

Correlation between progression-free survival and overall survival in metastatic breast cancer patients receiving anthracyclines, taxanes, or targeted therapies: a trial-level meta-analysis

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Abstract Over the past decade, several new drugs have received regulatory approval for metastatic breast cancer (MBC). However, some of these approvals were based on improvement in progression-free survival (PFS), without a concomitant increase in overall survival (OS). This has led some to question the utility of using PFS as a measure for drug approval. To address the uncertainty of using PFS as a surrogate for OS in MBC, a systematic literature review followed by a trial-level correlative analysis was conducted in patients receiving anthracyclines, taxanes, or targeted therapies. Electronic databases were searched to identify randomized trials published between January 1990 and August 2015. Data extraction included hazard ratios for PFS (HR_{PFS}) and OS (HR_{OS}) between comparative arms as well as trial-level parameters. Weighted multivariate regression analysis was then used to test the strength of the association between HR_{PFS} and HR_{OS} . 72 trials providing 84 comparative arms met the inclusion criteria. HR_{PFS} was a significant predictor of HR_{OS} (model coefficient = 0.18, $p = 0.04$). However, only 31 % (i.e., model R^2) of the variability between the PFS–OS association was accounted for. When trials were limited to ≥ 2 nd-line setting, the strength of the association improved (model coefficient = 0.40, $p < 0.001$) and the model R^2 increased to 55 %. However, the HR_{PFS} – HR_{OS} association was no longer significant when only 1st-line trials were considered ($p = 0.90$). HR_{PFS} is a predictor for HR_{OS} in MBC

randomized trials. However, the effect was driven by trials in the ≥ 2 nd-line setting. Therefore, PFS can be a suitable surrogate for OS in trials evaluating new treatments in the 2nd setting and beyond. The use of PFS alone as a primary trial endpoint in the 1st-line setting is not recommended.

Keywords Breast cancer · Surrogate endpoints · Progression-free survival · Overall survival

Introduction

The past decade has been witness to impressive advances in the treatment of metastatic breast cancer (MBC). MBC remains incurable, but from the initial diagnosis of metastatic disease, many patients are now living beyond a median of 3 years [1, 2]. Contributors to the improvement in overall survival (OS) have been better supportive care and the approval of novel anticancer agents and targeted therapies. However, some of the drugs that have been approved by regulators such as the Food and Drug Administration (FDA) and the European Medicines Agency (EMA) have not readily received reimbursement from public and private payers [3]. One contributing factor has been an improvement in progression-free survival (PFS) with a new drug, but without the concomitant increase in OS. The health policy impact of this phenomenon was demonstrated when the U.S. FDA removed the breast cancer indication from bevacizumab after two randomized trials failed to show an improvement in OS [4]. Given the high cost of the newer anticancer agents, it has been suggested that the oncology community needs to consider the value offered by a new drug, with a clinically meaningful OS benefit being a key component to the value

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proposition [5–7]. However, many solid tumor randomized trials including MBC use PFS as the primary endpoint, but PFS has not been fully validated as a surrogate for OS across several tumor types [8].

The FDA definition of PFS is a documented disease progression [i.e., greater than 20 % increase in tumor size, based on the response evaluation *criteria* in solid tumors (RECIST)1.1] or death from any cause from the time of randomization [9]. Demonstrating an OS benefit remains a challenge in cancer drug development. An important factor contributing to the difficulty in detecting an OS benefit is survival post progression (SPP) [8]. The longer the SPP, the harder it is to detect an OS benefit. In one simulation study, it was demonstrated that even when an OS benefit existed, it could not be statistically detected if the SPP was 12 months or longer [10]. The major events that mask potential OS benefits during the SPP period include mandated patient cross over into the experimental arm of the trial upon progression, secondary therapies, and heterogeneity in access to effective supportive care [11, 12]. As a result, a longer duration of SPP increases the opportunity for these and other factors to dilute any of the incremental survival benefits that may be associated with the new treatment under investigation.

Under these considerations, some investigators have argued that surrogate endpoints such as improvements in PFS should be accepted by regulatory agencies and payers because it would save drug development time and costs, and ultimately improve patient access to effective new drugs [11, 13]. The advantage of using PFS over OS is that secondary interventions cannot contaminate the former measurement. In addition, a patient cannot be crossed over into the experimental therapy until disease progression has occurred. Arguments against the use of PFS as a primary endpoint for drug approval and reimbursement are the potential for interobserver variability in measuring tumor shrinkage, and PFS is only a measure of drug effect during administration and is poorly correlated with survival and quality of life [8, 14].

The use of PFS as a surrogate for OS has been validated in metastatic colorectal cancer with the both patient- and trial-level analyses [15–18]. As a result, the FDA and other regulatory agencies have accepted PFS as a surrogate endpoint for the drug approval in metastatic colorectal cancer. However, uncertainty remains in MBC. Meta-analyses at both the patient and trial level have yielded conflicting results [11, 19, 20]. Furthermore, these studies did not evaluate all lines of MBC therapy, nor did they consider the impact of targeted therapies. To address this uncertainty and to test the hypothesis that PFS is a valid surrogate endpoint for OS in MBC randomized trials, a systematic review of the literature followed by a trial-level

correlational analysis was conducted in MBC patients receiving anthracyclines, taxanes, and targeted therapies.

Methods

Systematic review of randomized trials

We searched PubMed/Medline, EMBASE, and the Cochrane Central Register of Controlled Trials for randomized controlled trials evaluating anthracyclines, taxanes, and targeted therapies in patients with MBC published between January 1, 1990 and August 1, 2015. Electronic searches of the major conference proceedings were also conducted. Validated filters for randomized clinical trials were used for EMBASE and Medline [21, 22].

There was no restriction on the line of therapy being tested in each study. Trials evaluating 1st-, 2nd-, and beyond 2nd-line therapy were considered. There was also no restriction on trials evaluating single-agent or combination therapy. The trial must have utilized a parallel group-randomized design with at least 65 MBC patients enrolled into each arm. At least one of the arms must have included an anthracycline, a taxane, or a targeted therapy. A measure of progression-free and OS outcomes data must also have been reported in each study arm. Trials that reported time to progression (TTP) or time to treatment failure (TTF) were considered. However, the exact definition used in the trial was documented for subsequent statistical adjustment. Trials that only reported hazard ratios (HR) for PFS and OS were also included. Trials evaluating hormonal therapies were not incorporated into the analysis because these agents are a different class of drugs with a unique mechanism of action.

