

Review

Physiologic endpoints for clinical studies for cystic fibrosis

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Received 1 April 2016; revised 27 May 2016; accepted 28 May 2016
Available online 15 June 2016

Abstract

The cystic fibrosis (CF) drug development pipeline promises many exciting new treatments for patients with CF, all which will require clinical studies to prove their benefits on CF lung disease. Historically many pivotal CF studies have used the Forced Expiratory Volume in 1 s (FEV₁) as the primary outcome measure, and after demonstrating significant improvements in the treatment group relative to placebo have led to regulatory approval of therapies for routine clinical care. Widespread implementation of these therapies has subsequently led to significant improvements in outcomes for patients with CF. While preserving lung function has obvious benefits to CF patients, as more patients maintain FEV₁ in the normal range, it has become increasingly difficult to conduct clinical trials using FEV₁ as the primary outcome measure. With multiple concurrent trials competing to enroll from the same pool of patients, there is a need for novel approaches to study end points as well as new physiological outcomes for CF therapeutic trials. In this review we will discuss some of the limitations of FEV₁ in the current era of CF care, describe alternative physiological endpoints and outline areas for further research.

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Keywords: Cystic fibrosis; Lung function; Clinical trials; Outcomes

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1. Introduction

The cystic fibrosis (CF) drug development pipeline promises many exciting new treatments for patients with CF, which will require clinical studies to prove their benefits on CF lung disease. While endpoints vary between studies, the most commonly reported surrogate outcome for CF clinical trials to date has been the Forced Expiratory Volume in 1 s (FEV₁), measured by spirometry. Many pivotal studies have used FEV₁ as the primary outcome measure, demonstrating significant improvements in the treatment arm relative to the placebo arm, which in conjunction with supporting evidence from other outcome measures has led to regulatory approval. Implementation of these treatments into routine clinical care has led to significant improvements in outcomes for patients with CF. As a consequence, not only life expectancy, but also clinical severity of lung disease has changed over time [1,2]. Improvements in outcomes have shifted the phenotype of patients with CF across the lifespan, such that many patients now maintain normal lung function well into early adulthood. Preserving lung function has obvious benefits to CF patients, but has made it increasingly difficult to conduct clinical trials using FEV₁ as the primary outcome measure. On one hand larger study populations are needed to demonstrate smaller treatment effects in patients that are already heavily treated. On the other hand proportionally fewer patients are in the range of disease severity commonly included into clinical trials to prove efficacy in CF patients. With multiple concurrent trials competing to enroll from the same pool of patients, there is a need for novel approaches to study endpoints as well as new physiological outcomes for CF therapeutic trials. In this review we will discuss some of the limitations of FEV₁ in the current era of CF care, describe alternative physiological endpoints and outline areas for further research.

2. FEV₁

Spirometry is the hallmark physiological test for respiratory disease diagnosis, management and research studies. FEV₁ is the primary spirometric output used to monitor patients with CF in clinical practice, and the primary outcome measure in many CF clinical trials. Spirometry equipment is readily available in all CF centers and there are standardized testing protocols and certified commercial devices available [3]. FEV₁, in particular, is a very reproducible and repeatable outcome; however the variability is not constant across all ages, or across the spectrum of disease severity [4]. Most CF patients 6 years or older, the age group in whom the test is performed routinely in the clinic, are familiar with the test, and with appropriate training accurate measurements are easy to obtain. FEV₁ is considered an appropriate surrogate outcome for CF studies since low FEV₁ values are strongly associated with increased mortality, and decreased quality of life [5–7].

3. How much improvement in FEV₁ can we expect in the current era of CF care?

Many of the therapies that are now the standard of clinical care in patients with CF were investigated in randomized trials where the FEV₁ was the primary outcome measure (Table 1). While patient characteristics and treatment duration were fairly comparable, treatment effects have varied and except for the remarkable improvements in FEV₁ observed in patients with class III gating mutations treated with Ivacaftor [8], the magnitude of the FEV₁ improvement observed, either in absolute or relative terms, have been smaller than the threshold used to assess short term treatment response to interventions such as bronchodilators in patients with asthma or COPD [9] (Table 1). As lung function of the CF population further improves, and more patients with normal lung function are

Table 1
Summary of treatment responses using FEV₁ as an outcome measure for 6 landmark randomized control trials in patients with CF.

