Development and validation of a comorbidity index for predicting survival outcomes after allogeneic stem cell transplantation in adult patients with acute leukemia: a Korean nationwide cohort study

Sung-Soo Park¹, Hee-Je Kim¹,², Tong Yoon Kim¹, Joon yeop Lee¹, Jong Hyuk Lee¹, Gi June Min¹, Silvia Park¹, Jae-Ho Yoon¹,², Sung-Eun Lee¹,², Byung-Sik Cho¹,², Ki-Seong Eom¹,², Yoo-Jin Kim¹,², Seok Lee¹,², Dong-Wook Kim¹,²
¹Department of Hematology, Catholic Hematology Hospital, Seoul St. Mary’s Hospital, College of Medicine, The Catholic University of Korea, Seoul, Korea
²Leukemia Research Institute, College of Medicine, The Catholic University of Korea, Seoul, Korea

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Background
Allogeneic hematopoietic stem cell transplantation (alloSCT) is a potentially curative treatment option for acute leukemia. We aimed to identify the comorbidity factors affecting survival outcomes after alloSCT and develop a new comorbidity index tool for predicting overall survival (OS).

Methods
A Korean nationwide cohort of 3,809 adults with acute leukemia treated with alloSCT between January 2002 and December 2018 was analyzed as the development cohort. A retrospective cohort comprising 313 consecutive adults with acute leukemia who underwent alloSCT between January 2019 and April 2020 was analyzed as the validation cohort.

Results
In the development cohort, advanced age, male sex, and comorbidities such as previous non-hematologic malignancy, hypertension, and coronary or cerebral vascular disease were significantly related to poor OS. Subsequently, a new comorbidity scoring system was developed, and risk groups were created, which included the low-risk (score ≤0.17), intermediate-risk (0.17 < score ≤0.4), high-risk (0.4 < score ≤0.55), and very high-risk (score >0.55) groups. The 1-year OS rates were discriminatively estimated at 73.5%, 66.2%, 61.9%, and 50.9% in the low-risk, intermediate-risk, high-risk, and very high-risk groups in the development cohort, respectively (P<0.001). The developed scoring system yielded discriminatively different 1-year OS rates and 1-year incidence of non-relapse mortality according to the risk group (P<0.001). The developed model showed an acceptable performance for predicting 1-year non-relapse mortality with an area under the curve of 0.715.

Conclusion
The newly developed predictive scoring system could be a simple and reliable tool helping clinicians to assess risk of alloSCT in adults with acute leukemia.

Key Words Comorbidity, Allogeneic, Transplantation, Stem cell, Acute leukemia, Score

INTRODUCTION

Although novel therapies have recently been introduced [1, 2], allogeneic hematopoietic stem cell transplantation (alloSCT) is still regarded as the only curative modality for acute leukemia [3-6]. However, a low overall survival (OS) related to relapse or treatment-related mortality is an important obstacle that compromises the efficacy of alloSCT [7]. Thus, a precise risk-adapted approach remains an unmet...
Data source of the validation cohort
Data from consecutive adult patients with acute leukemia who underwent alloSCT between January 2019 and April 2020 at the Catholic Hematologic Hospital were used to construct the validation cohort. Data were collected until April 2021 to have at least a 1-year follow-up period. This study was approved by the Institutional Review Board of Seoul St. Mary’s Hospital, Seoul, Korea (KC19ZNSI0396) and was conducted in accordance with the Declaration of Helsinki.

