

# Lymph node regression after neoadjuvant chemoradiotherapy in rectal cancer

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## Lymph node regression after neoadjuvant chemoradiotherapy in rectal cancer

**Aims:** Lymph node metastases (LNM) are one of the most important prognostic indicators in solid tumours and a major component of cancer staging. Neoadjuvant therapy might influence nodal status by induction of regression. Our aim is to determine the prevalence and role of regression of LNM on outcomes in patients with rectal cancer.

**Methods and results:** Four independent study populations of rectal cancer patients treated with similar regimens of chemoradiotherapy were pooled together to obtain a total cohort of 469 patients. Post-treatment nodal status (ypN) and signs of tumour regression (Reg) were incorporated to form three-tiered (ypN– Reg+, ypN– Reg– and ypN+) and four-tiered (ypN– Reg+, ypN– Reg–, ypN+ Reg+ and

ypN+ Reg–) classifications. In our cohort, 31% of patients presented with ypN+ rectal cancer. As expected, we found significantly worse overall survival (OS) in ypN+ patients compared to ypN– patients ( $P = 0.002$ ). The percentage of ypN– patients with lymph nodes with complete regression was 20% in our cohort. While node-negative patients with and without regression had similar OS ( $P = 0.09$ ), disease-free survival (DFS) was significantly better in node-negative patients with regression ( $P = 0.009$ ).

**Conclusions:** Regression in lymph nodes is frequent, and node-negative patients with evidence of lymph node regression have better DFS compared to node-negative patients without such evidence.

**Keywords:** lymph node metastases, lymph node regression, neoadjuvant chemoradiotherapy, patterns of response, rectal cancer

## Introduction

Lymph node metastases (LNM) are one of the oldest and most important prognostic indicators of tumour

recurrence and patient survival in rectal cancer.<sup>1</sup> After neoadjuvant therapy, treatment effects can be observed in both primary tumours as well as LNM.<sup>2</sup> Traditional tumour regression grading (TRG) systems categorise the amounts of regressive changes after therapy in the primary tumour, mainly based on the principle of the ratio of therapy-induced fibrosis in relation to residual tumour. Response is often also

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observed in LNM, but due to the lack of reliable larger studies, clinical implications are unclear.

In 2007 Caricato *et al.*<sup>3</sup> first described lymph node regression grade (LRG) but did not establish its clinical relevance. Since then, a wide variety of methods has been applied to determine the impact of LRG on patient prognosis.<sup>2,4–23</sup> Some methods are based on Mandard's fibrosis–tumour ratio classification,<sup>24</sup> with diverse scales of this ratio (ranging from three to six tiers), using cumulative<sup>7,20,21</sup> or maximum scores.<sup>16</sup> Simplification into major and minor histological response have also shown interesting results in patients with oesophageal cancer,<sup>11,18</sup> but do not allow for clear-cut identification of complete regression patients.

A second issue is the variability in reporting LRG in the literature. Various terms are used, such as 'sterilised lymph nodes', 'downstaged N0 versus natural N0', 'pretreatment nodal stage' and 'regressive lymph nodes', all of which indicate regressed LNM with a complete pathological response. Upon histological review, these LNs present without tumour cells but tumour remnants are present, including fibrosis, mucin pools (for adenocarcinomas) and keratin pearls (for squamous cell carcinomas). These lymph nodes are classified as tumour-negative in the current TNM staging system.<sup>25</sup>

The reported incidence of patients with negative lymph nodes with signs of regression in rectal cancer ranges between 9 and 51%.<sup>2–4,14,16</sup> This wide range and the lack of clarity in the definition of lymph node regression suggest that this phenomenon is under-reported. In this study, we aimed to determine the prevalence of regression of lymph node metastases in rectal cancer and the impact of its presence on outcome.

## Materials and Methods

### STUDY POPULATIONS

A retrospective cohort study was carried out by pooling four cohorts. Patients with locally advanced rectal adenocarcinoma receiving neoadjuvant chemoradiotherapy (CRT) were selected and included if all retrieved lymph nodes were available for review. Before surgery, patients from the Rectal Cancer and Preoperative Induction Therapy Followed by Dedicated Operation (RAPIDO) clinical trial received  $25 \times 1.8$  Gy or  $25 \times 2$  Gy + capecitabine; patients from Radboud University Medical Centre, the Netherlands and Erasmus Medical Center, the Netherlands received 50–50.4 Gy + capecitabine. Patients from St

Vincent's University Hospital, Dublin, Ireland received  $25 \times 1.8$  Gy + capecitabine and oxaliplatin (CAPOX) followed by surgery. The ethical standards of the research ethics committee and the Helsinki Declaration were thoroughly met.

