



# Proposed modification of the eighth edition of the AJCC-ypTNM staging system of esophageal squamous cell cancer treated with neoadjuvant chemotherapy: Unification of the AJCC staging...

Oshikiri, Taro ; Goto, Hironobu ; Kato, Takashi ; Sawada, Ryuichiro ; Harada, Hitoshi ; Urakawa, Naoki ; Hasegawa, Hiroshi ; Kanaji, Shingo ...

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**1 Manuscript title:**

2 Proposed modification of the eighth edition of the AJCC-ypTNM staging system of  
3 esophageal squamous cell cancer treated with neoadjuvant chemotherapy: Unification of  
4 the AJCC staging system and the Japanese classification

**5 Short running head:** Staging system for ESCC

6 **Authors and their affiliations:** Taro Oshikiri, MD<sup>1</sup>, Hironobu Goto, MD<sup>1</sup>, Takashi Kato,  
7 MD<sup>1</sup>, Ryuichiro Sawada, MD<sup>1</sup>, Hitoshi Harada, MD<sup>1</sup>, Naoki Urakawa, MD<sup>1</sup>, Hiroshi  
8 Hasegawa, MD<sup>1</sup>, Shingo Kanaji, MD<sup>1</sup>, Kimihiro Yamashita, MD<sup>1</sup>, Takeru Matsuda, MD<sup>2</sup>,  
9 Yasuhiro Fujino, MD<sup>3</sup>, Masahiro Tominaga, MD<sup>3</sup>, and Yoshihiro Kakeji, MD<sup>1</sup>

10 1. Division of Gastrointestinal Surgery, Department of Surgery, Graduate School of  
11 Medicine, Kobe University, 7-5-2, Kusunoki-cho, Chuo-ku, Kobe, Hyogo,  
12 650-0017, Japan

13 2. Division of Minimally Invasive Surgery, Department of Surgery, Graduate School  
14 of Medicine, Kobe University, 7-5-2, Kusunoki-cho, Chuo-ku, Kobe, Hyogo,  
15 650-0017, Japan

16 3. Department of Gastroenterological Surgery, Hyogo Cancer Center, 13-70, kitaoji-cho,  
17 Akashi, Hyogo, 673-8558, Japan

**18 Address correspondence and reprint requests to:**

19 Taro Oshikiri, MD

20 Division of Gastrointestinal Surgery, Department of Surgery, Graduate School of  
21 Medicine, Kobe University, 7-5-2, Kusunoki-cho, Chuo-ku, Kobe, Hyogo, 650-0017,  
22 Japan

1 Telephone: 81-78-382-5925

2 Fax: 81-78-382-5939

3 E-mail: [oshikiri@med.kobe-u.ac.jp](mailto:oshikiri@med.kobe-u.ac.jp)

4

5 Co-authors:

6 Hironobu Goto MD [hirogoto@med.kobe-u.ac.jp](mailto:hirogoto@med.kobe-u.ac.jp)

7 Kato Takashi MD [kato0215@med.kobe-u.ac.jp](mailto:kato0215@med.kobe-u.ac.jp)

8 Ryuichiro Sawada MD [rsawada@med.kobe-u.ac.jp](mailto:rsawada@med.kobe-u.ac.jp)

9 Hitoshi Harada MD [htharada@med.kobe-u.ac.jp](mailto:htharada@med.kobe-u.ac.jp)

10 Naoki Urakawa MD [urakawa@med.kobe-u.ac.jp](mailto:urakawa@med.kobe-u.ac.jp)

11 Hiroshi Hasegawa MD [hasega@med.kobe-u.ac.jp](mailto:hasega@med.kobe-u.ac.jp)

12 Shingo Kanaji MD, PhD [kanashin@med.kobe-u.ac.jp](mailto:kanashin@med.kobe-u.ac.jp)

13 Kimihiro Yamashita MD, PhD [kiyama@med.kobe-u.ac.jp](mailto:kiyama@med.kobe-u.ac.jp)

14 Takeru Matsuda MD, PhD [tmatsuda@med.kobe-u.ac.jp](mailto:tmatsuda@med.kobe-u.ac.jp)

15 Yasuhiro Fujino, MD, PhD [yasu120@hp.pref.hyogo.jp](mailto:yasu120@hp.pref.hyogo.jp)

16 Masahiro Tominaga, MD, PhD [tomimasa-08@hp.pref.hyogo.jp](mailto:tomimasa-08@hp.pref.hyogo.jp)

17 Yoshihiro Kakeji MD, PhD [kakeji@med.kobe-u.ac.jp](mailto:kakeji@med.kobe-u.ac.jp)

18

19 **Disclosures:**

20 Taro Oshikiri, Hironobu Goto, Takashi Kato, Ryuichiro Sawada, Hitoshi Harada, Naoki

21 Urakawa, Hiroshi Hasegawa, Shingo Kanaji, Kimihiro Yamashita, Takeru Matsuda,

22 Yasuhiro Fujino, Masahiro Tominaga, and Yoshihiro Kakeji have no conflicts of interest

1 or financial ties to disclose.

2

3 **Synopsis:** Unification of the AJCC and Japanese systems yields a simpler and more precise

4 predictive system.

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## 1 Abstract

## 2 Background

3 The eighth edition of the American Joint Committee on Cancer (AJCC) tumor node  
4 metastasis (AJCC-TNM 8<sup>th</sup>) system adopted the newly separate post-neoadjuvant  
5 pathologic stage group (ypTNM). However, it is not compatible with the Japanese  
6 pathologic classification after neoadjuvant chemotherapy (JPN-CT-pTNM). The aim of  
7 this study is to clarify the subjects of the AJCC-ypTNM 8<sup>th</sup> and propose a unification of  
8 the AJCC and Japanese systems to create novel AJCC-CT-pTNM 8<sup>th</sup>.

## 9 Methods

10 Participants were 309 esophageal squamous cell carcinoma (ESCC) patients who  
11 underwent neoadjuvant chemotherapy followed by 3 stage esophagectomy between  
12 2010 and 2019. Predictive probabilities of pN, pM in AJCC-ypTNM 8<sup>th</sup> and  
13 JPN-CT-pTNM 11<sup>th</sup> systems were evaluated to propose novel system.

## 14 Results

15 In training data from 234 patients, the overall survival rate was statistically better for ypStage  
16 IIIA than ypStage II (P=0.040) resulting in staging inversion in AJCC-ypTNM 8<sup>th</sup>. Predictive  
17 probability of pathological N status in AJCC-ypTNM 8<sup>th</sup> (Akaike Information Criterion:  
18 AIC=979.53) was superior to that in JPN-CT-pTNM 11<sup>th</sup> (AIC=999.07). In AJCC-ypTNM 8<sup>th</sup>,  
19 71% (15/21) of ypM1 diseases were supraclavicular lymph nodes (No. 104 L/Ns as regional  
20 in JPN-CT-pTNM 11<sup>th</sup>) metastases with considerably good prognosis. The predictive  
21 probability of the novel AJCC-CT-pTNM 8<sup>th</sup> [unification of ypStage II and IIIA, conversion of  
22 supraclavicular L/Ns metastases from ypM to ypN] (AIC=1054.24) was superior to that of the

1 existing AJCC-ypTNM 8<sup>th</sup> (AIC=1070.74). The feasibility of novel system was validated using  
2 test data from 70 patients.

### 3 **Conclusions**

4 Unification of the AJCC and Japanese systems yields a simpler and more precise predictive  
5 system after neoadjuvant chemotherapy.

6

7 **Key words:** esophageal squamous cell carcinoma (ESCC); American Joint Committee on  
8 Cancer (AJCC); post-neoadjuvant tumor node metastasis (ypTNM) staging; Japanese  
9 classification, AJCC-CT-TNM 8<sup>th</sup>

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## 1 Background

2 The newest TNM classification for esophageal squamous cell carcinoma (ESCC),  
3 the eighth edition of the American Joint Committee on Cancer tumor node metastasis  
4 (AJCC-TNM 8<sup>th</sup>) cancer staging system, has been in use since 2017.<sup>1,2</sup> Significant  
5 changes relative to the AJCC-TNM 7<sup>th</sup> <sup>3,4</sup> included the introduction of novel  
6 classification concept for adenocarcinoma (AC) and ESCC, with the suggestion of  
7 distinguishing the clinical (c) stage group (cTNM), the classical pathologic (p) stage  
8 group (pTNM), and the newly separate post-neoadjuvant pathologic stage group  
9 (ypTNM) for both AC and ESCC.<sup>5</sup>

10 For advanced ESCC, neoadjuvant chemoradiotherapy (NACRT) or chemotherapy  
11 (NAC) followed by surgery is recognized as the standard therapy.<sup>6-8</sup> Thus, the  
12 introduction of ypTNM as a new category is groundbreaking because it is essential to  
13 distinguish between pre-treated and untreated patients with advanced ESCC. However,  
14 from before, there is a problem in assessing the pT0-2N1 population in the AJCC staging  
15 system. In concrete terms, in Japanese comprehensive data including more than 4,000  
16 patients with ESCC who underwent esophagectomy and graded by AJCC-TNM 7<sup>th</sup>, the  
17 5-year survival rate of pStage IIB (pT1-2/N1) was better than that of pStage IIA (pT3N0)  
18 (67.2% vs 58.6%).<sup>9</sup> In AJCC-ypTNM 8<sup>th</sup>, this problem persists: the survival rate of  
19 ypStage IIIA (pT0-2N1) is also better than that of ypStage II (pT3N0) as previous  
20 reports.<sup>10,11</sup> One of the conceivable reason is that AJCC-ypTNM 8<sup>th</sup> is applicated to two  
21 different populations; treated with NACRT and NAC. In comparison to NAC, there are  
22 some advantages of NACRT in increase of R0 resection and pathological complete

1 response leading to more complete resection and prolonged patient survival. On the  
2 contrary, increase of postoperative mortality and morbidity, radiation related  
3 complications, and prolonged treatment cycle are disadvantages.<sup>12, 13</sup> Thus, these two  
4 populations should be distinguished separately.

