Decision making for hematopoietic stem cell transplantation in pediatric, adolescent, and young adult patients with a hemoglobinopathy—Shared or not?

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Abstract

Background: Hematopoietic stem cell transplantation (HSCT) offers an established curative option for sickle cell disease (SCD) and thalassemia patients but is associated with significant risks. Decision making is a complex process and shared decision making (SDM) could be a fitting approach in case of such preference-sensitive decisions. This study investigated what level of SDM is used in conversations with hemoglobinopathy patients and/or their caregivers considering HSCT as a curative treatment option.

Methods: Longitudinal, descriptive study using the Observing-Patient-Involvement-in-Decision-Making scale (OPTION) scale to determine the level of SDM in conversations with 26 hemoglobinopathy patients and/or their caregivers.

Results: The total mean OPTION score was 43%, which is a moderate SDM approach. There was no difference between conversations with thalassemia patients and SCD patients. Conversations needing an interpreter scored worse than nontranslated conversations. The best scoring OPTION item was item 3: “informing about the various treatment options” (mean score 2.3 on scale 0–4). For OPTION item 4: “eliciting patients’ preferences” a more skilled effort was measured for SCD patients compared to thalassemia patients.

Conclusions: The mean OPTION score of “moderate” was achieved mainly by giving information on available options, which is primarily a one-way communication. The SDM process can be improved by actively inviting patients to deliberate about options and including their elicited preferences in decision making.

KEYWORDS
hematopoietic stem cell transplantation, hemoglobinopathy, shared decision making, sickle cell disease, thalassemia

1 | INTRODUCTION

Hemoglobinopathies are one of the most common genetic diseases that affect humans worldwide. For the scope of this study...
hemoglobinopathy will be defined as the two most prevalent forms, sickle cell disease (SCD) and beta-thalassemia. Both, SCD and transfusion-dependent beta-thalassemia are chronic invalidating diseases with a large impact on quality of life, life expectancy, and overall health. Despite advanced supportive treatment, including hydroxyurea, SCD patients suffer from painful vaso-occlusive crises, cumulative organ damage, and anemia. These complications vary per patient but can lead to chronic blood or exchange transfusion. The supportive treatment demands adherence to a strict regime.\textsuperscript{1,2} For patients with beta-thalassemia, the main supportive treatment includes frequent blood transfusions with risks of allo-immunization and iron overload necessitating chelation therapy.\textsuperscript{3,4} Hematopoietic stem cell transplantation (HSCT) offers an established curative option for both these groups of hemoglobinopathy patients. However, HSCT carries the risk of graft-versus-host disease, graft failure, and organ damage. In some patients these complications can be lethal. Somewhere in their treatment trajectory, patients may be offered the curative option of HSCT.\textsuperscript{5–7} The timing of coming in contact with the possibility of HSCT varies from early after diagnosis in infancy to somewhere during adulthood. Once familiar with the option, patients and/or their caregivers have a choice: either to choose for HSCT or to continue supportive, noncurative treatment. The recent availability of gene therapy for hemoglobinopathies is emerging as another curative option,\textsuperscript{8} rendering decision making even more complex.

Within medical decision making, two types of decisions have been described.\textsuperscript{9} First, an "effective" decision in which a scientific certainty exists, and clearly more pros than cons are known. Second, a "preference-sensitive" decision, wherein no clear-cut answers are available and the pros and cons are dependent on individual values.\textsuperscript{9} Shared decision making (SDM) is the preferred model to involve patients in thinking along with the health care professionals (HCP) about preference-sensitive decisions.\textsuperscript{10,11} The SDM process initially was described as a three-step model\textsuperscript{10} and is further developed as a four-step model.\textsuperscript{11} First, the HCP makes clear that a decision has to be made; second, information is provided about the available options with their advantages and disadvantages. Third, the preferences of the patient are explored and finally an appointment is made when and how the decision will be taken. A meta-analysis showed that SDM in pediatrics improved knowledge, reduced decisional conflict, and could lead to increased satisfaction.\textsuperscript{12} The question is whether and to what extent an SDM approach is used in current practice when considering an HSCT in circumstances in which there is no clear-cut answer as to what the best treatment is, such as for hemoglobinopathy patients. This study investigates the level of SDM used in conversations with hemoglobinopathy patients and/or their caregivers considering HSCT as a curative treatment option. This insight can support the use of SDM principles in clinical practice.

