size of the subgroups. Thus, surgical resection would be considered as the treatment modality of first choice for a single HCC, as recommended by the Japanese clinical practice guideline [2]. Overall, there was a trend toward superior

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^aANOVA. ^bChi-square.

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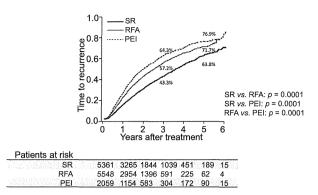


Fig. 2. Time to recurrence curves after surgical resection (SR), radiofrequency ablation (RFA), and percutaneous ethanol injection (PEI).

overall and time to recurrence rates after surgery than after RFA and PEI.

The reason why the long-term outcomes of the SR group were better than those of the PEI and RFA groups cannot be definitely

clarified from the results of this study, however, in theory, surgical resection has the advantage of offering better local control of HCC over PEI and RFA, both of which have some potential risks of local recurrence associated with insufficient ablation. In addition, anatomic resection to remove minute tumor satellites [14] might have decreased the recurrence rate in the SR group, although this remains a speculation.

Recently, the latest trial from China [15], which had an adequate sample size (total 230 patients), reported that surgical resection yielded significantly better long-term outcomes than RFA. Although the study design was better than that of the two previously reported RCTs [10,11], it appeared to have limitations with respect to the results, such as drop in the overall survival in the RFA group as compared with that in the surgery group during the early period after treatment. The early deaths in the RFA group could have been treatment-related rather than cancerrelated. Thus, no conclusion can be drawn from the three currently available RCTs.

One of the limitations of our study is the diversity of demographic factors in the study population, which would have been

Table 2. Hazard ratios for death and recurrence adjusted by multivariate analysis.

Δ	For	دمه	th

Variables		Hazard ratio	95% CI	<i>p</i> value
Treatments	SR vs. RFA	0.84	0.74, 0.95	0.006
	SR vs. PEI	0.75	0.64, 0.86	0.0001
	RFA vs. PEI	0.88	0.77, 1.01	0.08
Age	<65 <i>vs.</i> ≥65	0.71	0.63, 0.79	0.0001
Sex	Female vs. male	0.87	0.78, 0.98	0.03
HBsAg	Positive vs. negative	0.91	0.74, 1.11	0.34
HCV Ab	Positive vs. negative	0.93	0.79, 1.10	0.40
Liver damage	A vs. B	0.62	0.56, 0.69	0.0001
Platelet count	≥10⁴ <i>vs.</i> <10⁴/µl	0.76	0.68, 0.85	0.0001
Tumor size	<2 vs. ≥2 cm	0.82	0.73, 0.92	0.0007
Tumor number	Single vs. multiple	0.72	0.64, 0.80	0.0001
AFP	<15 <i>vs.</i> ≥15 ng/ml	0.66	0.59, 0.74	0.0001
DCP	<40 vs. ≥40 AU/ml	0.59	0.53, 0.66	0.0001

B For recurrence

Variables		Hazard ratio	95% CI	p value
Treatments	SR vs. RFA	0.74	0.68, 0.79	0.0001
	SR vs. PEI	0.59	0.54, 0.65	0.0001
	RFA vs. PEI	0.81	0.74, 0.88	0,0001
Age	<65 <i>vs.</i> ≥65	0.83	0.78, 0.89	0.0001
Sex	Female vs. male	0.88	0.82, 0.95	0.0001
HBsAg	Positive vs. negative	1.04	0.92, 1.17	0.53
HCV Ab	Positive vs. negative	1.15	1.04, 1.27	0.007
Liver damage	A vs. B	0.87	0.81, 0.93	0.0001
Platelet count	≥10⁴ <i>vs.</i> <10⁴/µl	0.92	0.86, 0.98	0.02
Tumor size	<2 <i>vs.</i> ≥2 cm	0.84	0.79, 0.90	0.0001
Tumor number	Single vs. multiple	0.69	0.64, 0.74	0.0001
AFP	<15 <i>vs.</i> ≥15 ng/ml	0.71	0.67, 0.76	0.0001
DCP	<40 vs. ≥40 AU/ml	0.72	0.67, 0.77	0.0001

HBsAg, hepatitis B virus surface antigen; HCV, hepatitis C virus; Ab, antibody; AFP, alpha-fetoprotein; DCP, des-γ-carboxy prothrombin; SR, surgical resection; RFA, radiofrequency ablation; PEI, percutaneous ethanol injection; CI, confidence interval.