5 In worldwide big data to build AJCC-ypTNM 8<sup>th</sup>, majority of esophagectomies  
6 were done after NACRT. Thus, this system might not be specific to predict prognosis of  
7 patients treated with NAC which is standard neoadjuvant therapy in Japan.<sup>8</sup>

8 Moreover, there are some discrepancies between the AJCC staging system and the  
9 Japanese classification in N staging, M staging, and staging grouping, and these  
10 differences sometimes confuse surgeons. For N staging, AJCC-TNM 8<sup>th</sup> uses the number  
11 of lymph nodes (L/Ns), whereas the Japanese classification 11<sup>th</sup> (JPN-TNM 11<sup>th</sup>) uses  
12 grouping of L/Ns. In M staging, AJCC-TNM 8<sup>th</sup> treats supraclavicular L/Ns (which do  
13 not include lower cervical paratracheal nodes between the supraclavicular paratracheal  
14 space and apex of the lung) as distant metastases, whereas JPN-TNM 11<sup>th</sup> treats them as  
15 regional L/N (No. 104) metastases (Table 1).<sup>5,14,15</sup>.

16 The aim of this study is to clarify the subjects of the AJCC-ypTNM 8<sup>th</sup> staging  
17 system (abbreviated as AJCC 8<sup>th</sup>) in comparison with the Japanese pathologic  
18 classification 11<sup>th</sup> after neoadjuvant chemotherapy (JPN-CT-pTNM 11<sup>th</sup>; abbreviated as  
19 JPN 11<sup>th</sup>) and propose the unification of the AJCC system and Japanese classification  
20 11<sup>th</sup> to create novel AJCC-CT-pTNM 8<sup>th</sup> (abbreviated as Novel) staging system as  
21 simpler and more precise predictive system for NAC treated patients.



## 1 Patients and Methods

### 2 Patients and data retrieval

3 This was a multi-institutional, retrospective follow-up study of 309 patients with thoracic  
4 ESCC who underwent neoadjuvant therapy followed by 3 stage esophagectomy (cervical  
5 anastomosis) at Kobe University and Hyogo Cancer Center between 2010 and 2019.<sup>16</sup> In  
6 this population, data of 234 patients between 2010 and 2016 were used as training data  
7 and 70 patients between 2017 and 2019 were used as test data. Preoperative diagnosis  
8 was performed by endoscopy and enhanced computed tomography (CT). Lymph node  
9 metastasis was considered positive when the long axis of the lymph node measured  $\geq 10$   
10 mm on the CT image. Positron emission tomography were also performed for almost all  
11 the patients.<sup>17</sup> Diagnosis of ESCC was based on the both AJCC-TNM 8<sup>th</sup> and JPN-TNM  
12 11<sup>th</sup>.<sup>5,14,15</sup> As NAC, two cycles of cisplatin/5-fluorouracil (CF) were administered as  
13 preoperative chemotherapy to most patients with cT0-1N1-3M0-1 or cT2-3NanyM0-1  
14 according to AJCC-TNM 8<sup>th</sup>.<sup>5</sup> According to M1 patients, they were limited to M due to  
15 supraclavicular lymph node metastasis which is treated as regional lymph node in  
16 JPN-TNM 11<sup>th</sup>. For some patients, three cycles of docetaxel/cisplatin/5-fluorouracil  
17 (DCF) were administered as part of Japanese clinical trial JCOG1109.<sup>18</sup> Patients who had  
18 undergone preoperative irradiation including definitive or neoadjuvant CRT were  
19 excluded. The Ethics Committee of Kobe University and the institutional review board

1 approved this study on December 21<sup>th</sup>, 2020 (receipt number B200304). All patients who  
2 met the inclusion criteria provided written informed consent.

3

#### 4 Surgical procedures

5 All patients underwent 3 stage esophagectomy with mediastinal lymphadenectomy.  
6 At two institutions, the common practice of conducting thoracoscopic esophagectomy in  
7 the prone position was used for all surgical candidates with ESCC.<sup>19,20</sup> The abdominal  
8 procedure was performed by laparoscopic surgery or open laparotomy (OL). Gastric  
9 mobilization, abdominal lymphadenectomy, excision of the entire isolated esophageal  
10 specimen, and creation of the gastric conduit were performed sequentially. The conduit  
11 was generally raised via the posterior mediastinum. For patients in whom it was  
12 impossible to use gastric conduits for whatever reason, pedicled jejunum reconstruction  
13 was performed via the pre-sternal route. The site of the anastomosis was the neck.  
14 Three-field (neck, chest, and abdomen) lymph node dissection was basically performed  
15 for cT2 or 3 tumors in the upper or middle esophagus. Patients with clinical metastases to  
16 the supraclavicular lymph nodes (LNs) were also treated surgically. For three-field L/Ns  
17 dissection, the cervical nodes were removed through a collar incision. No particular  
18 change of surgical treatment was seen between 2010 and 2019.

19

#### 20 Statistical analyses

21 All categorical data are presented as numbers (percentages). Differences between  
22 two groups were analyzed using the  $\chi^2$  test. Survival curves were estimated using the

1 Kaplan–Meier method and compared using the log-rank test.  $P < 0.05$  was considered  
2 statistically significant. To estimate the goodness-of-fit of each staging system based on  
3 Cox regression survival analysis, the Akaike Information Criterion (AIC) and Bayesian  
4 Information Criterion (BIC) were used. In this method of comparison, lower values of  
5 AIC and BIC indicate superior models. All statistical computations were performed  
6 using JMP 14 (SAS Institute, Cary, NC, USA).

7

## 8 **Results**

### 9 Patient characteristics

10 Patient characteristics are shown. A total of 304 patients (training cohort; 234  
11 patients, test cohort; 70 patients) who underwent CF followed by 3 stage esophagectomy  
12 with two-field or three-field L/Ns dissection were included in the study. Four patients in  
13 training cohort and one patient in test cohort treated by DCF were excluded due to  
14 smallness of the number. Most patients underwent thoracoscopic esophagectomy in the  
15 prone position. In regard to resection status, negative and positive rates for residual  
16 tumor were 86% (201 patients) and 14% (circumferential margin positive; 7%, 16  
17 patients, longitudinal margin positive; 7%, 17 patients) in training cohort. Those were  
18 87% (61 patients) and 13% (circumferential margin positive; 7%, 5 patients, longitudinal  
19 margin positive; 6%, 4 patients) in test cohort (Supplemental Table).

20

21 Training data from 234 patients

22 Survival analyses and comparison using AJCC 8<sup>th</sup> and JPN 11<sup>th</sup>

Overall survival (OS) was estimated using AJCC 8<sup>th</sup>. The mean OS and median OS were 4.5 years and 5.5 years, respectively. The 5-year OS rates in AJCC 8<sup>th</sup> were as follows: ypStage I, 76% (n=52); ypStage II, 57% (n=32); ypStage IIIA, 78% (n=40); ypStage IIIB, 33% (n=69); ypStage IVA, 10% (n=20); and ypStage IVB, 24% (n=21) (Figure 1A). Prognosis of ypStage IIIA (ypT0-2N1) was statistically better than that of ypStage II (ypT3N0) (P=0.040). Prognosis of ypStage IVB (ypTanyNanyM1) was better than that of ypStage IVA, although the difference was not statistically significant. On the other hand, there was no OS inversion between each stage category in JPN 11<sup>th</sup>: CT-pStage 0, 79% (n=23); CT-pStage I, 76% (n=17); CT-pStage II, 65% (n=90); CT-pStage III, 29% (n=91); CT-pStage IVA, 9% (n=11); and CT-pStage IVB, 0% (n=2) (Figure 1B). All of the ypStage II patients (ypT3N0, n=32/32, 100%) and almost all ypStage IIIA patients (ypT0-2N1, n=36/40, 90%) in AJCC 8<sup>th</sup> were considered CT-pStage II according to JPN 11<sup>th</sup> (Table 1).

