

# Racial Disparities in Survival Among Advanced Non-Small Cell Lung Cancer Patients First-Treated with The Combination of Paclitaxel and Platinum

**Chenyang Zhao**

Center for Drug Clinical Evaluation, Shanghai University of Traditional Chinese Medicine

<https://orcid.org/0000-0003-0153-2677>

**Fengli Wang**

Shanghai University of Traditional Chinese Medicine

**Jihan Huang**

Shanghai University of Traditional Chinese Medicine

**Yinghua Lv**

Shanghai University of Traditional Chinese Medicine

**Fang Yin**

Shanghai University of Traditional Chinese Medicine

**Hongxia Liu**

Shanghai University of Traditional Chinese Medicine

**Qingshan Zheng**

Shanghai University of Traditional Chinese Medicine

**Lujin Li** (✉ [lilujin666@163.com](mailto:lilujin666@163.com))

Shanghai University of Traditional Chinese Medicine

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## Research

**Keywords:** Paclitaxel, Platinum, Advanced NSCLC, Overall Survival, Modeling and simulation

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3 **The Combination of Paclitaxel and Platinum**

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5 Chenyang Zhao<sup>1</sup>, Fengli Wang<sup>1</sup>, Jihan Huang<sup>1</sup>, Yinghua Lv<sup>1</sup>, Fang Yin<sup>1</sup>, Hongxia Liu<sup>1</sup>,  
6 Qingshan Zheng<sup>1</sup>, Lujin Li<sup>1</sup>

7  
8 <sup>1</sup>Center for Drug Clinical Evaluation, Shanghai University of Traditional Chinese  
9 Medicine, Shanghai, China

10  
11 **Corresponding author:** Dr. Lujin Li; Center for Drug Clinical Evaluation, Shanghai  
12 University of Traditional Chinese Medicine, Shanghai, China; Email:  
13 lilujin666@163.com; Prof. Qingshan Zheng, Center for Drug Clinical Evaluation,  
14 Shanghai University of Traditional Chinese Medicine, Shanghai, China; Email:  
15 qingshan.zheng@drugchina.net

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17

18 **Abstract**

19 **Background:** In clinical practice, different chemotherapy schedules for NSCLC  
20 have potential impacts on overall survival, but not specific in NCCN guidelines.  
21 Although some meta-analyses have been conducted to identify the influencing factors,  
22 the results are limited by method. Our study is helpful to supplement the NCCN  
23 Guidelines.

24 **Methods:** In order to evaluate and quantify the potential relationship between  
25 demographic characteristics, disease characteristics, etc. and overall survival as well as  
26 their impact on objective response rate and safety, we developed parametric  
27 proportional hazard regression models to describe the overall survival of advanced  
28 NSCLC patients first-treated with the paclitaxel-platinum regimen.

29 **Results:** The principal finding of this research was that race significantly affected  
30 hazard of dying. Hazard of dying was 1.4 times higher in non-East Asians than in East  
31 Asians, and the hazard ratio of the OS curve was 0.71(95%CI: 0.65-0.78). The median  
32 survival time in East Asians and non-East Asians were estimated as 12.2 (95%CI: 10.5,  
33 14.4) and 8.4 (95%CI: 6.5, 11.0) months, respectively. The ORR was 37% (95%CI: 32,  
34 41) and 28% (95%CI: 25, 32) in East Asians and non-East Asians, respectively.

35 **Conclusions:** Paclitaxel-platinum regimen had different efficacy in two racial groups.  
36 The developed model suggests that the efficacy and safety of paclitaxel-platinum  
37 regimen can vary between different racial populations because of differences in  
38 influencing factors (doses, platinum type, cycles, etc.)

39 **Keywords:** Paclitaxel, Platinum, Advanced NSCLC, Overall Survival, Modeling and

40 simulation

41

## 42 **1. Background**

43 Over the past decade, targeted therapy and immunotherapy have led to new  
44 developments in the treatment of non-small cell lung cancer (NSCLC) based on  
45 molecular and immunological research.<sup>1</sup> Research in this area has shown that the  
46 incidence of NSCLC with EGFR mutation is the highest among various molecular  
47 subtypes. Approximately 20% of patients with advanced NSCLC have EGFR mutation,  
48 with ALK rearrangement, MET mutation, ROS1 rearrangement, and BRAF mutation  
49 showing a prevalence of approximately 5%, 4%, 1%, and 2%, respectively.<sup>2</sup> However,  
50 more than 50% of patients with advanced NSCLC still have unknown gene mutations,  
51 and thus cannot receive targeted therapy.<sup>3</sup> Lee (2014) compared targeted therapy and  
52 conventional chemotherapy in EGFR wild-type patients, and the results showed that  
53 conventional chemotherapy led to significantly higher progression-free survival (PFS)  
54 and objective response rate (ORR) than targeted therapy.<sup>4</sup> In immunotherapy, patients  
55 with PD-L1 expression levels above 50% could significantly benefit from conventional  
56 chemotherapy; however, in fact, only 23-28% of patients with advanced NSCLC had  
57 high PD-L1 expression levels.<sup>5</sup> Therefore, most patients cannot benefit from targeted  
58 therapy or immunotherapy, and chemotherapy remains the cornerstone of treatment for  
59 advanced NSCLC.

60 The combination of paclitaxel and platinum drugs is a recognized first-line  
61 chemotherapy regimen for the treatment of advanced NSCLC.<sup>6</sup> However, the NCCN

62 Clinical Practice Guidelines in Oncology for NSCLC recommend conventional  
63 treatment options without clarifying the specific details, such as the times of  
64 administration, cycles of chemotherapy, and doses of paclitaxel in combination with  
65 platinum drugs, and thus may cause great differences between different paclitaxel-  
66 platinum regimens in clinical practice. Of particular concern is that the efficacy and  
67 safety of a paclitaxel-platinum regimen may not be identical in different populations.  
68 In a study by Soo (2011), Asians and Caucasians showed different responses to  
69 chemotherapy; Asians, who also received chemotherapy for advanced NSCLC, showed  
70 higher overall survival (OS) rates and longer median survival time than Caucasians.<sup>7</sup>  
71 Consequently, finding a safer and more effective chemotherapy regimen for a  
72 paclitaxel-platinum regimen in different populations is not only beneficial for clinical  
73 practice but also a great help for the development of new drugs. In many clinical trials  
74 of new drugs, a paclitaxel-platinum regimen is often used as a positive control, basic  
75 therapy, and even external control for single-arm trials. Heterogeneity of treatment  
76 plans and patient populations in different trials may lead to differences in efficacy and  
77 safety. Therefore, when evaluating the sample size of new drugs in clinical trials, or  
78 when determining the cutoff value of efficacy or safety in external controls, caution  
79 should be taken to find the relevant literature data.