Studies were selected on the basis of the predetermined criteria and agreed upon by two evaluators. Any disagreement on specific studies between the two evaluators was resolved through discussion. Once trials meeting the inclusion criteria were identified, the following data were extracted: sample size, year of publication, regions involved (e.g., North American, European, global), line of therapy being evaluated, chemotherapy regimen, dosage, duration of therapy, definition of primary and secondary endpoints, how tumor response was assessed (WHO vs. RECIST criteria), trial duration, median number of cycles delivered, if patient cross over was allowed, if the progression-free and OS outcomes were censored, definition of PFS and all relevant clinical outcomes such as median PFS, TTP, TTF, OS, and the associated HR. The extracted data were recorded into a database for the subsequent statistical analysis.

Statistical analysis

The two co-primary endpoints for evaluating the association between PFS and OS were the correlation between the HR for PFS (HR_{PFS}) and OS (HR_{OS}) as well as the correlation between differences in the median PFS (Δ PFS) and OS (Δ OS) between the experimental and control arms of the trials. The association between PFS and OS is related to the prediction of the endpoint of interest (e.g., HR_{OS} or Δ OS) from the surrogate (e.g., HR_{PFS} or Δ PFS). Hence, the stronger the correlation, the more valid the surrogate. The objective of the study was to assess the validity of using PFS as a surrogate endpoint for OS in patients with MBC. For each trial that met the inclusion criteria, the association between PFS (HR_{PFS} or Δ PFS) and OS (HR_{OS} and Δ OS) was initially measured using the Spearman rank correlation coefficient. This was then followed with a weighted multivariable regression analysis.

In two separate analyses, weighted (on the total trial sample size) multivariable regression analysis was used to measure the association between the HR_{PFS} (primary predictor variable) and HR_{OS} (dependent variable). In the second analysis, Δ PFS was the main predictor variable and Δ OS was the dependent variable. These approaches provided a measure of the model R^2 statistic, which is the proportion of variability in the dependent variable accounted for by the model. Whenever HRs for PFS and OS were not reported in a given trial, they were calculated using the following formulas: $HR_{OR} = \text{median OS in experimental group} / \text{median OS in the control group}$; $HR_{PFS} = \text{median PFS in experimental group} / \text{median PFS in the control group}$.

Other independent variables considered in the regression models included line of therapy, combination versus single-agent therapy, year of trial publication, region where the study was conducted (U.S. vs. European vs. global), what the primary trial endpoint was (i.e., PFS, TTP, TTF or OS), if the PFS measurement in the trial was consistent with the current FDA definition, if the trial incorporated data censoring into the analysis, and if patient cross over was permitted from the control into the experimental arm. Normality in the distribution of the dependent variables was made through a comparison of means and medians as well as the application of the Skew test. The independent variables were retained in the final model through a backwards elimination process ($p < 0.05$ to retain). The models were also adjusted for clustering on the primary study citation in cases where trials had multiple experimental arms.

The slope of the regression line of the final model provided an estimate of how much of a risk reduction (i.e., via the HR) in PFS contributes to a decrease in the risk of death for patients who were randomized into the experimental

arm of the trial. In the case of the model that used Δ PFS and Δ OS as the predictor and depended variables, the final model coefficient estimated the incremental OS benefit per incremental month of PFS reported for the experimental arm of the trial. The stability of the base case results for each modeling analysis was then evaluated in a series of one-way sensitivity analyses. All statistical analyses were performed using Stata, release 14.0 (Stata Corp., College Station, Texas, USA).

Results

The systematic literature search identified 3167 relevant references consisting of 3119 records from the database search and 48 additional records from other sources. From this initial pool of references, 880 duplicates were discarded. Following the title and abstract review, 1528 studies were rejected for being out of scope. Of the remaining references subject to the full-text review, 759 were removed using the exclusion criteria. The final set of bibliographic records that fulfilled the eligibility criteria comprised 72 randomized trials (Appendix “[List of studies included in the meta analysis](#)”), which provided 84 trial comparative arms, with median sample sizes in the control and experimental arms being 149 and 144 patients, respectively. Figure 1 shows the flowchart of study selection process.

Trial characteristics are summarized in Table 1. The publication years spanned from 1991 to 2015, with a maximum of 11 publications in 2011. The majority of trials ($n = 41$) were conducted globally and 55 of 72 (76.4 %) evaluated new treatments in the first-line setting. The most common progression endpoint was TTP ($n = 44$), 33 and 7 of the trials used PFS and TTF, respectively. Overall, 44 studies used the FDA definition of PFS, which is based on the RECIST 1.1 criteria [9]. OS was reported in 78 of the 84 comparative arms, with 52 studies utilizing data censoring and 21 of 84 study arms allowing crossover to the experimental regimen upon disease progression.

The univariate Spearman Rank correlation coefficient suggested a modest association between HR_{OS} and HR_{PFS} (Spearman’s $\rho = 0.46$; $p < 0.001$) as well as Δ OS and Δ PFS (Spearman’s $\rho = 0.52$; $p < 0.001$). As illustrated by Fig. 2, there was a positive trend in the association where a lower HR_{PFS} between the experimental and control groups indicated a reduction in the HR_{OS} . A HR_{OS} below 1.0 between the experimental and control groups would suggest a reduction in the risk of death in the former group of patients. Similarly, a larger Δ PFS was positively correlated with a greater Δ OS, indicating an improvement in overall survival between the experimental and control groups (Fig. 3).

