1 Capsule endoscopy after hematopoietic stem cell transplantation can

2 predict transplant-related mortality

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1 Abstract

 $\mathbf{2}$ Background and Objectives: Allogenic hematopoietic stem cell transplantation (allo-SCT) is a curative 3 therapy for hematological malignancies, but transplant-related mortality (TRM) remains a concern. This 4 study aimed to determine the efficacy of capsule endoscopy (CE) by evaluating the correlation between $\mathbf{5}$ inflammatory findings on CE and TRM. 6 Methods: The data of patients after allo-SCT were retrospectively collected. The association between 7findings on CE and TRM at 100 days from the CE was evaluated. 8 Results: Of the 94 patients included in the study, 47 showed inflammatory findings on CE. The findings 9 were diagnosed as graft-versus-host disease (GVHD) (n = 17), cytomegalovirus (CMV) infection (n = 17) 1014), and GVHD with CMV infection (n = 16). Of the 47 patients, 13 (28%) had TRM. Endoscopic 11 diagnoses of these TRM cases were GVHD (n = 4), CMV infection (n = 0), and GVHD with CMV 12infection (n = 9). In contrast, in the remaining 47 patients who showed no inflammatory findings on CE, 132 patients (4%) had TRM. The proportion of TRM was higher in patients with inflammatory findings 14than in those without it (28% vs. 4%, p < 0.01). 15Conclusions: CE may predict TRM in patients who developed gastrointestinal symptoms after allo-SCT. 16

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1 Introduction

 $\mathbf{2}$ Allogenic hematopoietic stem cell transplantation (allo-SCT) is widely accepted as a curative therapy 3 for advanced hematological malignancies. Graft-versus-host disease (GVHD) is considered as a major 4 cause of transplant-related mortality (TRM) after allo-SCT. Although the small intestine is the most common site of gastrointestinal GVHD [1 - 4] and only a short segment of the small intestine can be $\mathbf{5}$ 6 observed by esophagogastroduodenoscopy (EGD) or total colonoscopy (TCS), EGD or TCS with biopsy $\overline{7}$ have been considered as the standard approach for the diagnosis of GVHD. Capsule endoscopy (CE) 8 enables the observation of the entire segment of the small intestine, and it is less invasive than EGD or 9 TCS. The efficacy and safety of CE in patients who exhibited gastrointestinal GVHD after allo-SCT has 10been reported [5 - 9]. Neumann et al. reported the sensitivity and specificity of CE for the diagnosis of 11 acute gastrointestinal GVHD, which were almost the same as those of EGD or TCS with biopsy [7]. 12Furthermore, a high negative predictive value of macroscopic findings obtained on CE has been reported 13for the diagnosis of gastrointestinal GVHD [5, 7]. Although biopsy is currently the gold standard 14approach for the diagnosis of gastrointestinal GVHD, CE has demonstrated high diagnostic ability for 15gastrointestinal GVHD. It has been reported that early recognition and treatment of gastrointestinal 16GVHD immediately after obtaining CE results without waiting for biopsy results can yield good 17outcomes [10].

18 Clinical grading defined by the volume of diarrhea is generally used to evaluate the severity of gut 19 GVHD. The grade of gut GVHD is combined with the skin and liver grades to evaluate the overall status 20 of acute GVHD [11, 12]. Although clinical grading is a non-invasive and simple approach to assess the 21 severity of gut GVHD, it is sometimes challenging to measure the precise amount of diarrhea. In 22 contrast, endoscopic findings provide more direct and objective information [13 - 17]. The differential 23 diagnosis of GVHD and cytomegalovirus (CMV) infection is important because the immunosuppressive treatment of GVHD may worsen CMV infection. Furthermore, the prevention of severe GVHD and the control of infection reportedly associated with bacteria as well as with CMV or fungus are imperative for reducing TRM [16]. Among these, the status of GVHD and CMV infections can be obtained by endoscopy [18 - 21].

5 Considering that the small intestine is a major target of gastrointestinal GVHD, we hypothesized that 6 the inflammation in the small intestine after allo-SCT may be correlated with TRM, and it is believed 7 that clarifying this correlation may lead to the development of new therapeutic interventions. This study 8 aimed to elucidate the efficacy of CE in patients who underwent allo-SCT and subsequently exhibited 9 gastrointestinal symptoms by evaluating the correlation between TRM and CE findings that indicate 10 GVHD or CMV infection.