80 Gao (2012) found that paclitaxel had similar efficacy but better safety when  
81 administered once a week versus every 3 weeks, and the weekly schedule was suitable  
82 for elderly patients who could not tolerate the standard regimen and for patients with  
83 poor performance status scores.<sup>8</sup> In terms of chemotherapy cycles, Soon (2009) found

84 that longer cycles can statistically increase OS and PFS, but did not investigate whether  
85 the extension of the cycle would increase the incidence of adverse events.<sup>9</sup> Moreover,  
86 this study was published relatively early, and only a few trials were included; thus, there  
87 are some potential limitations. Thus far, several studies have indicated that six cycles  
88 and three to four cycles of platinum-based first-line treatment did not significantly  
89 improve OS and PFS in patients with advanced NSCLC. In addition, the incidence of  
90 anemia was higher with six cycles; thus, fewer cycles of chemotherapy were  
91 recommended.<sup>10</sup> It should be noted that these studies did not distinguish the  
92 heterogeneity of subjects in the trial, and thus their conclusions may be more prone to  
93 bias.

94 Model-based meta-analysis (MBMA) is a powerful analytical method for dealing  
95 with heterogeneity. Quantitative analysis of influencing factors can be conducted  
96 simultaneously by establishing a covariate model and obtaining quantitative results by  
97 evaluating the degree of influence of those factors on efficacy or safety. Importantly,  
98 MBMA can be used to analyze OS rate in the entire time course and not just in a single  
99 index, such as median survival time and 1-year survival rate, by establishing a  
100 proportional hazard regression model. After a hazard model is developed, it can be used  
101 to predict OS rate at any time within 5 years, such as 0.5, 1, 1.5, and 2 years, showing  
102 better flexibility and practicability in the evaluation of new drugs.

103 In this study, MBMA was conducted to explore and quantitatively assess the  
104 influencing factors of paclitaxel-platinum regimens as a first-line chemotherapy in  
105 patients with advanced NSCLC, including cycles of chemotherapy, dosage, times of

106 administration, and baseline characteristics of patients. We hope this research will offer  
107 a fresh perspective on the quantitative information necessary for clinical practice and  
108 provide a more accurate cutoff value for the distribution of positive drugs for clinical  
109 trials of new drugs.

110

## 111 **2. Patients and Methods**

### 112 **2.1 Literature sources**

113 A systematic literature search was performed using PubMed and the Cochrane  
114 Library and completed on July 1, 2019. The terms “carboplatin,” “cisplatin,”  
115 “paclitaxel,” “albumin-bound paclitaxel,” and “non-small cell lung cancer” were the  
116 key words used in the search. The search was limited to English language literature and  
117 clinical trials. Specific details on the search strategy are shown in the Supplementary.

118

### 119 **2.2 Patients, data extraction, and software**

120 All patients had advanced stage IIIB and IIIC or stage IV NSCLC and received  
121 carboplatin/cisplatin in combination with paclitaxel/albumin-bound paclitaxel as a first-  
122 line chemotherapy regimen. The patients had not received any treatment before  
123 enrollment, including surgical resection, radiotherapy, or chemotherapy. Specific  
124 inclusion and exclusion criteria are detailed in the Supplementary.

125 Excel (Microsoft, USA) was used to manage the literature characteristics, trial  
126 design, demographic characteristics, disease characteristics, efficacy, and safety results.

127 The Engauge Digitizer (Mark Mitchell, USA) software was used to extract survival data

128 from Kaplan-Meier curves in the literature.

129 NONMEM7.3 (ICON Development Solutions, USA) was used to construct the  
130 model and Bayesian feedback of model parameters in each experimental group. Model  
131 simulation and graph drawing were completed by R4.0.1 (Lucent Technologies, USA).  
132 Meta-analysis was performed using Stata Software Version 14 (2013; Stata Corp LP,  
133 College Station, TX, USA).  $P \leq 0.05$  indicated a statistically significant difference.

134

### 135 **2.3 Literature quality evaluation**

136 The Cochrane Risk of Bias Table was used to evaluate literature quality, including  
137 random sequence generation, allocation concealment, blinding of participants and  
138 personnel, blinding of outcome assessment, incomplete outcome data, selective  
139 reporting, and other biases. Other biases were defined as baseline characteristics that  
140 were not comparable between different groups in the trial.

141

### 142 **2.4 Modeling analysis of overall survival**

#### 143 **2.4.1 Model development and model selection criteria**

144 In this study, a parametric proportional hazard regression model was used to  
145 explore OS data so as to analyze the distribution of OS time of patients treated with a  
146 paclitaxel-platinum regimen. The hazard function for death was based on the following  
147 equation:

$$\text{Hazard function} \quad h(t) = h_0(t) \cdot e^{(\alpha_1 \cdot x_1 + \alpha_2 \cdot x_2 + \dots + \alpha_n \cdot x_n + \eta)} \quad (1)$$

$$\text{Exponential function} \quad h_0(t) = \lambda_0 \quad (2)$$

*Gompertz function*  $h_0(t) = \lambda_1 \cdot \exp(\beta_1 \cdot t)$  (3)

*Weibull function*  $h_0(t) = \lambda_1 \cdot \exp(\beta_1 \cdot \ln(t))$  (4)

*Cumulative hazard function*  $\Lambda(0, t) = \int_0^t h(t) dt$  (5)

*Survival function*  $S(t)_i = \exp(- \int_0^t h(t)_i dt) + w_{i,t} \cdot \varepsilon_{i,t}$  (6)

*Standard error function*  $SE_{i,t} = \sqrt{\frac{P_{i,t} \times (1 - P_{i,t})}{N_{i,t}}}$  (7)

148 OS rate is affected by many factors in survival analysis, and censored data are  
 149 included in many studies. The distribution of OS was not exactly determined nor did it  
 150 meet the normal distribution and homogeneity of variance. Therefore, hazard rate was  
 151 used as a dependent variable in this study.