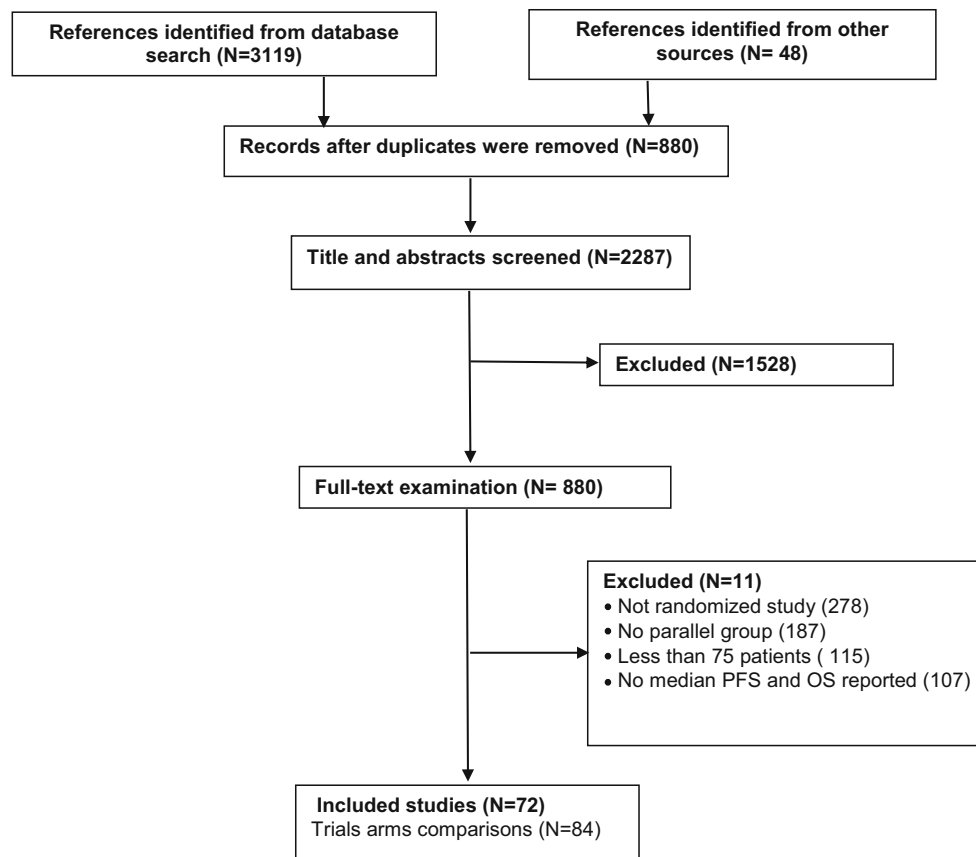


Fig. 1 Flow diagram of study selection process

The weighted multivariable regression modeling confirmed the findings of the univariate correlational analysis. Through the backwards elimination process, the final variables that were retained in the model correlating HR_{OS} with HR_{PFS} were region where the trial was conducted and patient cross over into the experimental arm. Other potentially important variables such as line of therapy, type of therapy (i.e., chemotherapy and targeted therapy alone or in combination) and type of progression endpoint used in the trial were not retained in the final model. Overall, the model R^2 was 0.31, indicating that only 31 % of the variability in the HR_{OS} was accounted for by the three independent variables retained in the model. Therefore, there are other important variables that contributed to the observed variability in the HR_{OS} that was reported in randomized trials evaluating new drugs in MBC.

The model coefficient between HR_{PFS} and HR_{OS} was statistically significant indicating a positive association between these two variables where a reduction in HR_{PFS} from an effective experimental therapy reduced the risk of death in MBC patients across all lines of therapy (Table 2). The findings also revealed that relative to trials conducted exclusively in Europe, global trials yielded a lower HR_{OS} by approximately 16 %. Stated differently, globally

conducted trials were more likely to report an OS benefit compared to trials conducted in Europe. It is tempting to speculate that this finding may be related to a lower propensity to offer multiple lines of chemotherapy to patients from regions such as Latin America, Asia, and Southern Africa. The difference in reported HR_{OS} between European and North American trials was not statistically significant.

The allowance of patient cross over also had a statistically significant effect on the HR_{OS} . Trials that allowed cross over reported a 7.4 % reduction in the risk of death between the experimental and control groups compared to trials that did not allow cross over (Table 2). This finding is consistent with the expectation that cross over would only be offered in cases where the experimental agent under investigation appears to be highly effective.

The findings of the weighted multivariable regression analysis investigating the association between Δ PFS and Δ OS were consistent with the former evaluation. The model indicated that for every additional month of PFS, there would be a gain of 0.79 months in OS in the experimental group relative to the control group (Table 3). Other independent variables that were retained in the model by statistical means consisted of region, the allowance of patient

Table 1 Description of studies included in the analysis

Author, year of publication	Study drug versus control	Control (N)	Drug (N)	Line of therapy	Median PFS control	Median PFS drug	Median OS control	Median OS drug	HR reported	HR PFS drug	HR OS drug
Cowan (1991)	D = bisantrene 320 mg/m ² q3w	117	128	1 & 2	4.4	2.2	10.5	9.7	N	2	0.92
	C = doxorubicin 60 mg/m ² q3w										
Cowan (1991)	D = mitoxantrone 14 mg/m ² q3w	117	120	1 & 2	4.4	2.3	10.5	5.9	N	1.91	1.5
	C = doxorubicin 60 mg/m ² q3w										
Blomqvist (1993)	D = fluorouracil 500 mg/m ² q4w + epirubicin 60 mg/m ² q4w + cyclophosphamide 500 mg/m ² q4w	86	84	1	9.2	5.4	11.8	21.2	N	1.7	
	C = fluorouracil 500 mg/m ² q1w + epirubicin 60 mg/m ² q1w + cyclophosphamide 500 mg/m ² q1w										
Hausmaninger (1995)	D = epirubicin 40 mg/m ² q3w + vindesine 3 mg/m ² q3w	149	146	All	5.4	5.1	–	–	N	1.06	
	C = mitoxantrone 10 mg/m ² q3w + vindesine 3 mg/m ² q3w										
Bastholt (1996)	D = epirubicin IV 60 mg/m ² q3w	75	73	1	4.4	4.7	13.6	14	N	0.94	0.97
	C = epirubicin IV 40 mg/m ² q3w										
Bastholt (1996)	D = epirubicin IV 90 mg/m ² q3w	75	71	1	4.4	8.4	13.6	14.6	N	0.52	0.93
	C = epirubicin IV 40 mg/m ² q3w										
Bastholt (1996)	D = epirubicin IV 135 mg/m ² q3w	75	67	1	4.4	8.4	13.6	11.3	N	0.52	1.2
	C = epirubicin IV 40 mg/m ² q3w										
Brufman (1997)	D = epirubicin 100 mg/m ² q3w + 5-FU 500 mg/m ² q3w + cyclophosphamide 500 mg/m ² q3w	242	212	1	5.3	5.8	–	–	N	0.91	
	C = epirubicin 50 mg/m ² q3w + 5-FU 500 mg/m ² q3w + cyclophosphamide 500 mg/m ² q3w										
Joensuu (1998)	D = cyclophosphamide 500 mg/m ² + epirubicin 60 mg/m ² q4w + fluorouracil 500 mg/m ² q3w + mitomycin 8 mg/m ² q4w + vinblastine 6 mg/m ²	150	153	1 & 2	10	8	18	16	N	1.25	1.13
	C = epirubicin 20 mg/m ² q4w + mitomycin 8 mg/m ² q4w										
Bontenbal (1998)	D = epirubicin 90 mg/m ² q3w	128	131	2	5.3	4.4	10.9	10.2	N	1.2	1.07
	C = doxorubicin 75 mg/m ² q3w										
Bishop (1999)	D = paclitaxel 200 mg/m ² IV q3w	102	107	1	6.4	5.3	13.9	17.3	N	1.21	0.8
	C = cyclophosphamide 100 mg/m ² + methotrexate 40 mg/m ² IV + fluorouracil 600 mg/m ² IV + prednisone 40 mg/m ² /d orally q 28 days										
Blajman (1999)	D = 5-fluorouracil 500 mg/m ² IV + doxorubicin 50 mg/m ² IV + cyclophosphamide 500 mg/m ² IV	85	85	1	9	7.5	17.3	17.8	N	1.2	0.97
	C = vinorelbine 25 mg/m ² IV + doxorubicin 50 mg/m ² IV										
Chan (1999)	D = docetaxel 100 mg/m ² q3w	165	161	1 & 2	4.9	6	14	15	N	0.82	0.93
	C = doxorubicin 75 mg/m ² q3w										