### LN REGRESSION GROUP DEFINITIONS

We scored tumour presence (ypN) and regression (Reg) in lymph nodes separately to create four different groups: ypN– Reg– (patients with negative lymph nodes without signs of regression), ypN– Reg+ (patients with negative lymph nodes with signs of regression), ypN+ Reg+ (patients with at least one positive lymph node and in other lymph nodes complete regression) and ypN+ Reg– (patients with at least one positive lymph node without signs of regression in other nodes) (Table 1).

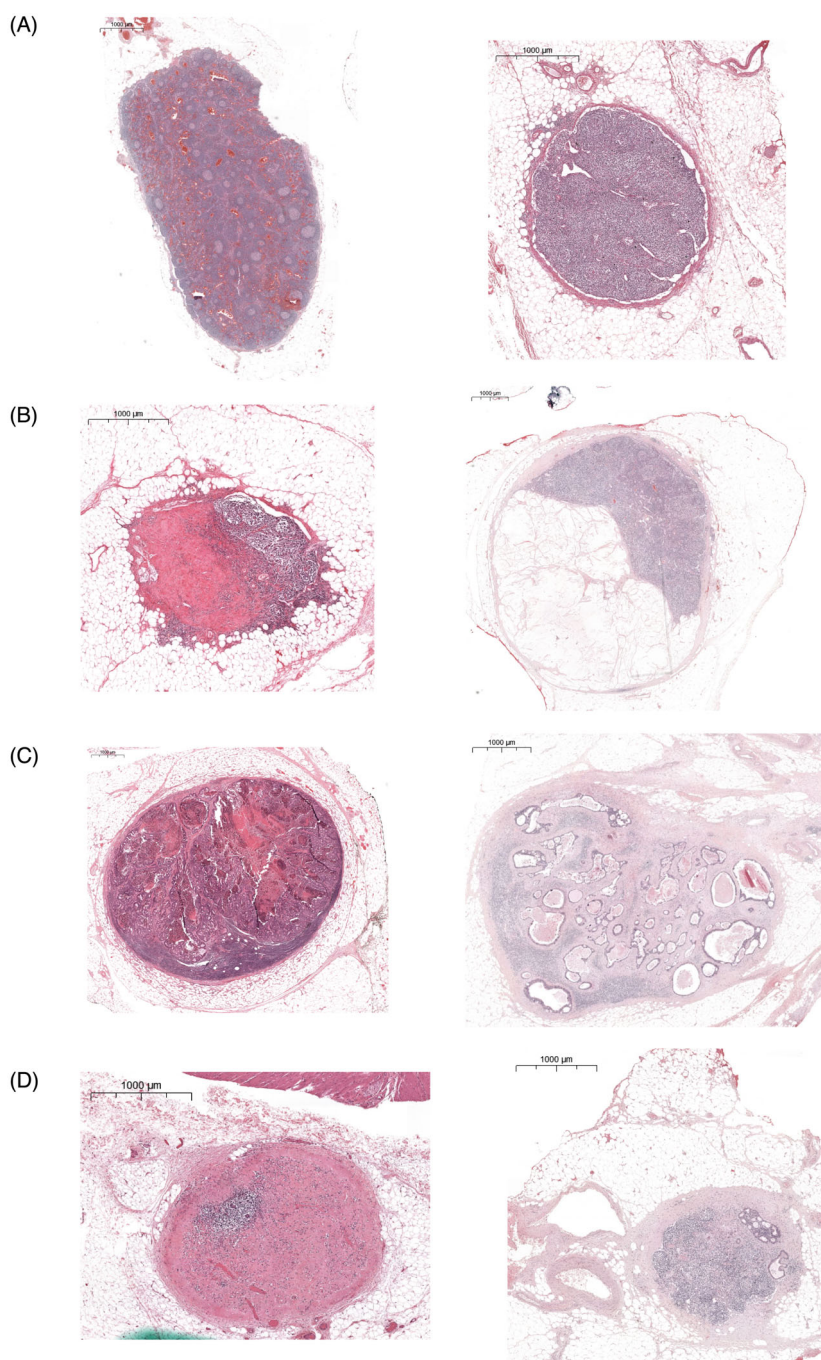
### PATHOLOGICAL EXAMINATION

Complete slide sets of surgical rectal resection specimens of all patients were collected and scanned. Two independent researchers (trained researcher C.G.M. and pathologist S.K.O.) reviewed all cases for signs of histological regression in lymph nodes, such as mucin pools and fibrosis (examples in Figure 1). Clinical and follow-up information, including clinical tumour necrosis metastasis (TNM) staging (8th edition), vital