2 | METHODS

2.1 | Design

This longitudinal descriptive study is part of a larger prospective, qualitative study with 27 families, focusing on the HSCT decision-making process for hemoglobinopathy patients. The research ethics committee of the Leiden University Medical Centre approved the study protocol (P17084).

2.2 | Sample

Patients with SCD or transfusion-dependent thalassemia and/or their caregivers who had a conversation with their hematologist and/or HSCT specialist about a possible HSCT were selected. Patients between 0 and 35 years and/or their caregivers were eligible for inclusion. Patients or parents who did not consent were excluded. Patients were recruited from Dutch specialized medical centers for hemoglobinopathies. The local staff identified eligible patients and obtained written informed consent from the patients and/or their legal representatives.

2.3 | Data collection

Data collection consisted per patient of one or two audio-recorded conversations with their referring physician and/or with the HSCT specialist combined with sociodemographic characteristics. Conversations took place on the initiative of a physician or the patient/family to discuss the option of HSCT. Caregivers were always involved in situations with patients below 16 years old. For patients above the age of 16 years, parent’s involvement depended on the patients’ preferences. In the event of a language barrier, the conversation was, live or by phone, translated by a professional interpreter.

2.4 | Level of SDM

The level of SDM in conversations was measured by using the Observing-Patient-Involvement-in-Decision-Making scale (OPTION5 scale).\textsuperscript{13,14} This well-established and reliable instrument assesses mainly the clinicians’ behavior in clinical conversations from an observer perspective. The OPTION5 was chosen because it differentiates better between various levels of patient involvement compared to the more extensive 12-item OPTION scale.\textsuperscript{15} Each recorded conversation was graded on the following five aspects: addressing the existence of alternate treatment options (item 1), supporting the patients in deliberation (item 2), informing about the various treatment options (item 3), eliciting the patient’s preferences (item 4), and integrating the patient’s preferences as decisions are made (item 5). Every item was scored on a 5-point Likert scale from 0 to 4 in which 0 indicates no effort was made whereas 4 indicates exemplary effort (Table 1).\textsuperscript{16}

2.5 | Data analysis

All conversations were transcribed verbatim and scored according to the OPTION5 manual\textsuperscript{16} independently by two study team members (Hilda Mekelenkamp, Nomie Camp) after following an online
course developed by the authors of the OPTION scale. Furthermore, three conversations were scored together with an external team, experienced in using the OPTION scale. In order to support consistent scoring, the raters discussed on a regular basis how to apply the OPTION scale for the conversations in this study, and an intrarater reliability was calculated with a kappa value after sets of five to 10 conversations to guide this discussion. The raters discussed all outcomes and consensus was reached for every individual item and conversation. The OPTION scores were added up to a total score between 0 and 20 for every individual conversation. In case two conversations were recorded for an individual patient, the decision process was scored on patient-level by determining the overall total score by the sum of the highest achieved items scores across both conversations. The total scores were rescaled to 100 and expressed as a percentage for a clear presentation and easier interpretation of the data. For patients with thalassemia, SCD, transplanted patients, and those on supportive care, the total mean OPTION score, SD, range, and median item scores were reported on patient-level (N = 26 patients). For translated, nontranslated conversations, conversations by a referring hematologist, and by an HSCT specialist, the total mean OPTION score, SD, range, and median item scores were reported on conversation-level. Differences between these subgroups were tested using the likelihood ratio test for ordinal regression.