Table 1 continued

Author, year of publication	Study drug versus control	Control (N)	Drug (N)	Line of therapy	Median PFS control	Median PFS drug	Median OS control	Median OS drug	HR reported	HR PFS drug	HR OS drug
Estaban (1999)	D = 5-fluorouracil 500 mg/m ² IV + cyclophosphamide 100 mg/m ² + epirubicin 30 mg/m ²	76	75		7.7	11.9	12	17.3	N	0.65	0.69
	C = 5-fluorouracil 500 mg/m ² IV + cyclophosphamide 100 mg/m ² + Mitoxantrone 6 mg/m ²										
Nabholtz (1999)	D = docetaxel 100 mg/m ² IV q3w	189	203	1 & 2	2.6	4.4	8.7	11.4	N	0.59	0.76
	C = mitomycin 12 mg/m ² IV q6w + vinblastine 6 mg/m ² IV q3w										
Sjostrom (1999)	D = docetaxel 100 mg/m ² q3w	140	143	1 & 2	3	6.3	11	10.4	N	0.48	1.06
	C = methotrexate 200 mg/m ² q3w + 5-fluorouracil 600 mg/m ² q3w										
Smith (1999)	D = paclitaxel 250 mg/m ² q3w	279	284	1	6.3	7.2	21.1	21.9	N	0.88	0.96
	C = paclitaxel 250 mg/m ² q3w										
French Epi Gp (2000)	D = fluorouracil 500 mg/m ² q3w + epirubicin 100 mg/m ² q3w + cyclophosphamide 500 mg/m ² q3w	139	145	1	10.3	8.3	17.9	18.9	N	1.24	0.95
	C = fluorouracil 500 mg/m ² q3w + epirubicin 75 mg/m ² q3w + cyclophosphamide 500 mg/m ² q3w										
French Epi Gp (2000)	D = fluorouracil 500 mg/m ² q3w + epirubicin 100 mg/m ² q3w + cyclophosphamide 500 mg/m ² q3w	139	133	1	10.3	6.2	17.9	16.3	N	1.66	1.1
	C = fluorouracil 500 mg/m ² q3w + epirubicin 75 mg/m ² q3w + cyclophosphamide 500 mg/m ² q3w										
Norris (2000)	D = doxorubicin 50 mg/m ² IV + vinorelbine 25 mg/m ² IV q3w	149	151	1 & 2	6.1	6.2	14.4	13.8	N	0.98	1.04
	C = doxorubicin 70 mg/m ² IV										
Paridaens (2000)	D = Paclitaxel 200 mg/m ² IV q3w	165	166	1	3.9	7.5	15.6	18.3	N	0.52	0.85
	C = doxorubicin 75 mg/m ² IV q3w										
Ackland (2001)	D = cyclophosphamide 400 mg/m ² IV + epirubicin 50 mg/m ² IV + fluorouracil 500 mg/m ² IV	237	223	1	6.3	8.7	18.2	20.1	Y	0.73	0.87
	C = cyclophosphamide 500 mg/m ² IV + methotrexate 40 mg/m ² IV + fluorouracil 600 mg/m ² IV										
Batist (2001)	D = myocet 60 mg/m ² q3w + cyclophosphamide of 600 mg/m ² q3w	155	142	1	5.5	5.1	16	19	Y	1.03	1.04
	C = doxorubicin q3w + cyclophosphamide of 600 mg/m ² q3w										
Del Mastro (2001)	D = cyclophosphamide 1000 mg/m ² q2w + epirubicin 80 mg/m ² q2w + fluorouracil 600 mg/m ² q2ws	74	77	1	14.3	12.8	32.7	27.2	N	1.12	1.2
	C = cyclophosphamide 600 mg/m ² q3w + epirubicin 60 mg/m ² q3w + fluorouracil 600 mg/m ² q3w										
Fountzilas (2001)	D = epirubicin 110 mg/m ² q2w + paclitaxel 225 mg/m ² q2w	90	93	1	8.5	10	20	21.5	N	0.85	0.93
	C = epirubicin 80 mg/m ² q3w + paclitaxel 175 mg/m ²										

Table 1 continued

Author, year of publication	Study drug versus control	Control (N)	Drug (N)	Line of therapy	Median PFS control	Median PFS drug	Median OS control	Median OS drug	HR reported	HR PFS drug	HR OS drug
Jassem (2001)	D = doxorubicin 50 mg/m ² q3w + paclitaxel 220 mg/m ² q3w C = 5-fluorouracil 500 mg/m ² q3w + doxorubicin 50 mg/m ² q3w + cyclophosphamide 500 mg/m ² q3w	133	134	1	6.2	8.1	18.3	23	Y	0.74	0.68
Namer (2001)	D = mitoxantrone 12 mg/m ² IV + vinorelbine 25 mg/m ² IV C = 5-fluorouracil 500 mg/m ² IV + cyclophosphamide 500 mg/m ² IV + doxorubicin or epirubicin 50 mg/m ² IV	139	142	1	7	7	20	17	N	1	1.18
Slamon (2001)	D = paclitaxel 175 mg/m ² q3w + trastuzumab 4 mg/kg IV q1w C = paclitaxel 175 mg/m ² q3w	96	92	1	3	6.9	18.4	22.1	N	0.43	0.83
Slamon (2001)	D = doxorubicin 60 mg/m ² or epirubicin 75 mg/m ² + cyclophosphamide 600 mg/m ² C = paclitaxel 175 mg/m ² q3w	96	138	1	3	6.09	18.4	21.4	N	0.49	0.86
Slamon (2001)	D = doxorubicin 60 mg/m ² or epirubicin 75 mg/m ² + cyclophosphamide 600 mg/m ² + trastuzumab 4 mg/kg IV q1w C = paclitaxel 175 mg/m ² q3w	96	143	1	3	7.8	18.4	26.8	N	0.38	0.69
Biganzoli (2002)	C = paclitaxel 175 mg/m ² q3w D = doxorubicin 60 mg/m ² IV q3w + paclitaxel 175 mg/m ² q3w C = doxorubicin 60 mg/m ² IV q3w + cyclophosphamide 600 mg/m ² q3w	137	138	1	6	6	20.5	20.6	N	1	1
Bonnetterre (2002)	D = docetaxel 100 mg/m ² q3w C = 5-fluorouracil 750 mg/m ² q3w + vinorelbine 25 mg/m ² q3w	90	88	2	5.1	6.5	15	16	N	0.78	0.94
Harris (2002)	D = liposome-encapsulated doxorubicin (TLC D-99) 75 mg/m ² q3w C = doxorubicin 75 mg/m ² q3w	116	108	1	4.3	3.8	20	16	Y	0.92	0.76
Heidemann (2002)	D = mitoxantrone 12 mg/m ² IV q3w C = fluorouracil 500 mg/m ² IV q3w + epirubicin 50 mg/m ² IV q3w + cyclophosphamide 500 mg/m ² IV q3w	133	133	≥ 2	6.15	4.4	15.8	14.1	N	1.4	1.12
O'Shaughnessy (2002)	D = capecitabine 1250 mg/m ² + docetaxel 75 mg/m ² C = capecitabine 1250 mg/m ² + docetaxel 100 mg/m ²	256	255	All	4.2	6.1	11.5	14.5	Y	0.65	0.77
Nabholtz (2003)	D = doxorubicin 50 mg/m ² q3w + docetaxel 75 mg/m ² q3w C = doxorubicin 60 mg/m ² + cyclophosphamide 600 mg/m ²	215	214	1	7.44	8.7	21.7	22.5	Y	0.76	0.96
Parnes (2003)	D = cyclophosphamide 500 mg/m ² + doxorubicin 40 mg/m ² + fluorouracil 200 mg/m ² IV + leucovorin 200 mg/m ² in 100 mL IV C = cyclophosphamide 500 mg/m ² + doxorubicin 40 mg/m ² + fluorouracil 200 mg/m ² IV	121	121	1	9	9.48	20.64	20.52	N	0.95	1.01