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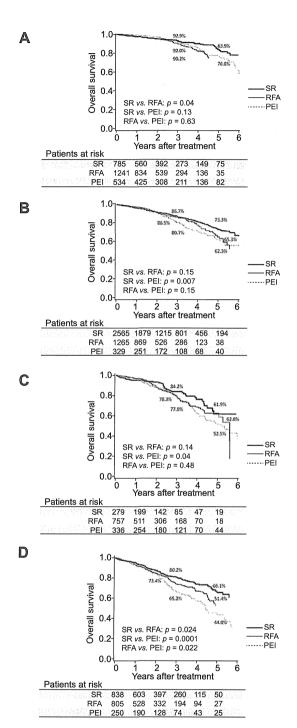


Fig. 3. Overall survival rates after surgical resection (SR), radiofrequency ablation (RFA), and percutaneous ethanol injection (PEI) in the subgroup of cases with single tumor and liver damage class A and B. (A) Liver damage class A, a single tumor (<2 cm); (B) liver damage class A, a single tumor (2–3 cm); (C) liver damage class B, a single tumor (<2 cm); (D) liver damage class B, a single tumor (<2 cm); (D) liver damage class B, a single tumor (2–3 cm).

caused by the selection process of treatment modalities. As similar to the previous retrospective studies [5–9], the patients amenable to surgery had had younger age, less prevalence of hepatitis

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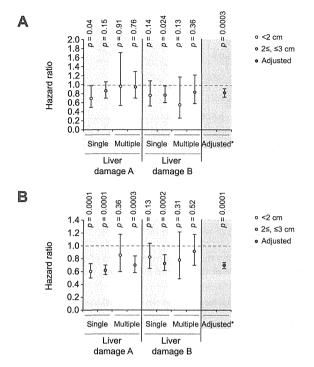


Fig. 4. Hazard ratios for death and recurrence with 95% confidence intervals and *p* values after surgical resection relative to those after radiofrequency ablation in the 8 subgroups. "The adjusted values for death and recurrence were calculated according to the three factors (tumor size, number of tumors, and liver damage class), as done in each subgroup. (A) Hazard ratios for death; (B) hazard ratios for recurrence.

C virus infection, better liver function, less association with portal hypertension, fewer number of tumors and lower alphafetoprotein level, whereas their tumor size was larger and their des-γ-carboxy prothrombin level was higher. To minimize potential effects of confounding factors, we studied patients who had similar tumor-related and liver function-related factors and performed multivariate analysis using 10 clinically important factors, similar to our previous study [9]. Although it is impossible to completely eliminate potential negative impacts of demographic diversity, we believe that our results are clinically meaningful, because of the large sample size of our study. In Japan, a nationwide RCT in patients with HCC is now ongoing, and the results are expected to lead to more definitive conclusions [16].

Another potential limitation of our study is the lack of data on liver function during the follow-up, which precluded assessment of the relationship between the liver function status and the choice of treatment at recurrence. In HCC, the influence of the first treatment is considered to be smaller than that in other primary malignant diseases, because the liver function remarkably affects the recurrence rate. Further investigations, particularly prospective clinical trials, are needed to address these issues.

In conclusion, this large cohort study based on data obtained by a nationwide survey in Japan, suggests that surgical resection may offer some advantage over RFA and PEI in terms of both overall survival and time to recurrence in patients with less advanced HCC. Although our results are considered as being more reliable than those of previous studies comparing the treatment

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outcomes in HCC, our conclusions need to be confirmed by future RCTs.

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Conflicts of interest

The authors who have taken part in this study declared that they do not have anything to disclose regarding funding or conflict of interest with respect to this manuscript.

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Significance of a reduction in HCV RNA levels at 4 and 12 weeks in patients infected with HCV genotype 1b for the prediction of the outcome of combination therapy with peginterferon and ribavirin

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Abstract

Background

The importance of the reduction in hepatitis C virus (HCV) RNA levels 4 and 12 weeks after starting peginterferon (PEG-IFN) and ribavirin combination therapy has been reported to predict a sustained virologic response (SVR) in patients infected with HCV genotype 1. We conducted a multicenter study to validate this importance along with baseline predictive factors in this patient subpopulation.

Methods

A total of 516 patients with HCV genotype 1 and pretreatment HCV RNA levels \geq 5.0 \log_{10} IU/mL who completed response-guided therapy according to the AASLD guidelines were enrolled. The reduction in serum HCV RNA levels 4 and 12 weeks after starting therapy was measured using real-time PCR, and its value in predicting the likelihood of SVR was evaluated.