14

#### 15 Evaluation of ypN (AJCC 8<sup>th</sup>)/CT-pN (JPN 11<sup>th</sup>) status

Among whole cohort, 15 patients who were positive for supraclavicular L/Ns (No. 104) were excluded from 234 patients because they were treated as ypM1 in AJCC 8<sup>th</sup>.<sup>5,14,15</sup> Hence, we estimated the correlation of ypN (AJCC 8<sup>th</sup>)/CT-pN (JPN 11<sup>th</sup>) status in 219 patients. On the whole, the two categories were significantly correlated. Especially, 74% (55/74) of ypN1 and 77% (55/71) of CT-pN1 coincide with each other. (P<0.0001). Next, we estimated the 5-year OS curves of ypN (AJCC 8<sup>th</sup>)/CT-pN (JPN 11<sup>th</sup>) (Figure 1C,D). Higher categories were associated with worse OS in ypN (AJCC 8<sup>th</sup>): ypN0, 68%

1 (n=83); ypN1, 59% (n=74); ypN2 28% (n=40); and ypN3 9% (n=22) (Figure 1C). Finally,  
 2 predictive values were compared using AIC and BIC; ypN (AJCC 8<sup>th</sup>) was slightly  
 3 superior to the CT-pN (JPN 11<sup>th</sup>) staging system regarding prognostication (AJCC 8<sup>th</sup>:  
 4 AIC=979.53, BIC=989.58; JPN 11<sup>th</sup>: AIC=999.07, BIC=1012.44).

5

#### 6 Evaluation of ypM (AJCC 8<sup>th</sup>)/ CT-pM (JPN 11<sup>th</sup>) status

7       The OS curves of ypM (AJCC 8<sup>th</sup>), CT-pM (JPN 11<sup>th</sup>), and the proportion of these  
 8 patients positive for supraclavicular L/Ns (No. 104), were estimated (Figure 2A–C). The  
 9 5-year OS rates were as follows: ypM0, 53% (n=213) and ypM1 24% (n=21) in AJCC 8<sup>th</sup>  
 10 (Figure 2A), and CT-pM0 51% (n=232) and CT-pM1 0% (n=2) in JPN 11<sup>th</sup> (Figure 2B).  
 11 In the ypM1 group in AJCC 8<sup>th</sup> (n=21), 15 patients (71%) were positive for  
 12 supraclavicular L/Ns (No. 104). As characteristics of primary tumors in this population,  
 13 60% were pT3 or 4, 80% were located in the upper or middle esophagus, and L/Ns  
 14 metastases were seen in 80% patients. The 5-year OS rate of this population was 33%  
 15 (Figure 2C). Fifteen of 21 (71%) ypStage IVB patients in AJCC 8<sup>th</sup> were considered  
 16 CT-pStage III in JPN 11<sup>th</sup> because positivity for supraclavicular L/Ns (No. 104) is  
 17 CT-pN2 or 3 rather than CT-pM1 in JPN 11<sup>th</sup>.

18

#### 19 Unification of AJCC 8<sup>th</sup> and JPN 11<sup>th</sup>, leading to the novel staging system

20       The proposed unification of AJCC 8<sup>th</sup> and JPN 11<sup>th</sup> is shown below. In concrete  
 21 terms, the novel pT and pN categories remain in the present state of AJCC 8<sup>th</sup>. In novel  
 22 pM, supraclavicular L/Ns (No. 104) are treated as regional according to JPN 11<sup>th</sup> and

1 incorporated into novel pN. ypStage II, IIIA should be incorporated into novel pStageII.  
 2 Consequently, ypStage IIIB is treated as a unique novel pStageIII (Table 1). The 5-year  
 3 OS of the new staging system is shown in Figure 3A as the novel AJCC-CT-pTNM 8<sup>th</sup>:  
 4 CT-pStage I, 76% (n=51); CT-pStage II, 70% (n=75); CT-pStage III, 34% (n=75);  
 5 CT-pStage IVA, 7% (n=27); and CT-pStage IVB 0% (n=6) (Figure 3A, P<0.0001).  
 6 Finally, predictive values were compared using AIC and BIC. The novel staging system  
 7 was superior in terms of prognostication (novel: AIC=1054.24, BIC=1067.88; AJCC 8<sup>th</sup>:  
 8 AIC=1070.74, BIC=1087.76; JPN 11<sup>th</sup>: AIC=1086.15, BIC=1103.16) (Table 2A).

9

#### 10 Test data from 70 patients

11 The 3-year OS of the AJCC 8<sup>th</sup> using test data is shown in Figure 3B with  
 12 inversions between some stages: ypStage I, 81% (n=14); ypStage II, 52% (n=9); ypStage  
 13 IIIA, 64% (n=14); ypStage IIIB, 53% (n=22); ypStage IVA, 25% (n=4); and ypStage  
 14 IVB, 0% (n=7) (Figure 3B). On the other hand, there was no OS inversion between each  
 15 stage category in the novel AJCC-CT-pTNM 8<sup>th</sup>: CT-pStage I, 81% (n=14); CT-pStage II,  
 16 57% (n=24); CT-pStage III, 50% (n=25); and CT-pStage IVA, 14% (n=7) (Figure 3C,  
 17 P<0.0001). Finally, predictive values were compared using AIC and BIC. The novel  
 18 staging system using test data was also superior in terms of prognostication (novel:  
 19 AIC=204.54, BIC=210.92; AJCC 8<sup>th</sup>: AIC=206.76, BIC=216.06) (Table 2b).

20

#### 21 Discussion

22 The reason we problematize the AJCC 8<sup>th</sup>, which is utilized for not only NACRT

1 but NAC treated patients, is that more precise system to reflect each modality should be  
2 built. Indeed, there was some staging inversion in the AJCC 8<sup>th</sup> staging system to stratify  
3 patients with ypStage II vs. IIIA. In our training data, 5-year OS was statistically better  
4 for ypStage IIIA (ypT0-2N1) than ypStage II (ypT3N0). We hypothesize that this  
5 inversion might occur due to the difference of neo-treatment between Japan and Western  
6 countries; Japanese standard is NAC and the Western countries' is NACRT. For same  
7 clinical stage patients, difference between NACRT and NAC as neo-treatment might  
8 cause different affect for pathological staging. Accordingly, each staging system is  
9 needed for NACRT and NAC treated populations, respectively. Considering that all  
10 ypStage II patients (ypT3N0, n=32/32, 100%) and almost all ypStage IIIA patients  
11 (ypT0-2N1, n=36/40, 90%) in AJCC 8<sup>th</sup> were considered CT-pStage II in JPN 11<sup>th</sup>, in  
12 which no staging inversion was seen in prognosis (higher-stage categories were  
13 associated with OS), these two populations (ypStage II and IIIA) should be unified as  
14 novel pStage II for NAC treated population. Consequently, ypStage IIIB will be  
15 simplified to a unique novel pStage III.

16 The Japanese classification has subdivided the lymph node mapping system and  
17 uses different definitions of N staging than the AJCC system. Comparing AJCC 8<sup>th</sup> and  
18 JPN 11<sup>th</sup> staging, 72% (54/75) of ypN1 and 76% (54/71) of CT-pN1 coincide with each  
19 other. However, the rates of concordance decreased as N status progressed. Therefore, it  
20 is important to estimate which is the superior predictive system. In OS, JPN 11<sup>th</sup> failed to  
21 stratify patients with CT-pN2 vs. CT-pN3 even though AJCC 8<sup>th</sup> reflects an appropriate  
22 prognosis. This may be because JPN 11<sup>th</sup> staging depends on lymph node group but not

1 number. Therefore, if many L/Ns metastases are concentrated in group 1 only, the  
2 diagnosis would be CT-pN1, and the effect of the number of metastatic L/Ns would not  
3 be reflected. Finally, AIC and BIC, used as parameters for goodness-of-fit, showed that  
4 AJCC 8<sup>th</sup> was slightly superior to JPN 11<sup>th</sup> in terms of prognostication.

5       Supraclavicular L/N (No. 104) metastases are treated as distant metastases (ypM1)  
6 in AJCC 8<sup>th</sup> and regional L/N metastases in JPN 11<sup>th</sup>. It is very important to determine  
7 whether supraclavicular L/Ns (No. 104) should be considered as regional L/Ns. The  
8 5-year OS of ypM1 in AJCC 8<sup>th</sup> is considerably good comparing with that of CT-pM1 in  
9 JPN 11<sup>th</sup>. This may be because the 5-year OS of patients with supraclavicular L/Ns (No.  
10 104) metastases, occupying 71% (15/21) of the ypM1 group, was 33%, which was better  
11 than that of the ypN2 group (28%). Inversion of 5-year OS between ypStage IVB  
12 (=ypTanyNanyM1) and ypStage IVA (24% vs 11%) can also be explained by the same  
13 reason. Consequently, supraclavicular L/Ns (No. 104) should be treated as regional L/Ns.