152 In formula (1),  $h(t)$  represents the instantaneous hazard of dying at time  $t$ , which  
 153 was obtained by multiplying two parts. Among them,  $h_0(t)$  describes the base hazard  
 154 function, in which instantaneous hazard of dying changed over time. We first examined  
 155 the fitting effectiveness of the exponential, Gompertz, and Weibull functions on  
 156 survival data. In formulas (2)-(4),  $\lambda_0$  and  $\lambda_1$  represent the hazard rate at time 0, and  $\beta_1$   
 157 represents the regression coefficient of the hazard rate changing over time. In the  
 158 exponential function, hazard rates were assumed to be constant values that did not  
 159 change over time. Therefore, hazard rates were constant at each moment. However, in  
 160 the Gompertz and Weibull functions, hazard rates would change over time as a function  
 161 of exponential.  $e^{(\alpha_1 \cdot x_1 + \alpha_2 \cdot x_2 + \dots + \alpha_n \cdot x_n + \eta)}$  describe the effect of covariates on hazard  
 162 rates, where  $x_1, x_2, \dots, x_n$  represent 1-n covariates that affect hazard rates, and their  
 163 impact coefficients on hazard rates are  $\alpha_1, \alpha_2, \dots, \alpha_n$ . In formula (5),  $\Lambda(0, t)$  is the

164 cumulative hazard rate from time 0 to t, which is the integral value of the hazard  
 165 function h(t) from time 0 to t. In formula (6), S(t)<sub>i</sub> is the survival function at time point  
 166 t for the i-th study, which was the reciprocal of the exponential cumulative hazard of  
 167 dying ( $e^{-\Lambda(0,t)}$ ). When S(t)<sub>i</sub> is 0.5, t is the median survival time of the i-th study.  $\varepsilon_{i,t}$  is  
 168 the residual variation in survival rate at time t in the i-th study, and needs to be corrected  
 169 by the standard error of the survival rate (SE<sub>i,t</sub>) at that time point. That is, the larger the  
 170 standard error, the greater the residual variation.

171 After establishing the base model, a covariate model was developed using the  
 172 forward inclusion-backward elimination method. We screened out covariates that  
 173 affected hazard of dying, including age, gender, performance status, clinical stage,  
 174 pathological type, dosage, platinum type (carboplatin or cisplatin), cycles of  
 175 chemotherapy, times of administration, and race. If the above covariates were not  
 176 available in some studies, the median was used. As hazard of dying was the parameter,  
 177 the inclusion and elimination procedures of all covariates were carried out on  $\lambda$ . The  
 178 boundary values of forward inclusion and backward elimination were set to P<0.05 and  
 179 P<0.01, respectively. Continuous variables were introduced as formula (8), and  
 180 categorical variables were introduced as formula (9):

$$181 \quad \lambda_{0_{individual}} = \lambda_{0_{typical}} \times e^{(\eta+(COV-COV_{median})\times\theta_{COV})} \quad (8)$$

$$182 \quad \lambda_{0_{individual}} = \lambda_{0_{typical}} \times e^{(\eta+COV\times\theta_{COV})} \quad (9)$$

183 In the covariate screening, the influence of a single covariate on the efficacy end  
 184 point (OS) was investigated for primary screening. The detailed process is shown in  
 185 Supplementary Table 1. If the objective function value of the model decreased by more

186 than 3.84 (df=1, P=0.05), the covariate was considered to have a significant influence  
187 on the parameters. Next, previously selected covariates were introduced forward and  
188 eliminated backward one by one to identify the covariates that had a significant  
189 influence on the model.

190  $\lambda_{0\text{individual}}$  is the parameter value for hazard of dying in each study, and  $\lambda_{0\text{typical}}$  is  
191 the typical value for hazard of dying in each study. COV is the covariate value of each  
192 study,  $\text{COV}_{\text{median}}$  is the median value of the covariate, and  $\theta_{\text{COV}}$  is the correction factor  
193 of the covariate to hazard rates.  $\eta$  is the inter-trial variation of hazard rates. That is, the  
194 variation could not be explained by covariates.

195

#### 196 **2.4.2 Model evaluation**

197 After the final model was established, the goodness-of-fit of the model was  
198 visually evaluated using the R (Lucent Technologies, USA) software, in which  
199 predicted values and residuals were checked to assess the potential bias of the model.  
200 Next, sampling of the final model parameters was repeated 1000 times by Bootstrap to  
201 obtain the median and 95% confidence interval (95%CI) of the model parameter  
202 distribution. They were then compared with the final model parameters to evaluate the  
203 stability of the model. Finally, we conducted 1000 simulations of the final model using  
204 the Monte Carlo method to obtain the median OS at each time and the 95%CI.  
205 Comparison of intervals with observations as well as visualization of the results were  
206 performed using the R software to determine whether the model is reliable and can  
207 accurately predict the results.

#### 208 **2.4.3 Simulation**

209 After the final model was constructed, we found that some covariates significantly  
210 influenced OS in the screening process. The typical survival time curve and 95%CI of  
211 the covariate at different levels could be simulated based on the final model parameters.  
212 We calculated the median survival time and survival rates within 5 years.

213 This study focused on the covariates (paclitaxel doses, platinum type, cycles of  
214 chemotherapy, and times of administration) related to the regimen. Even if the above  
215 factors were not found to significantly affect OS, the OS distribution of these covariates  
216 for different levels would be obtained through the following methods. The specific  
217 method was to obtain the model parameters of each experimental group using Bayesian  
218 feedback. Subsequently, to obtain the distribution of efficacy parameters at different  
219 covariate levels, the random-effects model in the single-arm meta-analysis was used to  
220 combine and analyze the model parameters of each group according to the different  
221 covariate levels. That is, the point estimates of the model parameters and their 95%CIs.  
222 The parameters were then randomly drawn from the model distribution at each  
223 covariate level, and the survival rate at each time point was calculated. This process  
224 was repeated 1000 times to obtain the typical value of the survival time curve and their  
225 95%CIs at different covariate levels. Finally, we calculated the median survival time  
226 and survival rates within 5 years.

