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**Predictors of three-month mortality and severe chemotherapy-related adverse events in patients aged 70 years and older with metastatic nonsmall-cell lung cancer: a secondary analysis of ESOGIA-GFPC-GECP 08-02 Study**

Sébastien Gendarme, Sonia Zebachi, Romain Corre, Laurent Greillier, Grégoire Justeau, Olivier Bylicki, Chantal Decroisette, Jean-Bernard Auliac, Florian Guisier, Margaux Geier, et al.

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1 **Predictors of three-month mortality and severe chemotherapy-related**  
2 **adverse events in patients aged 70 years and older with metastatic non-**  
3 **small-cell lung cancer: a secondary analysis of ESOGIA-GFPC-GECP 08-**  
4 **02 Study**

5 Sébastien Gendarme <sup>1,2</sup>, Sonia Zebachi <sup>1,3</sup>, Romain Corre <sup>4</sup>, Laurent Greillier <sup>5</sup>, Grégoire  
6 Justeau <sup>6</sup>, Olivier Bylicki <sup>7</sup>, Chantal Decroisette <sup>8</sup>, Jean-Bernard Auliac <sup>2</sup>, Florian Guisier <sup>9,10</sup>,  
7 Margaux Geier <sup>11</sup>, Charles Ricordel <sup>12</sup>, Maxime Frelaut <sup>13</sup>,  
8 Elena Paillaud <sup>1,14</sup>, Christos Chouaïd <sup>1,2</sup>, Florence Canouï-Poitrine <sup>1,3</sup>

9

10 Affiliations:

11 <sup>1</sup> Univ Paris Est Creteil, INSERM, IMRB (CEpiA Team), F-94010 Creteil, France

12 <sup>2</sup> Centre Hospitalier Intercommunal de Créteil, Service de Pneumologie, 40 avenue de  
13 Verdun, 94010 Créteil, France

14 <sup>3</sup> Assistance Publique-Hôpitaux de Paris, Hôpital Henri-Mondor, Service de Santé Publique et  
15 Unité de Recherche Clinique, 1 Rue Gustave Eiffel, 94010 Créteil, France.

16 <sup>4</sup> Centre Hospitalier Intercommunal de Cornouaille, Service de Pneumologie, 14 Av. Yves  
17 Thépot, 29000 Quimper, France

18 <sup>5</sup> Aix-Marseille Université, AP-HM, INSERM, CNRS, CRCM, Hôpital Nord, Service  
19 d'Oncologie Multidisciplinaire et Innovations Thérapeutiques, Marseille, France.

20 <sup>6</sup> CHU d'Angers, Service de Pneumologie, 4 Rue Larrey, 49100 Angers, France.

21 <sup>7</sup> HIA Sainte-Anne, Service de Pneumologie, 2, boulevard Saint-Anne, 83000 Toulon, France

22 <sup>8</sup> CH d'Annecy, Service de Pneumologie, 1, avenue de l'Hôpital, Metz-Tessy, 74374 Annecy,  
23 France

24 <sup>9</sup> Univ Rouen Normandie, LITIS Lab QuantIF team EA4108, CHU Rouen,

25 <sup>10</sup> Department of Pulmonology, Thoracic Oncology, and Respiratory Intensive Care & CIC-

26 CRB INSERM 1404 F 76000, Rouen, France

27 <sup>11</sup> CHU Morvan, Service de Pneumologie, 2, avenue Foch, 29200 Brest, France

28 <sup>12</sup> CHU Rennes, Service de Pneumologie, 2 Rue Henri le Guilloux, 35033 Rennes, France

29 <sup>13</sup> Gustave Roussy, Département d’Oncologie Médicale, 39 rue Camille-Desmoulins, 94805  
30 Villejuif Cedex, France

31 <sup>14</sup> Assistance Publique-Hôpitaux de Paris, Hôpital Européen Georges-Pompidou, Service de  
32 Gériatrie, 20, rue Leblanc, 75908 Paris Cedex 15, France.

33 Corresponding author: S. Gendarme ([sebastien.gendarme@u-pec.fr](mailto:sebastien.gendarme@u-pec.fr)), Cepia Team (IMRB) 1  
34 Rue Gustave Eiffel, 94010 Créteil Cedex

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39 Abbreviations :

40 ADL, Activities of Daily living; ALB, albuminemia; CRAE, chemotherapy-related adverse  
41 event; CRP, C-reactive protein; ECOG PS, Eastern Cooperative Oncology Group performance  
42 status; GA, geriatric assessment; GPS, Glasgow Prognostic Score; TGUG, Test Get up and  
43 Go; IADL, Instrumental Activities of Daily Living; LDH, lactate dehydrogenase; MDRD,  
44 Modification of Diet in Renal Disease; MMSE, Mini-Mental State Examination; mNSCLC,  
45 metastatic non-small-cell lung cancers; OS, overall survival

46

47

48 **ABSTRACT**

49 *Background* : Predictors for mortality and toxicity in older patients with cancer are mainly  
50 studied in cohorts with various cancers at different stages. This study aims to identify  
51 predictive geriatric factors (PGFs) for early death and severe chemotherapy related adverse  
52 events (CRAEs) in patients aged 70 years and older ( $\geq 70$ y) with metastatic non-small-cell  
53 lung cancer (mNSCLC).