Results

The area under the receiver operating characteristics (ROC) curve was 0.852 for 4-week reduction and 0.826 for 12-week reduction of HCV RNA levels, respectively. When the cutoff is fixed at a 2.8-log₁₀ reduction at 4 weeks and a 4.9-log₁₀ reduction at 12 weeks on the basis of ROC analysis, the sensitivity and specificity for SVR were 80.9% and 77.9% at 4 weeks and were 89.0% and 67.2% at 12 weeks, respectively. These variables were independent factors associated with SVR in multivariate analysis. Among 99 patients who showed a delayed virologic response and completed 72-week extended regimen, the area under ROC curve was low: 0.516 for 4-week reduction and 0.482 for 12-week reduction of HCV RNA levels, respectively.

Conclusions

The reduction in HCV RNA levels 4 and 12 weeks after starting combination therapy is a strong independent predictor for SVR overall. These variables were not useful for predicting SVR in patients who showed a slow virologic response and experienced 72-week extended regimen

Keywords, Chronic hepatitis C, Peginterferon, Ribavirin, Reduction in HCV RNA levels, Four and twelve weeks, Baseline factors, Response-guided therapy, Extended treatment

Background

Many investigators have sought to identify factors that can predict the treatment outcome of peginterferon (PEG-IFN) and ribavirin combination therapy in patients infected with HCV genotype 1. Previous studies reported baseline host and viral factors that are associated with

the treatment outcomes. The genetic polymorphisms near the *IL28B* gene (rs12979860 or rs8099917) reportedly constitute a host factor that is strongly associated with treatment outcome [1-5], and studies from Japan have reported that amino acid substitutions at residue 70 of the HCV core region and residues 2209–2248 of the NS5A region of HCV (i.e., interferon sensitivity-determining region, ISDR) are viral factors associated with treatment outcome in patients infected with HCV genotype 1 [6-10]. In addition to the baseline predictive factors, the response to HCV during therapy, i.e., the changes in serum HCV RNA levels after initiation of therapy, has also been shown to be an important predictor of treatment outcome [11-14]. Especially, the disappearance or the reduction in serum HCV RNA levels at 4 and 12 weeks after starting therapy have been reported to be important, therefore, rapid virologic response (RVR) or early virologic response (EVR) defined at 4 and 12 weeks after starting therapy, respectively, is a pivotal criteria in predicting treatment response [11-23].

There are adverse effects associated with PEG-IFN and ribavirin antiviral therapy, and the treatment course is costly. For these reasons, it is important to predict the likelihood that a patient will achieve SVR during early stages of therapy with high reliability, in order to prevent unnecessary treatment. This will become increasingly important with the emergence of new antiviral drugs against HCV [24-28]. In the present study, we conducted a multicenter cohort study to examine whether the reduction in HCV RNA levels 4 and 12 weeks after starting PEG-IFN and ribavirin combination therapy, along with baseline predictive factors, has any value in predicting SVR.

Methods

Patients, treatments, and evaluation of responses

The inclusion criteria for this multicentre study were (i) infection with HCV genotype 1 without co-infection with hepatitis B virus or human immunodeficiency virus; (ii) pretreatment HCV RNA levels ≥5.0 log₁₀ IU/mL, based on a quantitative real-time PCRbased method (COBAS AmpliPrep / COBAS TaqMan HCV Test; Roche Molecular Systems: Pleasanton, CA, US: lower limit of quantification, 1.6 log₁₀ IU/ mL: lower limit of detection, 1.2 log₁₀ IU/ mL) [29,30]; (iii) standard PEG-IFN and ribavirin therapy according to the American Association for the Study of the Liver Diseases (AASLD) guidelines [31] started between December 2004 and January 2010; (iv) completed treatment regimen of 48- or 72week duration with virologic outcomes available for evaluation; and (v) 100% medication adherence for both PEG-IFN and ribavirin during the initial 4 weeks of therapy and 80% or more throughout the treatment period. With regard to inclusion criterion (i), this study did not include any patients infected with HCV genotype 1a because this genotype is usually not found in the Japanese general population. With regard to criterion (ii), we focused on patients with pretreatment HCV RNA level ≥5.0 log₁₀ IU/mL because the use of ribavirin along with PEG-IFN is not allowed by Japanese National Medical Insurance System for patients with pretreatment HCV RNA levels <5.0 log₁₀ IU/mL. With regard to criterion (iv), the treatment duration was determined based on the response-guided therapy according to AASLD guidelines. Patients in whom serum HCV RNA disappeared until 12 weeks after starting therapy (complete EVR) underwent 48-week treatment regimen. Patients in whom serum HCV RNA disappeared after 12 weeks but until 24 weeks after starting therapy (delayed virologic response) underwent 72-week extended treatment regimen. Patients whose treatment was discontinued due to the presence of serum HCV RNA at 24 weeks of therapy

(partial responders or null responders as per the AASLD guidelines), or due to viral breakthrough were also included in the study.