Publication	Treatment	Duration (weeks)	Sample Size (N)	Primary Outcome	Secondary Outcomes
Fuchs H.J. et al. NEJM (1994) [10]	Dornase Alfa	24	968	Reduction in pulmonary exacerbations	Relative change in FEV ₁ (5.8% ± 0.7SE once daily; 5.6% ± 0.7SE)
Ramsey B.W. et al. NEJM (1999) [11]	Tobramycin	20	520	Relative change in FEV ₁ % predicted (12%)	
Elkins M.R. et al. NEJM (2006) [12]	Hypertonic Saline	48	164	Linear rate of change in FEV ₁ from baseline (0.3 ml/week, 95%CI –1.3; 1.8)	Absolute change in FEV ₁ (0.068 L); Relative change in FEV ₁ (3.2%)
Saiman L. et al. JAMA (2010) [13]	Azithromycin	24	260	Absolute change in FEV ₁ (0.020 L, 95%CI –0.05; 0.08)	Relative change in FEV ₁ % predicted (2%)
Ramsey B.W. et al. NEJM (2011) [8]	Ivacaftor	24	161	Absolute change in FEV ₁ % predicted (10.6%)	Relative change in FEV ₁ (17.2%); Absolute change in FEV ₁ (0.361 L)
Wainwright C.E. et al., NEJM (2015) [14]	Ivacaftor + Lumacaftor	24	1108	Absolute change in FEV ₁ % predicted (2.8% -3.3%)	Relative change in FEV ₁ (4.8% -5.6%)

included in interventional studies, we can expect the magnitude of the treatment effect to be even smaller, and therefore requiring a larger study population to show significant treatment benefit (Fig. 1).

Traditionally, almost all interventional trials have been designed to show a significant improvement in outcomes; however, as patient outcomes continue to improve and more patients maintain lung function in the normal range, there is a growing need to show that treatments prevent deterioration, i.e. preserve lung function. This is also clinically more meaningful as short-term improvements in airway diameter do not necessarily predict long-term benefits in lung function decline. Taken together, smaller expected treatment effects of new interventions, and a healthier patient population are major hurdles to studies using FEV₁ as a primary measure of treatment success in the future.

4. What constitutes a meaningful improvement in lung function?

Estimates of the minimal clinically important difference (MCID) are determined at the individual level, not necessary at the population level; it is therefore difficult to imply these directly to interventional studies [15,16]. The American Thoracic Society/European Respiratory Society suggest that within subject changes of FEV₁ for normal subjects are within 12% (relative change) in short-term trials (weeks) and 15% for long-term trials (1 year) [9]. Thresholds of meaningful changes in FEV₁ ranging from 5 or 10% have been reported in CF trials (Table 1), but these thresholds are well within the inherent variability of the test, which remains relatively poorly defined in CF. Even if the MCID was incorporated at the patient level, the evidence to support a robust estimate of MCID for patients with CF is limited. A meaningful change in FEV₁ may also depend on the disease severity of the patient. For example a relative improvement of 10% in a patient whose lung function is at 30% predicted is not equivalent in absolute terms (Liters) to a 10% improvement for a patients whose lung function is at 80% predicted. On the other hand a small absolute improvement in a patient with severe disease may be equally relevant as a larger absolute change in a patient with milder disease. Since the magnitude of improvement in lung function is sometimes considered in the decision process of public health insurers to regulate accessibility to treatment, the definition of a meaningful change ought to be evidence based. Using pooled data from placebo groups of interventional trials will help to better understand the overall variability of FEV₁, and define its relationship to disease severity.