54 *Material and Methods*: This is a secondary analysis of the multicenter, randomized, phase III  
55 ESOGIA trial that compared, for patients  $\geq 70$ y with mNSCLC, a treatment algorithm based  
56 on performance status and age to another algorithm based on geriatric assessment. To identify  
57 PGFs of 3-month mortality and grade-3, -4 or -5 CRAEs, multivariate Cox models and  
58 logistic models, adjusted for treatment group and center, and stratified by randomization arm,  
59 were constructed.

60 *Results*: Among 494 included patients, 145 (29.4%) had died at three months and 344  
61 (69.6%) had severe chemotherapy toxicity. For three-months mortality, multivariate analyses  
62 retained mobility (Test Get up and Go), instrumental activity of daily living (IADL)  
63 dependence and weight loss as PGFs. The combined effect of IADL  $\leq 2/4$  and weight loss  $\geq 3$   
64 kg was strongly associated with three-month mortality (adjusted (a) HR: 5.71 [95% CI: 2.64–  
65 12.32]). For chemotherapy toxicity, Charlson Comorbidity Index  $\geq 2$  was independently  
66 associated with grade-3, -4 or -5 CRAEs (aOR [95% CI]: 1.94 [1.06–3.56]).

67 *Conclusions*: Mobility, IADL dependence, and weight loss were predictive of three-month  
68 mortality in a population aged 70 years and older treated for mNSCLC, while comorbidities  
69 were independently associated with severe chemotherapy toxicity.

70

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## 73 1. Introduction

74

75 The incidence of non-small-cell lung cancers (NSCLCs) in older patients is increasing in  
76 western countries, mainly due to an aging population . In Europe, almost half of patients with  
77 NSCLC are aged 70 years and older ( $\geq 70$ y) in 2020 [1]. As for the general population, lung  
78 cancer diagnoses for this age group are often obtained late, at metastatic stage (mNSCLC).  
79 Despite recent progress made with targeted therapies and anti-programmed–death protein  
80 (PD)-1 or anti-PD1–ligand immunotherapy, chemotherapy retains an important role and the  
81 prognosis remains somber [2].

82 Although it is accepted that chronological age should not be a barrier to access systemic  
83 cancer treatments, it is necessary to evaluate the individual risks versus benefits of receiving  
84 cancer treatment for patients  $\geq 70$ y [3]. The under-representation of older patients in clinical  
85 trials, the broad heterogeneity of their comorbidities, dependence and cognitive status, make it  
86 difficult to devise therapeutic guidelines [4,5]. The inclusion limited to fit patients in pivotal  
87 therapeutic studies make it extremely tricky to extrapolate their findings to routinely manage  
88 older patients [6–8].

89 In this context, geriatric assessment (GA) is able to identify frailty parameters and  
90 comorbidities that could impact survival and the feasibility of oncological treatments. In that  
91 way, GA could prove useful to classify patients into frailty groups, and thereby optimize  
92 therapeutic strategies [9]. The phase III GFPC-GECP ESOGIA trial investigated a  
93 chemotherapy allocation strategy based on this geriatric classification in patients  $\geq 70$  years  
94 old with mNSCLC. This study randomized 494 patients, allotting them to one of two  
95 strategies to assign chemotherapy: either classical criteria based on Eastern Cooperative  
96 Oncology Group performance status (ECOG PS) and age or an algorithm based on GA  
97 findings [10]. This study provided a geriatric characterization into three groups—fit,  
98 vulnerable or frail—based on the GA conducted at inclusion for the entire population.

99 Although the results were negative for the main outcome criterion, i.e. time to treatment  
100 failure and overall survival (OS), the CRAEs and treatment failure frequencies were  
101 significantly lower in the GA arm than in the standard-strategy arm. These results were  
102 recently confirmed by two randomized trials [11,12] ; the first, the GAP70+ trial, reporting  
103 20% fewer grade-3, -4 or -5 adverse events (AEs) in the GA-guided intervention arm in 718  
104 patients with metastatic cancers ; the latter, the GAIN trial, demonstrated among 613 patients  
105 with metastatic cancers that a specific GA-driven intervention was able to lower grade-3 or -4  
106 AEs by 10.1%.

107 However, we still have little understanding of the geriatric parameters involved in  
108 limiting toxicity. Admittedly, predictive scores for death or CRAEs using GA tools [13–15]  
109 were developed in older patients with various solid cancers at different stages. However,  
110 specific data in older patients with mNSCLC are still missing. The predictive value of these  
111 scores may be inaccurate in disease-specific validation studies [16,17]. In this way, geriatric  
112 frailty parameters should be investigated in the specific setting of a population of patients  
113  $\geq 70$ y with advanced lung cancer. In the ESOGIA population, the common geriatric  
114 prognostic factors of death and chemotoxicity, as well as their predictive value, might be  
115 different from other settings.

116 The objective of this secondary analysis of the ESOGIA study was to determine geriatric  
117 predictors for three-month mortality and severe chemotherapy related adverse events in  
118 patients  $\geq 70$ y with mNSCLC.