11

12 **Patients and methods**

13 Study design and patients

14This was a retrospective single-center observational cohort study that included consecutive patients 15who underwent allo-SCT at the National Cancer Center Hospital, Tokyo, Japan between March 2009 and 16February 2017. This study was approved by our Institutional Ethics Committee (2016-245). A total of 17683 patients underwent allo-SCT, and 97 patients with digestive symptoms after allo-SCT underwent a 18total of 156 CEs. Among these CEs, 8 CEs in 7 patients were not evaluated because of the incomplete 19transit of the capsule during recording, with regional transit abnormality of CE in the stomach or 20excretion with vomiting. Of the patients who experienced incomplete CE, 4 were evaluated with another 21CE that was performed on another day. Therefore, 3 patients and 8 CEs were excluded, and 94 patients 22and 148 CEs were finally included in this study (Figure 1). Endoscopic diagnosis of GVHD and CMV

1 were made with CE findings by an experienced endoscopist (Y.K.). The clinical data from electronic $\mathbf{2}$ medical charts and CE reports of the 94 patients were retrospectively collected. We collected data on age, sex, underlying diseases, stem cell source, conditioning regimen for allo-SCT, GVHD prophylaxis, the 3 presence of acute GVHD, number of CE procedures for each patient, adverse events caused by CE, 4 $\mathbf{5}$ cause of death, and inflammatory findings on CE. The presence of inflammation in the small intestine on 6 CE and the cause of inflammation were evaluated. The reasons for inflammatory findings on CE 7included GVHD, CMV infection, and GVHD with CMV infection. If a patient underwent CE multiple 8 time, CE that demonstrated the most severe grade with macroscopic classification was adopted to 9 evaluate the relevance between CE findings and TRM. In addition the associations between 10inflammatory findings observed on CE and TRM at 100 days from the CE was investigated.

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12 **CE procedure**

CE was performed using PillCam SB® (SB1, SB2, or SB3) (Medtronic, Minneapolis, MN, USA). CE 13was scheduled when patients developed diarrhea classified as grade 1 or more with clinical 1415gastrointestinal GVHD grading, or when they developed diarrhea classified as less than grade 1, but the 16wall thickness of the small intestine was confirmed by abdominal echography or computed tomography 17(CT). CE was performed on the following day. Patients were instructed to fast after taking an evening 18meal on the day before the procedure. No bowel preparation was performed. On the day of CE, the 19patients wore a special shirt (Figure 2) with electrical patches outside, which were usually placed 20directly onto the skin. This approach was adopted because placing adhesive patches directly onto the 21skin of GVHD patients could harm their vulnerable skin owing to the possibility of skin GVHD. Patients 22were scheduled to swallow the capsule endoscope with water early in the morning after loading a recorder. After swallowing the capsule endoscope, 10 mg metoclopramide was administered immediately,
followed by 10 mg mosapride citrate hydrate 4 h later to enhance capsule excretion. After swallowing
the capsule endoscope, patients were nil per os. Patients were allowed to drink 2 h after and eat a light
meal 4 h after swallowing the capsule endoscope. Capsule excretion was confirmed in all patients. The
capsule recorder was retrieved after capsule excretion or after confirming battery exhaustion.

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7 Typical CE findings of GVHD and CMV infection

The typical CE findings of GVHD are diffuse inflammatory changes, including edema, erythematous change, and disappearance of mucosa (Figures 3a,3b)[7]. To grade the inflammatory status of GVHD using CE, we developed a macroscopic classification of the small intestine in GVHD patients (Table 1; Figure 4). The grades were as follows: grade 1, redness, edema, and indistinct vascular pattern; grade 2, rough mucosa and mucosal atrophy; grade 3, partial disappearance of the mucosa; and grade 4, total disappearance of the mucosa. Normal mucosa remained in grade 3. In contrast, almost all normal mucosa samples were excluded, and no villi structures were noted in grade 4.

The typical CE findings of CMV infection are scattered inflammatory changes, and they include small erosions or ulcers with a well-demarcated margin in the small intestine (Figures 3c,3d) [18 - 20]. If patients revealed CMV antigenemia or CMV enteritis, they were treated according to the CMV treatment guideline of the Japanese Society for Hematopoietic Cell Transplantation.

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20 Diagnosis of GVHD and CMV

Diagnosis of GVHD was mainly based on histological diagnosis by EGD and TCS [22]. Considering
 the possibility of false negative results of biopsy, if the patients revealed the typical CE findings of

GVHD by CE, GVHD diagnosis was performed without histological evidence, and treatment for GVHD was initiated. The diagnosis of CMV infection was performed using several diagnostic tools such as histological evidence by EGD and TCS, and CMV antigenemia[18, 20, 23]. We then added CE for the diagnosis of small intestinal CMV infection. If there was at least one positive result for CMV among them, we diagnosed CMV infection, and initiated the treatment for CMV infection.