Given the lack of clearly defined thresholds, interventional studies are considered successful if the differences observed between the treatment and placebo arms are statistically significant. Studies are typically designed to detect a statistical difference based on two key pieces of information, the estimated treatment effect and the variability of the outcome measure, or in the case of studies where the outcome is a change score from baseline, the estimate change from baseline and the variability of the difference between the two measurements. In either case, if

we assume that the variability of FEV₁ is constant across studies, the estimated sample size will depend on the magnitude of the treatment effect (Fig. 1). Based on the observed treatment

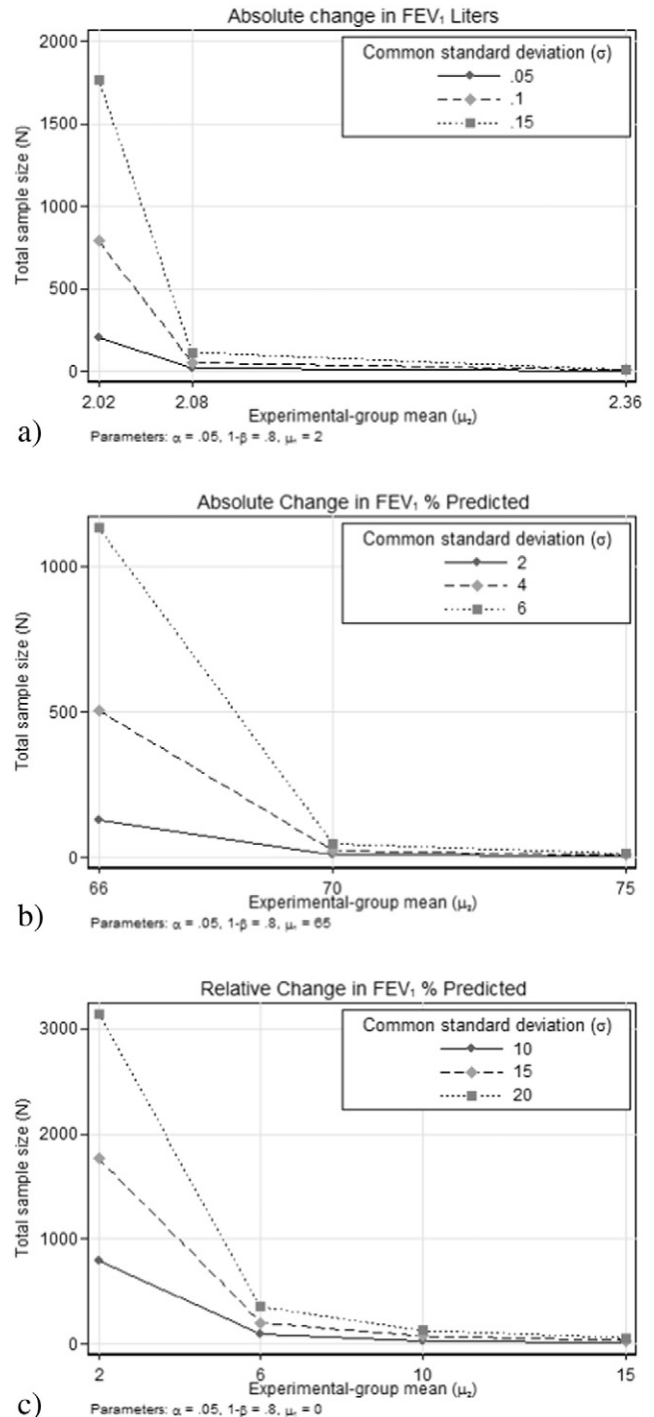


Fig. 1. Sample size estimates (significance level = 0.05, power = 80%) based on the observed treatment effect and common standard deviation reported in the studies presented in Table 1. a) absolute change in FEV₁ Liters where the average FEV₁ in the placebo group was 2 L and sample size was estimated for improvements of 20 ml, 80 ml and 360 ml, b) Absolute change in FEV₁% predicted where the placebo group has an average FEV₁ of 65% predicted and sample size was estimated for a 1%, 5% and 10% absolute improvement and c) Relative change in FEV₁ where the placebo group has an average change of 0% and sample size was estimated for a 2, 6, 10 and 15% improvement in FEV₁.