Definition of the development cohort
For individuals treated with multiple alloSCTs, the baseline date for calculating OS was defined as the date of the first alloSCT. We used the ICD-10 codes to define whether the patient presented with comorbidities, including previous non-hematologic malignancy (ICD-10 code: Cxx, except for C83, C86, C90, C91, C92, C93, C94, and/or C95 indicating hematologic malignancies), hypertension (ICD-10 code: I10, I11, I12, I13, I14, and/or I15), diabetes (ICD-10 code: E10, E11, E12, E13, and/or E14), dyslipidemia (ICD-10 code: E78), chronic obstructive pulmonary disease (COPD; ICD-10 code: J44), anxiety disorder (ICD-10: F30), and depression (ICD-10: F32 and/or F33). CVA was indicated when the patient was administered anticoagulants (drug codes: 117101ATB, 136901ATB, 157702ACR, 162403ATR, 165001ACH, 194930ATB, 492501ATB, 495201ATB, 498800ATB, 498900ATB, 501501ATB, 517900ACE, 517900ATE, 597301ATB, 597302ATB, 615901ATB, 615902ATB, 659501BIJ, and/or 667500ACE) and/or antiplatelet agents (drug codes: 117101ATB, 136901ATB, 157702ACR, 162403ATR, 165001ACH, 194930ATB, 492501ATB, 495201ATB, 498800ATB, 498900ATB, 501501ATB, 517900ACE, 517900ATE, 597301ATB, 597302ATB, 615901ATB, 615902ATB, 659501BIJ, and/or 667500ACE) and/or anti-
Statistical analysis

Numerical variables not exhibiting a normal distribution are presented as medians (range, minimum–maximum). Categorical variables are presented as numbers (%). OS was defined as the time from the date of alloSCT to death (from any cause) or the date of the last follow-up. OS rates at 1 year were calculated using the Kaplan-Meier method and compared using the log-rank test. We calculated the NRM probability and relapse rates using cumulative incidence estimation based on the competing risks of relapse and NRM. The area under the curve (AUC) of the ROC curve was calculated to predict the accuracy of the validation cohort analysis. An AUC value > 0.7 was considered reliable [16]. DeLong’s test was used to compare the statistical differences between the AUCs. All statistical analyses were conducted using R statistical software (ver. 3.6.1, R Foundation for Statistical Computing, Vienna, Austria, 2019). Statistical significance was set at $P < 0.05$.

RESULTS

Patient characteristics

Development cohort: In total, 8,230 patients who underwent alloSCT between January 2002 and December 2018 were included. Patients aged < 18 years (N=1,060) and those having other hematologic diseases (N=3,361) were excluded from the analysis. Accordingly, 3,809 patients with acute leukemia were included in the development cohort (Fig. 1A). The baseline demographics are summarized in Table 1. Overall, the median age of the patients was 47 years (range, 18–74 yr), and 54.0% of the patients were males (N=2,055). Regarding the underlying comorbidities at baseline, previous non-hematologic malignancy, hypertension, diabetes, dyslipidemia, COPD, CVA, anxiety disorder, and depression were present in 387 (10.2%), 1,224 (32.1%), 1,125 (29.5%), 2,135 (56.1%), 191 (5.0%), 166 (4.4%), 900 (23.6%), and 613 (16.1%) patients, respectively. With a median follow-up of 50.2 months (95% confidence interval (CI), 47.7–
Table 1. Demographics of the cohorts.