Table 1 continued

Author, year of publication	Study drug versus control	Control (N)	Drug (N)	Line of therapy	Median PFS control	Median PFS drug	Median OS control	Median OS drug	HR reported	HR PFS drug	HR OS drug
Sledge (2003)	D = paclitaxel 150 mg/m ² q3w C = doxorubicin 60 mg/m ² IV q3w	224	229	1 & 2	6	6.3	19.1	22.5	N	0.95	0.85
Sledge (2003)	D = doxorubicin 60 mg/m ² IV q3w + paclitaxel 175 mg/m ² q3w C = doxorubicin 60 mg/m ² IV q3w	224	230	1 & 2	6	8.2	19.1	22.4	N	0.73	0.85
Chan (2004)	D = myocet 75 mg/m ² + cyclophosphamide 600 mg/m ² C = doxorubicin 60 mg/m ² IV q3w	80	80	1	5.6	7.7	16	18.3	Y	0.66	0.87
Conte (2004)	D = epirubicin 75 mg/m ² + cyclophosphamide 600 mg/m ² C = epirubicin 120 mg/m ² + paclitaxel 250 mg/m ² q3w	108	94	1	11	10.8	20	26	N	1.02	0.77
Ejlertsen (2004)	D = epirubicin 90 mg/m ² + paclitaxel 200 mg/m ² C = epirubicin 90 mg/m ² IV q3w + vinorelbine 25 mg/m ² q3w	194	193	1	8.2	10.1	18	19.1	N	0.81	0.94
Fountzilas (2004)	D = paclitaxel 175 mg/m ² q3w + carboplatin AUC of 6 mg min/ml q3w C = epirubicin 90 mg/m ² IV q3w	163	164	1	8.1	10.8	22.7	27.8	N	1.49	0.82
Keller (2004)	D = paclitaxel 175 mg/m ² q3w + epirubicin 80 mg/m ² q3w C = liposomal doxorubicin 50 mg/m ² IV q4w	151	150	2 & 3	2.9	2.5	10.4	9	Y	1.27	1.07
O'Brien (2004)	D = vinorelbine 30 mg/m ² or mitomycin C 10 mg/m ² q4w + vinblastine 5 mg/m ² q6w to q8w C = pegylated liposomal doxorubicin HCl q4w	255	254	All	7.8	6.9	22	21	Y	1	1.11
Winer (2004)	D = doxorubicin 60 mg/m ² q4w C = paclitaxel 210 mg/m ²	158	156	1 & 2	3.9	4.1	11	12	N	0.95	0.92
Winer (2004)	D = paclitaxel 175 mg/m ² C = paclitaxel 250 mg/m ²	158	155	1 & 2	3.9	4.9	11	14	N	0.8	0.79
Bontenbal (2005)	D = doxorubicin 50 mg/m ² q3w + docetaxel 75 mg/m ² q3w + cyclophosphamide 500 mg/m ² q3w C = fluorouracil 500 mg/m ² q3w + doxorubicin 50 mg/m ² q3w	107	109	1	6.6	8	16.2	22.6	Y	1.5	1.43
Feher (2005)	D = gemcitabine 1200 mg/m ² IV C = epirubicin 35 mg/m ²	199	198	1	6.1	3.4	19.1	11.8	N	1.67	0.62
Gradishar (2005)	D = paclitaxel 050 mg/m ² C = doxorubicin 3.90 mg/m ² IV	225	229	All	3.9	5.3	12.9	15.1	N	0.75	0.82
Icli (2005)	D = cisplatin 70 mg/m ² IV q3w + oral etoposide 50 mg q3w C = paclitaxel 175 mg/m ² IV q3w	101	100	All	3.9	5.5	9.5	14	N	0.71	0.68
Jones (2005)	D = paclitaxel 050 mg/m ² C = doxorubicin 3.60 mg/m ² IV	213	211	1	3.6	5.7	12.7	15.4	Y	1.64	1.41