effects (Table 1), much larger studies are necessary to show modest improvements in FEV₁. With a limited CF population and dozens of studies running concurrently, and even more planned in the near future, there is a need to employ novel study designs and novel outcomes that can demonstrate benefit in smaller populations of patients.

5. Lack of standardized reporting

Direct comparisons between the landmark interventions summarized in Table 1 is almost impossible with some studies reporting improvements from baseline in absolute values of FEV₁ (Liters), others reporting relative differences or a percentage change from baseline. In some instances absolute values of FEV₁ are converted to percent predicted adjusting for age, sex and height; but the reference equations used to convert absolute values to percent predicted are not standardized. Interpretation of absolute changes in FEV₁ are further complicated in pediatric studies, since normal growth and development can lead to an underestimation of treatment effects. Another challenging issue is if and how baseline values of lung function are adjusted for in the analysis. The strengths and limitations of end point analysis compared with change score analysis also need to be considered, in particular the correlation between two measurements will likely depend on the time interval between measurements [17]. It is common practice to determine the analytical method a priori within the study design; however secondary analyses are often presented in publications further complicating the interpretation of outcomes between different studies. Moving forward, it would be preferential to provide data for both absolute and relative changes in FEV₁ for all clinical trials to facilitate the comparison of effect sizes among studies.

6. FEV₁ across the age range

Spirometry while easy to perform does require that subjects actively cooperate during testing to ensure both the inspiration to total lung capacity and the forced exhalation reflect their maximal effort. Most pulmonary function laboratories are staffed with trained and certified personnel, but this is not always the case for clinical trials, which may increase the variability of the FEV₁ and reduce the statistical power to detect a treatment effect (Fig. 1). Effort dependency becomes even more of an issue in younger children. The vast majority of published interventional studies in the CF population are limited to children over the age of 6 years and adults. Increasingly it is becoming evident that early intervention is critical to slow the progression of CF lung disease [18]. Until the early 2000s it was largely thought that FEV₁ could only be obtained in children older than 6 years of

age. Several studies have shown that it is feasible, with adaptations to protocols and outcomes, to measure spirometry in preschool children (2.5–6 years of age) [19–22]. The physiological properties of the dysynapsis between airway and lung growth in early childhood mean that young children empty their lungs in less than 1 s and outcomes such as FEV_{0.75} in preschool children need to be reported [23]. While FEV_{0.75} is correlated with FEV₁ there are no studies that demonstrate the relationship between these outcomes and whether they can be interpreted interchangeably. Despite this advance in technology, not a single clinical trial has been published in preschool children with CF where FEV_{0.75} or FEV₁ was used as the primary outcome measure and very few pediatric pulmonary function laboratories routinely perform spirometry in preschool children.

There are also comparable techniques to measure spirometry in infants. The raised volume thoracic compression technique (RVRTC) was designed to produce a flow volume loop in infants similar to those obtained by spirometry [24]. The methodology of the RVTLC has been summarized and its merits as an outcome for clinical trials have recently been reviewed [25,26]. Briefly, infants are sedated and the lungs are inflated to near total lung capacity, then a positive pressure is applied to the trunk of the infant at the end of inflated inspiration using an inflatable jacket to force exhalation. As mentioned above emptying of the lung during a forced expiration is age dependent and faster the younger the patient is; thus FEV_{0.5} is used as the equivalent of FEV₁ in infant studies. A longitudinal observational study conducted in the US did provide data for feasibility of RVTLC in a setting of a clinical trial, but also demonstrated that differences between CF and healthy infants were rather small leading to a prohibitive sample size for studies using this parameter as a primary outcome measure [27]. As part of the inhaled hypertonic saline in infants and young children (ISIS) trial to assess the efficacy of hypertonic saline in infants, 15 centers across North America perform the RVRTC measurements [28]. Within these centers 73 infants performed RVRTC, which represents one quarter of the total number of children randomized to hypertonic saline or isotonic saline. A borderline statistically significant treatment effect was observed for the FEV_{0.5} (0.038 L (95%CI 0.001; 0.076)), but only two thirds of the collected data were usable. The need to sedate infants during the test also makes it practically difficult, not only for families, but also from cost of having trained health professionals available for all tests. In addition, using different outcome measures of the forced expiratory maneuver across the age ranges complicates the interpretation of longitudinal spirometry measures when patients move from one age group to the next.

