

## Original Article

# Comparative outcomes of laparoscopy-assisted and open Ivor Lewis esophagectomy for esophageal squamous cell carcinoma: experience at a single, high-volume center

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**Abstract:** This study compared the oncologic outcomes of Ivor Lewis esophagectomy in laparoscopy-assisted surgery versus open surgery for resectable middle and lower thoracic esophageal squamous cell carcinoma. Short-term and long-term data for 685 consecutive patients who underwent Ivor Lewis esophagectomy for resectable middle and lower thoracic esophageal squamous cell carcinoma via laparoscopy-assisted surgery or open surgery between January 2010 and November 2015 were retrospectively reviewed. The primary study endpoints were overall survival and disease-free survival. A total of 685 Ivor Lewis esophagectomies for resectable middle and lower thoracic esophageal squamous cell carcinoma were performed, with 432 esophagectomies performed using laparoscopy-assisted surgery and 253 esophagectomies performed using open surgery. Patient demographic data, tumor pathological stage, and residual tumor remaining were similar in both groups. Blood loss, postoperative analgesia requirement, and length of hospital stay were all less with laparoscopy-assisted surgery than with open surgery. Overall morbidity was similar in the two groups. However, the rate of major complications was higher after open surgery than after laparoscopy-assisted surgery. There were no 30-day mortalities, and both overall and disease-free survival were comparable between the two surgical groups. From this study, laparoscopy-assisted Ivor Lewis esophagectomy performed by dedicated thoracic surgeons is safe and can achieve long-term survival similar to an open approach.

**Keywords:** Esophageal carcinoma, Ivor-Lewis esophagectomy, laparoscopy-assisted surgery, minimally invasive esophagectomy

## Introduction

Ivor Lewis esophagectomy, which consists of laparotomy and right thoracotomy for the resection of operable esophageal cancer, is a recognized primary procedure for the treatment of middle and lower thoracic esophageal cancer [1-6]. Although Ivor Lewis esophagectomy provides optimal locoregional control and long-term survival, it is also associated with a mortality rate of 2%-10% and a morbidity rate of 30%-50% [7-10]. Therefore, alternative procedures are required that diminish surgical trauma without compromising oncologic outcomes [11-13]. Laparoscopic surgical procedures, such as laparoscopic cholecystectomy, laparoscopic colectomy, and laparoscopic appendectomy, have achieved worldwide popularity be-

cause they produce less postoperative trauma and morbidity than open surgery [14-27]. Some thoracic surgeons have employed laparoscopic gastric mobilization and abdominal lymph node dissection for esophagectomy to decrease surgical trauma and postoperative morbidity [11-13].

Laparoscopy-assisted Ivor Lewis esophagectomy consists of laparoscopic gastric tube formation and abdominal lymph node dissection, followed by open thoracotomy and intrathoracic anastomosis [11-13]. This procedure represents a minimally invasive technique in the treatment of esophageal cancer that has become more widely adopted because it results in fewer complications and facilitates faster recovery than with open esophagectomy [11-

## Laparoscopy-assisted esophagectomy

**Table 1.** Demographic data

	Laparoscopy-assisted (n = 432)	Open (n = 253)	P value
Age (y) (median and range)	60.00 (43-72)	65.00 (45-76)	0.512
Gender (Male:Female)	301:131	175:78	0.136
Comorbidity			0.598
COPD	10 (2.3%)	5 (2.0%)	
Hypertension	48 (11.1%)	20 (7.9%)	
Diabetes Mellitus	29 (6.7%)	6 (2.4%)	
Atrial fibrillation	20 (4.6%)	9 (3.6%)	
Stable angina	6 (1.4%)	3 (1.2%)	
Clinical T stage			0.810
T <sub>1b</sub>	18 (4.2%)	7 (2.8%)	
T <sub>2</sub>	168 (39.8%)	101 (39.9%)	
T <sub>3</sub>	246 (56.9%)	145 (57.3%)	
Clinical N stage			0.607
N <sub>0</sub>	125 (28.9%)	70 (27.7%)	
N <sub>1</sub>	136 (31.5%)	89 (35.2%)	
N <sub>2</sub>	171 (39.6%)	94 (37.2%)	
Clinical M stage			-
M <sub>0</sub>	482 (100%)	253 (100%)	
ASA score			0.754
I	258 (59.7%)	156 (61.7%)	
II	158 (36.6%)	86 (34.0%)	
III	16 (3.7%)	11 (4.3%)	