**Table 1.** Definitions regarding patient groups according to LNM and regression status

Group	Definition	LNM Y/N	Regression Y/N
ypN–Reg– 'never positive'	Patients with negative lymph nodes and showing no signs of regression in any node	No	No
ypN–Reg+ 'formerly positive'	Patients with negative lymph nodes with signs of regression in at least one node	No	Yes
ypN+Reg– 'currently positive'	Patients with at least one positive lymph node showing no signs of regression in any node	Yes	No
ypN+Reg+ 'currently positive'	Patients with at least one positive lymph node and showing signs of regression in at least one node.	Yes	Yes

LNM, lymph node metastases; Y/N, yes/no.



**Figure 1.** Histological examples of regression: A, ypN–Reg– lymph node. B, ypN–Reg+ lymph node (with parenchymal fibrosis in the left case and obvious mucin on the right case). C, ypN+Reg– lymph node. D, ypN+Reg+ lymph node.

status and date of loco-regional or distant disease recurrence were collected from individual medical records when available. Additional macroscopy and microscopy data relevant for assessment, such as pathological stage, were retrieved from institutional pathology databases. TRG (tumour regression

grading) was scored according to Dworak<sup>26</sup> and College of American Pathologists<sup>27</sup>/Ryan<sup>28</sup> classifications on the primary tumour site. The histological pattern of tumour response on the primary tumour was scored as either shrinkage or fragmentation according to our recently published method<sup>29</sup> for all cases.

## STATISTICAL ANALYSIS

RStudio (2020) was used for all analyses, and a second researcher confirmed results using SPSS Statistics version 25.0 (IBM Corporation, Armonk, NY, USA). Student's *t*-test and the  $\chi^2$  test were used for evaluation of the association between LN regression groups and clinical–pathological parameters. Overall survival (OS) was defined as time from surgery to death or end of follow-up. Disease-free survival (DFS) was defined as time to distant and/or loco-regional recurrence and/or death or end of follow-up (censored). The Kaplan–Meier method was used for survival probabilities, and the log-rank test was used for comparison of survival curves. Univariate and multivariate Cox regression analyses were performed to evaluate the differences in OS. Both three-tiered (ypN–Reg+, ypN–Reg– and ypN+) and four-tiered (ypN–Reg+, ypN–Reg–, ypN+Reg+ and ypN+Reg–) classifications were employed in the comparisons. In the multivariate analyses we included all variables that were significant in the univariate analysis. As TRG and pattern of response are strongly correlated, we included only patterns of response to the analysis. To avoid overestimation of dependent variables, we conducted several combinations of these variables (e.g. including the three-tier classification in one analysis and the four-tier in another). For all tests, a  $P < 0.05$  was considered statistically significant.

## Results

## STUDY POPULATION

The pooled cohort consisted of 469 patients. Of these, 124 patients were from the standard arm of the RAPIDO clinical trial, 77 patients from St Vincent's University Hospital, Dublin, 238 from the Erasmus University Medical Center in Rotterdam and 30 patients from the Radboud University Medical Centre (Nijmegen). Survival data were available for 327 patients, and recurrence data were available for 301 patients. The clinicopathological characteristics per lymph node regression group are summarised in Table 2. By definition, nodal status was different between the four groups, both clinical (cN) and pathological (ypN) categories ( $P < 0.001$  in both cases). The majority of ypN–Reg– patients were initially scored as cN+ according to their radiological findings (125 of 199 cases with known cN status, 63%). One-third of the patients showed regression in at least one lymph node (164 of 469 Reg+, 35%), while 20% of the patients presented with

complete response in their lymph nodes without signs of remaining metastasis (95 of 469, ypN–reg+).

## CLINICOPATHOLOGICAL DIFFERENCES ASSOCIATED WITH REGRESSION AND NODE POSITIVITY

Node-positive groups with and without regression (ypN+Reg+ versus ypN+Reg–) presented similar clinicopathological characteristics. cN category was the only significantly different feature among node-negative groups, with more cN0 patients in ypN–Reg– (37%) than in ypN+Reg+ patients (21%,  $P = 0.01$ ) (Table 2).

Differences were observed when comparing the ypN–Reg+ group to node-positive groups (ypN+Reg+ and ypN+Reg–). The patients who remained node-positive after treatment (ypN+Reg+ and ypN+Reg–) presented with more advanced cN, ypT stages and less tumour regression compared to the group with complete response in their lymph nodes (ypN–Reg+). Moreover, the incidence of patterns of response was significantly different between these groups, with more cases of fragmentation in the ypN+ groups (fragmentation, 77% in ypN+ versus 50% in ypN–Reg+; shrinkage, 6% in ypN+ versus 32% in ypN–Reg+,  $P < 0.001$ ) (Table 2).