14       Based on these results, we proposed the unification of AJCC 8<sup>th</sup> and JPN 11<sup>th</sup>  
15 leading to the novel staging system [preserving the ypT and ypN staging system,  
16 converting supraclavicular L/N metastases from ypM to ypN, and unifying ypStage II  
17 and IIIA] for patients treated with NAC. The novel staging system predicts survival of  
18 NAC treated population well and was easy to use, as shown by AIC and BIC. In test data,  
19 even though the number of patients was small and follow up period was relatively short,  
20 feasibility of the novel staging system was validated largely.

21       As we mentioned above, both preoperative and surgical treatment strategies  
22 should be discussed. All of the patients in this study underwent NAC. On the other hand,



1 AJCC 8<sup>th</sup> staging system was based on the worldwide data of esophageal cancer patients  
2 who underwent neoadjuvant therapy where the majority of patients underwent NACRT  
3 rather than NAC.<sup>21</sup> It is controversial to treat NAC and NACRT as if they were identical.  
4 Strictly, validation might be done for each strategy. Next, there is difference in lymph  
5 node dissection between Western and Eastern countries. Approximately half of patients  
6 underwent three-field L/Ns dissection in our study. On the other hand, most of Western  
7 patients underwent esophagectomy with two-field L/Ns dissection. Classifying  
8 supraclavicular L/Ns (No. 104) as regional on the clinical staging of ESCC in the AJCC  
9 system would represent a major paradigm shift in many Western centers. However, as we  
10 showed, the number of positive nodes including supraclavicular L/Ns (No. 104) is better  
11 prognostic factor for post-neoadjuvant patients. Additionally, as Tachimori et al. reported,  
12 therapeutic lymphadenectomy effects for patients with supraclavicular L/Ns (No. 104)  
13 metastasis are sufficient.<sup>22,23</sup> According to the tumor locations, the 5-year survival rates  
14 for these patients were 42.3%, 40.5% and 30.0% in upper, middle, and lower esophageal  
15 cancers, respectively.<sup>23</sup> Thus, these nodes should be treated not as distant lesions but as  
16 regional nodes for all cohort even if those are bilateral and/or bulky. Concerning the  
17 prophylactic supraclavicular L/Ns dissection, however, it remains controversial. We  
18 reported that it is not necessary because there were no oncologic benefits<sup>24</sup>. Other  
19 investigator also reported that it may be omitted for NAC treated patients with clinically  
20 negative supraclavicular L/Ns (No. 104)<sup>25</sup>. Instead of it, asynchronous resection for  
21 single recurrence of supraclavicular L/Ns might be effective. Consequently, three-field  
22 L/Ns dissection might only be performed for clinically supraclavicular L/Ns positive

1 cases.

2 A limitation of this study is that the datasets were small and obtained from only two  
3 institutions. Additionally, it is unclear whether unification of the two systems is possible  
4 in Western countries' patients with NAC. To create a better staging system, multicentral  
5 cohort study using the Japanese National Clinical Database is currently in progress.

6

## 7 **Conclusions**

8 In summary, unification of the AJCC system and the Japanese classification for  
9 NAC treated patients yields a simpler and more precise predictive system that will  
10 prevent surgeons from becoming confused. We hope that our results will provide some  
11 insights for consideration during the next iteration of the AJCC staging system.

12

## 13 **Acknowledgments**

14 Informed consent was obtained from patients for the publication of this report and any  
15 accompanying data. Patient anonymity was maintained.

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5

## 6 **Figure legends**

7 Figure 1

8 In training data,

9 A) Prognosis was statistically better for ypStage IIIA (ypT0-2N1) than ypStage II  
10 (ypT3N0) ( $P=0.040$ ) in AJCC-ypTNM 8<sup>th</sup> (AJCC 8<sup>th</sup>) with staging inversion. Also,  
11 prognosis of ypStage IVB (ypTanyNanyM1) was better than that of ypStage IVA.

12 B) Higher-stage categories were associated with OS in JPN-CT-pTNM 11<sup>th</sup> (JPN 11<sup>th</sup>)  
13 without staging inversion.

14 C) Higher categories of ypN were associated with worse OS in AJCC-ypTNM 8<sup>th</sup> (AJCC  
15 8<sup>th</sup>).

16 D) Staging inversion was seen between CT-pN3 and CT-pN2 in JPN-CT-pN 11<sup>th</sup>.

17

18 Figure 2

19 A) 5-year OS rates were 53% ( $n=213$ ) for ypM0 and 24% ( $n=21$ ) for ypM1 in  
20 AJCC-ypTNM 8<sup>th</sup> (AJCC 8<sup>th</sup>).

21 B) 5-year OS rates were 51% ( $n=232$ ) for CT-pM0 and 0% ( $n=2$ ) for CT-pM1 in  
22 JPN-CT-pTNM 11<sup>th</sup> (JPN 11<sup>th</sup>).

1 C) 5-year OS rate of 15 patients positive for supraclavicular L/Ns (No. 104), representing  
2 71% of 21 ypM1 patients in AJCC-ypTNM 8<sup>th</sup> (AJCC 8<sup>th</sup>), was 33%.

3

4 Figure 3

5 In training data,

6 A) higher-stage categories were associated with OS in the novel AJCC-CT-pTNM 8<sup>th</sup>  
7 staging system ( $P<0.0001$ ).

8 In test data,

9 B) Prognosis was better for ypStage IIIA and IIIB than ypStage II in AJCC-ypTNM 8<sup>th</sup>  
10 (AJCC 8<sup>th</sup>) with staging inversion. Also, prognosis of ypStage IVB was better than that  
11 of ypStage IVA until postoperative year 2.

12 C) Higher-stage categories were associated with OS in the novel AJCC-CT-pTNM 8<sup>th</sup>  
13 staging system ( $P<0.0001$ ).

14

Table 1 Pathological staging based on the **each system**

AJCC 8 <sup>th</sup>					
	ypN0	ypN1	ypN2	ypN3	ypM1
ypT0	I	IIIA	IIIB	IVA	IVB
ypT1	I	IIIA	IIIB	IVA	IVB
ypT2	I	IIIA	IIIB	IVA	IVB
ypT3	II	IIIB	IIIB	IVA	IVB
ypT4a	IIIB	IVA	IVA	IVA	IVB
ypT4b	IVA	IVA	IVA	IVA	IVB

JPN 11 <sup>th</sup>						
	pN0	pN1	pN2	pN3	pN4	pM1
pT0,1a	0	II	II	III	IVa	IVb
pT1b	I	II	II	III	IVa	IVb
pT2	II	II	III	III	IVa	IVb
pT3	II	III	III	III	IVa	IVb
pT4a	III	III	III	III	IVa	IVb
pT4b	IVa	IVa	IVa	IVa	IVa	IVb

Novel					
	ypN0	ypN1	ypN2	ypN3	pM1
ypT0	I	II	III	IVA	IVB
ypT1	I	II	III	IVA	IVB
ypT2	I	II	III	IVA	IVB
ypT3	II	III	III	IVA	IVB
ypT4a	III	IVA	IVA	IVA	IVB
ypT4b	IVA	IVA	IVA	IVA	IVB

AJCC 8<sup>th</sup>; AJCC-ypTNM 8<sup>th</sup>

JPN 11<sup>th</sup>; JPN-CT-pTNM 11<sup>th</sup>

Novel; novel AJCC-CT-pTNM 8<sup>th</sup>

ypN; using the number of L/Ns, pN; grouping the L/Ns \* supraclavicular L/Ns (No.104) are treated as regional

ypM; including supraclavicular L/Ns (No.104), pM; not including supraclavicular L/Ns (No.104)



Table 2a. Comparison AIC and BIC values between the novel, **AJCC 8<sup>th</sup>** and **JPN 11<sup>th</sup>** in training data

	AIC*	BIC**
<b>Novel</b>	<b>1054.24</b>	<b>1067.88</b>
<b>AJCC 8<sup>th</sup></b>	<b>1070.74</b>	<b>1087.76</b>
<b>JPN 11<sup>th</sup></b>	<b>1086.15</b>	<b>1103.16</b>

**Novel; novel AJCC-CT-pTNM 8<sup>th</sup>**

**AJCC 8<sup>th</sup>; AJCC-ypTNM 8<sup>th</sup>**

**JPN 11<sup>th</sup>; JPN-pTNM 11<sup>th</sup>**

\* Akaike Information Criterion: AIC

\*\* Bayesian Information Criterion: BIC

Table 2b Comparison AIC and BIC values between the novel and **AJCC 8<sup>th</sup>** in test data