3 | RESULTS

Twenty-six patients were included between June 2017 and June 2019. All patients had at least one conversation with an HSCT specialist; we missed one recording of a patient with the HSCT specialist. For 12 patients one conversation was recorded, for the remaining 14 patients two conversations were recorded, resulting in 40 conversations. The conversations were mostly (n = 34/40) performed by an HSCT specialist; for some patients (n = 6/40), a conversation with their referring hematologist was also recorded. For five patients, the HSCT specialist was also their hematologist. In 10/40 conversations,
TABLE 2  Characteristics

| Characteristics | Total number of included patients (N = 26) | Number of sickle cell disease patients (N = 18) | Number of thalassemia patients (N = 8) |
|-----------------|-------------------------------------------|-----------------------------------------------|---------------------------------------|
| Patient’s sex   |                                           |                                               |                                       |
| Female          | 16                                        | 12                                            | 4                                     |
| Male            | 10                                        | 6                                             | 4                                     |
| Patient’s age (years) |                                       |                                               |                                       |
| <12             | 14                                        | 8                                             | 6                                     |
| 12–16           | 6                                         | 5                                             | 1                                     |
| >16             | 6                                         | 5                                             | 1                                     |
| Transplanted    |                                           |                                               |                                       |
| Yes             | 20                                        | 13                                            | 7                                     |
| No              | 6                                         | 5                                             | 1                                     |
| Conversations (N = 40) |                                       |                                               |                                       |
| With hematologist | 6                                       | 6                                             | 0                                     |
| With HSCT specialist | 34                                      | 21                                            | 13                                    |
| Including interpreter | 10                                      | 2                                             | 8                                     |

a professional interpreter was present. The majority of the patients (18/26) had SCD and 14/26 patients were younger than 12 years old. All patients had a solid indication for HSCT. Twenty patients chose and underwent an HSCT. The remaining six patients refrained from the HSCT option; one due to personal circumstances not compatible with HSCT, one due to unavailability of a family-acceptable donor, and four because of a deliberate choice against HSCT (Table 2 and Figure 1). The patients were referred by nine Dutch hospitals to two national HSCT referral centers for adult and pediatric patients. Both HSCT centers are specialized in the care for hemoglobinopathy patients. Twelve specialists were involved, and the mean duration of conversations was 56 minutes (range 16–105). Nontranslated conversations had a mean duration of 50 minutes (range 16–77), whereas translated conversations had a mean duration of 74 minutes (range 41–105). During the 40 conversations, 21 patients were involved, 33 caregivers, five siblings (including three potential donors), and five other relatives.

3.1  Level of SDM

The total mean score of the SDM process within one or two conversations in 26 patients was 43% (SD 11%, range 20–60), meaning a moderate effort.

The individual OPTION5 items 1, 2, 4, and 5 scored on a scale from 0 to 4, a median score between 1 and 2, corresponding with minimal–moderate effort. The highest score of 2.35 was measured for OPTION5 item 3, informing about the various treatment options, meaning a moderate-skilled effort. The distributions of the different OPTION5 items are shown in Figure 2A. "Exemplary effort" was not measured in any OPTION5 item, "no-effort" was measured once in OPTION5 items 1 and 2, and four times in OPTION5 item 4.

Transliterated conversations (N = 10) had a total mean SDM score of 36% (SD 11%; range 20–50) compared to 39% (SD 12%; range 10–60) for the nontranslated conversations (N = 30), measured on conversation level. When comparing individual OPTION5 items in translated conversations with nontranslated conversations, no statistically significant differences were found. Comparable results were measured for item 1, addressing the existence of alternate treatment options, and item 5 integrating the patient’s preferences (Figure 2B, C). OPTION5 item 2, supporting the patients in deliberation, scored more often a moderate or skilled effort in translated conversations (median 2) compared to nontranslated conversations (median 1). OPTION5 item 3, informing about the various treatment options, scored in translated conversations primarily 2, moderate effort (9/10), whereas in the nontranslated conversations this item scored mainly 2, moderate (14/30) and 3, skilled effort (11/30). In translated conversations compared to nontranslated conversations OPTION5 item 4, eliciting the patient’s preferences, scored both with a median of 1 (minimal effort) and in four of 10 in translated conversations and in seven of 30 of the nontranslated conversations no effort was measured.