| Variables                                      | Development cohort (N=3,809) | Validation cohort (N=313) |
|-----------------------------------------------|-----------------------------|---------------------------|
| Age at alloSCT, median, years (range)         | 47 (18–74)                  | 48 (18–74)                |
| < 30 years, no (%)                            | 608 (16.0)                  | 57 (18.2)                 |
| 30–39 years, no (%)                           | 614 (16.1)                  | 60 (19.2)                 |
| 40–49 years, no (%)                           | 1,023 (26.9)                | 61 (19.5)                 |
| 50–59 years, no (%)                           | 1,072 (28.1)                | 78 (24.9)                 |
| 60–69 years, no (%)                           | 475 (12.5)                  | 51 (16.3)                 |
| ≥70 years, no (%)                             | 17 (0.4)                    | 6 (19.2)                  |
| Male, N (%)                                   | 2,055 (54.0)                | 152 (48.6)                |
| Stem cell source                              |                             |                           |
| Bone marrow stem cell, N (%)                  | 469 (12.3)                  | 3 (1.0)                   |
| Mobilized peripheral blood stem cell, N (%)   | 3,246 (85.2)                | 310 (99.0)                |
| Cord blood, N (%)                             | 94 (2.5)                    | 12 (3.8)                  |
| HCT-CI, median, points (range)                | NA                          | 2 (0–8)                   |
| ≥0 (low-risk)                                 | NA                          | 89 (28.4)                 |
| 1–2 (intermediate-risk)                      | NA                          | 126 (40.3)                |
| ≥3 (high-risk)                                | NA                          | 98 (31.3)                 |
| Previous non-hematologic malignancy (%)       |                             |                           |
| Yes                                           | 387 (10.2)                  | 20 (6.3)                  |
| No                                            | 3,422 (89.8)                | 293 (93.6)                |
| Hypertension (%)                              |                             |                           |
| Yes                                           | 1,224 (32.1)                | 74 (23.6)                 |
| No                                            | 2,585 (67.9)                | 239 (76.4)                |
| Diabetes (%)                                  |                             |                           |
| Yes                                           | 1,125 (29.5)                | 43 (13.7)                 |
| No                                            | 2,684 (70.5)                | 270 (86.3)                |
| Dyslipidemia (%)                              |                             |                           |
| Yes                                           | 2,135 (56.1)                | 43 (13.7)                 |
| No                                            | 1,674 (43.9)                | 270 (86.3)                |
| Chronic obstructive pulmonary disease (%)     |                             |                           |
| Yes                                           | 191 (5.0)                   | 7 (2.2)                   |
| No                                            | 3,618 (95.0)                | 306 (97.8)                |
| Cerebrovascular or cardiovascular disease (%)  |                             |                           |
| Yes                                           | 166 (4.4)                   | 25 (8.0)                  |
| No                                            | 3,643 (95.6)                | 288 (92.0)                |
| Anxiety disorder (%)                          |                             |                           |
| Yes                                           | 900 (23.6)                  | 46 (14.7)                 |
| No                                            | 2,909 (76.4)                | 267 (85.3)                |
| Depression (%)                                |                             |                           |
| Yes                                           | 613 (16.1)                  | 35 (11.2)                 |
| No                                            | 3,196 (83.9)                | 278 (88.8)                |

Abbreviations: alloSCT, allogeneic stem cell transplantation; HCT-CI, hematopoietic cell transplantation-specific comorbidity index; NA, not available.

The 1-year, 3-year, and 5-year OS rates were estimated as 68.2% (95% CI, 66.7–69.7), 51.5% (95% CI, 49.8–53.2), and 46.8% (95% CI, 45.0–48.6) in the total cohort, respectively (Fig. 2).

**Validation cohort:** Data on 576 consecutive patients treated with alloSCT were collected. Following the exclusion of patients aged <18 years (N=128) and those having other hematologic diseases (N=135), a validation cohort of 313 patients was eligible for analysis (Fig. 1B). The baseline characteristics of the validation cohort are shown in Table 1.

**Analysis of factors associated with OS in the development cohort**

The univariable analysis identified the following potential factors related to poor OS: age (≥65 years or 50–64 years compared with <50 years); male sex; comorbidities such as previous non-hematologic malignancy, hypertension, diabetes, dyslipidemia, CVA, and anxiety disorder/depression.

In the multivariable analysis, we confirmed that 5 variables, including advanced age (50–64 years or ≥65 years), male sex, non-hematologic malignancy, hypertension, and CVA, were significantly associated with poor OS, as shown in Table 2.
Fig. 2. Kaplan-Meier analysis to calculate the overall survival rate in the development cohort.

Table 2. Univariable and multivariable analysis for comorbidities associated with overall survival in the development cohort.