A total of 808 patients underwent the combination therapy with PEG-IFN and ribavirin between December 2004 and January 2010 in one of the following five Liver Centers: Musashino Red Cross Hospital, Kurume University Hospital, Ogaki Municipal Hospital, Shinmatsudo Central General Hospital, and Kagawa Prefectural Central Hospital. For 126 patients, the treatment regimen consisted of weekly PEG-IFN alpha-2a (Pegasys, Chugai Pharmaceutical, Tokyo, Japan) and daily ribavirin (Copegus, Chugai Pharmaceutical). The other 682 patients were treated with weekly PEG-IFN alpha-2b (Pegintron, MSD Co., Tokyo, Japan) and daily ribavirin (Rebetol, MSD Co.). We excluded patients who had been treated with PEG-IFN alpha-2a and ribavirin in order to avoid the influence of PEG-IFN subtype on the association between viral dynamics and treatment outcome. In 682 patients who received PEG-IFN alpha-2b, 516 patients fulfilled the eligibility criteria and were included for analysis (Figure 1). The doses of PEG-IFN alpfa-2b and ribavirin were adjusted based on the patient's body weight. Patients ≤ 45 kg were given 60 μg of PEG-IFN alpha-2b weekly, those > 45 kg and ≤ 60 kg were given 80 µg, those > 60 kg and ≤ 75 kg were given 100 µg, those > 75 kg and ≤ 90 kg were given 120 µg, and those > 90 kg were given 150 µg. Patients ≤ 60 kg were given 600 mg of ribavirin daily, those > 60 kg and \leq 80 kg were given 800 mg, and those > 80 kg were given 1000 mg per day. Dose modifications of PEG-IFN or ribavirin were based on the manufacturer's recommendations.

Figure 1 Schematic representation of the study patients

SVR was defined as undetectable serum HCV RNA 24 weeks after the end of therapy. A patient was considered to have relapsed when serum HCV RNA levels became detectable between the end of treatment and 24 weeks after completion of therapy, although serum HCV RNA levels were undetectable at the end of therapy. A non-response was defined as detectable serum HCV RNA at 24 weeks after initiation of therapy (i.e., null response or partial non-response according to the AASLD guidelines). RVR was defined as undetectable serum HCV RNA 4 weeks after starting therapy. EVR was defined as the disappearance or a decrease in serum HCV RNA levels by at least 2 log₁₀ at 12 weeks after starting therapy. Patients were considered to have a complete EVR if the serum HCV RNA levels were undetectable 12 weeks after starting therapy and a partial EVR if the serum HCV RNA levels were detectable but had decreased by at least 2 log₁₀ at 12 weeks of therapy. A non-EVR was defined as a lack of a decrease of HCV RNA by more than 2 log₁₀ at 12 weeks when compared to pretreatment levels. Patients were considered to have a delayed virologic response if serum HCV RNA levels became undetectable after 12 weeks but until 24 weeks on treatment.

The study protocol was in compliance with the Helsinki Declaration and was approved by the ethics committee of each participating institution, i.e., the ethics committee of Musashino Red Cross Hospital, the ethics committee of Kurume University Hospital, the ethics committee of Ogaki Municipal Hospital, the ethics committee of Shinmatsudo Central General Hospital, and the ethics committee of Kagawa Prefectural Central Hospital. Prior to initiating the study, written informed consent was obtained from each patient to use their clinical and laboratory data and to analyze stored serum samples.

Measurements of serum HCV RNA levels, amino acid substitution at residue 70 in the HCV core, amino acid sequence of HCV NS5A-ISDR, and genetic polymorphisms near the IL28B gene

After a patient gave informed consent, serum samples were obtained during the patient's regular hospital visits, just prior to beginning treatment, and every 4 weeks during the treatment period and the 24-week follow-up period after treatment. Serum samples were stored at -80°C until they were analyzed. HCV RNA levels were measured using a quantitative real-time PCR-based method (COBAS AmpliPrep/ COBAS TaqMan HCV Test) [29,30]. The reduction in HCV RNA 4 and 12 weeks after initiation of therapy was calculated. When calculating the decrease in serum HCV RNA, HCV RNA level was defined as 0 when HCV RNA was undetectable.