119

## 120 **2. Methods**

121

### 122 *2.1. Study design and population*

123

124 This was an ancillary analysis of the ESOGIA trial data, whose methods and results were  
125 published previously [10]. Briefly, the phase III randomized GFPC-GECP ESOGIA trial  
126 enrolled between January 2010 and January 2013, 494 patients aged 70 years and older with  
127 stage IV mNSCLC about to receive first-line therapy. Median follow-up was 4.5 months  
128 (range, 0 to 36.7 months), and the final cutoff date was March 2014. Two chemotherapy-  
129 attribution algorithms were compared. One, based on the usual criteria (ECOG PS and age),  
130 prescribed carboplatin-based doublet when  $PS \leq 1$  and  $\leq 75$  years, docetaxel monotherapy  
131 when  $PS = 2$  or age  $>75$  years; the other, based on GA results, administered carboplatin-based  
132 doublet for fit patients, docetaxel monotherapy for dependent patients or best supportive care  
133 for frail patients. Data from the entire ESOGIA trial population that underwent GA at  
134 inclusion were analyzed. ESOGIA trial was approved by the Rennes Ethics Committee and  
135 was conducted in accordance with the Declaration of Helsinki and Good Clinical Practice  
136 Guidelines.

137

## 138 2.2. Endpoints

139

140 The main outcome measure was three-month mortality. Secondary endpoint was severe  
141 grade-3, -4 or -5 CRAEs, as defined in the Common Terminology Criteria for Adverse Events  
142 version 4.

143

## 144 2.3. Geriatric assessment domains

145

146 Geriatric variables explored in this analysis were: *dependency level* based on the six-item  
147 Activity of Daily Living (ADL) scale (personal hygiene, dressing, grooming, washing,  
148 transferring/mobility, continence, feeding) [18] and the four-item Instrumental Activity of  
149 Daily Living (IADL) scale (use of the telephone, use of public transportation, take

150 medications, manage finances) consistently classified in the ESOGIA trial [10] as follows:  
151 ADL = 6 (independence) or ADL  $\leq$  5 and IADL = 4 (independence) or IADL = 3 or IADL  $\leq$   
152 2) [19]; *cognitive status screening* (Folstein's Mini Mental Status Examination (MMSE)  $\leq$ 23,  
153 cognitive impairment versus  $>$ 23: no cognitive impairment) [20]; *comorbidities* (Charlson  
154 Comorbidity Index score  $\geq$ 2 (moderate to frequent comorbidities) versus 0–1 (few or mild  
155 comorbidities) [21]; *depression* screening (Geriatric Depression Scale (GDS)-5 : 0–1 no risk;  
156 2–3 moderate risk; 4–5 high risk) [22]; *mobility* (Test Get up and Go (TGUG) : normal versus  
157 abnormal) [23]; *continence* (yes or no); *fall* during last year (yes or no), and nutritional status  
158 (body mass index (BMI, kg/m<sup>2</sup>)  $<$ 21; underweight, 21–24.99 normal;  $\geq$ 25 overweight or  
159 obese); weight loss in the 6 past-months  $\leq$ 3 versus  $\geq$ 3 kg [24,25];

160

#### 161 2.4. Other parameters

162

163 Non-geriatric variables were also considered for the models fitting : **demographics** (age  
164 and sex); **smoking status** (never, former or active smokers); **functional status**: ECOG PS;  
165 **cancer-related**: treatment type (carboplatin-based doublet, monotherapy, i.e., docetaxel or  
166 best supportive care), and number of chemotherapy cycles; and **biological markers**:  
167 hemoglobin (anemia defined as  $<$ 12 g/dL for women and  $<$ 13 g/dL for men), Modification of  
168 Diet in Renal Disease (MDRD) algorithm-estimated renal clearance (mL/min) ( $<$ 30, renal  
169 failure; 30–60, moderate renal insufficiency;  $\geq$ 60, normal renal function) [26], lactate  
170 dehydrogenase (LDH) (analyzed as a continuous variable), C-reactive protein (CRP; analyzed  
171 as a continuous variable) and albuminemia (ALB;  $<$ 30 vs  $\geq$ 30 g/dL) [27]. The latter two  
172 variables were also analyzed as the CRP/ALB ratio, and as a composite parameter according  
173 to the Glasgow Prognostic Score (GPS) (0 (CRP  $\leq$  10 mg/L and ALB  $\geq$  35 g/L) vs 1 (CRP  $\leq$   
174 10 mg/L and ALB  $<$  35 g/L) vs 2 (CRP  $>$  10 mg/L and ALB  $<$  35 g/L) [28].

175



176 2.5. *Statistical analyses*

177

178 Standard descriptive analysis were used. Continuous variables are expressed as mean  
179 (standard deviation, SD) or median (interquartile range, IQR) and categorical variables as  
180 number (%). Three-month OS from the date of randomization was estimated using the  
181 Kaplan–Meier method.

182 Geriatric factors associated with three-month mortality were identified using Cox  
183 proportional hazards models, systematically adjusted for treatment group and center, and  
184 included randomization arm as a strata. We add a “strata” option to the Cox model to assume  
185 that the baseline hazard can be group specific due to the design; but the coefficients are the  
186 same. For all endpoints, the variables with  $p < 0.20$  in univariate analyses were further  
187 examined in multivariate analyses. Correlations between each GA variables were tested in  
188 bivariate models using Cramer’s test to perform distinct models if correlations were high ( $\rho >$   
189 0.3). Multivariate Cox models were constructed with manual step-by-step adjustment  
190 considering the number of chemotherapy cycles variable as a confounding factor. Indeed, the  
191 number of chemotherapy cycles had an effect on mortality and toxicity and may be related to  
192 both geriatric factors and outcomes. Because the number of chemotherapy cycles cannot be  
193 considered a baseline characteristic, it was considered a time-varying covariate, obtained by  
194 splitting each observation into time intervals, with each interval corresponding to a  
195 chemotherapy cycle (0–4 cycles). Interactions between each geriatric variables were  
196 examined and interaction coefficient terms were tested manually in the multivariate model.  
197 Separate models were run to account for correlated variables and to estimate each geriatric  
198 domain's prognostic effect. Backward variable elimination according to the Akaike  
199 information criterion (AIC) identified the most accurate and parsimonious model. Association  
200 strengths are reported as hazard ratio (HR) [95% confidence interval (CI)]. The proportional  
201 hazards assumption was assessed statistically using the Schoenfeld residuals test. Imputation