227

## 228 **2.5 Objective response rate and safety analysis**

229 The random-effects model in the single-arm meta-analysis was used to analyze  
230 ORR and the incidence of grade 3-4 adverse effects (AEs) in each experimental group

231 according to the different covariate levels to obtain the typical values of ORR and the  
232 incidence of AEs at different covariate levels. Their 95% CIs were also obtained.

233

## 234 **3. Results**

### 235 **3.1 Data Characteristics**

236 In total, 31 articles were included.<sup>11-41</sup> A total of 3,365 participants from 37  
237 experimental groups were included in the analysis. The flow chart of the literature  
238 screening is shown in Figure 1. The baseline characteristics of the patients are shown  
239 in Table 1. The participants were all previously untreated patients with advanced or  
240 metastatic NSCLC who received a paclitaxel-platinum regimen as a first-line  
241 chemotherapy. Drugs were administered intravenously. The median age of these  
242 patients was 62.5 years (range 26–87 years), and most of them presented with advanced  
243 clinical stage IV (20.4% stage IIIB and 79.6% stage IV). Most patients (98.3%) had an  
244 ECOG PS of 0-1. Regarding histology, squamous cell carcinoma accounted for 29% of  
245 cases, and adenocarcinoma accounted for 50%. The proportions of other histology, such  
246 as large cell carcinoma and adenosquamous carcinoma, were minor. A total of 13.7%  
247 of the patients were from East Asia (including China, Japan, and South Korea).

248 The median administered dose of paclitaxel was 175 mg/m<sup>2</sup> (range 40–225 mg/m<sup>2</sup>).  
249 The median administered dose of carboplatin was AUC = 6 mg/mL·min (range AUC  
250 = 2–6 mg/mL·min). The median administered dose of cisplatin was 75 mg/m<sup>2</sup> (range  
251 20–200 mg/m<sup>2</sup>). In terms of chemotherapy cycles, 75.1% of patients received 4-6 cycles,  
252 57.4% received 6 cycles, and 15.9% received 4 cycles, with 21-day and 28-day cycles

253 accounting for 88.4% and 2.7%, respectively. Regarding the times of drug  
254 administration, 77.1%, 3%, and 3.7% of patients were administered paclitaxel once,  
255 twice, and three times, respectively, and 76.6%, 3%, and 4.2% of patients were  
256 administered platinum drugs once, twice, and three times, respectively. Regarding  
257 dosage forms, albumin-bound paclitaxel and paclitaxel liposomes were used in only  
258 two trials, and paclitaxel was in used the remaining trials. Among platinum drugs,  
259 cisplatin liposomes were used in only one trial, and cisplatin or carboplatin was used in  
260 the remaining trials.

261

## 262 **3.2 Model development and evaluation**

### 263 **3.2.1 Overall survival**

264 Analysis of pooled data from the 31 included trials revealed that the exponential  
265 hazard function had the best description of OS among the hazard function models, as it  
266 showed the most stable estimation of model parameters. Therefore, the exponential  
267 hazard function was chosen as the base hazard model. During covariate screening, we  
268 found that race had a significant influence on hazard of dying. The hazard of dying in  
269 non-East Asians was 1.4 times ( $e^{0.37}$ ) higher than that in East Asians. The estimated  
270 values of the parameters of the final model are shown in Supplementary Table S5, and  
271 the covariate model is expressed as follows:

$$272 \quad h(t) = 0.0572 \cdot e^{(Race \cdot 0.37)} \quad (10)$$

273 In formula (10), Race 0 represents East Asians, and Race 1 represents non-East  
274 Asians. That is, the typical instantaneous hazard of dying in East Asians was 0.0572,

275 and that in non-East Asians was 0.08281 ( $0.0572 \cdot e^{0.37}$ ). The final model is as follows:

$$276 \quad P_i = e^{-\int_0^{t_j} (0.0572 \times e^{(N(0,0.245^2) + RACE \times 0.37)})} + \sqrt{\frac{P_{i,j}(1-P_{i,j})}{N_{i,j}}} \times (N(0, 1.916^2))$$

277 (11)

278  $P_i$  is the OS probability of the  $i$ -th experimental group.  $N(0, 0.245^2)$  is the  
279 intergroup variation, which satisfied the normal distribution of mean 0 and standard  
280 deviation 0.245.  $N(0, 1.916^2)$  is the intragroup variation, which satisfied the normal  
281 distribution of mean 0 and standard deviation 1.916.

282 After the final model was established, parameter values and standard errors were  
283 estimated by Bayesian feedback. Bootstrap was successfully minimized 1,000 times.  
284 The median of the model parameters estimated by Bootstrap and its 95%CI were very  
285 close to the estimated parameters of the final model. This further indicates the  
286 robustness of our model. The model diagnostic plots are displayed in Supplementary  
287 Figure S2, which shows that the population predicted values versus observed values  
288 were relatively uniformly distributed around 0. Although there were some dispersions  
289 compared with the individual predicted values, considering that the population  
290 predicted values contained intergroup variations, conditional weighted residuals were  
291 distributed between  $\pm 4$ . In the plot of time versus conditional weighted residuals,  
292 distribution was slightly uneven, which may be related to the different visit times of  
293 each experimental group. These trials mainly focused on the visit point within 16  
294 months. The VPC plot generated using the Monte Carlo method, as shown in  
295 Supplementary Figure S4, showed that most of the observed values fell within the  
296 95%CI of the predicted values. The results indicated the good predictive ability of the

297 model. In summary, the model could accurately predict the OS probability of patients  
298 at each visit point.

299 The simulated results are shown in Figure 2, where the typical OS curve of East  
300 Asians was significantly different from that of non-East Asians. The 95% CIs of the  
301 respective typical OS curves did not overlap (hazard ratio, 0.71; 95% CI, 0.65 to 0.78).  
302 It was estimated that the median survival time in East Asians and non-East Asians was  
303 12.2 (95% CI: 10.5, 14.4) and 8.4 (95% CI: 6.5, 11.0) months, respectively. As shown in  
304 Table 2, 1-year OS rates in East Asians and non-East Asians were 50.3% (95% CI: 45.0,  
305 56.1) and 37.2% (95% CI: 27.3, 46.2), respectively. The estimated OS rates at other  
306 times are shown in Table 3.