## OUTCOME IN RELATION TO REGRESSION STATUS

The three-tiered stratification showed a better 5-year OS (overall survival) in patients with ypN–Reg+ (85%) compared to ypN–Reg– (72%) and ypN+ patients (60%) (Figure 2A,  $P < 0.005$ ). Similar results were obtained for DFS (5-year DFS 75% in ypN–Reg+, 58% in ypN–Reg– and 54% in ypN+,  $P = 0.0044$ , Figure 2B). In the node-negative group, the presence of regression was significantly associated with better DFS ( $P = 0.009$ , Figure 3B), although it did not reach significance in OS ( $P = 0.09$ , Figure 3A).

Using the four-tiered classification, we again observed significant differences in both OS ( $P = 0.005$ , Figure 4A) and DFS ( $P = 0.013$ , Figure 4B). There were no significant differences between the groups with positive nodes according to the presence of regression.

## UNIVARIATE AND MULTIVARIATE ANALYSIS

Univariate Cox regression analysis showed that well-established clinical and histological markers of poor survival were also prognostic in our cohort (Table 3):

**Table 2.** Clinicopathological characteristics of the included patients stratified by lymph node regression and lymph node metastatic status

Clinicopathological characteristics	Total <i>n</i> = 469 (100%)	ypN+ Reg+ <i>n</i> = 69 (15%)	ypN+ Reg– <i>n</i> = 76 (16%)	ypN– Reg+ <i>n</i> = 95 (20%)	ypN– Reg– <i>n</i> = 229 (49%)	<i>P</i> -values
Gender	340 (100%)					*0.44
Male	212 (62%)	62%	72%	54%	63%	#0.24
Female	128 (38%)	38%	28%	46%	37%	†0.10
Age, median	62 (18–88)	59 (25–88)	62 (23–81)	62 (18–83)	62 (35–86)	*0.64, #0.29, †0.79
cT category	327 (100%)					*0.68
T2	7 (2%)	4%	4%	1%	1%	#0.94
T3	194 (59%)	63%	71%	58%	56%	†0.21
T4	126 (39%)	33%	25%	41%	43%	
cN category	406 (100%)					*0.18
N0	102 (25%)	5%	12%	21%	37%	#0.01
N1	130 (32%)	32%	41%	30%	30%	†0.05
N2	174 (43%)	63%	47%	49%	33%	
yp T category	405 (100%)					*0.55
T0	44 (11%)	7%	6%	16%	11%	#0.83
T1	27 (7%)	4%	0%	9%	9%	†0.003
T2	81 (20%)	16%	16%	23%	21%	
T3	195 (48%)	55%	63%	38%	45%	
T4	58 (14%)	18%	15%	14%	14%	
yp N category	413 (100%)					*0.14
N0	286 (69%)	5%	0%	100%	100%	#1
N1	93 (23%)	67%	75%	0%	0%	†< 0.001
N2	34 (8%)	28%	25%	0%	0%	
yp M category	272 (100%)					*0.85
M0	236 (87%)	82%	86%	92%	87%	#0.47
M1	36 (13%)	18%	14%	8%	13%	†0.32
Response pattern	386 (100%)					*0.99
pCR	28 (7%)	4%	5%	11%	7%	#0.37
Shrinkage	83 (22%)	6%	7%	32%	25%	†< 0.001
Fragmented	243 (63%)	77%	76%	50%	61%	
No response	32 (8%)	13%	12%	7%	7%	
TRG CAP/Ryan	396 (100%)					*0.60

**Table 2.** (Continued)

Clinicopathological characteristics	Total <i>n</i> = 469 (100%)	ypN+ Reg+ <i>n</i> = 69 (15%)	ypN+ Reg− <i>n</i> = 76 (16%)	ypN− Reg+ <i>n</i> = 95 (20%)	ypN− Reg− <i>n</i> = 229 (49%)	<i>P</i> -values
0	28 (7%)	4%	5%	11%	7%	#0.35
1	47 (12%)	12%	6%	17%	11%	†0.006
2	236 (60%)	55%	52%	57%	64%	
3	85 (21%)	29%	37%	15%	18%	
Dworak TRG	386 (100%)					*0.53
0	32 (8%)	12.5%	12%	7%	6%	#0.53
1	49 (13%)	15%	27%	9%	10%	†0.03
2	230 (60%)	56%	49%	56%	65%	
3	47 (12%)	12.5%	7%	17%	12%	
4	28 (7%)	4%	5%	11%	7%	