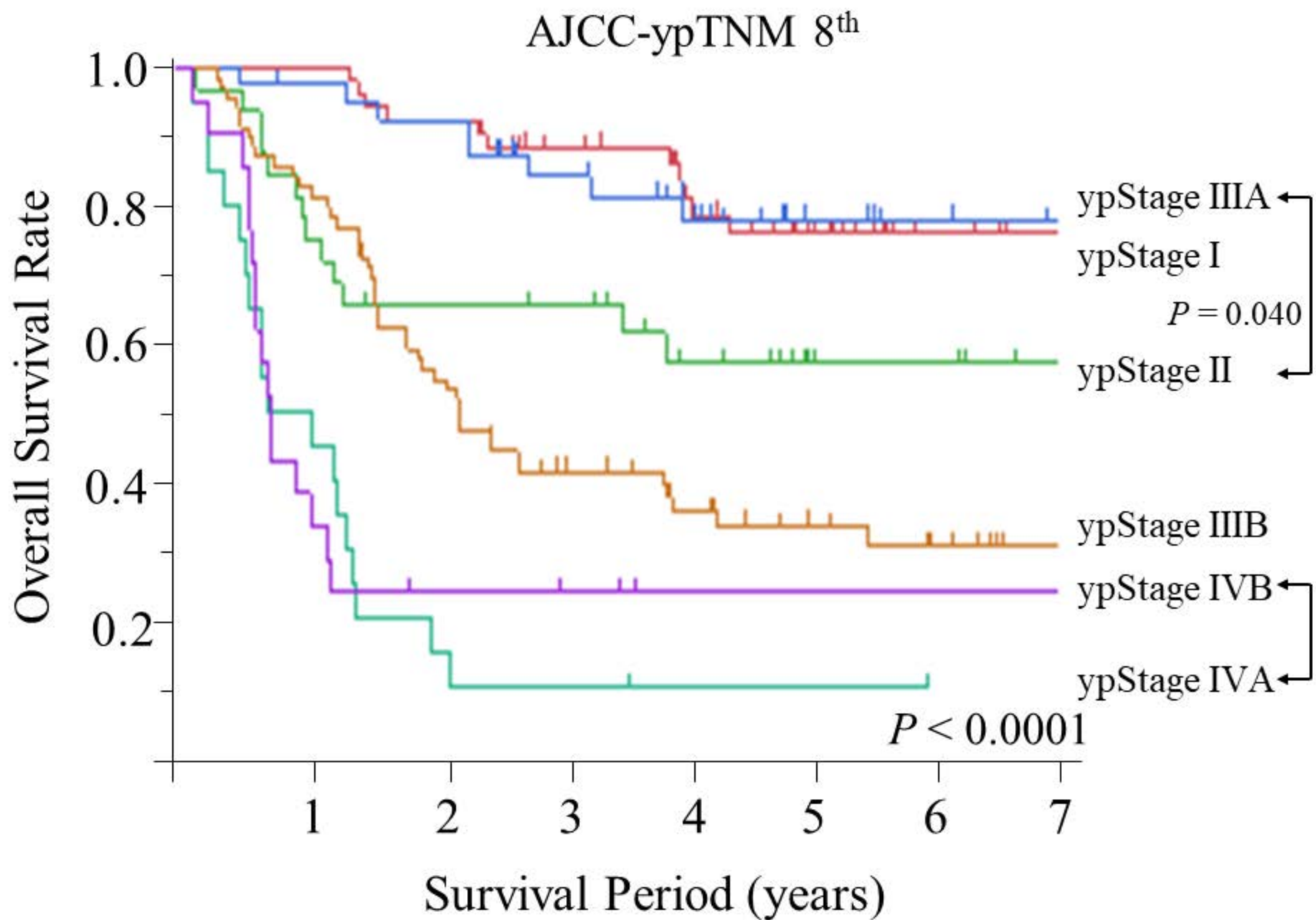
	AIC*	BIC**
<b>Novel</b>	<b>204.54</b>	<b>210.92</b>
<b>AJCC 8<sup>th</sup></b>	<b>206.76</b>	<b>216.06</b>

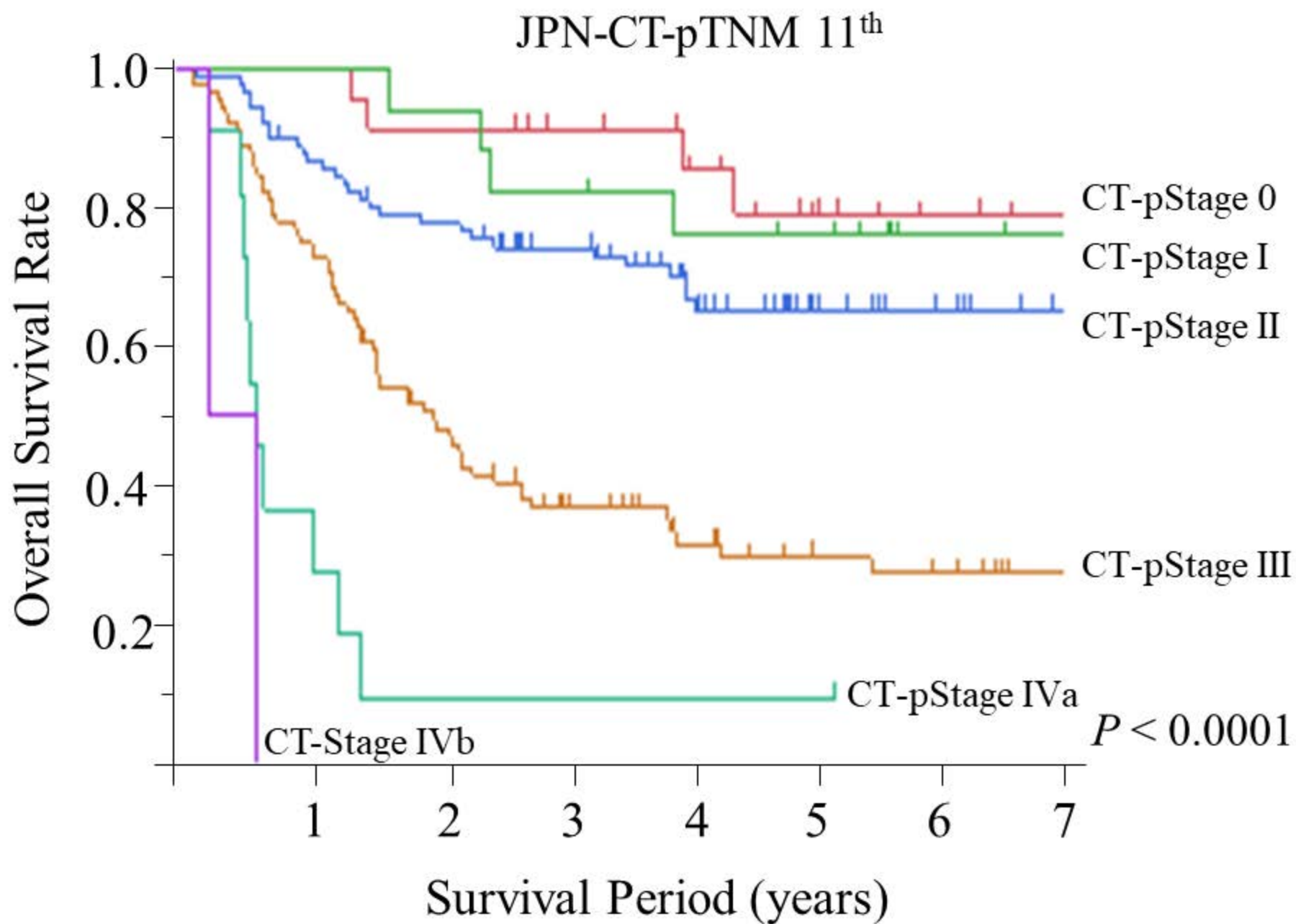
**Novel; novel AJCC-CT-pTNM 8<sup>th</sup>**