307 Among the covariates predicted to be related to the regimen, none was found to  
308 have a significant effect on OS in the final model; however, OS curve for different  
309 schedules could still be obtained according to the distribution of model parameters  
310 under different schedules. As race had a significant effect on OS, to avoid the effect of  
311 heterogeneity on the results, we conducted a subgroup analysis based on race. Because  
312 of the complexity of race, all patients were divided into two major groups according to  
313 region: East Asians and non-East Asians. We explored the effects of four cycles of  
314 chemotherapy versus six cycles; 21 days per cycle versus 28 days; platinum drugs  
315 administered 1, 2, or 3 times per cycle; paclitaxel administered 1, 2, or 3 times per cycle;  
316 paclitaxel doses; and carboplatin versus cisplatin on OS in the two racial groups. The  
317 results of this analysis are presented in Figure 2. In Non-East Asians, six cycles of  
318 chemotherapy versus four cycles; 21 days per cycle versus 28 days; paclitaxel 200–225

319 mg/m<sup>2</sup> versus 175 mg/m<sup>2</sup>; and paclitaxel administered once per cycle versus three times  
320 significantly increased OS time. OS was significantly longer with 21 days per cycle  
321 than with 28 days per cycle. One-time paclitaxel administration per cycle led to  
322 significantly longer OS than three-time paclitaxel administration per cycle. The same  
323 trends were observed in East Asians. However, the trends were not obvious owing to  
324 the small sample size of the experimental groups and the large variation between trials.  
325 In addition, one interesting result emerged that carboplatin tended to be more effective  
326 than cisplatin in East Asians, but showed no obvious tendency in non-East Asians.

327

### 328 **3.2.2 Objective response rate**

329 Meta-analysis of ORR between the two racial groups showed that ORR in East  
330 Asians was significantly higher than that in non-East Asian patients, which manifested  
331 as not overlapping 95% CIs. According to the meta-analysis, the ORR was 37% (95%CI:  
332 32, 41) and 28% (95%CI: 25, 32) in East Asians and non-East Asians, respectively.  
333 However, as shown in Figure 3A-B, there was no significant difference in ORR between  
334 East Asians and non-East Asians at different covariate levels in the subgroup meta-  
335 analysis of ORR.

336

### 337 **3.2.3 Adverse effects**

338 The meta-analysis results of grade 3-4 AEs in the two racial groups are shown in  
339 Supplementary Table S6. In hematological toxicity analysis, there was a significant  
340 difference between the two racial groups in the incidences of leukopenia, neutropenia,

341 and febrile neutropenia. The incidences of these AEs in East Asians and non-East  
342 Asians were 27% (95% CI: 17, 37) and 11% (95% CI: 8, 15), 54% (95% CI: 41, 67)  
343 and 19% (95% CI: 14, 25), and 20% (95% CI: 6, 51) and 3% (95% CI: 1, 6), respectively.  
344 Among non-hematological toxicities, only nervous system disease was significantly  
345 different between the two racial groups; its incidence was 3% (95%CI: 1, 5) in East  
346 Asians and 9% (95%CI: 6, 13) in non-East Asians. Figure 3C-F presents the meta-  
347 analysis results of grade 3-4 AEs in the subgroups. There were significant differences  
348 in the incidence of AEs between the two racial groups at different covariate levels. In  
349 both racial groups, the incidence of leukopenia was significantly higher following six  
350 cycles of chemotherapy than after four cycles of chemotherapy. Moreover, the  
351 incidence of leukopenia with 28 days per cycle was higher than that with 21 days per  
352 cycle in non-East Asians. The incidence of neutropenia following one-time paclitaxel  
353 administration per cycle was higher than that after three-time administration.  
354 Neutropenia incidence was also different between 28 days per cycle and 21 days per  
355 cycle. In East Asians, there were differences in the incidence of leucopenia between  
356 cycles of chemotherapy and between platinum types.

357

#### 358 **4. Discussion**

359 In reviewing the literature, little data were found on the association between OS  
360 and the different influencing factors (doses, platinum type, cycles of chemotherapy,  
361 times of administration). One of the aims of this study was to simulate the relationship  
362 between OS and different influencing factors in the two racial groups (East Asians and

363 non-East Asians) treated with a paclitaxel-platinum-based regimen, as well as the  
364 relationship between ORR, grade 3/4 AEs, and these influencing factors. The most  
365 obvious finding of the analysis was that the efficacy end point (OS) in non-East Asian  
366 patients was related to cycles of chemotherapy, duration (days) of one cycle, doses, and  
367 times of paclitaxel administration. The efficacy end point (OS) was related to platinum  
368 type in East Asians. Another important finding was that the incidence of leukopenia  
369 was related to cycles of chemotherapy and duration (days) of one cycle, and that  
370 neutropenia was related to the times of paclitaxel administration and duration (days) of  
371 one cycle in non-East Asian patients. The incidence of leukopenia in East Asian patients  
372 was related to cycles of chemotherapy and platinum type.

373 Our results showed that non-East Asians achieved longer OS when administered  
374 paclitaxel 200–225 mg/m<sup>2</sup> once every 3 weeks for six cycles of chemotherapy. In  
375 contrast, the incidence of leukopenia was significantly higher with six cycles than with  
376 four cycles of chemotherapy. And the incidence of leukopenia was significantly higher  
377 with 28 days per cycle than with 21 days per cycle. The incidence of neutropenia was  
378 significantly higher when paclitaxel was administered once compared with when it was  
379 administered three times. Meanwhile, there were considerable differences in the  
380 incidence of neutropenia between 21 days per cycle and 28 days per cycle. This may  
381 occur because, owing to the lack of data on neutropenia, the confidence intervals were  
382 not completely separated and the difference was not significant. Sakakibara (2009) and  
383 Belani (2008)<sup>42, 43</sup> reported that all efficacy parameters were similar between weekly  
384 and the standard every-3-week administration of carboplatin combined with paclitaxel.