\*, #, †, Indicated *P*-values of ypN+ Reg+ versus ypN+ Reg−, ypN− Reg+ versus ypN− Reg− and ypN+ versus ypN− Reg+ groups, respectively.

lack of response in the primary tumour [hazard ratio (HR) = 4.82, 95% confidence interval (CI) = 2.19–10.60], a fragmented pattern of response (HR = 2.00, 95% CI = 1.14–3.50), a Dworak score of TRG0 (HR = 12.10, 95% CI = 1.55–94.11), presence of distant metastases (HR = 2.47, 95% CI = 1.46–4.18) and remaining LNM (ypN1, HR = 1.72, 95% CI = 1.11–2.66 and ypN2, HR = 2.09, 95% CI = 1.21–3.61) were found to be indicators of poor survival.

Multivariate analysis showed that the presence of distant metastases (HR = 2.48, 95% CI = 1.39–4.44) and tumour pattern of response (fragmented, HR = 2.23, 95% CI = 1.08–4.58 compared to shrinkage pattern) were the only independent prognostic markers of survival (Table 3).

## Discussion

Our results show that 35% of patients show regression in at least one lymph node, while 20% of patients present with complete response in their lymph nodes. We analysed the relation of response with outcome in two ways with a three- and four-tiered classification, and found better disease-free survival (DFS) rates in patients with regression in the node-negative setting.

The three-tier system is the most investigated classification in both upper<sup>6,8–10,12,13,15,17,30</sup> and lower

gastrointestinal tumours,<sup>2,4,7,16</sup> where node-negative patients with (ypN−Reg+) and without response (ypN−Reg−) are compared with ypN+ patients. In our cohorts, we observed that patients with ypN−Reg+ have at least similar OS to and even better DFS than those with never positive nodes (ypN−Reg−). Their relatively good outcome is in line with the findings of Tominaga *et al.* and Vychnevskaia *et al.*,<sup>2,14</sup> who reported improved survival in patients with lymph node (LN) regression compared to those without regression in ypN0.

Apparently, the higher aggressiveness of tumours, that is assumed by the presence of lymph node metastases (LNM), can be neutralised in a significant proportion of cases by neoadjuvant treatment. However, the lack of association with response in the primary tumour suggests that regression in LNM is an independent phenomenon. Moreover, complete response is more frequent in LNM compared to primary tumour [20% ypN−Reg+ versus 7% pathological complete response (pCR)]. This might be directly related to the lower tumour burden in LNM compared to primary tumour.

Indeed, a mouse model study indicated the uniqueness of the immune microenvironment in lymph nodes compared to the primary tumour.<sup>31</sup> Researchers proved an increase or decrease in cytotoxic T cells in the case of primary tumour or tumour-draining lymph node irradiation, respectively. They suggested that tumour-draining LNs are