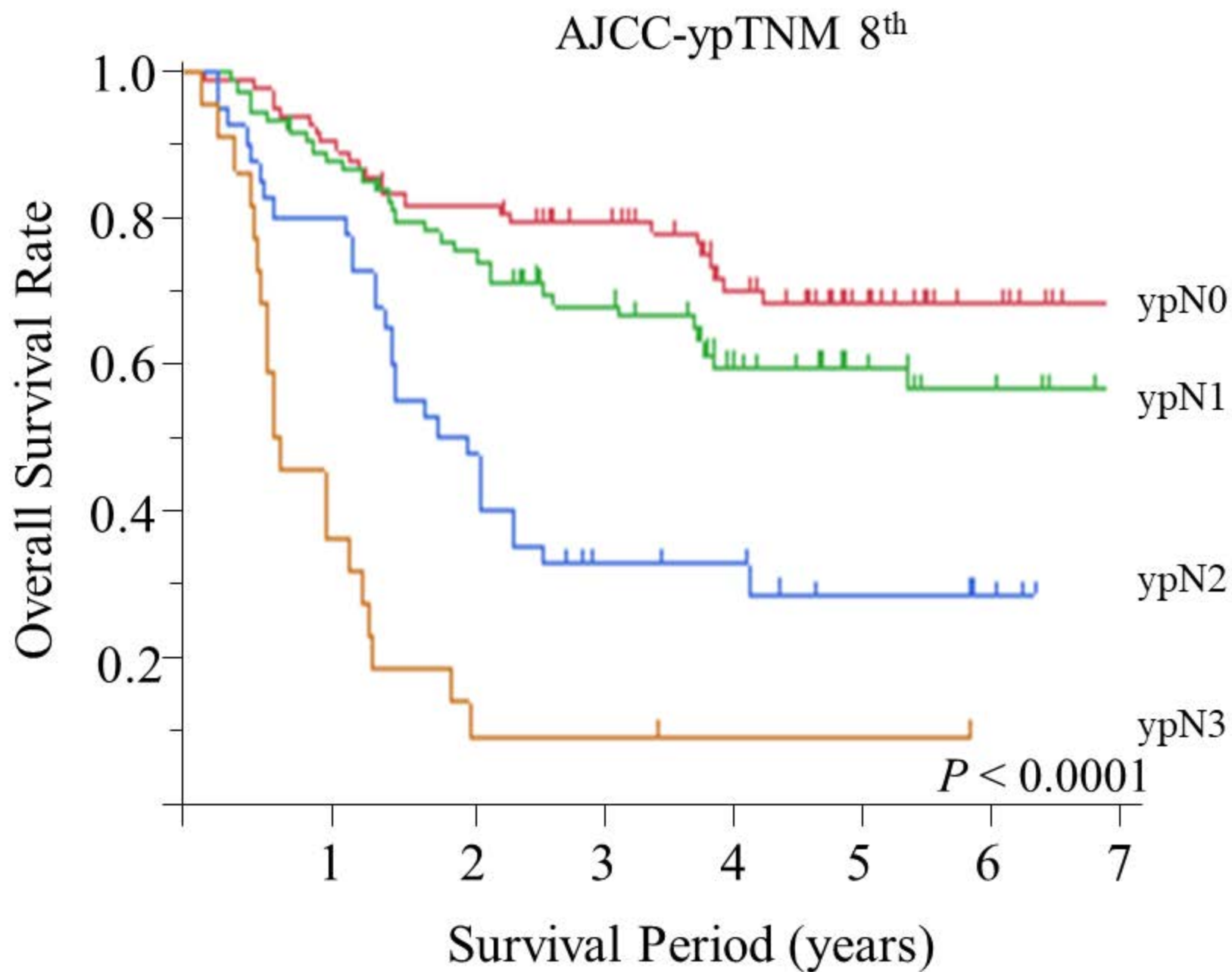
**AJCC 8<sup>th</sup>; AJCC-ypTNM 8<sup>th</sup>**

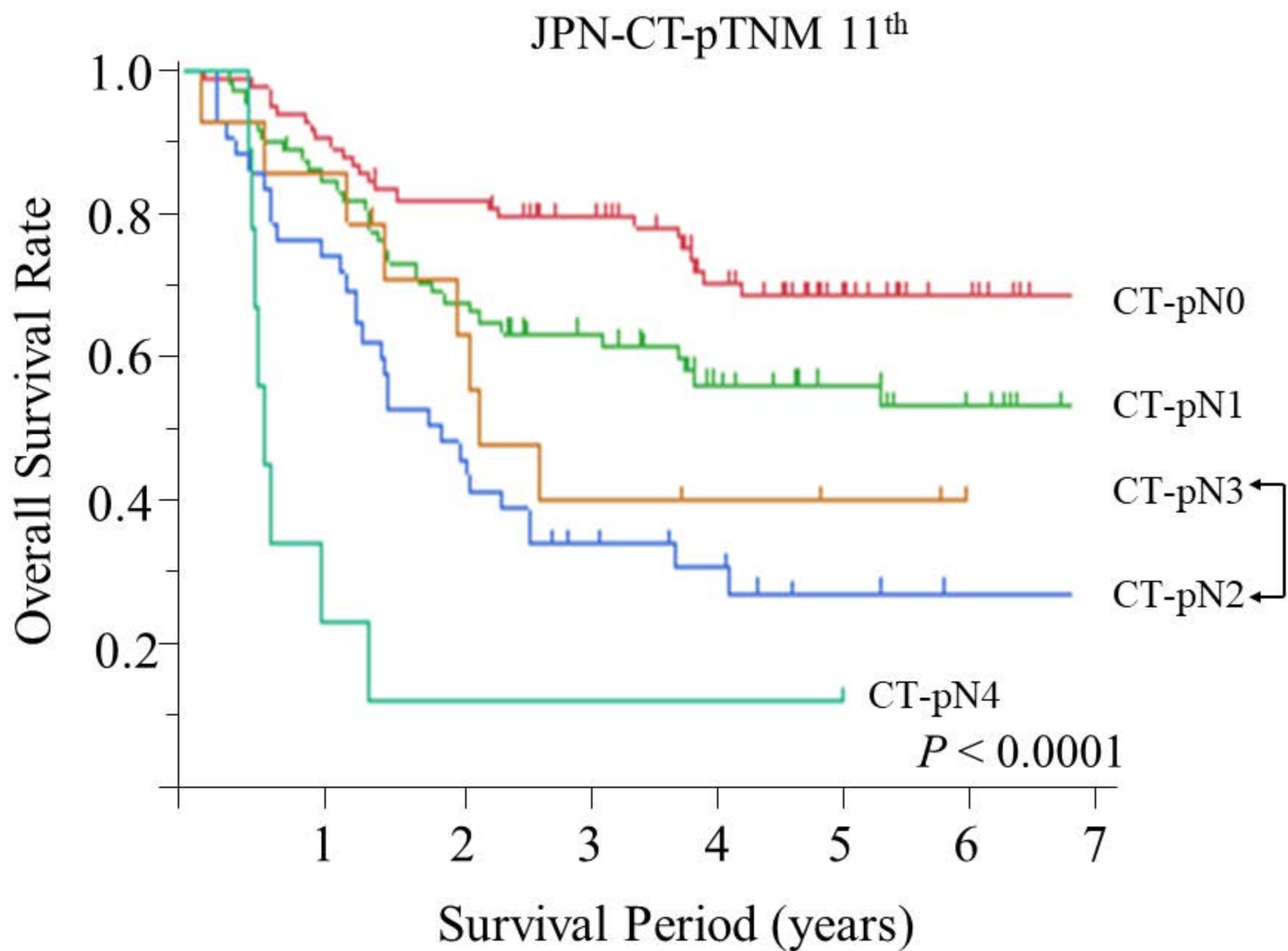
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\*\* Bayesian Information Criterion: BIC

