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Running title: Risk factors of IA in LT and ITCZ prophylaxis

Acknowledgements
Abstract: Invasive *Aspergillus* infection (IA) is a significant cause of morbidity in lung transplantation (LT). However, its optimal prophylaxis is unclear. We routinely administer itraconazole (ITCZ) prophylaxis to all patients undergoing LT. In this study, we retrospectively evaluated the duration of prophylaxis and risk factors of IA. Among 30 adult patients who underwent LT, 5 patients developed IA. All patients with IA stopped ITCZ treatment within 1 year. At least 1-year of itraconazole prophylaxis is essential for the prevention of IA. Cytomegalovirus infection, renal replacement therapy and tracheotomy were risk factors for IA.

Key words (5): lung transplantation, itraconazole, invasive *Aspergillus* infection, therapeutic drug monitoring, prophylaxis duration
Introduction:

Invasive *Aspergillus* infection (IA) is a major cause of morbidity and mortality in lung transplantation (LT) patients (1). IA, occurring in 19-49% [Pappas PG, Alexander BD, Andes DR, Hadley S, Kauffman CA, Freifeld A, et al. Invasive fungal infections among organ transplant recipients: results of the Transplant-Associated Infection Surveillance Network (TRANSNET). Clin Infect Dis 2010 Apr 15;50(8):1101-1111] [Tofte N, Jensen C, Tvede M, Andersen CB, Carlsen J, Iversen M. Use of prophylactic voriconazole for three months after lung transplantation does not reduce infection with Aspergillus: a retrospective study of 147 patients. Scand J Infect Dis 2012 Nov;44(11):835-841.] LT patients, is responsible for deaths (2)[ Felton TW, Roberts SA, Isalska B, Brennan S, Philips A, Whiteside S, et al. Isolation of Aspergillus species from the airway of lung transplant recipients is associated with excess mortality. J Infect 2012 Oct;65(4):350-356.]. Though prophylaxis is crucial, the optimal strategy for preventing IA is uncertain (3). Itraconazole (ITCZ) has been reported to exhibit significant activity against *Aspergillus* spp. and other fungi (4). At Kyoto University Hospital in Japan, we administered ITCZ prophylaxis to all patients undergoing LT. All patients were administered 200–400mg ITCZ as 1% oral solution (Itrizole®, Janssen Pharmaceutica). Serum ITCZ concentrations, i.e. itraconazole and hydroxyitraconazole (ITCZ plus OH-ITCZ) were measured once a week after administration. Therapeutic drug monitoring (TDM) of ITCZ was performed in at least one sample from each patient. There is little consensus on the duration of prophylaxis. In our hospital, the doctor in charge decided the dosing period.

Methods:

In this research, adult LT patients transplanted from 2008 to 2012 at Kyoto University Hospital were retrospectively studied. All lung recipients were followed clinically by a team of physicians (respiratory surgeons, anesthesiologist, infectious disease physicians, cardiologists) They participated in the pre-transplant evaluation and in post-transplant management of patients. Postoperative immunosuppression consisted of triple-drug therapy with cyclosporine or tacrolimus, azathioprine or mycophenolate mofetil, and corticosteroids. [H. Date, M. Aoe, Y. Sano, I. Nagahiro, K. Miyaji, K. Goto et al. Improved survival after living-donor lobar lung transplantation J Thorac Cardiovasc Surg, 28 (2004), pp. 933–940] Episodes of acute rejection were treated with high doses of methylprednisolone.

All patients received routine antifungal prophylaxis with micafungin intravenously and ITCZ enterally following transplantation. After serum ITCZ concentrations reached
500-1000 ng/ml, we stopped administering micafungin. We compared patients suffering IA with patients free from IA with more than 1 year observational time after transplantation.

Sixteen female and 14 male patients (age range 26–62 years, mean 45.7 years) were included. We defined LT patients with proven, probable or possible IA based on European Organization for the Research and Treatment of Cancer/Mycoses Study Group criteria (5). The classification of Aspergillus infection is based on the type of the host-fungus relationship.[Karnak D, Avery RK, Gildea TR, Sahoo D, Mehta AC. Endobronchial fungal disease: an under-recognized entity. Respiration. 2006;74(1):88–104.]