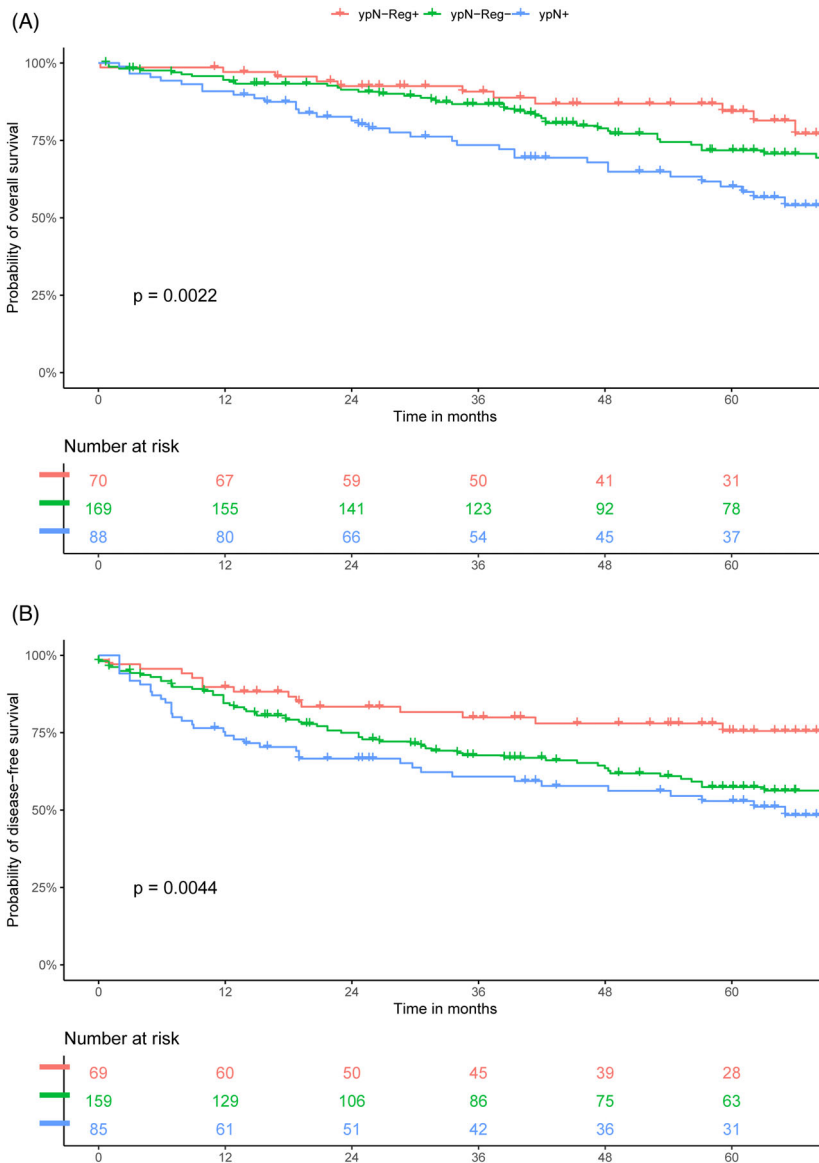


Figure 2. Overall survival (A) and disease-free survival (B) according to lymph node regression group (three-tier).

resources for cytotoxic T cells, which can promote the abscopal effect<sup>31</sup> – a systemic response resulting in the reduction of distant tumours in response to local treatment. The abscopal effect in LNM was also reported in clinical studies in various organ tumours, including rectal cancer following local treatment of the primary tumour.<sup>32–34</sup> This suggests that the abscopal effect might be more pronounced in LNM compared to the primary tumour due to their distinctive immune microenvironment.

Another potential reason why LNM respond to neoadjuvant therapy independent from primary tumour might be their molecular divergence. Several

CRC studies indicated the heterogeneity in mutations and copy number changes in primary tumour and LNM,<sup>35–38</sup> probably due to the late-onset molecular alterations occurring in LNM.

Our careful examination of all lymph nodes supports the large gap observed between clinical node staging and pathological staging, with clinical node positivity suspected in 63% of the cases where nodes were negative without any indication of regression (ypN-Reg-).<sup>39</sup> There are several explanations for this large gap. First, and most importantly, the clinical nodal staging is inaccurate in recognising LNM.<sup>39</sup> Secondly, it has been suggested that, based on the