Amino acid 70 of the HCV core region and the amino acid sequence of ISDR region (residues 2209–2248 of the NS5A region) were analyzed by direct nucleotide sequencing of each region as previously reported [6,7]. The following PCR primer pairs were used for direct sequencing of the HCV core region:

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5'-GCCATAGTGGTCTGCGGAAC-3' (outer, sense primer), 5'-GGAGCAGTCCTTCGTGACATG-3' (outer, antisense primer), 5'-GCTAGCCGAGTAGTGTT-3' (inner, sense primer), and 5'-GGAGCAGTCCTTCGTGACATG-3' (inner, antisense primer).
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The following PCR primers were used for direct sequencing of ISDR:

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5'-TTCCACTACGTGACGGGCAT-3' (outer, sense primer),
5'-CCCGTCCATGTGTAGGACAT-3' (outer, antisense primer),
5'-GGGTCACAGCTCCCTGTGAGCC-3' (inner, sense primer), and
5'-GAGGGTTGTAATCCGGGCGTGC-3' (inner, antisense primer).
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When evaluating ISDR, HCV was defined as wild-type when there were 0 or 1 amino acid substitutions in residues 2209–2248 as compared with the HCV-J strain [32], and as non-wild-type when there was more than 1 substitutions.

Genotyping of rs 8099917 polymorphisms near the *IL28B* gene was performed using the TaqMan SNP assay (Applied Biosystems, Carlsbad, CA) according to the manufacturer's guidelines. A pre-designed and functionally tested probe was used for rs8099917 (C__11710096_10, Applied Biosystems). Genetic polymorphism of rs8099917 reportedly corresponds to rs12979860 in more than 99% of individuals of Japanese ethnicity [33]. The TT genotype of rs8099917 corresponds to the CC genotype of rs12979860, the GG genotype of rs8099917 corresponds to the TT genotype of rs12979860, and the TG heterozygous genotype of rs8099917 corresponds to the CT of rs12979860.

Statistical analyses

Quantitative values are reported as medians and ranges. Differences in percentages between groups were analyzed with the chi-square test. Differences in mean quantitative values were analyzed by the Mann-Whitney U test. The receiver-operating characteristics (ROC) analyses were performed to determine the cut-offs of the reduction in HCV RNA levels at 4

and 12 weeks after starting therapy to evaluate the sensitivity, specificity, positive predictive value (PPV), negative predictive value (NPV), and accuracy for predicting SVR. Univariate and multivariate analyses using a logistic regression model were performed to identify factors that predict SVR. The factors that are potentially associated with SVR were included in the analyses, i.e., age, sex, body mass index (BMI), serum alanine aminotransferase activity, serum gamma-glutamyl transpeptidase level, total-cholesterol levels, neutrophil count, hemoglobin, platelet count, grade of activity and fibrosis of the liver, pretreatment HCV RNA levels, reduction in HCV RNA levels 4 and 12 weeks after starting therapy, amino acid substitution at residue 70 in the HCV core (arginine vs. glutamine or histidine), amino acid mutations in ISDR (non-wild-type vs. wild-type), and genetic polymorphisms near the *IL28B* gene (rs8099917, genotype TT vs. genotype TG or GG). Data analyses were performed using StatFlex statistical software, version 6 (Artech Co., Ltd., Osaka, Japan). All p values were two-tailed, and p < 0.05 was considered statistically significant.

Results

Patient characteristics and treatment outcome

The characteristics of the patients are shown in Table 1. Genotyping of rs8099917 near the *IL28B* gene was performed in 396 patients. Amino acid substitutions at residue 70 in the HCV core region were measured in 361 patients. Amino acid sequences in the ISDR were evaluated in 416 patients. Among 516 patients who were included in the analysis, treatment was completed at 48 weeks in 268 patients who underwent the standard regimen because they showed complete EVR. Treatment was extended from 48 weeks to 72 weeks in 99 patients who yielded delayed virologic response. Treatment was discontinued until 48 weeks in 149 patients because serum HCV RNA remained positive 24 weeks after starting therapy (partial response or null response), or because patients experienced viral breakthrough during therapy.

Table 1 Characteristics of study patients

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Age (years), median (range)	60.0 (20.0–80.0)
Sex (male/female) (%)	245 (47.5)/ 271 (52.5)
Body weight (kg), median (range)	58.0 (36.35–107.6)
BMI, median (range)	22.7 (15.8–37.0)
Prior treatment for HCV (no/yes) (%)	359 (69.6)/ 157 (30.4)
Initial dose of PEG-IFN (μg), median (range)	80.0 (40.0–150.0)
Initial dose of ribavirin (mg), median (range)	600 (400–1000)
Pretreatment HCV RNA levels (log ¹⁰ IU/mL), median (range)	6.1 (5.0–7.7)
Platelet count (×10 ³ /μL)	161 (43–352)
Hemoglobin (g/dL)	13.9 (9.7–17.9)
Neutrophil count (/μL)	2489 (578–7480)
Alanine aminotransferase (IU/L)	47 (10–485)
LDL-cholesterol (mg/dL)	99 (25–226)
Total-cholesterol (mg/dL)	171 (29–325)
γ-glutamyl transpeptidase (IU/L)	34.5 (7.0–579)
Alfa fetoprotein (ng/mL)	5.0 (0.8–584)
Fibrosis score (F1/F2/F3/F4) (%)	208(45.9)/139(30.7)/69(15.2)/37(8.2)
Activity score (A1/A2/A3/A4) (%)	258(56.1)/178(38.7)/24(5.2)/0(0)
Genetic polymorphisms of rs8099917 (TT/GG or TG) (%)	288 (72.7)/ 108(27.3)
Amino acid at residue 70 of HCV core (arginine/glutamine or histidine) (%)	242 (67.0)/ 119 (33.0)
Amino acid sequence of ISDR (non-wild-type/wild-type) (%)	110 (26.4)/ 306 (73.6)