385 Their results were in accordance with our current findings, indicating that three-time  
386 paclitaxel administration was less toxic than but had comparable efficacy to one-time  
387 administration. This intriguing result could be attributed to the nonlinear  
388 pharmacokinetic behavior of paclitaxel. Paclitaxel systemic exposure is significantly  
389 increased as its systemic clearance is decreased, which changes its pharmacodynamics  
390 and increases the risk of systemic toxicity.<sup>44, 45</sup> Longer infusion of paclitaxel caused  
391 greater myelosuppression, but did not lead to higher response rate.<sup>46</sup> In our study, as no  
392 data on infusion time were collected, it was impossible to verify whether infusion time  
393 affects the incidence of AEs. However, previous studies showed that there was no  
394 difference in OS between different infusion times.

395 In East Asians, carboplatin was more effective than cisplatin, but led to higher  
396 incidence of leukopenia. On the contrary, in a study by de Castria (2013)<sup>47</sup>, there was  
397 no significant difference in OS between cisplatin and carboplatin. It is possible that this  
398 previous finding was due to the lack of distinction between racial groups. In addition,  
399 our analysis revealed that four cycles of chemotherapy had better safety and lower  
400 incidence of leukopenia than six cycles of chemotherapy.

401 In the meta-analysis of ORR and the incidence of grade 3-4 AEs, meta-regression  
402 was used to explore the source of heterogeneity to avoid its influence. Further analysis  
403 showed that race, platinum type, and paclitaxel dose were the sources of heterogeneity  
404 in ORR, but there was no correlation between these factors. Race was the source of  
405 heterogeneity in the incidence of leucopenia and neutropenia. We then performed a  
406 subgroup analysis of ORR, leukopenia incidence, and neutropenia incidence in two

407 racial groups. The results showed that the heterogeneity was significantly reduced, but  
408 still present. Further meta-regression revealed that platinum type was the source of  
409 heterogeneity in ORR among non-East Asian patients, and cycles of chemotherapy  
410 were the source of heterogeneity in leucopenia incidence. In addition, platinum type  
411 was the source of heterogeneity in leucopenia incidence among East Asians. The  
412 sources of heterogeneity, as identified by meta-regression, were consistent with the  
413 results of the meta-analysis. However, as meta-regression could not fully explain all  
414 heterogeneity, residual heterogeneity was still present.

415 Our analysis was based on the data provided by authors of the pooled studies, not  
416 on individual patient data. Despite our novel findings, there were several limitations to  
417 our study. First of all, because some studies did not indicate the race of patients, this  
418 study mainly divided two racial groups by region (East Asians and non-East Asians). In  
419 the sensitivity analysis, we found that after the data of Indians were deleted, the change  
420 rate of model parameter estimates was only 0.2%. The results indicated that the stability  
421 of the model was not affected by it, and that these two racial groups could be considered  
422 equivalent to western and Asian populations. Second, considering that the efficacy of  
423 paclitaxel may be affected by the dosage forms, a related sensitivity analysis was also  
424 conducted in this study. Socinski (2012) and Tan (2018) noted that solvent paclitaxel  
425 and albumin-bound paclitaxel in combination with carboplatin prolonged OS in an  
426 elderly group, but the young group also showed similar results<sup>48, 49</sup>. Our results  
427 indicated that after the data on albumin-bound paclitaxel and liposomal paclitaxel were  
428 deleted, the rate of change of model parameter estimates was 4%, which was less than

429 5%. Next, by comparing 95%CI between the simulated efficacy and the original model,  
430 we found a high coincidence of these intervals. The most important result was that after  
431 the data on Indians, albumin-bound paclitaxel, and liposomal paclitaxel were deleted,  
432 race remained as the covariate that significantly affected OS. Our analysis confirms that  
433 compared with non-East Asians, East Asians had a better efficacy with paclitaxel-  
434 platinum regimen. We believe that the findings of this study will help most patients in  
435 NSCLC and be helpful to supplement the NCCN Guidelines. At the same time, we  
436 suggest that later studies should focus on the differences in efficacy between races.

437

## 438 **5. Conclusion**

439 This study aimed to develop a model for quantitative analysis of the effects of  
440 different covariates on the OS of previously untreated advanced NSCLC patients  
441 treated with a paclitaxel-platinum-based regimen. The results showed that the  
442 paclitaxel-platinum-based regimen had different efficacy in two racial groups, namely  
443 Non-East Asians and East Asians. Therefore, this regimen should be adjusted  
444 accordingly when used clinically. East Asians had longer OS and higher 5-year OS rate  
445 after treatment with a paclitaxel-platinum-based regimen than non-East Asians.  
446 Moreover, the ORR significantly improved. However, the incidence of AEs was  
447 relatively high in the East Asian population owing to low tolerance.

448

## 449 **Abbreviations**

450 AEs, adverse effects; 95%CI, 95% confidence interval; ECOG PS, Eastern Cooperative

451 Oncology Group performance status; MBMA, model-based meta-analysis; NSCLC,  
452 non-small cell lung cancer; ORR, objective response rate; OS, overall survival; PFS,  
453 progression-free survival.

454

#### 455 **Ethics approval and consent to participate**

456 Not applicable

457

#### 458 **Consent for publication**

459 Not applicable

460

#### 461 **Availability of data and materials**

462 All data generated or analysed during this study are included in this published article  
463 and its supplementary information files.

464

#### 465 **Competing interests**

466 The authors have declared that no competing interests exist

467

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473

## 474 **Authors' contributions**

475 Chenyang Zhao conceived the study and drafted the manuscript. All authors revised the  
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477