COPD: chronic obstructive pulmonary disease

13]. However, the oncologic outcomes following laparoscopy-assisted Ivor Lewis esophagectomy as measured by long-term survival have not been established [28-30]. Indeed, there is a paucity of data from multi-center, randomized controlled trials comparing laparoscopic and open approaches and their long-term oncological outcomes. We introduced laparoscopy-assisted Ivor Lewis esophagectomy for esophageal cancer at our institution in January 2009. The surgeons in the department of thoracic surgery of our cancer center have acquired and mastered the basic skill of performing laparoscopy-assisted Ivor Lewis esophagectomy. The aim of this study was to retrospectively assess our 5-year experience with oncologic outcomes after laparoscopy-assisted Ivor Lewis esophagectomy.

### Patients and methods

#### Patient evaluation

This study complied with the Declaration of Helsinki rules. This retrospective research was

approved by the Ethics Committee of Fujian Provincial Cancer Hospital. The need for informed consent from all patients was waived because of retrospective study.

We retrospectively reviewed the records of 685 consecutive patients with resectable middle and lower thoracic esophageal squamous cell carcinoma who underwent Ivor Lewis esophagectomy at the Department of Thoracic Surgery, Fujian Provincial Cancer Hospital from January 2010 to November 2015. All patients underwent upper gastrointestinal endoscopy; endoscopic ultrasonography; computed tomographic scans of the brain, chest, and abdomen; and ultrasonography of the neck to determine the tumor clinical stage and to exclude clinical cervical metastasis. Positron emission tomography-computerized tomography was not routinely performed due to its cost. Preoperative chemotherapy or radiotherapy was not routinely performed [31-36].

The clinical stage of esophageal carcinoma was based on the 7th edition of the TNM classification of esophageal carcinoma [37-40], which was proposed by Union for International Cancer Control (UICC) and American Joint Committee on Cancer (AJCC). The lymph nodes map was based on the tenth edition of Japanese Classification of Esophageal Cancer as previously reported [37-40].

*Surgical technique*

All surgical procedures were performed by two experienced surgeons with proven expertise in esophageal carcinoma. For all 685 patients, resection was performed with curative intention. After consultation, patients and their families chose between laparoscopy-assisted and open Ivor Lewis esophagectomy. For patients undergoing laparoscopy-assisted surgery, lapa-

## Laparoscopy-assisted esophagectomy

**Table 2.** Surgical and pathological data

	Laparoscopy-assisted (n = 432)	Open (n = 253)	P value
Operative time (min) (median and range)	260.00 (180-330)	230.00 (180-300)	0.000
Blood loss (ml) (median and range)	330.00 (250-600)	390.00 (300-650)	0.000
Pathological T stage			0.452
T <sub>1b</sub>	12 (2.8%)	5 (2.0%)	
T <sub>2</sub>	143 (33.1%)	98 (38.7%)	
T <sub>3</sub>	258 (59.7%)	138 (54.5%)	
T <sub>4a</sub>	19 (4.3%)	12 (4.7%)	
Pathological N stage			0.971
N <sub>0</sub>	87 (20.1%)	52 (20.6%)	
N <sub>1</sub>	154 (35.6%)	87 (34.4%)	
N <sub>2</sub>	141 (32.6%)	82 (32.4%)	
N <sub>3</sub>	50 (11.6%)	32 (12.6%)	
Residual tumor (R0/R1/R2)	429 (99.3%)/3 (0.7%)/0	251 (99.2%)/2/(0.8%)/0	0.887
Number of harvested lymph nodes (median and range)	25.00 (16-42)	26.00 (17-43)	0.360
Mediastinal lymph nodes dissected	12.00 (6-20)	12.00 (7-21)	0.395
Abdominal lymph nodes dissected	13.00 (10-22)	14.00 (10-22)	0.403
Post-operative analgesia (d) (median and range)	3.0 (2-5)	4 (2-6)	0.000
Hospital stay (d) (median and range)	18.00 (10-30)	19.00 (15-30)	0.000

roscopic gastric mobilization was followed by gastric tube construction, abdominal lymphadenectomy, open right transthoracic en bloc mediastinal lymphadenectomy, and en bloc esophagectomy with anastomosis in the upper chest using stomach [11-13].