BMI, body mass index; HCV, hepatitis C virus; PEG-IFN, peginterferon; ISDR, interferon sensitivity-determining region. (N = 516)\

As a final outcome, 272 patients (52.7%) achieved SVR, 90 patients (17.5%) relapsed, and 128 patients (24.8%) had a non-response (48 patients with partial response and 80 patients with null-response). Viral breakthrough was observed in 26 patients (5.0%). The rate of SVR was 79.9% (214 of 268 patients) among patients with complete EVR in whom treatment was completed at 48 weeks and 58.6% (58 of 99 patients) among patients with delayed virologic response who underwent the extended 72-week regimen.

Baseline factors affecting SVR in all patients who underwent response-guided therapy according to AASLD guidelines

In all patients who underwent treatment according to the AASLD guidelines, the rate of SVR was significantly higher in patients with the TT genotype of rs8099917 near the *IL28B* gene (179 of 288 patients [62.3%] with TT genotype vs. 15 of 108 patients [13.9%] with TG/GG genotype, p < 0.0001). In addition, SVR rate was significantly higher in patients with HCV with arginine at residue 70 in the HCV core region (145 of 242 patients [59.9%] with arginine vs. 34 of 119 patients [28.6%] with glutamine or histidine, p < 0.0001). SVR was significantly higher in patients with HCV with non-wild type ISDR (75 of 110 patients [68.2%] with non-wild-type ISDR vs. 139 of 306 patients [45.4%] with wild-type ISDR, p < 0.0001). SVR was significantly higher in patients with pretreatment HCV RNA levels <6.0 log₁₀ IU/mL (127 of 199 patients [63.8%] with pretreatment HCV levels <6.0 log₁₀ IU/mL vs. 145 of 317 patients [45.7%] with pretreatment HCV RNA levels \geq 6.0 log₁₀ IU/mL, p < 0.0001).

Association between reduction of serum HCV RNA levels 4 and 12 weeks after starting therapy and SVR in all patients who underwent response-guided therapy according to the AASLD guidelines

The ROC analysis was performed in 516 patients who underwent the response-guided therapy according to the AASLD guidelines in order to evaluate the association between the reduction in serum HCV RNA levels 4 and 12 weeks after starting therapy and SVR (Figure 2). The area under the ROC curve was 0.852 and the best cut-off was calculated as $2.8 \log_{10}$ IU/mL, when evaluated with the reduction of serum HCV RNA levels 4 weeks after starting therapy. The rate of SVR was significantly higher in patients with greater than 2.8-log₁₀ reduction at 4 weeks (220 of 274 patients [80.3%] with > 2.8-log₁₀ reduction vs. 52 of 242 patients [21.5%] with ≤ 2.8 -log₁₀ reduction, p < 0.0001). The sensitivity, specificity, PPV, NPV, and accuracy were 80.9%, 77.9%, 80.3%, 78.5%, and 79.5%, respectively, at this cutoff level. When evaluated with the reduction of serum HCV RNA levels 12 weeks after starting therapy, the area under the ROC curve was 0.826 and the best cut-off was calculated as 4.9 log₁₀ IU/mL. The rate of SVR was significantly higher in patients with greater than $4.9 - \log_{10}$ reduction at 12 weeks (242 of 321 patients [75.4%] with > 4.9 - \log_{10} reduction vs. 30 of 194 patients [15.5%] with ≤ 4.9 -log₁₀ reduction, p < 0.0001). The sensitivity, specificity, PPV, NPV, and accuracy were 89.0%, 67.2%, 75.4%, 84.5%, and 78.7%, respectively, at this cut-off level.