202 was used to correct for missing laboratory values (e.g., ALB, CRP, LDH, hemoglobin level)  
203 using the predictive mean-matching method (function pmm in Stata software) in multivariate  
204 analyses. Overall fit of the models was assessed with the Brier score, calibration was assessed  
205 with the calibration slope and discrimination capability with Harrell's C statistic.

206 The same method was applied for predicting severe (grade-3, -4 or -5) CRAEs using  
207 logistic-regression models, adjusted for treatment group, center and included randomization  
208 arm as a strata, and results are reported as odds ratio (OR) [95% CI].

209 All tests were two-sided, and  $p < 0.05$  was considered significant. Analyses were  
210 computed using STATA software version 15.0 (StataCorp, College Station, TX) and R Studio  
211 Desktop (version 1.4.1106).

## 212 **3. Results**

213

### 214 *3.1. Patients*

215

216 Between January 2010 and January 2013, 45 French and Spanish centers (fourteen  
217 university hospitals, four cancer centers, and 27 community hospitals) enrolled 494 patients  
218 (median age 77 years; 74.2% male; 79.6% former or current smokers; 18.9% with ECOG PS  
219 = 2) (**Table 1**). All patients underwent GA, 14.4% exhibited ADL dependence ( $ADL \leq 5$ ),  
220 28.6% had IADL dependence ( $IADL \leq 3$ ), 15.4% had cognitive disorders risk ( $MMSE \leq 23$ ),  
221 15.6% were at risk of depression ( $GDS5 \geq 2$ ), 23.9% had major comorbidities (Charlson  
222 Comorbidity Index  $\geq 2$ ) and 20.3% malnutrition ( $BMI < 21$  kg/m<sup>2</sup>). Platinum-based doublet  
223 (carboplatin-pemetrexed and carboplatin-gemcitabine for 30.0% and 10.1%, respectively),  
224 docetaxel monotherapy and only best supportive care, respectively, were assigned to 40.1%,  
225 48.5% and 11.4%. Median follow-up was 4.5 (range: 0–36.7) months. The median number of  
226 chemotherapy cycles was 4 [IQR 1–4].

227

228 3.2. Overall survival

229

230 Median OS was 5.4 [95% CI: 4.89–5.85] months, with three-month OS rate of 70.6%  
231 [95% CI: 65.9% 74.8%]. Univariate analysis selected the following factors as being  
232 significantly associated with higher three-month mortality : IADL score  $\leq 2/4$ , MMSE  $\leq 23$ ,  
233 GDS5 score 2–3, abnormal Test Get up and Go (TGUG), recent weight loss  $\geq 3$  kg and  
234 Charlson Comorbidity Index  $\geq 2$  for geriatric parameters; and male sex, ECOG PS = 2,  
235 anemia, ALB  $\leq 30$  g/L, a number of chemotherapy cycles  $< 4$ , elevated LDH and CRP  
236 concentrations for non-geriatric parameters (**Table 2**).

237 After backward stepwise regression analysis (according to the AIC), MMSE ( $p = 0.597$ )  
238 and GDS5 ( $p = 0.838$ ) for three-month mortality were removed while all other factors  
239 included in the multivariate Cox regression turned out to be essential. We found a strong  
240 correlation between IADL and TGUG ( $\rho = 0.51$ ), IADL and ECOG PS ( $\rho = 0.44$ ) as well as  
241 anemia and CRP ( $\rho = 0.45$ ) (**eTable 1**). Given the collinearity among these variables,  
242 predictors were fitted in separate multivariable models. Multivariate analyses retained the  
243 following variables as independent factors associated with three-month mortality : IADL  
244 dependence (IADL  $\leq 2/4$ ), abnormal TGUG mobility, weight loss  $\geq 3$ kg for geriatric  
245 parameters ; and male sex, functional status (ECOG PS = 2), anemia, CRP/ALB ratio and  
246 LDH for non-geriatric parameters. An interaction was found between recent weight loss and  
247 several IADL dependencies (IADL  $\leq 2$ ). When these two factors were present, the risk of  
248 death at three months was much greater (HR 5.71 [95% CI 2.64–12.32];  $p < 0.001$ ; **Figure 1**).

249 The most performing and parsimonious multivariate Cox models for predicting three-  
250 month mortality were driven by either IADL & weight loss (model OS-1) or TGUG (model  
251 OS-2) or PS (model OS-3). These models have similar performance to predict three-month  
252 mortality with respective Harrell's C Statistic and Brier scores of 0.874 [95% CI: 0.840–

253 0.895] and 0.0114 for the model OS-1, 0.845 [95% CI: 0.803–0.872] and 0.0140 for the  
254 model OS-2 and 0.862 [95% CI: 0.826–0.884] and 0.0139 for the model OS-3 (**Table 3**). The  
255 predicting multivariate Cox models with albumin, CRP, and LDH used instead of anemia  
256 (correlated variables) are shown in **eTable 2**. Calibration slopes indicate an underestimation  
257 of three-month mortality risk for middle range (25-50%) and overestimation of three-month  
258 mortality risk for high range (50%-100%) (**eFigure 1**).