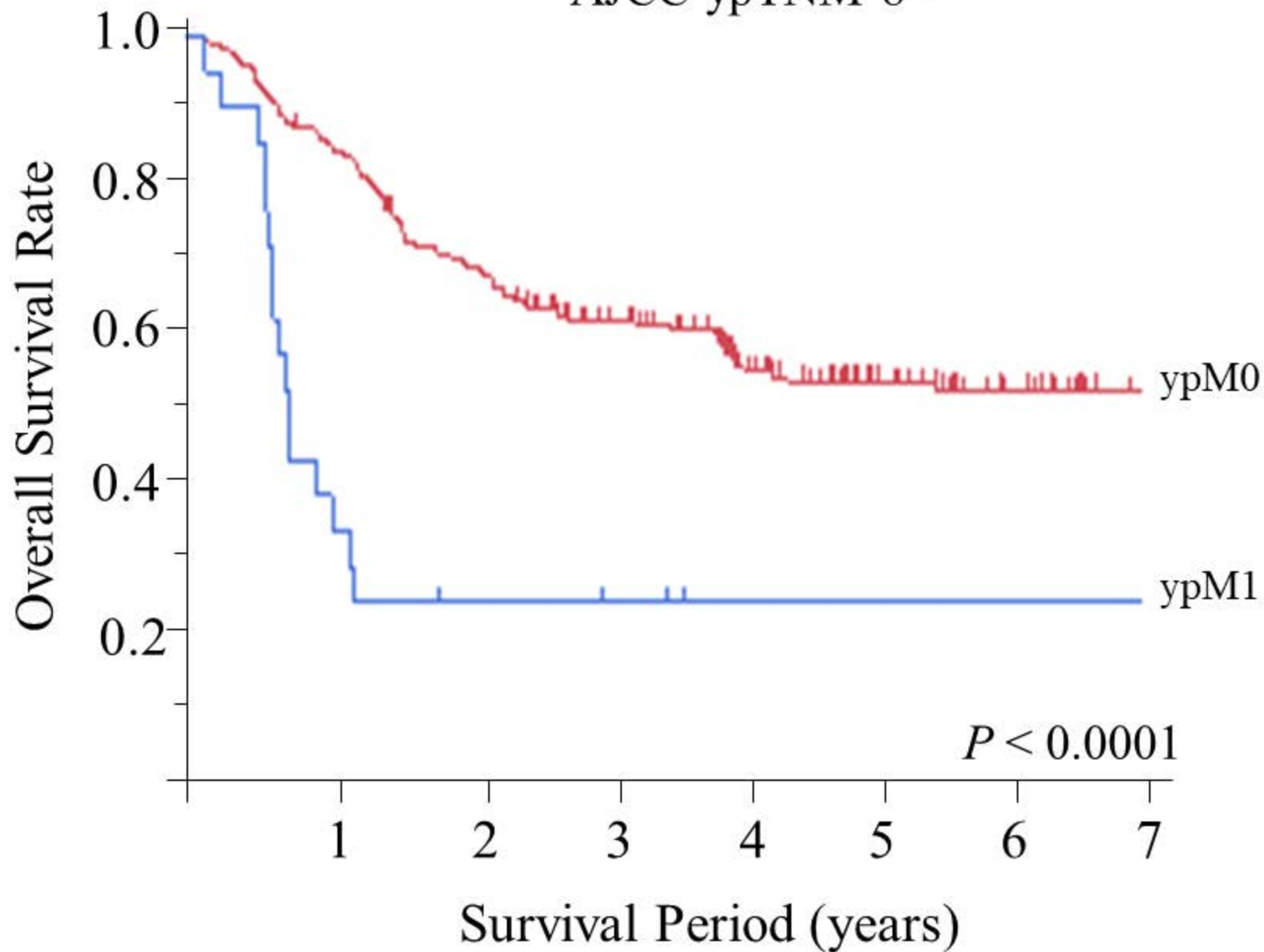


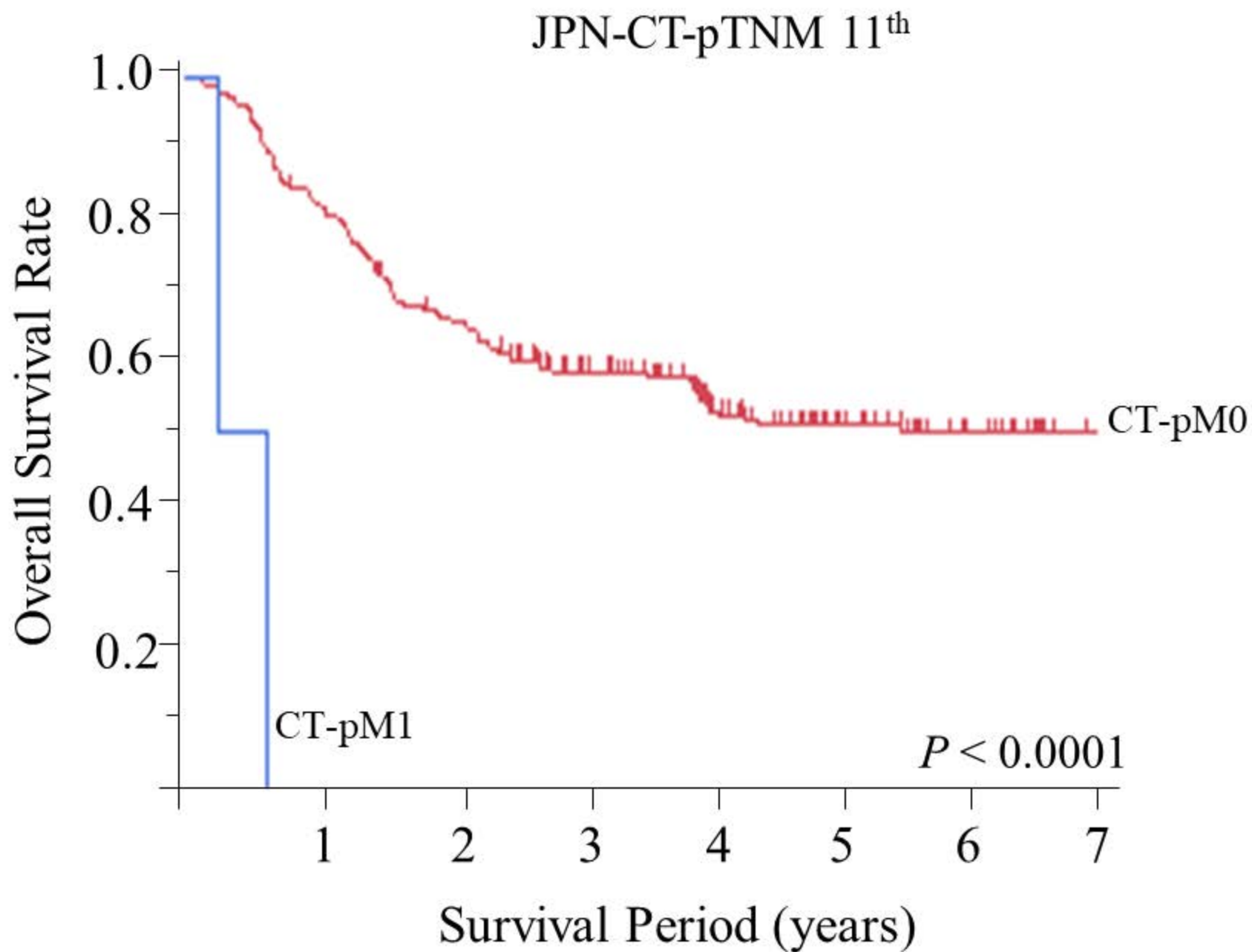


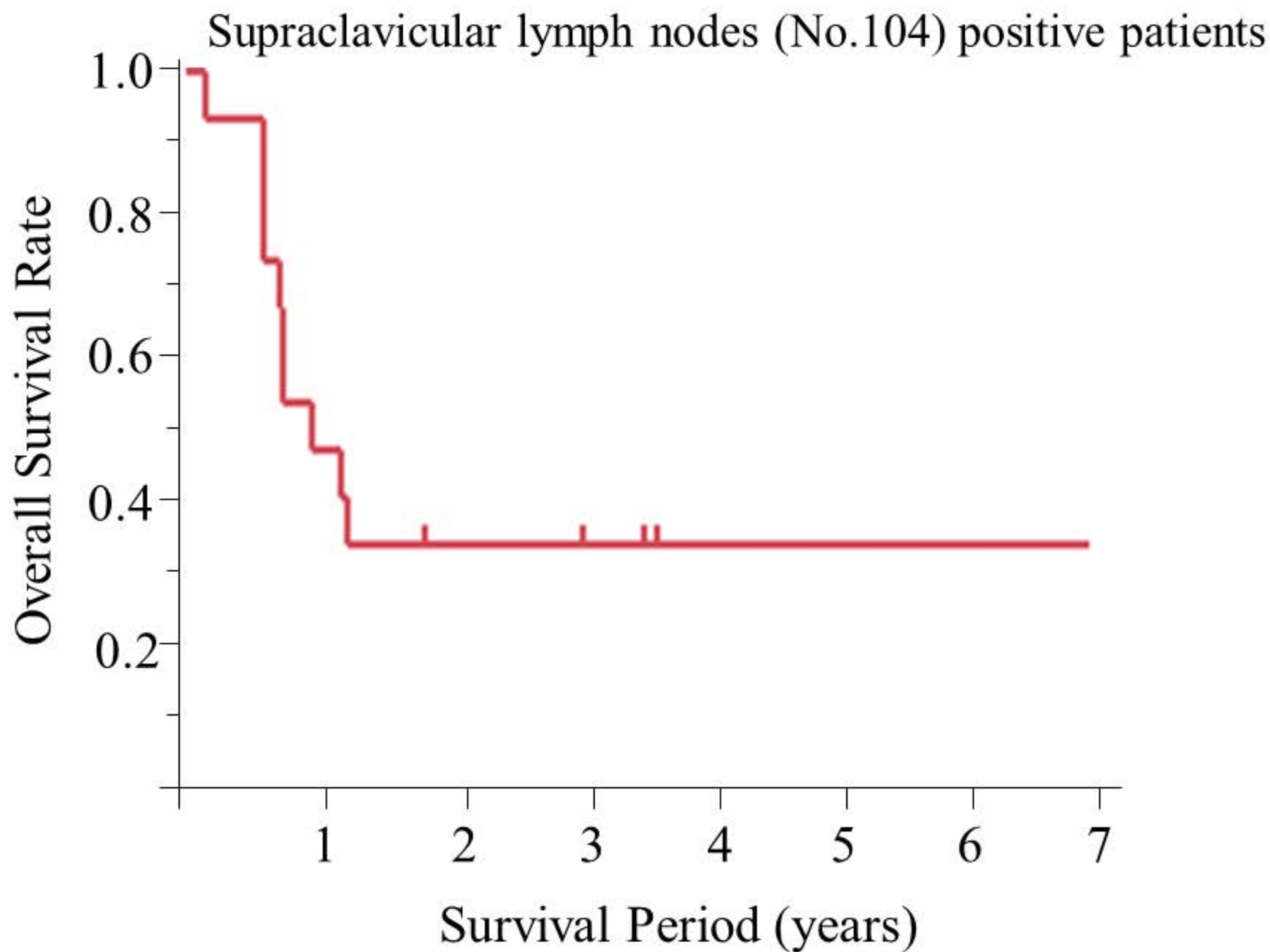




# AJCC-ypTNM 8<sup>th</sup>