Figure 2 The receiver operating characteristics (ROC) analysis for the prediction of the sustained virologic response to combination therapy with peginterferon alpha-2b and ribavirin according to the reduction in serum HCV RNA levels in all patients who underwent response-guided therapy based on the AASLD guidelines. A) According to the reduction in serum HCV RNA levels 4 weeks after starting therapy. The area under the ROC curve was 0.852. B) According to the reduction in serum HCV RNA levels 12 weeks after starting therapy. The area under the ROC curve was 0.826

A multivariate analysis showed that the reductions in serum HCV RNA levels at 4 and 12 weeks after starting therapy were independent factors associated with SVR, along with pretreatment HCV RNA levels, platelet counts, polymorphisms of rs8099917 near the *IL28B* gene, and amino acid mutations in the HCV NS5A-ISDR (Table 2).

Table 2 Univariate and multivariate analyses for sustained virologic response to the combination therapy with peginterferon and ribavirin in patients who underwent response guided therapy according to the AASLD guidelines

	Univariate analysis	Multivariate analysis*	Odds ratio (95% confidence interval)
Age (years)	< 0.001	N.S.	
Sex (male/female)	0.005	N.S.	
BMI, median (range)	N.S.		
Prior treatment for HCV (no/yes)	N.S.		
Pretreatment HCV RNA levels (log ₁₀ IU/mL), (≤6.0 vs. 6.0<)	0.015	0.013	2.235 (1.189-4.203)
Platelet count ($\times 10^3/\mu$ L)	< 0.001	0.011	1.007 (1.002-1.013)
Hemoglobin (g/dL)	0.002	N.S.	
Neutrophil count (/μL)	0.003	N.S.	
Alanine aminotransferase (IU/L)	N.S.		
Total-cholesterol (mg/dL)	0.001	N.S.	
γ-glutamyl transpeptidase (IU/L)	0.014	N.S.	
Fibrosis score (F1 or F2/F3 or F4)	< 0.001	N.S.	
Activity score (A1 or A2/A3 or A4)	0.002	N.S.	
Genetic polymorphisms of rs8099917 (TT/GG or TG)	< 0.001	< 0.001	5.782 (2.298-14.552)
Amino acid at residue 70 of HCV core (arginine/glutamine or histidine)	< 0.001	N.S.	
Amino acid sequence of ISDR (non-wild-type/wild-type)	< 0.001	0.038	2.077 (1.041-4.147)
Reduction of HCV RNA [Pre - 4 week] (log ₁₀ IU/mL), (≤2.8 vs. 2.8<)	< 0.001	< 0.001	3.911 (1.935-7.908)
Reduction of HCV RNA [Pre - 12 week] (log ₁₀ IU/mL), (≤4.9 vs. 4.9<)	< 0.001	0.013	2.578 (1.220-5.448)

^{*}Multivariate analysis was performed on 314 patients in whom all variables were available. (N = 516)

Association between reduction of serum HCV RNA levels 4 and 12 weeks after starting therapy and SVR in patients with delayed virologic response who underwent an extended 72-week regimen according to response-guided therapy

The ROC analysis was performed in 99 patients with delayed virologic response who underwent an extended 72-week treatment regimen according to the response-guided therapy of the AASLD guidelines to evaluate the association between reduction in serum HCV RNA levels 4 and 12 weeks after starting therapy and SVR (Figure 3). The area under the ROC curve was 0.516 and the best cut-off was calculated as 2.3 \log_{10} IU/mL, when evaluated with the reduction of serum HCV RNA levels 4 weeks after starting therapy. There was no significant difference in the rate of SVR according to the reduction at 4 weeks (21 of 33 patients [63.6%] with > 2.3- \log_{10} reduction vs. 37 of 66 patients [56.1%] with \leq 2.3- \log_{10} reduction, p = 0.6120). The area under the ROC curve was 0.482 and the best cut-off was calculated as 5.1 \log_{10} IU/mL, when evaluated with the reduction of serum HCV RNA levels 12 weeks after starting therapy. There was no significant difference in the rate of SVR according to the reduction at 12 weeks (24 of 42 patients [57.1%] with > 5.1- \log_{10} reduction vs. 34 of 57 patients [59.6%] with \leq 5.1- \log_{10} reduction, p = 0.9634).

Figure 3 The receiver operating characteristics (ROC) analysis for the prediction of the sustained virologic response to combination therapy with peginterferon alpha-2b and ribavirin according to the reduction in serum HCV RNA levels in patients with delayed virologic response who underwent an extended 72-week regimen according to responseguided therapy. A) According to the reduction in serum HCV RNA levels 4 weeks after starting therapy. The area under the ROC curve was 0.516. B) According to the reduction in serum HCV RNA levels 12 weeks after starting therapy. The area under the ROC curve was 0.482

Discussion

Several previous studies have reported that patients who achieved RVR, in whom serum HCV RNA levels become undetectable 4 weeks after starting the therapy, had a high likelihood of achieving SVR [15-18]. However, there are relatively few patients infected with treatment-resistant HCV genotype 1 who achieve RVR. A considerable percentage of patients achieve SVR even without RVR. Therefore, RVR has high specificity but low sensitivity for predicting SVR. Previous studies from Asia evaluated the predictive value of the degree of reduction in serum HCV RNA levels 4 weeks after starting therapy, in addition to RVR [19-21]. However, the number of patients in these studies was small and the analyses were not sufficient to form reliable conclusions.