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# Figures

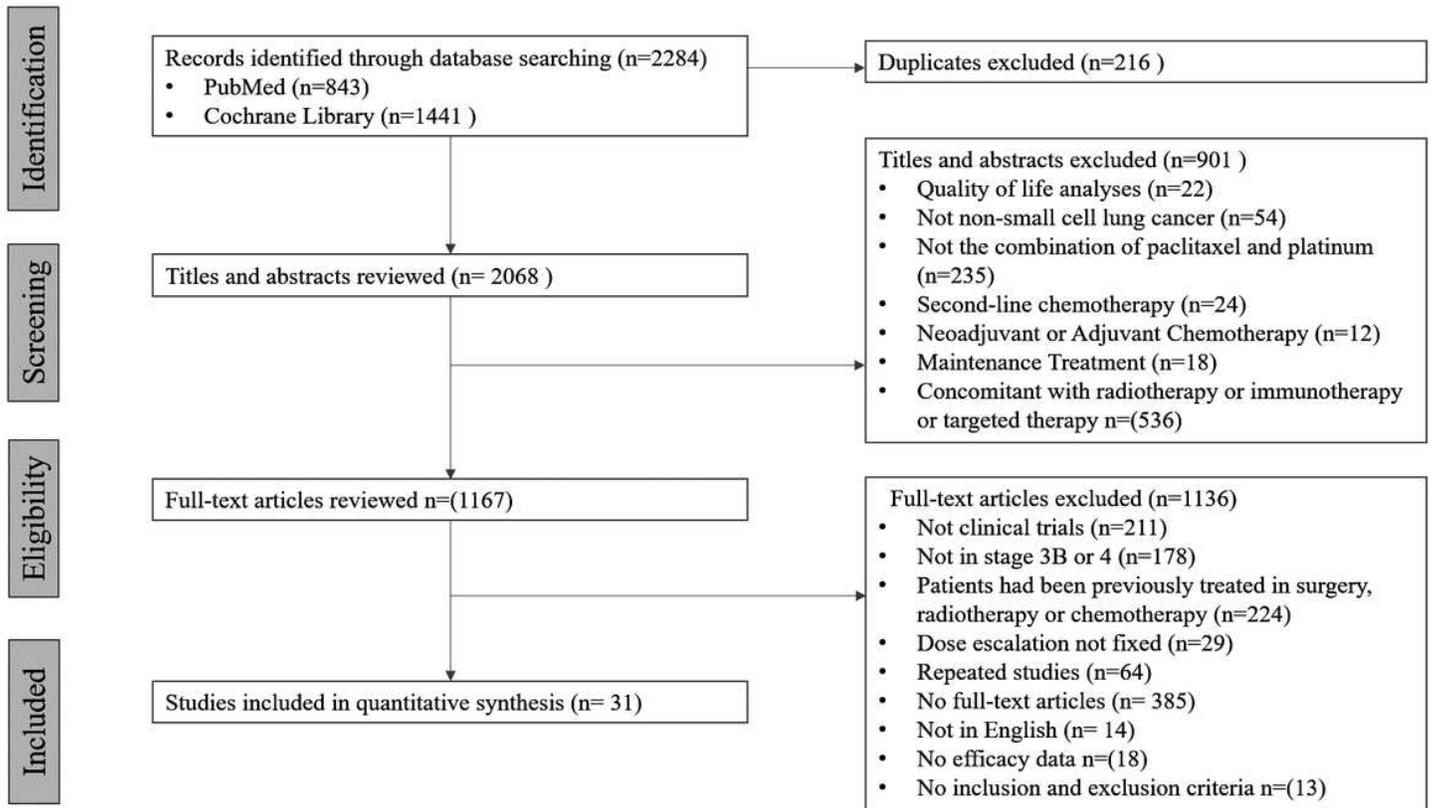
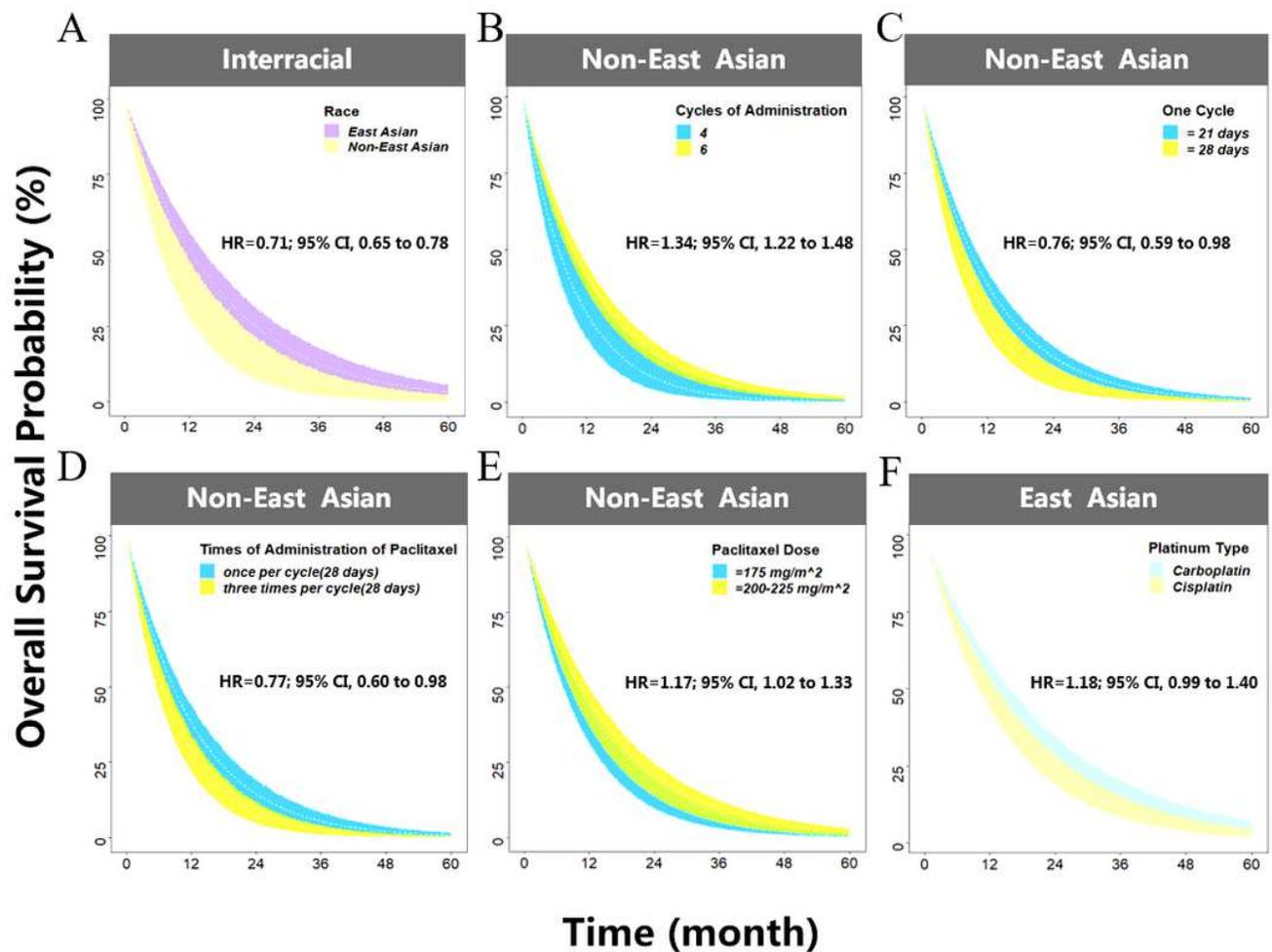