Table 1 continued

Author, year of publication	Study drug versus control	Control (N)	Drug (N)	Line of therapy	Median PFS control	Median PFS drug	Median OS control	Median OS drug	HR reported	HR PFS drug	HR OS drug
Langley (2005)	D = epirubicin 75 mg/m ² q3w + paclitaxel 200 mg/m ² q3w C = epirubicin 75 mg/m ² q3w + cyclophosphamide 600 mg/m ² q3w	352	353	1	7.1	7	14	13	Y	1.07	1.02
Marty (2005)	D = docetaxel 100 mg/m ² IV q3w + trastuzumab 4 mg/kg C = docetaxel 100 mg/m ² IV q3w	94	94	1	6.1	11.7	22.7	31.2	N	0.52	0.73
Miller (2005)	D = capecitabine 2500 mg/m ² q3w + bevacizumab 15 mg/kg q3w C = capecitabine 2500 mg/m ² q3w	230	232	All	4.17	4.86	14.5	15.1	N	0.98	0.96
Zielinski (2005)	D = gemcitabine 1000 mg/m ² + epirubicin 90 mg/m ² + paclitaxel 175 mg/m ² C = fluorouracil 500 mg/m ² + epirubicin 90 mg/m ² + cyclophosphamide 500 mg/m ²	135	124	1	9	9.1	24.9	29.5	N	0.9	0.84
Harvey (2006)	D = docetaxel 75 mg/m ² IV q3w C = docetaxel 100 mg/m ² IV q3w	188	188	2	2.95	3.49	10.6	10.3	N	0.85	1.03
Harvey (2006)	D = docetaxel 60 mg/m ² IV q3w C = docetaxel 100 mg/m ² IV q3w	188	151	2	2.92	3.9	10.6	12.3	N	0.75	0.86
Robert (2006)	D = trastuzumab 4 mg/kg; 2 mg/kg q3w + paclitaxel 175 mg/m ² + carboplatin 6 mg/mL q3w C = trastuzumab 4 mg/kg; 2 mg/kg q3w + paclitaxel 175 mg/m ² q3w	98	98	1	7.1	10.7	32.2	35.7	Y	0.66	0.9
Gray (2009)	D = paclitaxel 90 mg/m ² IV q3w + bevacizumab 10 mg/kg q3w C = paclitaxel 90 mg/m ² IV q3w	354	368	1	5.8	11.8	25.2	26.7	Y	0.48	0.88
Albain (2008)	D = gemcitabine 1250 IV mg/m ² q3w + paclitaxel 175 mg/m ² q3w C = paclitaxel 175 mg/m ² IV q3w	263	266		3.9	5.9	15.8	18.6	Y	0.73	0.82
Cameron (2008)	D = anthracycline or taxane, or trastuzumab + lapatinib 1250 mg/day + capecitabine 2000 mg/m ² C = anthracycline or taxane, or trastuzumab + capecitabine 2500 mg/m ²	201	198	2 & 3	4.3	6.2	15.3	15.6	Y	0.57	0.78
Cassier (2008)	D = doxorubicin 50 mg/m ² q3w + docetaxel 75 mg/m ² q3w C = doxorubicin 50 mg/m ² q3w + paclitaxel 175 mg/m ² q3w	103	107		8	8.7	27.3	21.4	N	0.92	1.28
Di Leo (2008)	D = paclitaxel 175 mg/m ² IV q3w + lapatinib 1500 mg/d C = paclitaxel 175 mg/m ² IV q3w + placebo	288	291	1	5.3	5.8	20.2	23	Y	0.9	0.86
Chan (2009)	D = gemcitabine 1000 mg/m ² IV C = capecitabine 1250 mg/m ² q3w + docetaxel 75 mg/m ² q3w	152	153	All	7.98	8.05	21.45	19.29	Y	1.2	1.11
Fountzilas (2009)	D = paclitaxel 175 mg/m ² q3w + carboplatin AUC of 6, in 500 mL q3w C = paclitaxel 80 mg/m ² q3w	136	136	1	11.4	11.5	41	29.9	N	0.99	1.9

Table 1 continued

Author, year of publication	Study drug versus control	Control (N)	Drug (N)	Line of therapy	Median PFS control	Median PFS drug	Median OS control	Median OS drug	HR reported	HR PFS drug	HR OS drug
Fountzilas (2009)	D = gemcitabine 1000 mg/m ² q3w + docetaxel 75 mg/m ² q3w C = paclitaxel 80 mg/m ² q3w	136	144	1	11.4	10.4	41	26.9	N	1.1	1.5
Gradishar (2009)	D = nab-paclitaxel 300 mg/m ² q3w C = docetaxel 100 mg/m ² q3w	76	76	1	7.5	11	26.6	26.6	N	0.63	1
Gradishar (2009)	D = nab-paclitaxel 150 mg/m ² q3w C = docetaxel 100 mg/m ² q3w	76	76	1	7.5	12.8	26.6	22.2	N	0.59	1.2
Gradishar (2009)	D = nab-paclitaxel 100 mg/m ² q3w C = docetaxel 100 mg/m ² q3w	76	74	1	7.5	12.9	26.6	28.7	N	0.46	0.93
Kaufman (2009)	D = trastuzumab 4 mg/kg IV; 2 mg/kg + anastrozole 1 mg/d C = anastrozole 1 mg/d	104	103	1	2.4	4.8	23.9	28.5	Y	0.63	0.85
Sparano (2009)	D = pegylated liposomal doxorubicin 30 mg/m ² q3w + docetaxel 60 mg/m ² q3w C = docetaxel 75 mg/m ² q3w	373	378	All	7	9.8	20.6	20.5	Y	0.66	1.02
Yardley (2009)	D = liposomal doxorubicin 40 mg/m ² IV q4w C = docetaxel 36 mg/m ² IV q4w	52	50	1	5.5	6.5	15.4	16.2	N	0.84	0.95
Blackwell (2010)	D = lapatinib 1000 mg daily + trastuzumab IV 4 mg/kg; 2 mg/kg C = lapatinib 1500 mg daily	148	148	≥2	1.89	2.8	9.1	12.03	Y	0.71	0.75
Mavroudis (2010)	D = docetaxel 75 mg/m ² IV q3w + epirubicin 75 mg/m ² q3w C = docetaxel 75 mg/m ² IV q3w + capecitabine 950 mg/m ² q3w	141	145	1	10.6	11	37.6	35.7	N	0.96	1.05
Wardley (2010)	D = trastuzumab 8 mg/kg; 6 mg/kg q3w + Docetaxel 75 mg/m ² q3w + capecitabine 950 mg/m ² q3w C = trastuzumab 8 mg/kg; 6 mg/kg q3w + docetaxel 100 mg/m ² q3w	112	113	1	12.8	17.9			N	0.72	
Verma (2012)	D = trastuzumab emtansine 3.6 mg/kg IV C = lapatinib 1250 mg/d + capecitabine 1000 mg/m ²	496	495	All	6.4	9.6	25.1	30.9	Y	0.65	0.682
Baselga (2012); Swain (2013)	D = pertuzumab 840 mg/d + trastuzumab 8 mg/kg + docetaxel 75 mg/m ² C = placebo + trastuzumab 8 mg/kg + docetaxel 75 mg/m ²	406	402	1	12.4	18.5	40.8	56.5	Y	0.62	0.68
Baselga (2012); Piccart (2014)	D = everolimus 10 mg/d + exemestane 5 mg/d C = placebo + exemestane 5 mg/d	239	485	1	4.1	10.6	26.6	31	Y	0.36	0.89
André (2014)	D = everolimus 5 mg/d q3w + trastuzumab 2 mg/kg q3w + vinorelbine 25 mg/m ² q3w C = placebo + trastuzumab 2 mg/kg q3w + vinorelbine 25 mg/m ² q3w	285	284	1	5.78	7			Y	0.78	