Table 2
Summary of interventional studies using LCI as an outcome measure.

Publication	Treatment	Duration (weeks)	Sample size (N)	Absolute change in LCI
Amin R. et al. Thorax (2010) [49]	Hypertonic saline	4	20 (19 analyzed)	-1.16 ± 0.94 (-2.05; -0.27)
Amin R. et al. ERJ (2011) [50]	Dornase alfa	12	19 (17 analyzed)	-0.90 ± 1.44
Subbarao P. et al. AJRCCM (2013) [51]	Hypertonic Saline	48	27 (25 analyzed)	-1.43 (-2.99; 0.13)
Davies J et al., Lancet Resp Med (2013) [52]	Ivacaftor	4	21 (17 analyzed)	-2.16 (-2.88; -1.44)

7. Alternative spirometry outcomes

FEV₁ is one of many outcomes available from the spirometry test. It has been suggested that mid-expiratory flows (MMEF, FEF_{25–75}) may be more sensitive at detecting obstruction of the small airways [29], even though this has been challenged recently and much of the information may be captured in the FEV₁/FVC ratio [30,31]. On a population level FEF_{25–75} often demonstrates a bigger difference between groups, but the measure is more variable and therefore requires larger sample sizes to detect a statistically significant difference [32]. Forced Vital Capacity (FVC) is also largely ignored in CF clinical trials, but may be particularly relevant in patients with severe disease as suggested by studies in patients with COPD [33].

8. The lung clearance index

In the past 5 years there has been a growing interest in the lung clearance index (LCI) as an outcome for clinical trials in CF patients [34]. The LCI is the primary and simplest measure of the Multiple Breath Washout (MBW) test. The MBW test was developed in the 1960s and has been studied by many groups over the years. The availability of commercial MBW equipment in recent years now means that the MBW can be performed in multi-centre clinical trials, and potentially as part of clinical care. The LCI measures ventilation inhomogeneity, is able to distinguish between health and disease, and is more sensitive at detecting early lung changes than the FEV₁ [18,32,35–40]. In addition, greater ventilation inhomogeneity, higher LCI values, are correlated with structural damage measured by high resolution CT in both pediatric and adult patients with CF [18,41–44]. Since elevated LCI and structural damage are often observed in patients whose FEV₁ is in the normal range there is the potential to identify early lung disease and intervene before permanent lung damage occurs. The MBW test is also feasible to perform across all age groups, including infants and preschool children [32,36,45–48].

As the observational evidence in favor of the LCI as standard measure of CF lung disease accumulates, several interventional studies have also demonstrated the ability of the LCI to detect treatment effects of known therapeutic interventions, as well as new therapies (Table 2). Of particular relevance for the design of interventional studies, significant improvements in LCI have been reported with relatively small number of patients. The published treatment effects for LCI range from 0.9 to 2.2 units (Table 2), with the greatest treatment effect observed for Ivacaftor in patients with CFTR gating mutations. However, what defines a clinically relevant change, or warrant changes in clinical practice are still unknown. More recently the US CF Foundation Therapeutics Development Network and the European Clinical Trials Network have supported the training and certification of more than 80 CF centers around the world to be able to use the MBW test for interventional studies. Alongside standardized commercial equipment the MBW has been included as an outcome in more than a dozen ongoing interventional studies.