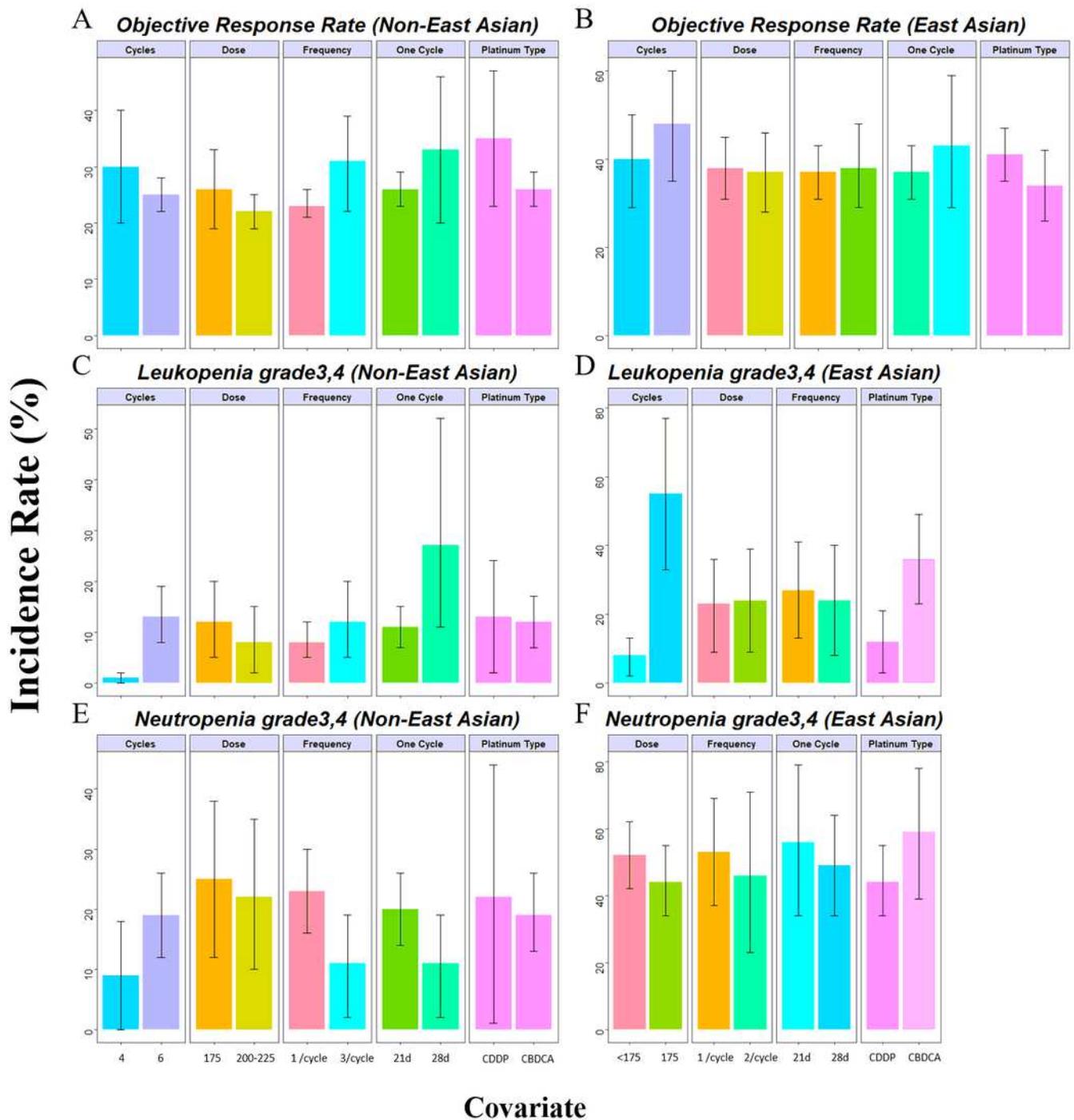
Figure 1

Flow chart of the systematic reviews' inclusion.



**Figure 2**

Predicted OS curve (and its 95% CI) of different racial groups and typical schedules. The shadow represents 95% CIs of OS. The dotted line represents model-predicted 50th percentiles of OS. (A) East Asians versus Non-East Asians (B) 4 versus 6 cycles of chemotherapy in Non-East Asian (C) 21 days per cycle versus 28 days in Non-East Asian (D) Paclitaxel administered 1 versus 3 times per cycle in Non-East Asian (E) Paclitaxel 175 mg/m<sup>2</sup> versus 200–225 mg/m<sup>2</sup> in Non-East Asian; (F) Carboplatin versus cisplatin in East Asian.



**Figure 3**

Visualization results of ORR and grade 3-4 AEs at different covariate levels in subgroup meta-analysis. Error bars represent 95% CI based on meta-analysis. Cycles, cycles of chemotherapy; Dose, paclitaxel doses, Frequency, times of administration of paclitaxel; One cycle, duration (days) of one cycle; 21d, 21days; 28d, 28days; CDDP, cisplatin; CBDCA, carboplatin. Different covariate levels were divided into cycles of chemotherapy (4 versus 6), paclitaxel dose (175 mg/m<sup>2</sup> versus 200–225 mg/m<sup>2</sup>, <175 mg/m<sup>2</sup>

versus 175 mg/m<sup>2</sup>), times of administration of paclitaxel(1/cycle versus 3/cycle,1/cycle versus 2/cycle), duration (days) of one cycle(21days versus 28days), platinum type(cisplatin versus carboplatin).

## Supplementary Files

This is a list of supplementary files associated with this preprint. Click to download.

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