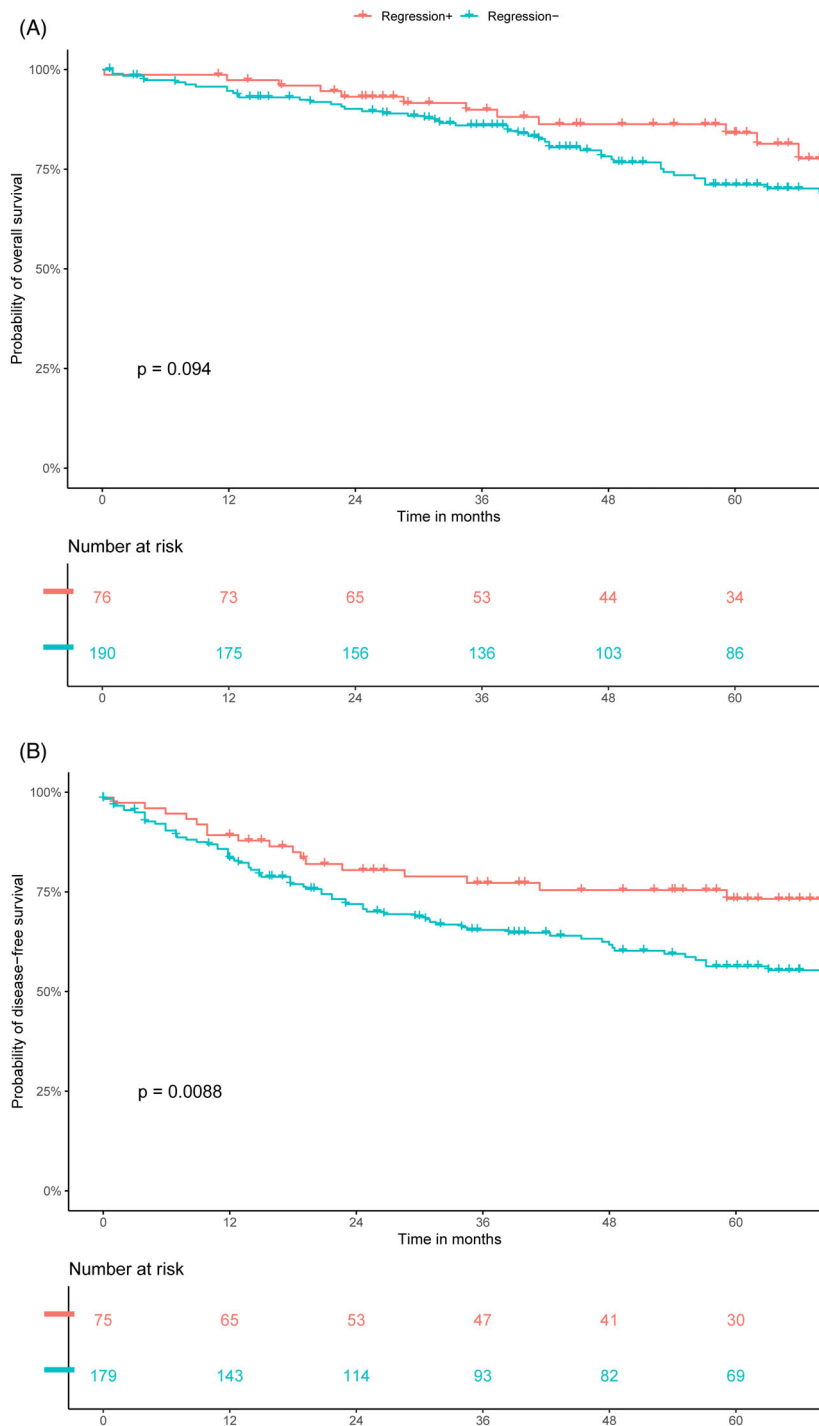


Figure 3. Overall survival (A) and disease-free survival (B) according to lymph node regression in node-negative patients.

lower numbers of lymph nodes detected after neoadjuvant therapy, several nodes can disappear.<sup>40</sup> In a study with short-term radiotherapy, we have shown that metastatic lymph nodes are indeed smaller after

treatment.<sup>41</sup> Therefore, in theory, some of the positive nodes might be eliminated, leaving only the original negative nodes intact. Lastly, as lymph nodes are three-dimensional objects, there might be a possibility