| Variables                                | N   | Univariable analysis | P      | Multivariable analysis | P      |
|------------------------------------------|-----|----------------------|--------|------------------------|--------|
|                                          |     | 1-year OS rate (95% CI) |        | Hazard ratio (95% CI)   |        |
| Age                                      |     |                      |        |                        |        |
| < 50 years                               | 2,245 | 71.8 (69.9–73.8) | < 0.001 | 1                      |        |
| 50–64 years                              | 1,438 | 64.1 (61.5–66.7) |        | 1.228 (1.107–1.362)    | < 0.001|
| ≥ 65 years                               | 126  | 48.1 (39.6–58.4) |        | 1.733 (1.340–2.232)    | < 0.001|
| Sex                                      |     |                      | < 0.001 |                        |        |
| Female                                   | 1,754 | 69.1 (66.9–71.3) |        | 1                      |        |
| Male                                     | 2,055 | 67.4 (65.3–69.6) |        | 1.142 (1.038–1.255)    | < 0.001|
| Previous non-hematologic malignancy     |     |                      | 0.002  |                        |        |
| No                                       | 3,422 | 69.1 (67.5–70.7) |        | 1                      |        |
| Yes                                      | 387  | 60.3 (55.4–65.6) |        | 1.182 (1.015–1.376)    | 0.031  |
| Hypertension                             |     |                      | < 0.001 |                        |        |
| No                                       | 2,585 | 70.8 (69.0–72.6) |        | 1                      |        |
| Yes                                      | 1,224 | 62.6 (59.8–65.5) |        | 1.141 (1.026–1.268)    | 0.015  |
| Diabetes                                 |     |                      | 0.005  |                        |        |
| No                                       | 2,684 | 69.2 (67.4–71.0) |        | 1                      |        |
| Yes                                      | 1,125 | 65.7 (62.9–68.7) |        | 1.002 (0.899–1.117)    | 0.965  |
| Dyslipidemia                             |     |                      | 0.007  |                        |        |
| No                                       | 1,674 | 70.1 (67.9–72.4) |        | 1                      |        |
| Yes                                      | 2,135 | 66.6 (64.5–68.7) |        | 1.036 (0.937–1.144)    | 0.486  |
| Chronic obstructive pulmonary disease    |     |                      | 0.21   |                        |        |
| No                                       | 3,618 | 68.4 (66.8–70.0) |        | NA                     |        |
| Yes                                      | 191  | 64.3 (57.4–71.9) |        | NA                     |        |
| Cerebrovascular cardiovascular disease    |     |                      | < 0.001 |                        |        |
| No                                       | 3,643 | 68.8 (67.2–70.4) |        | 1                      |        |
| Yes                                      | 166  | 54.1 (46.6–62.9) |        | 1.498 (1.212–1.848)    | < 0.001|
| Anxiety disorder and/or depression       |     |                      | 0.006  |                        |        |
| No                                       | 3,501 | 68.8 (67.2–70.4) |        | 1                      |        |
| Yes                                      | 308  | 60.8 (53.4–66.8) |        | 1.176 (0.996–1.386)    | 0.055  |

Abbreviations: CI, confidence interval; NA, not available; OS, overall survival.
Loge value of respectively (Supplementary Fig. 1). When the developed score group (P=0.085), which were 79.4% (95% CI, 72.2–69.2) in the validation cohort, the 1-year OS rate and 1-year NRM rates were measured differently according to the risk groups (P=0.035), which was 77.6% (95% CI, 72.1–82.1) in the very high-risk group (Fig. 4B). However, there were significant differences in both the 1-year OS rate between a combined group of the low-risk and intermediate groups and another combined group of the high-risk and very high-risk groups at 77.4% (95% CI, 71.8–82.1) and 60.7% (95% CI, 46.7–72.1), respectively (P=0.018) (Fig. 4A).

The 1-year cumulative incidence of NRM was significantly different according to the risk groups (P=0.035), which was 7.5% (95% CI, 4.1–12.3) in the low-risk group, 11.3% (95% CI, 6.0–18.6) in the intermediate-risk group, 20.0% (95% CI, 5.9–40.0) in the high-risk group, and 25.0% (95% CI, 12.2–40.0) in the very high-risk group (Fig. 4B). However, we observed no significant difference in the 1-year cumulative incidence of relapse according to the risk group (P=0.349, Fig. 4C). In the ROC curve analysis, the developed scoring system achieved an AUC of 0.715 (95% CI, 0.658–0.772), indicating reliable discrimination of NRM events at 1 year in the validation cohort (Fig. 4D).