9. What is a clinically meaningful LCI change?

The variability of the LCI in healthy subjects is remarkably small; the between-subject standard deviation is less than 0.5 units. Even within the same subject, either on the same test occasion, or between test occasions the variability remains small [34]. However, all measures of the variability (both within and between tests) are much greater in patients with CF. In particular, there is some evidence that the variability is dependent on the severity of disease (i.e. patients with higher LCI values have more variable values) [53]. Thus, any sample size estimates calculated from a healthy population will be grossly underpowered to detect changes in a CF population (Fig. 2). Moreover, LCI values, and the within-subject variability of these values depends on disease severity, such that pediatric patients have less variable values than adults [54]. Therefore, interventional studies should be stratified either by disease severity or pre-treatment LCI values to avoid unbalanced groups. Important observation data on the natural variability of the LCI across the spectrum of the CF population are necessary to define the treatment effect that can be expected in an interventional trial. Better understanding of the relationship between LCI and other surrogate outcomes, and eventually survival, will help to define the role of LCI in clinical practice as well as an interventional study outcome.

10. MBW is an effort independent test

Compared to spirometry and plethysmography, which require patients to actively co-operate in the test, the MBW test is at least in theory much easier to perform. While this is largely true for the subject undergoing testing, the interpretation of the outcomes relies on the subject breathing in a relaxed tidal volume throughout the test, which in practice may be difficult to do. Deviations from normal breathing at the beginning and end of the test are particularly problematic since calculations of

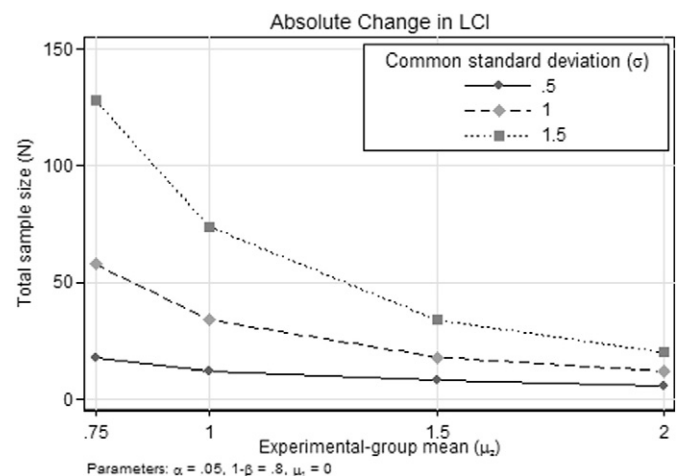


Fig. 2. Sample size estimates (significance level = 0.05, power = 80%) for LCI, where the placebo group has an average LCI change of 0 units, and the sample size is estimated for improvements of 0.75, 1, 1.5 and 2 units based on treatment effect that was observed in Table 2.

the functional residual capacity, a key measure used to calculate the LCI, can be biased and inaccurate. It is also currently not known how much of the observed variability of LCI is due to disease itself, or related to intrinsic properties of the test.

At the moment there are three regional training and certification centers whose role is also to over-read MBW traces for quality for ongoing interventional trials. However, this approach may not be suitable in the long run as more and more centers become proficient in MBW testing and as more interventional studies incorporate the LCI as an outcome measure. Ideally, novel approaches to maintain data quality that can be implemented into the software of devices may facilitate quality control and data analysis in the future.

11. Operational hurdles

An ideal MBW testing environment requires a quiet space where subjects can be coached to breathe in a relaxed manner, but in reality testing often occurs in busy pulmonary function labs where subjects are easily distracted. An appropriate environment ideally separated from the main pulmonary function laboratory, especially for younger children, is the most suitable setting.