6

7 Definition of inflammation on CE and TRM

8 The diagnoses on CE were GVHD, CMV infection, GVHD with CMV infection, and no 9 inflammatory findings. Inflammation on CE was considered positive when macroscopic CE findings 10 observed in GVHD or CMV infection were noted. TRM was defined as death from any cause other than 11 disease progression or relapse. The associations between inflammatory findings observed on CE and 12 TRM within 100 days from the day of CE was investigated. The causes of TRM were divided into 3 13 categories based on the classification proposed by Japanese group for blood and marrow transplantation 14 [24], which were organ toxicity, infectious complication, and GVHD.

15

16 **Results**

During the study period, 94 patients underwent 148 CEs. Table 2 shows the clinical characteristics of the study patients. The median patient age was 55 years (range, 18–70 years), and there were a total of 50 men and 44 women, and. The underlying diseases were acute leukemia (n = 40), chronic myelogenous leukemia (n = 3), myelodysplastic syndrome (n = 8), adult T-cell leukemia/lymphoma (n =15), lymphoma (n = 27), and plasma cell neoplasms (n = 1). The stem cell sources were related peripheral blood stem cell (PBSC) (n = 27), unrelated bone marrow (n = 30), unrelated PBSC (n = 7),

1	and unrelated cord blood ($n = 30$). The conditioning regimen for allo-SCT were myeloablative
2	conditioning $(n = 31)$ and reduced intensity conditioning $(n = 63)$. The medicines used for GVHD
3	prophylaxis were calcineurin inhibitor (CNI) with methotrexate (MTX) ($n = 59$), CNI with
4	mycophenolate mofetil (MMF) (n = 32), CNI alone (n = 3), anti-human thymocyte immunoglobulin (n = $\frac{1}{2}$)
5	27), and post-transplant cyclophosphamide ($n = 11$). The observed target lesion of acute GVHD were
6	skin (n = 63), liver (n = 3), and gut (n = 63). The mean number of CE procedures was 1.5 (range: $1-5$)
7	per patient. No retention after stomach passage was noted in the study period. Furthermore, no strictures
8	including diaphragm-like strictures were noted in the whole intestine for all cases. The median interval
9	from transplantation to CE was 67 days (interquartile range [IQR], 35-104) (Table 2). The median
10	intervals from transplantation to diagnoses of GVHD, CMV infection, GVHD with CMV infection, and
11	no specific findings were 60 (IQR, 30-99), 54 (IQR, 42-149), 60 (IQR, 44-112), and 57 (IQR, 35-101)
12	days, respectively (Figure 5).
13	The association between diagnosis of GVHD grading by CE (macroscopic grading) and GVHD

14 grading by stool volume revealed (clinical grading) that 8 cases were diagnosed with grade 3 or grade 4 15 stage by macroscopic grading; however, at the same time they were diagnosed with less than grade 2 gut 16 GVHD by clinical grading (Table 3). In these 8 cases, TRM were noted in 5 cases.

Of the 94 patients, 47 showed inflammatory findings on CE. The findings were endoscopically diagnosed as compatible with GVHD (n = 17), compatible with CMV infection (n = 14), and compatible with GVHD and CMV infection (n = 16). Of these 47 patients, TRM within 100 days from the last CE occurred in 13 patients (28%). The endoscopic diagnoses of these TRM cases were GVHD (n = 4), CMV infection (n = 0), and both GVHD and CMV infection (n = 9). In contrast, in the remaining 47 patients who showed no inflammatory findings on CE, TRM within 100 days occurred in 2 patients (4%). The 1

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proportion of TRM was significantly higher in patients with inflammatory findings than in those without inflammatory findings (28% vs. 4%, p < 0.01) (Table 4). The cause of TRM were organ toxicity (multiple organ failure) (n = 8), infectious complication (n = 5), and GVHD (n = 2)