**DISCUSSION**

This study developed a new scoring system to predict patient prognosis after alloSCT in 3,809 patients with acute leukemia using a development cohort derived from a nationwide database. With a 5-year OS probability of 46.8% in the development cohort, we created a comorbidity index scoring system comprising age, sex, previous non-hematologic malignancy, hypertension, and CVA. The risk score was significantly stratified into 4 risk groups: low-risk, intermediate-risk, high-risk, and very high-risk groups associated with 1-year/5-year OS rate probabilities of 73.5%/52.9%, 66.2%/44%, 61.9%/37.3%, and 50.9%/29.6%, respectively. The validation cohort analysis indicated that the developed comorbidity index scoring system was statistically feasible for predicting OS and NRM. AlloSCT is generally planned as a consolidative procedure following intensive chemotherapy in patients who achieve complete remission after intensive chemotherapy. In the validation cohort analysis, we observed interesting findings that there were significant increasing trends in the proportion of patients presenting with comorbidities at pre-alloSCT compared with the diagnosis of their disease (Supplementary Fig. 2). Therefore, our results suggest that updated comorbidity profiles at the time of alloSCT, as well as the diagnosis of acute leukemia, should be monitored rigorously because complications following intensive chemotherapy could indicate a new comorbidity, although it was absent at the time of diagnosis.

In the validation cohort of the current study, we evaluated the feasibility of the developed scoring system, which provided discriminative predictability for OS and NRM. In addition to our system, HCT-CI, which comprises 17 different categories of organ dysfunction [8], has not only been used as the most reliable tool for the comorbidity-based risk assessment of survival and NRM after alloSCT but has also been successfully validated in transplant institutions worldwide [17–19]. However, the cohort size of the original study (N=1,055) for the establishment of HCT-CI, as well as studies of validation (the largest among all studies to the best of our knowledge, N=324), was relatively small compared with our study. Moreover, multi-institutional validation of the predictive power of HCT-CI has not yet been documented. Interestingly, a multicenter prospective study by a Japanese group found that HCT-CI failed to predict NRM [20]. Therefore, there is an unmet need for better tools to optimize comorbidities based on risk stratification for alloSCT. Although our developed comorbidity index model should be further validated in a future study, the supplemental analysis showed that our new index demonstrated better 1-year NRM prediction than the HCT-CI system in the validation cohort, with an AUC of 0.688 vs. 0.509, P<0.001 (Supplementary Fig. 3). This result also illustrated an AUC of 0.509 for HCT-CI in predicting 1-year NRM, which is not discriminated, as in the abovementioned results from the multicenter Japanese prospective study.

Compared with prior studies depicting risk stratification
according to comorbidities, our results had several strengths. First, to the best of our knowledge, the risk factors for survival were analyzed using a nationwide cohort comprising the largest number of patients from a Korean multicenter cohort. Second, unlike the aforementioned scoring systems that require endoscopy, echocardiography, pulmonary function tests, and various laboratory tests to generate the results, our scoring system was created using easily accessible data such as age and underlying comorbidities. Third, despite the small number of variables comprising the scoring system, we believe that the discriminatory power, as well as the validity of our system for predicting survival in the validation cohort, which was distinctively independent of the development cohort, appeared to be reliable.

There are several limitations to our study. In the development cohort analysis, we were unable to investigate all varia-

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**Table 1**

| Score rank (points) | No. at risk |
|---------------------|-------------|
| Rank 1 (<0.17)      | 1,793       |
| Rank 2 (0.17 ≤ 0.26)| 637         |
| Rank 3 (0.26 ≤ 0.4)| 701         |
| Rank 4 (0.4 ≤ 0.55)| 411         |
| Rank 5 (0.55 ≤ 0.68)| 109        |
| Rank 6 (0.68 ≤ 0.81)| 73         |
| Rank 7 (0.81 ≤ 0.91)| 49         |
| Rank 8 (0.91 ≤ 1.08)| 29         |
| Rank 9 (1.08 ≤ 1.21)| 6          |
| Rank 10 (1.21)      | 1           |

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**Table 2**

| Group (points) | No. at risk |
|----------------|-------------|
| Low (<0.17)    | 1,793       |
| Intermediate (0.17 ≤ 0.4)| 1,338     |
| High (0.4 ≤ 0.55) | 411       |
| Very-high (0.55) | 297       |