Conversations with referring hematologists (N = 6, mean SDM 39%, SD 7) compared to conversations performed by HSCT specialists (N = 34, mean SDM 38%, SD 12) scored significant differences for OPTION5 items 3 and 4. Item 3 scored higher with a median 2 in HSCT specialists compared to a median of 1.5 in referring hematologists (p-value .007). Item 4 scored the opposite, where referring hematologists scored higher with a median score of 2.5 compared to a median score of 1 for HSCT specialists (p-value .010). OPTION5 items 1 and 2 scored comparably low and item 5 scored higher in referring hematologists, but not significantly different (Figure 2D, E).

Conversations with thalassemia patients (N = 8) and SCD patients (N = 18) had comparable mean SDM scores of 44% (SD11%; range 30–55) and 43% (SD11%; range 20–60), respectively, measured on patient level. Conversations with thalassemia patients and SCD patients
scored comparably for OPTION5 items 1 and 3 (Figure 2F,G). OPTION5 items 4, eliciting the patient’s preferences and item 5, integrating the patient’s preferences, showed higher median scores in SCD patients of 2, compared to 1 in thalassemia patients. A significant difference between SCD patients and thalassemia patients was measured for OPTION5 item 2, supporting the patients in deliberation, with a median score of 1 for SCD patients and 2 for thalassemia patients (p-value .011).

In conversations with patients who eventually were transplanted (N = 20), the total mean SDM score was 43% (SD 11) compared to 46% (SD 9) in patients remaining on supportive care (N = 6). Conversations with patients who remained on supportive care had higher median scores for the different OPTION5 items (Figure 2H,I), but not significantly different.

4 | DISCUSSION

In this study, we show that our current SDM process in conversations with patients and families about HSCT as a curative option for hemoglobinopathies achieved a moderate score of 43%.

OPTION5 item 3, informing about the various treatment options, was the best scoring part of SDM in the conversations. This item scored with a mean of 2.35 (moderate to skilled effort) and could not be scored with exemplary effort. Furthermore, we observed that detailed information was provided about the HSCT, but less on the option of continuing with supportive care, with its pros and cons. This relatively high score for OPTION5 item 3 could be explained by the way the care path for hemoglobinopathy patients evolves. On the initiative of a physician or patient, a focused conversation about a possible HSCT takes place. SDM in the current care path of hemoglobinopathy patients seems to focus mainly on providing information on the possibilities of HSCT, whereas a more comprehensive SDM process can be achieved by including all treatment possibilities.

The other OPTION5 items scored on average less than 2, corresponding to moderate effort or less. We observed that OPTION5 item 1 (addressing the existence of alternate treatment options) was included at the beginning of the conversation in only a third of the conversations. The beginning of the conversation is the best moment to actively involve patients in the SDM process. OPTION5 item 1 does not differentiate for this timing, suggesting that this item easily could be scored too high and in reality SDM on this aspect could be even lower. The
FIGURE 2  Distribution of shared decision making (OPTION$^5$) items. (A) Distribution of the OPTION$^5$ items in conversations in 26 patients on patient level*. (B) Distribution of the OPTION$^5$ items in nontranslated conversations ($N = 30$) on conversation level. (C) Distribution of the OPTION$^5$ items in translated conversations ($N = 10$) on conversation level. (D) Distribution of the OPTION$^5$ items in conversations by a referring hematologist ($N = 6$) on conversation level. (E) Distribution of the OPTION$^5$ items in conversations with HSCT specialists ($N = 34$) on conversation level. (F) Distribution of the OPTION$^5$ items in conversations in sickle cell disease patients ($N = 18$) on patient level*. (G) Distribution of the OPTION$^5$ items in conversations in Thalassemia patients ($N = 8$) on patient level*. (H) Distribution of the OPTION$^5$ items in conversations in transplanted patients ($N = 20$) on patient level*. (I) Distribution of the OPTION$^5$ items in conversations in patients on supportive care ($N = 6$) on patient level*