Table 1 continued

Author, year of publication	Study drug versus control	Control (N)	Drug (N)	Line of therapy	Median PFS control	Median PFS drug	Median OS control	Median OS drug	HR reported	HR PFS drug	HR OS drug
Hurvitz (2014)	D = everolimus 10 mg/d + trastuzumab 4 mg/kg; 2 mg/kg q4w + paclitaxel 80 mg/m ² q4w C = placebo + trastuzumab 4 mg/kg; 2 mg/kg q4w + paclitaxel 80 mg/m ² q4w	480	239	1	14.49	14.95			Y	0.89	
Krop (2014)	D = trastuzumab emtansine 3.6 mg/kg IV q3w C = treatment of physician's choice	198	404	≥2	3.3	6.2			Y	0.528	
Finn (2015)	D = palbociclib 125 mg/d q3w + letrozole 2.5 mg/d q3w C = letrozole 2.5 mg/d q3w	81	84	1	27.9	29.6			Y	0.488	
Turner (2015)	D = palbociclib 125 mg/d + fulvestrant 500 mg C = placebo + fulvestrant 500 mg	174	347		3.8	9.2			Y	0.42	

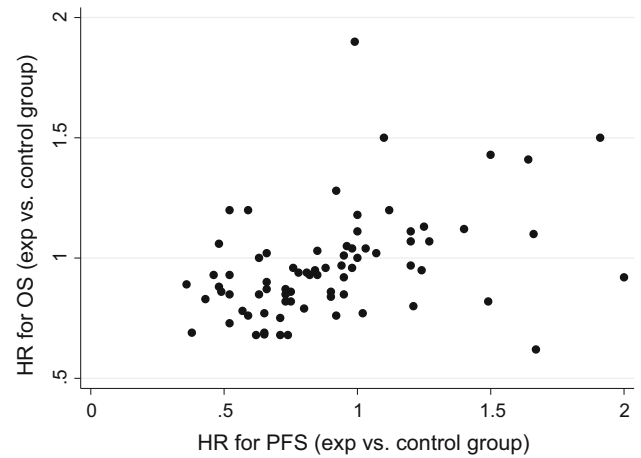


Fig. 2 Association between the HR_{PFS} and the HR_{OS} the experimental and control groups. The Spearman rho coefficient was 0.46; $p < 0.001$

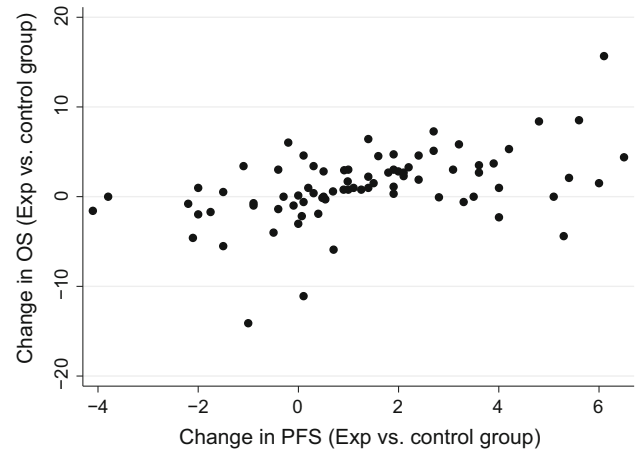


Fig. 3 Association between Δ PFS and Δ OS the experimental and control groups. The Spearman rho coefficient was 0.52; $p < 0.001$

Table 2 Multivariable regression analysis on the association between the HR for OS and PFS

Private variable	Coefficient	SEM	p value
Intercept	-0.90	0.10	
HR for PFS	0.18	0.086	0.04
Region (vs. European)			
Global	-0.16	0.07	0.025
North American	-0.077	0.069	0.26
Cross over permitted	-0.074	0.035	0.039
Model R^2	0.31		

Dependent variable HR for OS between the experimental and control groups of the study

HR hazard ratio, *PFS* progression-free survival, *OS* overall survival, *Model R^2* proportion of variability in the dependent variable that is accounted for by the model

Table 3 Multivariable regression analysis on the association between change in OS and change in PFS between the experimental and control group

Private variable	Coefficient	SEM	<i>p</i> value
Intercept	−1.49	1.1	
Change in median PFS	0.79	0.24	0.001
Region (vs. European)			
Global	2.54	1.07	0.021
North American	0.39	1.22	0.75
Cross over permitted	2.73	1.22	0.029
≥3rd-line versus 1st/2nd-line trials	−3.1	1.33	0.023
Model R^2	0.44		

Dependent variable: change in median OS between the experimental and control groups of the study

PFS progression-free survival, *OS* overall survival, *Adjusted R^2* proportion of variability in the dependent variable that is accounted for by the model

cross over and line of therapy (1st- or 2nd- vs. ≥3rd-line trials). Globally conducted trials reported an OS gain of 2.5 months compared to trials conducted in Europe. Trials allowing cross over were associated with a 2.73-month increment in OS. Furthermore, trials evaluating new treatments in the 3rd-line setting and beyond reported a reduced OS benefit by approximately 3.1 months ($p = 0.023$). Overall, the model R^2 was 0.44, indicating that only 44 % of the variability in Δ OS was accounted for by the four independent variables retained in the final model (Table 3).

Sensitivity analysis on the primary findings

A one-way sensitivity analysis was conducted to evaluate the stability of the primary results generated from both multivariate analyses. This was characterized by focusing on trials that were published within the last 12 years (i.e., from 2004 onward), limiting the analysis to 1st- or ≥2nd-line trials only, studies that used the FDA definition of PFS, had utilized data censoring, allowed cross over and were conducted globally. Of the seven sensitivity analyses performed, the statistically significant association between HR_{PFS} and HR_{OS} was retained in only three cases; ≥2nd-line trials, those that used the FDA definition of PFS and those allowing cross over (Table 4). Of these, trials ≥2nd-line setting had the highest model R^2 at 0.55 and the model coefficient between HR_{PFS} and HR_{OS} increased from 0.18 in the base case to 0.40 ($p < 0.001$). In contrast, the model coefficient for trials in the 1st-line setting dropped to 0.01 ($p = 0.90$), indicating that such trials are unlikely to ever yield a statistically significant HR_{OS} . Trials allowing cross over to truly efficacious new drugs were also more likely to

yield a HR_{OS} in favor of the experimental treatment (Table 4).

The same series of sensitivity analyses were also performed for the multivariate models evaluating Δ PFS and Δ OS. In contrast to the former series of sensitivity analyses, the current series revealed that the significant association between Δ PFS and Δ OS was maintained in 6 of the 7 performed. The only case where the association was lost was when the analysis was limited to trials that used the FDA definition of PFS (Table 4). In their entirety, these findings imply that Δ PFS may be a better surrogate to OS than HR_{PFS} . However, as a measure of effect size, HR_{PFS} is preferred because it considers the entire time horizon of the Kaplan–Meier survival curve. It was also interesting to note that limiting the analysis to trials that allowed cross over increased the model coefficient for Δ PFS from 0.79 in the base case analysis to 1.57, with the model R^2 increasing to 75 %. The finding that cross over trials yielded stronger and more consistent associations between improvements in PFS and OS suggests that trials allowing cross over are somehow different than those that do not.