259

### 260 3.3. Toxicities

261

262 Univariate analyses identified the following factors as being significantly associated with  
263 the risk of grade -3, -4 or -5 CRAEs: IADL score  $\leq 3$ , Charlson Comorbidity Index  $\geq 2$ , the  
264 number of chemotherapy cycles  $< 4$ , fall during the preceding year and elevated CRP (**eTable**  
265 **3**).

266 After imputation of missing values and backward stepwise regression analysis, two  
267 parsimonious logistic models were constructed (**Table 4**). In both, severe comorbidities (CCI  
268  $\geq 2$ ) were significantly and independently associated with the risk of grade-3, -4 or -5 CREAs  
269 (aOR [95% CI], respectively, 1.94 [95% CI: 1.06–3.56] in the model T1 and 1.88 [95% CI:  
270 1.03–3.44] in the model T2). IADL dependence (IADL score  $\leq 3$ ) and falls ( $\geq$  one during the  
271 previous year) were also included in the best performing models but were not significantly  
272 associated with severe CREAs (aOR [95% CI]), respectively, 1.79 [95% CI: 0.99–3.24];  $p =$   
273 0.053] and 2.09 [95% CI: 0.93–4.70];  $p = 0.076$ ) (**Table 4**).

274 AUROC-assessed discrimination of the model T1 was 0.631 [95% CI: 0.56–0.67], with a  
275 Brier score of 0.1902. The model T2 achieved AUROC discrimination of 0.642 [95% CI:  
276 0.58–0.68], with a Brier score of 0.1905 (**Table 4**).

277

278

## 279 **4. Discussion**

280

### 281 *4.1. Geriatric predictive factors of three-month mortality*

282 This secondary analysis of ESOGIA phase III clinical trial found several GA factors i.e.  
283 IADL dependence, nutritional status (weight loss >3 kg) and mobility (TGUG), to be  
284 associated with greater risk of three-month mortality in patients aged 70 years and older  
285 ( $\geq 70$ y) treated for mNSCLC. The prognosis is even more dismal for patients combining  
286 several instrumental dependencies and weight loss equal to or greater than three kilograms  
287 during the last six months. To our knowledge, our study is the first to find that the interaction  
288 between recent weight loss and dependence is a major predictive factor in older patients with  
289 mNSCLC. The combination of these two factors might be a more important predictor of OS  
290 than PS in this population.

291 Malnutrition of patients with cancer is an already well-established predictive factor of  
292 OS, including for patients  $\geq 70$ y, whose frequency has been estimated between 55% and 83%  
293 [11,12,29,30]. For patients  $\geq 70$ y treated for cancer and who had undergone GA, nutritional  
294 status was significantly associated with change in chemotherapy strategy [31], completeness  
295 of the treatment regimen and OS [32].

296 Concerning the degree of autonomy (ADL or IADL), literature findings are contradictory,  
297 predictive of OS in some studies [33] but not others [13], even if the multivariate analysis  
298 included the same adjustment dataset as ours [29,30]. In a retrospective Japanese study on  
299 4837 older NSCLC patients [34], among all GA variables, the strongest contribution to the  
300 OS-predictive model was provided by ADL. The association was even stronger as the ADL  
301 dependence increased with, respectively, HRs [95% CI] at 1.54 [1.37–1.73], 2.48 [2.19–2.83]  
302 or 3.21 [2.80–3.68] for mild, moderate or severe dependence. Although it remains difficult  
303 today to conclude on the prognostic role of dependence, it is accepted that a general health  
304 evaluation based on the ECOG PS or Karnofsky index underestimates the extent of functional

305 limitations in older patients [35].

306 Our results also indicated that mobility was a factor associated with three-month  
307 mortality. These findings are consistent with an analysis of 348 patients treated for cancer (all  
308 sites combined) that found a significant TGUG–OS association (HR 2.55 [95% CI: 1.32–  
309 4.94]) [29]. However, an analysis limited to mNSCLC patients [30], pooling the data from  
310 two randomized phase II studies, failed to find an association between the different GA  
311 domains and OS, albeit mobility trended towards significance with HR at 0.25 [95% CI: 0.06–  
312 1.01] ( $p = 0.06$ ). Mobility impairment is a major quality of life factor, also associated with PS  
313 and depressive symptoms, which should be carefully considered among older adults with  
314 cancer [36].

315 The predictive role of comorbidities on survival in oncology has been extensively  
316 reported [29,30,34,37]. For example, *Le Caer* found an HR of 1.46 [95% CI: 1.07–1.99] ( $p =$   
317  $0.02$ ) [30] for mNSCLC patients. Our analysis did not find that association, probably because  
318 3-month mortality for mNSCLC patients is mainly linked to oncologic prognosis.  
319 Comorbidities would rather have an impact at intermediate term, with, in particular, a higher  
320 risk of competitive mortality, greater treatment-associated toxicity or suboptimal treatment,  
321 especially in the context of renal insufficiency [38,39].