There are currently three commercial MBW devices available, but it will not be long before multiple devices are implemented across pulmonary function laboratories. Further work is needed to standardize reporting and interpretation of outcomes, similar to what already exists for spirometry. Nonetheless, LCI differs between different tracer gases [53] and it is important that one standardized approach is used within any given study.

To our knowledge the only clinical trials conducted in children younger than 6 years have been conducted using the custom built mass spectrometer, which uses sulfahexafluoride as a tracer gas [51]. There are several ongoing studies that have adapted existing commercial equipment to be able to test preschool children, and infants; however confirmatory work and adaptations to commercial equipment will be necessary before multi-centered studies in infants can be performed.

12. What does the LCI mean to patients and caregivers?

Patients participating in intervention studies are familiar with spirometry testing, and generally, they know that if their FEV₁ decreases that their lung function is declining. The opposite is true for LCI; lower values actually mean that ventilation inhomogeneity is improving. Currently, it is still unknown how much change in LCI is clinically relevant; a one unit change for someone within in the normal range may mean something different compared with a one unit change in someone with severe lung disease. While several studies have measured MBW in healthy subjects, we still do not have a clear understanding of what the normal range for LCI is, nor what magnitude of change is clinically relevant. The fact that we do not have definitive answers to these questions makes it challenging to explain what a given LCI result means to a patient.

Observational and interventional studies are ongoing which are aimed to answer these important questions. At the present time the clinical utility of LCI, in contrast to its role in interventional trials, still remains poorly defined.

13. Pulmonary exacerbations

As lung function has improved in CF, many patients maintain a steady level of lung function (at least as measured by FEV₁) until clinical events happen during which lung function deteriorates and subsequently fails to recover [7,55–57]. These events, pulmonary exacerbations are thus clinically important events for patients with CF, and multiple exacerbations will have negative consequences on the long term prognosis of patients. A complete review of pulmonary exacerbations as an outcome measure in clinical trials is beyond the scope of this article and we will only focus on their relationship and association with functional measures such as FEV₁. There are several definitions of a pulmonary exacerbation, which have also been adapted for use in young children; however there is no standard definition that is used which allows for comparisons between interventional studies [10,58,59]. Often the definition of a pulmonary exacerbation events is linked to patients reporting symptoms, a physician's interpretation of those symptoms and the physician's decision to treat (e.g. IV antibiotics), and therefore can be biased from several perspectives. In some instances the definition includes a quantitative drop in FEV₁ (i.e. 10% drop in FEV₁), in which case all of the limitations of FEV₁ described previously apply. In particular, the relative drop in FEV₁ will depend on numerous factors including the patient's baseline lung function, the time since the previous exacerbation, their age among others [57,60,61]. How baseline lung function is defined may also confound the interpretation of both a drop and improvement in lung function. Furthermore, as more patients live longer with milder lung disease, FEV₁ may not be the adequate measure to define and track these events. When LCI was measured in patients before and after treatment of pulmonary exacerbations and, the overall response was quite variable and not closely correlated to FEV₁ [62]. While this may reflect higher variability of functional measures in patients with more severe disease (the population mostly included in these studies) it could also signify that different functional tests capture different aspects of disease worsening and treatment response; studies matching functional and imaging data may help to clarify this in the future. Given that pulmonary exacerbation are events associated with lung function deterioration that persists in about a third of individuals after treatment [55], and interventional studies assess lung function improvement, it is not surprising that correlation between the two outcome measures is generally poor in clinical trials. Nonetheless both pulmonary exacerbations and functional measures are relevant clinical events and preventing the occurrence of pulmonary exacerbations and/or their frequency is equally important as improving lung function to maintain long term health of patients with CF.

14. Conclusions

The remarkable improvements in survival and lung function in patients with CF mean that it may be necessary to re-evaluate the standard outcomes used for interventional studies. Novel outcomes and creative study designs may help to evaluate new therapies more quickly in the current era of CF disease. The LCI is one of the most promising outcomes, but there is much work to be done before LCI can substitute or compliment FEV₁ in both research and clinical practice.

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