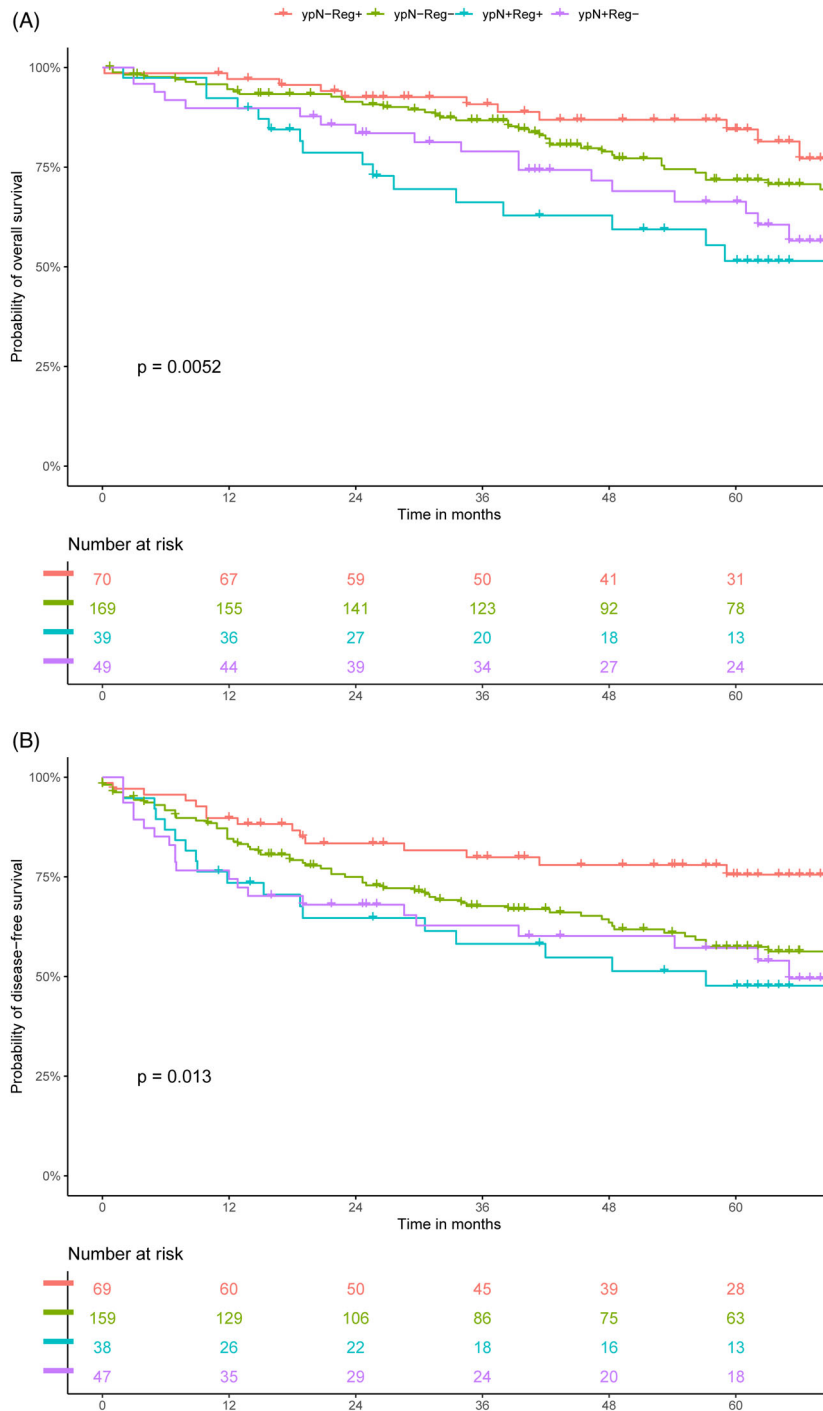


Figure 4. Overall survival (A) and disease-free survival (B) according to lymph node regression group (four-tier).

of missing focal regression changes during two-dimensional pathological examination.

Node-negative patients after neoadjuvant therapy constitute a heterogeneous group, including both patients with low-stage cancers that did not spread to

the lymph nodes and those with clinical stage 3 disease, where LNM have responded very well to treatment. It is intriguing to observe better DFS in patients who were initially diagnosed with more advanced-stage disease in our study. The response in

**Table 3.** Univariate and multivariate survival analysis for overall survival

	Total (n)	Univariate HR (95% CI)	Multivariate (4-tiered) HR (95% CI)	Multivariate (3-tiered)
Pattern of response	327			
pCR	14	0.39 (0.05–3.00)	0.34 (0.04–2.74)	0.35 (0.04–2.78)
Shrinkage	78	1.00	1.00	1.00
Fragmented	212	2 (1.14–3.50)	2.24 (1.09–4.62)	2.23 (1.08–4.58)
No response	23	4.82 (2.19–10.60)	2.79 (0.93–8.38)	2.71 (0.90–8.17)
TRG Dworak	327			
0	23	12.10 (1.55–94.11)		
1	39	5.32 (0.69–40.98)		
2	207	3.96 (0.54–28.68)		
3	44	4.85 (0.64–36.60)		
4	14	1.00		
LN 4-tier	469			
ypN+				
Reg+	69	2.04 (1.23–3.38)	0.63 (0.16–2.46)	
Reg–	76	1.25 (0.76–2.05)	0.45 (0.11–1.80)	
ypN–				
Reg+	95	0.59 (0.34–1.09)	0.69 (0.31–1.55)	
Reg–	229	1.00	1.00	
yp M category	272			
M0	236	1.00	1.00	1.00
M1	36	2.47 (1.46–4.18)	2.49 (1.40–4.45)	2.48 (1.39–4.44)
yp N category	375			
N0	263	1.00	1.00	1.00
N1	80	1.72 (1.11–2.66)	2.34 (0.65–8.33)	2.28 (0.63–8.28)
N2	32	2.09 (1.21–3.61)	4.06 (0.93–17.74)	3.98 (0.89–17.79)
LN 3-tier	469			
ypN+	145	1.54 (1.03–2.30)		0.53 (0.14–2.05)
ypN– Reg+	95	0.59 (0.32–1.09)		0.69 (0.30–1.55)
ypN– Reg–	229	1.00		1.00

pCR, pathological complete response; TRG, tumour regression grade; LN, lymph node; HR, hazard ratio; CI, confidence interval.

LNM after immunotherapy can guide treatment decisions in melanoma,<sup>42</sup> and further studies in rectal cancer are necessary to evaluate whether this is also true in this setting.

In conclusion, we have shown that node-negative patients with evidence of lymph node regression after neoadjuvant therapy in rectal cancer are present in 20% of cases, associated with a good outcome.

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## Conflicts of interest

All authors declare that they have no conflicts of interest.

## Data availability statement

The data that support the findings of this study are available on request from the corresponding author. The data are not publicly available due to privacy or ethical restrictions.

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