### *Surgical outcome and post-operative complications*

Operative time, blood loss, pathological stage, overall number of lymph nodes involved, residual tumor present, postoperative morbidity occurring within 30 days after surgery, and length of hospital stay were assessed. Postoperative morbidity assessment included major and minor complications that were graded according to Clavien-Dindo classification, as previously reported: major complications were defined as grades 3b, 4a, 4b, and 5, whereas minor complications were classified as 1, 2, and 3a [41-51]. Operative death was defined as all-cause mortality within 30 days after esophagectomy.

### *Follow up*

During the first year after treatment completion, patients were seen every 3 months at

the outpatient department. During the second year post surgery, follow-up occurred every 6 months. Thereafter, follow-up occurred at the end of each year. Follow-up diagnostic investigations included CT scans of the chest and upper abdomen, and cervical ultrasonography was performed before discharge and before each follow-up visit. Upper gastrointestinal endoscopy was performed once per year. Any postoperative complications and medical conditions requiring hospitalization were reviewed. Disease recurrence and patient death were also documented. Cancer recurrence was defined as locoregional or distant metastasis verified by radiology or pathology [52-65]. The last follow-up appointment occurred in March 2016.

### *Statistical analysis*

All statistical analyses were performed using SPSS 14.0 for windows (SPSS Inc., Chicago, IL, USA). Data are reported as means and standard deviations for variables that followed a normal distribution and were analyzed by *t* test. For variables that were not normally distributed, results were expressed as the median and range and were compared using a nonparametric statistical test. Group differences in semi-

# Laparoscopy-assisted esophagectomy

**Table 3.** Post-operative complications

	Laparoscopy-assisted (n = 432)	Open (n = 253)	P value
Post-operative complications (n, %)	106 (24.5%)	71 (28.1%)	0.601
Severity of complications			0.021
Major (3b, 4a, 4b and 5)	16 (3.7%)	21 (8.3%)	
Minor (1, 2 and 3a)	90 (20.8%)	50 (19.8%)	
Major complications			0.944
Pulmonary embolism	2 (0.5%)	3 (1.2%)	
Acute coronary syndrome	3 (0.7%)	2 (0.8%)	
Respiratory insufficiency	5 (1.2%)	8 (3.2%)	
DIC	1 (0.2%)	1 (0.4%)	
Heart failure	5 (1.2%)	7 (2.8%)	
Minor complications			0.947
Pneumonia	24 (5.6%)	13 (5.1%)	
Vocal cord palsy	6 (1.4%)	4 (1.6%)	
Chylothorax	6 (1.4%)	2 (0.8%)	
Anastomotic leakage	7 (1.6%)	2 (0.8%)	
Wound infection	16 (3.7%)	12 (4.7%)	
Sepsis	8 (1.9%)	4 (1.6%)	
Acute renal failure	12 (27.8%)	8 (3.2%)	
Urinary tract infection	11 (25.5%)	5 (2.0%)	
Mortality within 30 days after surgery	0 (0.0%)	0 (0.0%)	-

Respiratory insufficiency was defined as lung failure demanding prolonged ventilation more than 10 days. DIC: disseminated intravascular coagulation. The severity of complications was graded according to the Clavien-Dindo classification.

groups analyzed using the log-rank test. Patient overall survival was assessed from the date of surgery until the last follow-up day or death from any cause. The disease-free survival was calculated from the date of surgery until the date of cancer recurrence or death of any cause. Univariate analyses were performed to identify prognostic variables related to overall survival and disease-free survival. Univariate variables with probability values less than 0.05 were selected for inclusion in a multivariate Cox proportional hazard regression model. Adjusted hazard ratios (HR) along with the corresponding 95% confidence intervals (CI) were calculated.  $P < 0.05$  was considered statistically significant.