*In case two conversations were recorded for an individual patient, the decision process was scored on patient level by determining the overall total score. Item 1 = addressing the existence of alternate treatment options; item 2 = supporting the patients in deliberation; item 3 = informing about the various treatment options; item 4 = eliciting the patient’s preferences; item 5 = integrating the patient’s preferences as decisions are made.
relatively low scores for OPTION5 items 1, 2, 4, and 5 could be explained by the ways physicians were used to give information on HSCT. Traditionally, HSCTs were reserved for patients in which alternative treatment options had less chance of cure and therefore HSCT complications were more accepted, as in oncology treatment. In that context, parents did not experience treatment decisions as a real choice, but rather as a protocolized step focusing on their child’s cure.19,20 It is imaginable that therefore HSCT decision-making conversations were not that much focused on SDM but rather on informing, as illustrated by existing tools.21,22 In recent years however, the indications for HSCT have become broader and more patients with hemoglobinopathies are transplanted.23 Decision making for hemoglobinopathy patients seems different and highly dependent on patients’ own perspectives.24–27

Compared to the nontranslated conversations, the translated conversations had relatively lower scores for items 3 and 4 (Figure 2), which was most pronounced for item 3. The differences for a score 2 or 3 rely on the effort for checking the understanding. It could be hypothesized that translated conversations demand a different effort, which when absent may easily disturb the process of SDM.

In thalassemia patients we observed less attention to OPTION5 items 4 and 5, eliciting and integrating patients’ preferences. In patients with transfusion-dependent thalassemia, the option of HSCT is more established than in SCD patients. As a consequence, informing the family on the transplant option more readily takes the structure of an effective rather than a preference-sensitive decision.4 Once gene therapy becomes feasible as a second curative treatment option, an SDM approach becomes even more important. This also applies to improved chelation therapy, which may diminish the negative side effect of chronic erythrocyte transfusions.28 OPTION5 item 2, supporting the patient in becoming informed, scored in two-thirds of the SCD patients no-minimal effort, compared to two-thirds of thalassemia patients with moderate-skilled effort. The opposite in these subgroups applied for items 4 and 5 with less skilled effort in thalassemia patients compared to SCD patients. This effect could be related; when less effort is put into eliciting preferences, more time and attention can be used to inform the patient.

Differences in conversations between referring hematologists and HSCT physicians were most obvious for OPTION5 items 3 and 4. Item 3 scored significantly higher in conversations with HSCT specialists, pointing to the informative character of the conversations HSCT specialist have with the patients, mostly after referral by a hematologist. In contrast, conversations with the referring hematologists scored significantly higher for item 4. This could be explained by the often longer existing relationship in which it is the hematologist’s responsibility to guide the patient through their illness process.

Compared to other SDM studies, the overall mean SDM score in our study of 43% compares favorably. While studies using OPTION5 in unmanipulated routine clinical conversations scored the SDM process with a range between 11 and 82, most studies had a mean SDM score of below 40.15,18,29–35 A review assessing SDM with the OPTION12 found a mean score of 23, whereas only 38% of the studies reported scores above or equal to their used cut-off point of 25.36 The best scoring OPTION5 item was variable among these studies.15,18,29–35

The results of our study showed a moderate SDM approach, indicating that HSCT decision making for hemoglobinopathy patients is approached as a preference-sensitive decision.3 However, the fact that this result was mainly influenced by the focus on informing (OPTION5 item 3), and the wide range of SDM (20–60%) suggests that the HSCT decision making was approached ambiguously, as either a preference-sensitive or an effective decision. This phenomenon has previously been reported in a qualitative study in SCD patients, describing two different approaches of disease-modifying therapies, including HSCT.37 Physicians used a more proponent approach in case of severe disease rather than a collaborative approach. Besides disease severity, intensity of treatment and urgency of treatment appeared to be influencing factors.