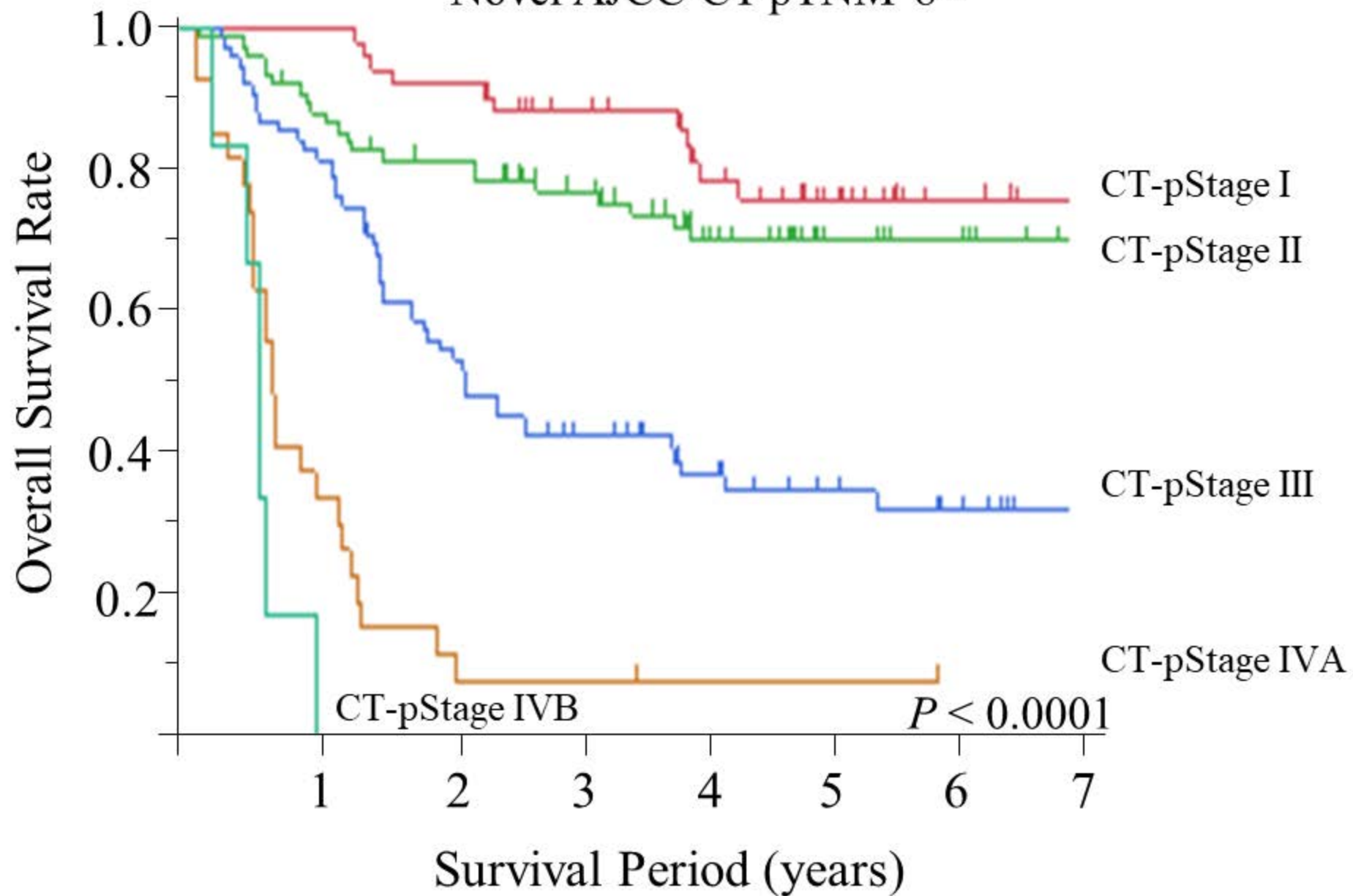


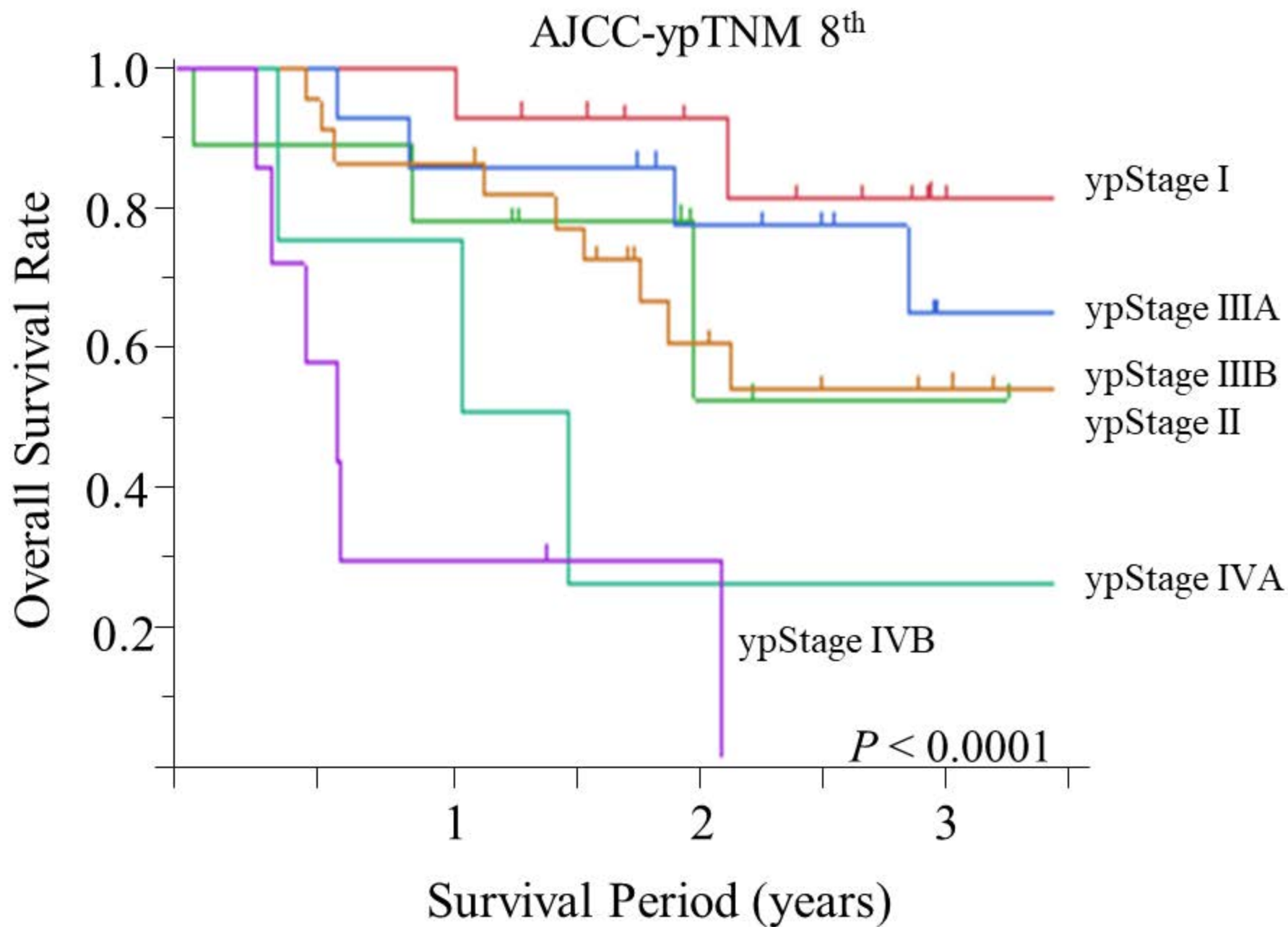






# Novel AJCC-CT-pTNM 8<sup>th</sup>





# Novel AJCC-CT-pTNM 8<sup>th</sup>