Discussion

In order to increase the likelihood of a new drug receiving regulatory approval and eventual reimbursement, a statistically and clinically meaningful increment in OS relative to an accepted standard of care should be demonstrated [3, 7]. However, demonstrating an OS benefit is challenging in solid tumors, particularly in earlier line trials where multiple effective therapies and modern supportive care are available upon progression [10]. To avoid the contaminating effects of these subsequent therapies, drug developers have used surrogate endpoints of patient benefit such as PFS, TTP, and TTF. For a surrogate endpoint to be used as a measure for drug approval, there should be at least some evidence that supports its correlation to OS.

In disease sites such as metastatic colorectal cancer, improvements in PFS have been shown to be statistically correlated to improvements in OS in both trial-level and patient-level analyses [15, 16, 18]. However, studies evaluating PFS as a surrogate to OS in MBC have generated conflicting results and uncertainty remains [11]. In one report, Miksad and colleagues conducted a trial-level analysis to measure the association between the HR_{PFS} and HR_{OS} in advanced-stage breast cancer patients who received anthracycline- or taxane-based chemotherapy [20]. The investigators found that HR_{PFS} was a statistically significant predictor of HR_{OS} with up to 48 % of the variance accounted for [20]. In contrast to these findings, Burzykowski et al. conducted a patient-level analysis on 3953 patients from 11 randomized trials evaluating

Table 4 Summary of sensitivity analysis on the base case results

Sensitivity analysis	Sample size	Model coefficient, 95 % CI and <i>p</i> value	Model R^2
HR for OS and PFS			
Base case	75	0.18 (0.009 to 0.35); <i>p</i> = 0.04	0.31
Year of publication ≥ 2004	40	0.12 (−0.22 to 0.48); <i>p</i> = 0.48	0.31
First-line trials only	48	0.01 (−0.19 to 0.22); <i>p</i> = 0.90	0.30
Trials in 2nd line and beyond	27	0.40 (0.21 to 0.58); <i>p</i> < 0.001	0.55
Trials meeting the modern FDA definition of PFS	38	0.26 (0.05 to 0.42); <i>p</i> = 0.015	0.38
Trials with censored data	47	0.18 (−0.05 to 0.42); <i>p</i> = 0.12	0.35
Trials allowing cross over	20	0.24 (0.14 to 0.33); <i>p</i> < 0.001	0.49
Only globally conducted trials	34	0.031 (−0.27 to 0.33); <i>p</i> = 0.83	0.10
Δ in OS and Δ in PFS			
Base case	79	0.79 (0.32 to 1.26); <i>p</i> = 0.001	0.44
Year of publication ≥ 2004	41	0.68 (0.08 to 1.28); <i>p</i> = 0.027	0.51
First-line trials only	51	0.77 (0.26 to 1.28); <i>p</i> = 0.004	0.47
Trials in 2nd line and beyond	28	1.1 (0.38 to 1.74); <i>p</i> = 0.004	0.49
Trials meeting the modern FDA definition of PFS	39	0.74 (0.10 to 1.37); <i>p</i> = 0.25	0.50
Trials with censored data	49	0.81 (0.25 to 1.36); <i>p</i> = 0.006	0.54
Trials allowing cross over	20	1.57 (0.66 to 2.48); <i>p</i> = 0.002	0.75
Globally conducted trials only	36	0.82 (0.14 to 1.51); <i>p</i> = 0.02	0.51

HR hazard ratio, OS overall survival, PFS progression-free survival, Δ change, FDA Food and Drug Administration

anthracyclines or taxanes in the first-line setting of MBC [19]. The investigators failed to find a statistically significant correlation between HR_{PFS} and HR_{OS} . Burzykowski and colleagues concluded that PFS was not an acceptable surrogate endpoint in this treatment setting [19].

In the current study, a trial-level meta-analysis was conducted to measure the association between PFS and improvements in OS through two different endpoints; HR_{PFS} and Δ PFS. The analysis used a weighted multivariate modelling approach, which allowed additional predictor variables to be evaluated. The findings indicated that both HR_{PFS} and Δ PFS were modestly correlated with improvements in OS, with 31 and 44 % of the variability explained by the respective models. However, the sensitivity analysis indicated that when the analysis was limited to trials evaluating new treatments in the 2nd setting and beyond, the model coefficient for the PFS surrogate measures increased significantly, as did the model R^2 . When the analysis was limited to trials in the first-line setting, the statistically significant correlations between the surrogate PFS measures and improvements in OS were lost, consistent with findings of the patient-level analysis conducted by Burzykowski et al. [19]. These observations indicate that PFS can be a suitable surrogate for OS in MBC randomized trials evaluating new treatments in the 2nd setting and beyond. In the 1st setting, PFS as a primary trial endpoint is of limited clinical value and should be supplemented with

meaningful patient reported outcome measures such as improvements in performance status, symptom control, and weight gain [8].

There are a number of limitations in the current study that need to be acknowledged. All meta-analyses are affected by the quality of the studies analyzed. For that reason, we limited our review to published prospective randomized trials with sufficient sample size. However, publication bias remains an issue and it must also be remembered that meta-analyses are only associations between trial-level parameters and study outcomes. True causation can only be established with an analysis of patient-level data. The R^2 of the various multivariate models ranged from 31 to 75 %. Therefore, there are additional factors contributing to the variability between the PFS-OS surrogacy that were not accounted. In 55 of the 84 eligible comparative trial arms, the HR for either PFS or OS was not reported. Hence, it had to be manually calculated using the reported medians. Such an approach may not reflect the true HR from a properly conducted survival analysis. In 3 of the accepted trials, we were also unsure if the current FDA definition of PFS was used. Lastly, variability in the evaluation of PFS between trials may also have impacted the observed differences in median PFS.

Despite these limitations, the findings of this correlative meta-analysis of prospective randomized trials were consistent with other trial-level analyses and indicate that

improvements in PFS are correlated with increased OS. However, the effect appears to be driven by trials evaluating new drugs in ≥ 2 nd-line setting. Therefore, PFS can be a suitable surrogate for OS in MBC randomized trials evaluating new treatments in the 2nd setting and beyond. The use of PFS alone as a primary trial endpoint in the 1st-line setting is not recommended.

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Compliance with ethical standards

Conflict of interest The authors declare that they have no conflict of interest.

Appendix: List of studies included in the meta-analysis

- Ackland SP, Anton A, Breitbach GP et al. (2001) Dose-intensive epirubicin-based chemotherapy is superior to an intensive intravenous cyclophosphamide, methotrexate, and fluorouracil regimen in metastatic breast cancer: a randomized multinational study. *J Clin Oncol* 19:943–953.
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