4 EGD and/or TCS were performed for 79 cases. Of these, 35 cases showed inflammatory CE findings. $\mathbf{5}$ Of these 35 cases, 3 showed no inflammatory findings with EGD or TCS. EGD or TCS biopsies were 6 obtained from 32 patients of the 47 patients who showed inflammatory findings on CE. Of these 32 7patients, 21, 0, 3, and 8 patients were histologically diagnosed with GVHD, CMV infection, GVHD with 8 CMV infection, and no specific findings, respectively. In contrast, EGD or TCS biopsies were obtained 9 from 38 patients of the 47 patients who did not show inflammatory findings on CE. Of these 38 patients, 1017, 2, 4, and 15 patients were histologically diagnosed with GVHD, CMV infection, GVHD with CMV 11 infection, and no specific findings, respectively (Figure 6). With regard to the presence of biopsy-proven GVHD (either alone or in combination with CMV histologically), the sensitivity of inflammatory 12changes on CE for GVHD was 53.3% and specificity was 68%. Further, the negative predictive value 13was 44.7% and the positive predictive value was 75% (+CE & +GVHD = 24, +CE & -GVHD = 8, -CE 1415& +GVHD = 21, -CE & -GVHD = 17). Table 5 shows the association between macroscopic grading of 16GVHD and TRM within 100 days from the last CE. No TRM within 100 days from the last CE was 17noted in grade 1 patients. TRM within 100 days from the last CE was observed in 3 of 10 grade 2 18patients (20%) and 2 of 8 grade 3 patients (25%). In contrast, TRM within 100 days from the last CE 19was observed in 8 of 13 grade 4 patients (62%). A higher proportion of TRM was noted in macroscopic 20GVHD grade 4 patients than in patients with other grades.

21

22 **Discussion**

1 This is the first study to investigate the correlation between inflammatory findings on CE and TRM among patients who presented with gastrointestinal symptoms after allo-SCT. This study demonstrated 3 $\mathbf{2}$ important results. First, a significantly higher proportion of TRM was confirmed in patients with 3 inflammatory findings than in those without inflammatory findings on CE. Second, CE was performed 4 $\mathbf{5}$ safely in patients with gut GVHD after allo-SCT. Although the inflammatory findings of gut GVHD 6 after allo-SCT are occasionally severe and reduced motility of the gastrointestinal tract is of concern, no 7CE-related complications such as retention were observed. Third, several cases were diagnosed with 8 severe GVHD by CE, none showed a large amount of diarrhea. In this situation, we may have missed the 9 severe inflammatory status of the small intestine caused by GVHD. 10A significantly higher proportion of TRM was noted in patients with inflammatory findings than in 11 those without inflammatory findings on CE. Furthermore, if the patients exhibited a severe macroscopic

GVHD grade, the proportion of TRM tended to be higher. The results were appropriate, as GVHD is one of the major causes of TRM [16]. In contrast, it was reported that higher mortality was observed with increasingly severe clinical grading of gut GVHD using the volume of diarrhea [12, 25]. The macroscopic GVHD grade using CE revealed the same tendency with clinical grading about the association between grades and the proportion of TRM.

Macroscopic CE findings of the small intestine in patients with gut GVHD may be an additional predictive factor of TRM after allo-SCT. Survival in patients with systemic steroid-refractory acute GVHD has been shown to be poor despite the use of various immunosuppressive agents [26]. One of the reported risk factors to predict steroid-refractory GVHD is GVHD severity [27, 28]. These patients could be candidates for new treatment strategies other than steroid administration. Although the additional use of anti-thymocyte globulin that induces strong deletion of T cells is one of the treatment options, it can cause severe infectious complications; therefore, patient selection is important [29]. Early recognition of
 severe gut GVHD with CE may help select candidate patients for the use of anti-thymocyte globulin.

3 TRM occurred in 4 of 17 patients (24%) who were diagnosed with GVHD on CE and 9 of 16 patients (56%) who were diagnosed with both GVHD and CMV infection on CE. In contrast, no TRM was 4 $\mathbf{5}$ observed in patients who were diagnosed with only CMV infection on CE. These findings were obtained 6 because GVHD can be a cause of TRM, and the coexistence of uncontrollable GVHD and CMV 7infection may result in a worse prognosis, because strong immunosuppressive therapy for GVHD makes 8 appropriate treatment of CMV infection difficult. The standard management for CMV infection involves 9 preemptive therapy, wherein patients receive antiviral agents on developing laboratory-confirmed 10evidence of infection [30 - 32]. Although a higher sensitivity of real-time polymerase chain reaction in 11 comparison with pp65 antigenemia assay for the diagnosis of CMV gastroenteritis has been reported, the complete detection and prevention of CMV gastroenteritis remains difficult [33, 34]. Macroscopic CE 12findings can be used as a complementary diagnostic option for CMV gastroenteritis when patients 1314exhibit gastrointestinal symptoms.