322 Although GA-directed treatment allocation strategy wasn't associated with improved OS  
323 for patients with cancer [10], it provided a personalized evaluation that, along with other  
324 factors usually considered in oncology, could potentially help guide treatment choice(s), dose  
325 adaptation or both supportive and geriatric care interventions.

326

#### 327 *4.2. Geriatric predictors of severe chemotherapy related-adverse events*

328 As previously noted [40], we found that the Charlson Comorbidity Index was associated  
329 with more CRAEs in a population treated for mNSCLC and whose management considered  
330 geriatric frailty. However, IADL dependence and mobility failed to achieve significance.

331 Even though comorbidities is not included in the CRASH and CARG score, comorbidity  
332 scores have already been reported to be associated to toxicities in older patients with various  
333 types of cancer [40] and with mNSCLC [41]. The predictive value of comorbidities for  
334 chemotoxicity might be stronger in real-life settings. Actually, a recent study in a real-life  
335 cohort developed a predictive score for toxicity which included cancer type, performance  
336 status, comorbidities, body mass index, and CHEMOTOX score, and found an AUC of 0.78  
337 [17].

338 Autonomy impairment is not predictive for chemotoxicity in the CARG score [15] but is  
339 a predictor of hematologic toxicity in the CRASH score [14] and an important predictor for  
340 toxicity in The Vulnerable Elders Survey (VES-13) [42]. The predictive value of dependence  
341 also appears to vary by cancer site. Unlike our findings, a prospective trial in 123 older  
342 patients with previously untreated metastatic colorectal cancer have reported a strong  
343 association between impaired IADL and grade 3-4 toxicity with an OR of 4.67 [IC 95% 1.42 -  
344 15.32] [43]; and similar results were observed in ovarian cancer [44]. Recent falls, for their  
345 part, are included in the CARG score with a predictive value of OR = 2.47 [IC 95% 1.43 -  
346 4.27] but not in the CRASH score, illustrating the difficulties of replicating results in studies  
347 with a highly heterogeneous population.

348 More broadly, it is accepted that frail geriatric patients are at greater risk of severe  
349 chemotherapy-associated toxicities, hospitalizations and treatment interruptions,  
350 independently of chronologic age and ECOG PS [37,45,46]. Unfortunately, even for our  
351 analysis of a sample of patients with the same stage and tumor location, the identification of  
352 geriatric factors associated with toxicity remained poor, which clearly highlights the  
353 difficulties to predict toxicity in older subjects. Other indicators, like resting energy  
354 expenditure or low lean mass, are being examined to better evaluated the risk of CRAEs in  
355 this population [47,48].

356 *4.4. Study limitations*

357 The results of this analysis must be interpreted taking certain limitations into account. As  
358 with any clinical trial, the ESOGIA trial proceeded to a selection of the study population, but  
359 in a pragmatic way, with few exclusion criteria (ECOG PS > 2, severe concurrent disorders,  
360 symptomatic brain metastases, and bronchoalveolar, neuroendocrine, or composite cancer  
361 histology) and from a large number of participating centers, university centers but also  
362 general hospitals. To support this, the enrolled patients had a median OS of 5.4 months and  
363 almost 70% of the subjects were classified as vulnerable or fragile after the GA. Another  
364 limitation is that the GA was done by the oncologist treating the patient—not by a specialized  
365 geriatric oncology team, which could be a source of measurement bias. However, the  
366 clinicians participating in the ESOGIA trial were trained to conduct GA. Extrapolation to  
367 clinical practice is restricted by the time required for the GA and the accessibility to geriatric  
368 expertise. A screening score, like G8, could better identify patients who would benefit the  
369 most from a GA [29,49]. Finally, the agents used in thoracic oncology to treat metastatic  
370 disease have considerably evolved over the past few years, particularly with immunotherapy  
371 alone or combined with chemotherapy, leading to different toxicity spectra [50,51] that were  
372 not analyzed herein.

373 In conclusion, the combined effect of dependence, weight loss and mobility were the  
374 main geriatric factors associated with 3-month mortality of patients >70 years with mNSCLC  
375 whose management was decided after GA. Concerning chemotherapy toxicity, it will be  
376 necessary to seek out other factors to evaluate the CRAE risk, a major outcome determinant in  
377 this population. For personalized prediction, it would be necessary to optimize the calibration  
378 of the models.

379

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381

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385 Resources, Writing - Review & Editing; Laurent Greillier for Investigation, Resources ;  
386 Grégoire Justeau for Investigation, Resources ; Olivier Bylicki for Investigation, Resources ;  
387 Chantal Decroisette for Investigation, Resources ; Jean Bernard Auliac for Investigation,  
388 Resources ; Florian Guisier for Investigation, Resources ; Margaux Geier for Investigation,  
389 Resources ; Charles Ricordel for Investigation, Resources ; Maxime Frelaut for Writing -  
390 Review & Editing ; Elena Paillaud for Writing - Review & Editing ; Christos Chouaid for  
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393 Supervision

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573

574

575 **Tables and Figures**

576

577 **Table 1** - Baseline characteristics of the 494 ESOGIA-trial participants.