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**Fig. 3** Probability of overall survival (OS) according to (A) decile risk scores and (B) the final risk groups in the development cohort. Using decile risk scores, we classified the patients into 10 groups: rank 1 (score ≤0.17), rank 2 (score, >0.17 and ≤0.26), rank 3 (score, >0.26 and ≤0.4), rank 4 (score, >0.4 and ≤0.55), rank 5 (score, >0.55 and ≤0.68), rank 6 (score, >0.68 and ≤0.81), rank 7 (score, >0.81 and ≤0.91), rank 8 (score, >0.91 and ≤1.08), rank 9 (score, >1.08 and ≤1.21), and rank 10 (>1.21). Based on the 5-year OS rates in each rank group, we then stratified the patients into 4 risk groups. The low-risk group included patients with rank 1; the intermediate-risk group included patients with ranks 2 and 3; the high-risk group included patients with rank 4; and the very high-risk group included patients with ranks 5, 6, 7, 8, 9, and 10. The log-rank test showed significant differences in the OS among the risk groups (P<0.001).
Validation of the developed scoring system in the validation cohort. (A) The 1-year overall survival (OS) rate was divided according to the risk groups ($P=0.085$). The post-hoc analysis illustrated a better 1-year OS rate in the low- or intermediate-risk groups than that in the high- or very high-risk groups ($P=0.018$, * is indicated in the Fig. 1A for the post-hoc analysis). (B) The cumulative incidence of non-relapse mortality (NRM) was significantly divided according to the risk groups ($P=0.035$), (C) whereas the cumulative incidence of relapse was not significantly different between the 4 risk groups ($P=0.349$). (D) A receiver operating characteristic curve analysis achieved an area under the curve (AUC) of 0.715 (95% CI, 0.658–0.772) for predicting NRM events 1-year post-allogeneic hematopoietic stem cell transplantation.
sion-making based on patient-driven risk-adaptive strategies for alloSCT.

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Authors’ Disclosures of Potential Conflicts of Interest

No potential conflicts of interest relevant to this article were reported.

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Supplementary Fig. 1. Survival outcomes in the validation cohort. (A) Overall survival, (B) cumulative incidence of non-relapse mortality, and (C) cumulative incidence of relapse.
Supplementary Fig. 2. Comparisons of proportions of patients harboring comorbidities at between diagnosis and pre-transplantation. There were statistical significances in increasing hypertension [12.5% (N=39) vs. 24.4% (N=73), \( P<0.001 \)], diabetes [6.3% (N=20) vs. 14.2% (N=44), \( P=0.002 \)], dyslipidemia [3.6% (N=11) vs. 14.2% (N=44), \( P<0.001 \)], Cerebro- or cardiovascular disease [0.3% (N=1) vs. 8.3% (N=26), \( P<0.001 \)], and anxiety disorder and/or depression [3.3% (N=10) vs. 17.2% (N=54), \( P<0.001 \)] whereas there were no significant differences of proportions of patients who presented a previous non-hematologic malignancy and chronic obstructive pulmonary disease. Each \( P \) value was computed by chi-square test.
Supplementary Fig. 3. Comparison of area under the curve (AUC) of receiver operating characteristics to predict 1-year non-relapse mortality between the developed system and the prior HCT-CI system. Abbreviation: HCT-CI, hematopoietic cell transplantation-comorbidity index.
**Korean Comorbidity-Index Prognosis Scoring System**

| Question | Answer (select) | Score |
|----------|----------------|-------|
| Q1. Age  |   |       |
|          | <50 years      | 0     |
|          | 50–64 years    | 0.21  |
|          | ≥65 years      | 0.55  |
| Q2. Gender | Male      | 0.13  |
|          | Female        | 0     |
| Q3. Previous non-hematologic malignancy | No | 0 |
|          | Yes           | 0.17  |
| Q4. Hypertension | No | 0 |
|          | Yes           | 0.13  |
| Q5. Cerebro- or coronary vascular disease | No | 0 |
|          | Yes           | 0.4   |

**Prediction of mortality**

| Results                  |
|--------------------------|
| Total score              |
| 0.74                     |
| Risk group               |
| Very high                |
| Estimated 1-year overall survival rate | 50.9% |
| Estimated 5-year overall survival rate | 29.6% |

**Supplementary calculator.** We can provide the supplementary calculator based on Excel sheet as follows (an example).