The results of the current study highlight the need to improve the SDM process about curative options for hemoglobinopathy patients. Based on our results, all OPTION5 items deserve more attention in conversations, particularly by inviting patients in deliberating the options and in eliciting and integrating their preferences. To achieve this, first, the skill how to apply SDM in clinical conversations should be given with simulated patient encounters and by reflecting on personal skills.11,38–40 Second, given our observation that conversations were mainly focused on HSCT, detailed information needs to be given about all possible treatment options, including HSCT, possible future gene therapy, and also continuation of supportive care. Third, using sufficient time is important and not only as resource. As stated by Pieterse et al.41 “a minute spent in giving information may turn out to be less important than a minute waiting silently for questions....” Different ways of informing can be used; a substantial part of the technical HSCT information can be provided using other sources, like videos. The time during the consultations can be used to talk about the understanding and customization of this information. A significant part of SDM exists of eliciting the patient’s preferences and values and incorporating these in the decision. This implicates that the conversations should continue after providing information focused on the patients’ considerations. The question arises who should do this. Therefore, as a fourth step to improve SDM about curative options for hemoglobinopathy patients, it is recommended to make clear what parts of the treatment possibilities and which SDM steps will be discussed by which HCP: the hematologist, HSCT specialist, or another involved HCP, such as a nurse specialist.42 This suggests that the focus of the different conversations may vary, and it demands a continuous interdisciplinary collaboration focused on the SDM process of the specific patient. Finally, patients can be supported with the use of decision aids with information,22 assistance in forming their preferences, and with pre-scripted questions to ask during conversations.11,36

This descriptive analysis of the SDM process provides new insights in the current practice of hemoglobinopathy patients. Strength of our study is that we analyzed the decision-making process from an objective observer perspective within one or two conversations performed by different physicians, including translated conversations. However, it remains a subjective interpretation of a conversation. We maximized
objectivity by double, independent coding and involving an external team. We chose to differentiate in our analysis between SCD and thalassemia, as well as between translated and nontranslated conversations. We did not do this for cultural background. Our sample was too heterogeneous to be able to do so, but most importantly we aimed for an objective evaluation of the SDM process. A variable like cultural background would give a subjective interpretation. Both groups of translated and nontranslated conversations consisted of families with different nationalities, as most patients with hemoglobinopathies are not of Dutch origin. Although not all families were Dutch native speakers, not all the conversations needed translation. The included conversations in our study can be biased due to its focus on HSCT, resulting in mainly conversations in an HSCT center. Therefore, we could have missed parts of the decision-making process, even more because talking about treatment can be a process of years in the studied population. We scored SDM in the conversations by reading transcripts, where most studies used audiotaped conversations. Minor details as intonations could easily be missed in transcripts, leading to different ratings. However, transcript makes it easier to re-read sentences and provide a more precise rating.

In conclusion, the mean OPTION5 score of ”moderate” was achieved mainly by giving information on available options, which is primarily a one-way communication. The SDM process can be improved by actively inviting patients to deliberate about the treatment options and including patients’ preferences in final decision making. More insight into patients’ considerations regarding the decision-making process can be supportive in order to actively include these perspectives in the conversations and to design decision aids for patients. A qualitative study is ongoing, aiming to provide insight into these considerations.

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CONFLICT OF INTEREST
The authors declare that there is no conflict of interest.

DATA AVAILABILITY STATEMENT
The data that support the findings of this study are available from the corresponding author upon reasonable request.

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