In the present study, we evaluated the ability of a decrease in serum HCV RNA levels 4 weeks after starting therapy to predict the likelihood of SVR as a final outcome in Japanese patients infected with HCV genotype 1b, based on the data from a large, multi-institution study. The ROC analyses showed that a reduction in serum HCV RNA levels 4 week after starting therapy was strongly associated with SVR, and its predictive value was higher than that of a reduction in serum HCV RNA levels 12 weeks after starting therapy, with higher area under the ROC curve and accuracy. Multivariate analyses including baseline factors that were associated with SVR revealed that the reductions of HCV RNA level at both 4 and 12 weeks after starting therapy were independent factors associated with SVR, and the reduction

at 4 weeks had a second strongest impact for SVR, following genetic polymorphisms of rs8099917 near *IL28B* gene.

The important novelty from this study is that the reductions of HCV RNA level 4 and 12 weeks after starting therapy had no predictive value for SVR when focusing on patients who showed delayed virologic response and underwent the extended 72-week treatment regimen according to the response-guided therapy. This was in contrast to the prediction for SVR in all patients who underwent response-guided therapy. The impact of the reduction of HCV RNA level on the prediction of SVR would decline by the selection of patients based on the delayed virologic response. There were also no baseline factors that were associated with SVR in patients who underwent the extended 72-week treatment (data not shown). Prolonged treatment duration may relieve delayed virologic responders from unfavorable conditions. Further studies will be, therefore, needed to identify predictive factors for SVR in patients with delayed virologic response who underwent the 72-week treatment regimen.

There are several limitations to this study. The data were based on Japanese patients infected with HCV genotype 1b. Therefore, these results should be confirmed in patients of other ethnicities and patients infected with HCV genotype 1a. In addition, the value of the reduction in HCV RNA levels 4 and 12 weeks after starting therapy as predictors of SVR should be evaluated in patients who underwent therapy with PEG-IFN alpha 2a and ribavirin to determine the best cut-off levels with that regimen. Statistically, there were many missing data. We performed complete case analysis without the imputation of missing data for multivariate analysis. Although comparison between cases with and without missing data did not show statistically significant differences for cases characteristics, we cannot rule out that the condition of data missing completely at random does not hold. Furthermore, this resulted in the decrease in the number of patients analyzed in multivariate analysis and might have substantially caused the reduction of statistical power, altering the value of non-significant results. In addition, the study did not perform internal validation. The use of hold-out method or split-group validation was difficult because of the number of study patients. Therefore, the validation in another larger study patients will be required in the future for confirming the results of this study.

Conclusions

A reduction in HCV RNA levels 4 and 12 weeks after starting therapy indicated likelihoods that patients will achieve SVR as a final outcome of combination therapy for HCV infection when patients underwent the response-guided therapy according to the AASLD guidelines. These reductions in serum HCV RNA levels were not predictive for SVR when focusing on patients who showed delayed virologic response and underwent the extended 72-week regimen.

Abbreviations

HCV, Hepatitis C virus; PEG-IFN, Peginterferon; SVR, Sustained virologic response; ROC, Receiver operating characteristics; ISDR, Interferon sensitivity-determining region; RVR, Rapid virologic response; EVR, Early virologic response; AASLD, American Association for the Study of the Liver Diseases; BMI, Body mass index; PPV, Positive predictive value; NPV, Negative predictive value

Competing interests

The authors declare the following matters.

The authors have not received reimbursements, fees, funding, or salary from an organization that may in any way gain or lose financially from the publication of this manuscript, neither now nor in the future.

The authors have no stocks or shares in an organization that may in any way gain or lose financially from the publication of this manuscript, neither now nor in the future.

The authors are currently applying no patents relating to the content of the manuscript. We have not received reimbursements, fees, funding, or salary from an organization that holds or has applied for patents relating to the content of the manuscript.

The authors do not have any other financial competing interests.

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Authors' contributions

Study design: HT, TK, NS, KT, TI, MS, HG, KM, and NI. Treatment of patients and data acquisition: HT, TK, NS, KT, TI, MS, and NI. Data analyses: HG and KM. Manuscript preparation: HT. Read and approval of the final manuscript: HT, TK, NS, KT, TI, MS, HG, KM, and NI. All authors read and approved the final manuscript.

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