Among 30 patients, 21 patients underwent double lung transplantation (DLT) and 9 underwent single lung transplantation (SLT). Four patients (13%) acquired cytomegalovirus (CMV) infection, 11 patients (37%) developed acute rejection and 12 patients (40%) underwent tracheotomy. During 5 years, 5 patients developed Aspergillus infection (IA group), including 2 patient with proven and 3 with probable (Table 1).

Twenty-five patients without IA were assigned as the control group (C group).

The demographic data of the patient were analyzed and described using mean and median for continuous variables. Comparisons of continuous data were made using the non-parametric Mann–Whitney test. Two-value comparisons of categorical data were made using the chi-square test or Fisher’s exact test. A P value of < 0.05 was considered statistically significant.

Results: Five patients developed IA during observational period. IA patients all suffered invasive Aspergillus tracheobronchial infections, which was the most common form of IA [ScientificWorldJournal. 2011; 11: 2310–2329. Tracheobronchial Manifestations of Aspergillus Infections]. All cases had no obvious other organ involvement. The lung was the primary focus of IA.

All the 5 IA cases occurred more than 6 months after surgery. The median time to onset after transplantation in the present study was 307 days. Case 1-3 and 5 developed IA after discontinuing ITCZ prophylaxis. However, case 4 developed IA despite ITCZ administration, whose concentration was more than 1000 ng/ml at the time of IA onset. Under careful monitoring, immunosuppressants trough level were within limits of protocol [H. Date, M. Aoe, Y. Sano, I. Nagahiro, K. Miyaji, K. Goto et al. Improved survival after living-donor lobar lung transplantation J Thorac Cardiovasc
Graft of case 2 was loss because of IA and she had a re-transplantation. Case 3 was died because of chronic rejection, gastroparesis and combination of various factors. IA cause directly leading to death in case 5. During prophylaxis, mean ITCZ concentrations were 878 ± 632 ng/ml in the IA group and 1059 ± 871 ng/ml in the C group (Table 2). There was no significant difference between IA group and C group.

Discussion:
According to a previous study, IA developed a median of 96 days after transplantation, with 51% occurring within 90 days and 72% occurring within 180 days after transplantation (6). In our hospital, we think that antifungal prevention is partly effective, and as a consequence, the onset rate is comparatively low and the onset time is late. Among 30 patients in this study, 9 patients were administrated ITCZ for more than 1 year. None of them (9 patients) were diagnosed with IA. Twenty one patients stopped ITCZ administration within 1 year and 5 (24%) patients developed IA. We suppose at least 1 year prophylaxis is necessary. Because of a small sample size and short observation period, further investigation is needed to decide adequate duration of prophylaxis.
Next, we examined the risk factors of IA in LT patients using univariate analysis (Table 2). Factors associated with IA development were CMV infection, renal replacement therapy and tracheotomy. Because of the small sample size, there was no significant difference, but advanced age and acute rejection tended to be associated with IA development (Table 2), which was compatible with a previous report (7). SLT did not suppose a significant risk for IA in our study. It is probably because none of our patients had airway colonization with Aspergillus before transplantation (data not shown) and were not diagnosed with cystic fibrosis, which is a predictive factor of Aspergillus colonization (8).
It is convincible that Aspergillus was acquired after stopping ITCZ because all the 5 IA
patients never had positive sputum or BAL cultures for *Aspergillus* spp. before developing IA and their lungs are constantly exposed to *Aspergillus* spores in ambient air. On the other hand, Considering that *Aspergillus* spp. were generally isolated from 35% of LT recipients and anastomotic region is a vulnerable site, another possible mechanism is distant activation of disease, as a result to ineffective early prophylaxis. Either, both or more mechanism are responsible for IA, but that is not confirmed. Further studies are required to investigate potential mechanisms of IA after LT.

In conclusion, IA remains a devastating disease in lung transplant patients. We need to reconsider the duration of ITCZ prophylaxis, we think that a prophylactic administration for at least 1 year after transplantation would be reasonable especially to patients considered to be at high risk of IA. CMV infection, renal replacement therapy and tracheotomy were risk factors for IA.
References


Table 1: Clinical characteristics of the 4 patients suffering IA

The clinical characteristics of the 4 patients suffering IA are listed in Table 1.