15Although gastrointestinal dysmotility could occur after allo-SCT [35], and regional transit 16abnormality of CE or vomiting were observed in several cases in this study, no capsule retention defined 17as presence of the capsule in the digestive tract for more than 2 weeks was observed. Furthermore, 18although inflammation of the small intestine with gut GVHD was sometimes severe and large areas of 19villi were sometimes missing, no apparent stricture or stenosis was observed in this study. The major 20histological findings of gut GVHD are crypt apoptosis and inflammation, which are limited to the 21superficial layer [36]. Therefore, stenosis is considered to be unlikely. CE for gut GVHD patients can be 22performed safely without conducting patency capsule, considering the etiology of gut GVHD.

1 It is worthy of remark that there was a discrepancy between GVHD grade made by CE (macroscopic grading) and that made by volume of diarrhea (clinical grading). In the present study, 5 TRM were noted $\mathbf{2}$ in 8 cases who were diagnosed with grade 1 or 2 by clinical grading but were diagnosed with grade 3 or 3 4 by macroscopic grading. Diarrhea is a result of inflammation and can be influenced by the volume of 4 $\mathbf{5}$ oral fluid intake; therefore, it often does not reflect the severity of intestinal inflammation. In contrast, 6 visualization of the small intestine with CE provides direct information about the inflammatory status. 7Therefore, the utilization of macroscopic CE findings in addition to the current clinical grading of gut 8 GVHD using the volume of diarrhea will allow more precise and timely evaluation of the gut GVHD 9 status. Although the sensitivity and specificity of CE findings for biopsy proven GVHD in this study 10were not so high, the positive predictive value is relatively high, which indicates the usefulness of CE for 11 patients who underwent Allo-SCTs.

12The present study has several limitations. First, this was a retrospective study performed at a single institution, and CE diagnosis was made by a single endoscopist. Prospective multicenter studies are 1314warranted to establish evidence about the correlation between CE findings and TRM. Second, the spread 15of inflammation in the small intestine was not considered in this study. The correlation between the 16amount of diarrhea and the spread of inflammation in the small intestine caused by gut GVHD should be 17investigated in the future to further establish the efficacy of CE for gut GVHD. Third, biopsies were not 18taken from lesions in the small intestine that were detected on CE. Direct comparison between CE 19findings in the small intestine and biopsy results was difficult. A more direct approach such as 20double-balloon enteroscopy is necessary to obtain biopsy results from lesions in the small intestine; 21however, considering the poor general condition of patients after allo-SCT with the clinical suspicion of 22gastrointestinal GVHD, double-balloon enteroscopy may be extremely invasive. Further investigations, 1 especially about the diagnosis of CMV infection in the small intestine with CE, are necessary.

In conclusion, this study demonstrated the significant association between inflammatory findings identified on CE and TRM within 100 days in patients with gut GVHD after allo-SCT. It may be beneficial to use CE findings in addition to current clinical grading involving the amount of diarrhea for the evaluation of gut GVHD severity.

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7 Statements

- 8 Statement of Ethics
- 9 The study protocol has been approved by the research institute's committee on human
- 10 research.
- 11 Disclosure Statement
- 12 The authors have no conflicts of interest to declare.

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1 Figure legends

2 Fig. 1. Flow diagram for the study

3 Fig. 2. A specially designed shirt for capsule endoscopy

4 The shirt contains electrical patches on the outside to prevent possible skin damage in patients with 5 graft-versus-host disease (GVHD) owing to possible skin GVHD.

6 Fig. 3. Typical capsule endoscopy findings for the diagnosis of graft-versus-host disease or

7 cytomegalovirus infection

8 Figures (a) and (b) show the typical capsule endoscopy (CE) findings of graft-versus-host disease that

9 reveal diffuse or circumferential villous atrophy or villous disappearance. Figures (c) and (d) show the

10 typical CE findings of cytomegalovirus infection that revealed scattered erosions or ulcers in the small

11 intestine.

12 Fig. 4. Macroscopic grading of gastrointestinal graft-versus-host disease

Figure (a) reveals edema, and an indistinct vascular pattern of the small intestine corresponding to macroscopic grade 1. Figure (b) reveals rough mucosa and mucosal atrophy corresponding to macroscopic grade 2. Figures (c) and (d) shows partial disappearance of the mucosa and the total disappearance of the mucosa corresponding to macroscopic grades 3 and 4, respectively.

17 Fig. 5. Period between the day of transplantation and the day of each diagnosis

18 The median intervals between the day of transplantation and the day of graft-versus-host disease 19 (GVHD), cytomegalovirus (CMV) infection, GVHD with CMV infection, and no inflammatory findings

20 were 60 (interquartile range [IQR], 30–99), 54 (IQR, 42–149), 60 (IQR, 44–112), and 57 (IQR, 35–101)

21 days, respectively.

22 Fig. 6. Patient flow regarding capsule endoscopy findings and biopsy results