578 **Table 2** - Factors associated with 3-month mortality: univariate analysis

579 **Table 3** – Multivariate Cox analysis for the prediction of 3-months mortality (models with  
580 anemia)

581 **Table 4** - Multivariate analysis of clinical factors associated with grade-3, -4 or -5 (versus 0, -  
582 1 or -2) chemotherapy-induced toxicities in 437 patients given such therapy

583

584 **Fig. 1.** Forest plot of the HR [95% CI] for geriatric predictors of 3-months mortality

585 *Note* : \* The hazard ratio of TGUG is derived from the OS-2 multivariate model because of  
586 the correlation of TGUG with IADL

587 *Abbreviations*: kg, kilograms; CI, confidence interval; IADL, Instrumental Activities of Daily  
588 Living;

589 *Caption* : HR were calculated from parsimonious Cox proportional hazards models  
590 accounting correlated variables adjusted for treatment, center and number of chemotherapy  
591 cycles, and included randomization arm as a strata.

592

593 **Table 1** - Baseline characteristics of the 494 ESOGIA-trial participants.

Characteristic	Value
Age (years) (n = 493)	77 [74–80]
Male sex (n = 493)	366 (74.2)
Smoker status (n = 368)	
Never-smokers	75 (20.4)
Former smokers	60 (16.3)
Current smokers	233 (63.3)
Treatment (n = 493)	
Docetaxel monotherapy	239 (48.5)
Best supportive care	56 (11.4)
Carboplatin doublet	198 (40.2)
Carbo-gemcitabine	50 (10.1)
Carbo-pemetrexed	148 (30.0)
ECOG PS (n = 493)	
0–1	400 (81.1)
2	93 (18.9)
Activities of Daily Living score (n = 493)	
6	422 (85.6)
<6	71 (14.4)
Instrumental Activities of Daily Living score (n = 493)	
4	352 (71.4)
3	90 (18.3)
≤2	51 (10.3)
Mini-Mental State Examination score (≤23) (n = 493)	76 (15.4)
Geriatric Depression Scale 5 score (n = 492)	
0–1	416 (84.4)
2–3	61 (12.4)
4–5	15 (3.0)
Continence (n = 493)	469 (95.1)
Fall during last year (n =,493)	74 (15.0)
TGUG (n = 490)	
Normal	358 (73.1)
Abnormal	132 (26.9)
Recent weight loss (> 3kg) (n = 484)	270 (55.8)
Body mass index kg/m <sup>2</sup> (n = 493)	
21–24.99	195 (39.6)
<21	100 (20.3)
≥25	198 (40.2)
Charlson Comorbidity Index score (n = 493)	
0–1	375 (76.1)
≥2	118 (23.9)
Albuminemia (≤30 g/L) (n = 348)	93 (26.7)

594

595 Values are expressed as number (%) or median [IQR].

596 Abbreviation: ECOG PS, Eastern Cooperative Oncology Group performance status.





**Table 2** - Factors associated with 3-month mortality: univariate analysis

Factor	HR <sup>a</sup>	95% CI	p
Age, per 1-year increase	0.99	0.95–1.04	0.793
Age, years			
70–74	1.00 (ref)	–	0.325
75–79	0.74	0.46–1.18	
≥80	0.71	0.44–1.15	
Male vs female sex	2.39	1.47–1.57	<0.001
Smoker status			
Never-smokers	1.00 (ref)	–	0.235
Former smokers	1.26	0.58–2.73	
Current smokers	1.63	0.90–2.95	
Treatment			
Carboplatin-based doublet	1.00 (ref)	–	<0.001
Docetaxel monotherapy	2.70	1.70–4.27	
Best supportive care	6.81	3.84–12.08	
No. of chemotherapy cycles			
4	1.00 (ref)	–	<0.001
3	58.31	12.18–279.09	
2	151.15	35.65–640.91	
1	593.08	137.77–2553.01	
0	229.86	44.02–1200.42	
Growth factors: yes vs no (n = 315)	0.8	0.46–1.39	0.436
ECOG PS			
0	1.00 (ref)	–	<0.001
1	3.15	1.72–5.77	
2	6.85	3.50–13.42	
Activities of Daily Living score			
6	1.00 (ref)	–	0.375
<6	1.24	0.77–1.99	
Instrumental Activities of Daily Living score			
4	1.00 (ref)	–	<0.001
3	1.86	1.18–2.94	
≤2	4.28	2.60–7.04	
Continence, no vs yes	1.09	0.56–2.09	0.805
TGUG: abnormal vs normal	1.61	1.08–2.39	0.019
Fall during last year, yes vs no	1.12	0.70–1.80	0.642
Mini-Mental State Examination score: ≤23 vs >23	2.34	1.50–3.64	<0.001
Geriatric Depression Scale 5 score			
0–1	1.00 (ref)	–	0.033
2–3	1.71	1.08–2.72	
4–5	1.98	0.91–4.26	
Body mass index, kg/m <sup>2</sup>			
21–24.99	1.00 (ref)	–	0.235
<21	1.24	0.79–1.94	
≥5	0.84	0.55–1.26	
Recent weight loss (≥3 vs <3 kg)	2.66	1.75–4.04	<0.001
Charlson Comorbidity Index: ≥2 vs 0–1	1.86	1.27–2.74	0.002
Renal function: ≥60 mL/min (n = 459)	1.00 (ref)	–	0.502

30–60	1.18	0.73–1.89	
<30	4.28	0.97–18.85	
Albuminemia: ≤30 vs >30 g/L (n = 348)	2.94	1.88–4.62	<0.001
C-reactive protein per 1 SD increase <sup>b</sup> (n = 309)	1.72	1.48–2.00	<0.001
Hemoglobin (g/dL) (n = 476)	0.98	0.91–1.06	0.614
Anemia <sup>c</sup> : yes vs no (n = 476)	2.39	1.60–3.57	<0.001
Lactate dehydrogenase, per 1 SD increase <sup>d</sup> (n = 323)	1.3	0.96–4.08	0.001

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Abbreviations: HR, hazard ratio; CI, confidence interval; ECOG PS, Eastern Cooperative Oncology Group performance status; TGUG, Test Get up and Go.