<table>
<thead>
<tr>
<th>Pt. no.</th>
<th>Age, gender</th>
<th>Diagnosis</th>
<th>rejection</th>
<th>RRT</th>
<th>tracheotomy</th>
<th>CMV infection</th>
<th>Days of ITCZ</th>
<th>Onset (POD)</th>
<th>Survival</th>
<th>Lung Transplant type</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>35, F</td>
<td>UIP</td>
<td>+</td>
<td>-</td>
<td>-</td>
<td>+</td>
<td>101</td>
<td>668</td>
<td>alive</td>
<td>bilateral LDLT</td>
</tr>
<tr>
<td>2</td>
<td>55, F</td>
<td>IPF</td>
<td>+</td>
<td>-</td>
<td>+</td>
<td>+</td>
<td>166</td>
<td>300</td>
<td>alive</td>
<td>bilateral LDLT</td>
</tr>
<tr>
<td>3</td>
<td>58, F</td>
<td>BO after HSCT</td>
<td>-</td>
<td>-</td>
<td>+</td>
<td>-</td>
<td>63</td>
<td>363</td>
<td>died</td>
<td>bilateral LDLT</td>
</tr>
<tr>
<td>4</td>
<td>61, M</td>
<td>IPF</td>
<td>+</td>
<td>-</td>
<td>+</td>
<td>+</td>
<td>186</td>
<td>186</td>
<td>alive</td>
<td>bilateral LDLT</td>
</tr>
<tr>
<td>5</td>
<td>48, M</td>
<td>COPD</td>
<td>-</td>
<td>+</td>
<td>+</td>
<td>-</td>
<td>7</td>
<td>315</td>
<td>died</td>
<td>unilateral(R) DDLT</td>
</tr>
</tbody>
</table>

*Case 3 developed IA though he was administered ITCZ at that time. He quitted ITCZ after diagnosis.*
<table>
<thead>
<tr>
<th></th>
<th>IA group (5)</th>
<th>C group(25)</th>
<th>P value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age(years):Mean</td>
<td>51.4</td>
<td>44.2</td>
<td>0.19*</td>
</tr>
<tr>
<td>Gender: Male</td>
<td>2(40%)</td>
<td>12(48%)</td>
<td>0.74</td>
</tr>
<tr>
<td>Transplantation type: DLT</td>
<td>4(80%)</td>
<td>17 (68%)</td>
<td>0.59</td>
</tr>
<tr>
<td>Immunosupression before operation</td>
<td>2(40%)</td>
<td>10(40%)</td>
<td>1</td>
</tr>
<tr>
<td>acute rejection</td>
<td>3(60%)</td>
<td>8 (32%)</td>
<td>0.23</td>
</tr>
<tr>
<td>CMV infection</td>
<td>3(60%)</td>
<td>1(4%)</td>
<td>0.00071</td>
</tr>
<tr>
<td>RRT</td>
<td>1(20%)</td>
<td>0(0%)</td>
<td>0.023</td>
</tr>
<tr>
<td>tracheotomy</td>
<td>4(80%)</td>
<td>8(32%)</td>
<td>0.046</td>
</tr>
<tr>
<td>ITCZ use more than 6 months</td>
<td>1(20%)</td>
<td>14(56%)</td>
<td>0.14</td>
</tr>
<tr>
<td>ITCZ use more than 1 year</td>
<td>0(0%)</td>
<td>9(36%)</td>
<td>0.11</td>
</tr>
<tr>
<td>Duration mean</td>
<td>96.2(7-166)</td>
<td>424(35-1556)</td>
<td>0.13*</td>
</tr>
<tr>
<td>ITCZ concentration</td>
<td>878 ± 632 ng/ml</td>
<td>1059 ± 871 ng/ml</td>
<td>0.61*</td>
</tr>
</tbody>
</table>

CMV infection, RRT and tracheotomy were risk for IA.
IA: Invasive Aspergillus infection
DLT: double lung transplant,
RRT: renal replacement therapy
CMV: Cytomegalovirus
a Mann-Whitney test