<sup>a</sup>All Cox models were adjusted for treatment, center, and included randomization arm as a strata.

<sup>b</sup>C-reactive protein: SD=48.9.

<sup>c</sup>Anemia: <12 g/dL for women and <13 g/dL for men.

<sup>d</sup>Lactate dehydrogenase: SD = 364.

619 **Table 3** – Multivariate Cox analysis for the prediction of 3-months mortality (models with  
 620 anemia)

Variables	Model OS-1 (with IADL)			Model OS-2 (with TGUG)			Model OS-3 (with PS)		
	aHR	95% CI	p	aHR	95% CI	p	aHR	95% CI	p
Female sex (ref)	2.03	1.13–3.67	0.018	2.31	1.25–4.28	0.008	2.25	1.24–4.09	0.008
ECOG PS									
0 (ref)	–	–	–	–	–	–	1.00	–	–
1	–	–	–	–	–	–	1.90	1.00–3.63	0.051
≥2	–	–	–	–	–	–	3.07	1.51–6.26	0.002
Normal GUGT (ref)	–	–	–	1.61	1.05–2.47	0.028	–	–	–
IADL = 4 & RWL <3 kg (ref)	1.00	–	–	–	–	–	–	–	–
IADL= 4 & RWL ≥3 kg	1.74	0.93–3.27	0.085	–	–	–	–	–	–
IADL = 3 & RWL <3 kg	1.37	0.38–4.93	0.627	–	–	–	–	–	–
IADL = 3 & RWL ≥3 kg	2.72	1.30–5.66	0.008	–	–	–	–	–	–
IADL ≤2 & RWL <3 kg	2.19	0.76–6.25	0.144	–	–	–	–	–	–
IADL ≤2 & RWL ≥3 kg	5.71	2.65–12.30	< 0.001	–	–	–	–	–	–
RWL ≥3 kg vs <3 kg	–	–	–	2.06	1.26–3.37	0.004	1.89	1.17–3.07	0.009
CCI ≥2 vs 0–1	1.37	0.89–2.12	0.154	1.36	0.88–2.11	0.164	1.28	0.83–1.98	0.260
Anemia (yes vs no), n = 496	1.89	1.18–3.04	0.008	2.01	1.26–3.19	0.003	1.98	1.25–3.15	0.004
No. of chemotherapy cycles (continuous–tdv)	0.28	0.23–0.35	<0.001	0.26	0.21–0.32	<0.001	0.28	0.23–0.35	<0.001
<b>Harrell’C statistic</b>	0.874			0.862			0.875		
<b>Bootstrapped<sup>1</sup> Harrell’C statistic</b>	0.874 [0.840 - 0.895]			0.845 [0.803 - 0.872]			0.862 [0.826 - 0.884]		
<b>Brier Score</b>	0.0114 [0.0076 - 0.0151]			0.0140 [0.0096-0.00184]			0.0139 [0.0095 - 0.0182]		

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 623 Abbreviations: aHR, Adjusted Hazard Ratio; CI, confidence interval; ECOG PS, Eastern Cooperative Oncology  
 624 Group performance status; GUGT, Get up and Go Test; HR: hazard ratio; IADL, Instrumental Activities of  
 625 Daily Living; RWL: recent weight loss; CCI : Charlson Comorbidity Index; tdv, time-dependent variable.

626 <sup>a</sup>All Cox models were adjusted for treatment and center, and included randomization arm as a strata.

627 <sup>b</sup>Anemia: <12 g/dL for women and <13 g/dL for men

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 629 <sup>1</sup> bias-corrected bootstrap estimates

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631 **Table 4 -** Multivariate analysis of clinical factors associated with grade-3, -4 or -5 (versus 0, -  
 632 1 or -2) chemotherapy-induced toxicities in 437 patients given such therapy  
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Variables	Model T1			Model T2		
	OR <sup>a</sup>	95% CI	p	OR <sup>a</sup>	95% CI	p
IADL score $\leq 3$ vs 4	1.79	0.99–3.24	0.053	–	–	–
Charlson Comorbidity Index score, $\geq 2$ vs 0–1	1.94	1.06–3.56	0.033	1.88	1.03–3.44	0.04
Falls during last year, yes vs no	–	–	–	2.09	0.93–4.70	0.076
No. of chemotherapy cycles, 4 vs <4	0.55	0.35–0.88	0.012	0.54	0.34–0.85	0.008
AUROC	<b>0.631 [0.56–0.67]</b>			<b>0.642 [0.58–0.68]</b>		
Brier Score	0.1905			0.1902		
Hosmer–Lemeshow goodness-of-fit	p = 0.90			p = 0.45		

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 636 Abbreviations: AUROC, area under the receiver operating characteristics curve; CI, confidence interval; IADL, Instrumental  
 637 Activities of Daily Living; OR, odds ratio.  
 638 <sup>a</sup>All logistic-regression models were adjusted for treatment and center, and stratified by randomization arm.

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