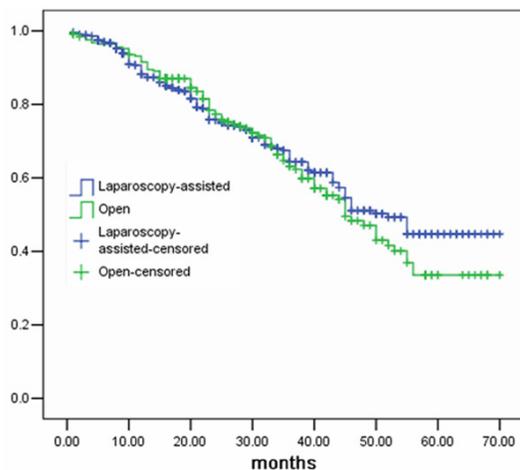
## Results

### Demographic data

Patient demographic data are summarized in **Table 1**. This study evaluated 432 esophagectomies performed using a laparoscopy-assisted approach and 253 esophagectomies performed using an open Ivor Lewis approach. There were no significant surgical group differences in age, gender, comorbidity, clinical stage, or ASA score ( $P > 0.05$ ).

### Surgical outcome and pathological data

Patient surgical and pathological outcomes are summarized in **Tables 2** and **3**, respectively. There were no laparoscopy-assisted case that required conversion to open laparotomy and no intraoperative or in-hospital mortality. Laparoscopy-assisted procedures took longer to complete than open surgery ( $P < 0.05$ ). There were no significant group differences in pathological stage or residual tumor ( $P > 0.05$ ). The number of harvested lymph nodes was similar between the 2 groups ( $P > 0.05$ ), with more than 15 in each case. Patients in the laparoscopy-assisted group enjoyed significantly faster recovery, in-



**Figure 1.** Overall survival in relation to approach of esophagectomy in 685 consecutive patients.

quantitative results were analyzed using the Mann-Whitney *U*-test. Differences in qualitative results were analyzed using the chi-square test or the Fisher exact test where appropriate. Survival rates were analyzed using the Kaplan-Meier method, with differences between the 2

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**Table 4.** Multivariate Cox regression analyses of overall survival

Regression variables	Adjusted hazard ratio	95% CI	Beta value	P value
<b>Age</b>				
< 70 years	1.00			
≥ 70 years	1.35	0.69-1.58	0.69	0.102
<b>ASA score</b>				
I-II	1.00			
III	1.26	0.70-1.38	0.60	0.206
<b>Comorbidity</b>				
No	1.00			
Yes	1.39	0.51-1.59	0.49	0.108
<b>Major complications</b>				
No	1.00			
Yes	1.50	0.85-1.98	0.85	0.109
<b>Adjuvant chemotherapy</b>				
Yes	1.00			
No	1.69	0.74-	0.60	0.100
<b>Pathological T stage</b>				
T <sub>1b</sub>	1.00			
T <sub>2</sub>	1.23	0.26-1.63	0.58	0.802
T <sub>3</sub> /T <sub>4a</sub>	3.36	1.23-4.69	1.36	0.002
<b>Pathological N stage</b>				
N <sub>0</sub>	1.00			
N <sub>1</sub>	1.68	0.45-1.20	0.74	0.520
N <sub>2</sub> /N <sub>3</sub>	3.69	2.12-5.23	1.68	0.001
<b>Differentiation grade</b>				
G1 (good)	1.00			
G2 (moderate)	1.38	0.37-3.25	0.85	0.213
G3 (poor)	3.48	2.40-8.30	1.36	0.005

cluding less blood loss ( $P < 0.05$ ), requiring less postoperative analgesia ( $P < 0.05$ ), and earlier hospital discharge ( $P < 0.05$ ).

### Post-operative complications

All postoperative complications are summarized in **Table 3**. Overall morbidity within the first 30 days after surgery was similar in each group ( $P > 0.05$ ). However, open Ivor Lewis esophagectomy resulted in more major complications than laparoscopy-assisted surgery ( $P < 0.05$ ). There were no intraoperative deaths or mortality within the first 30 days after surgery in the overall cohort.

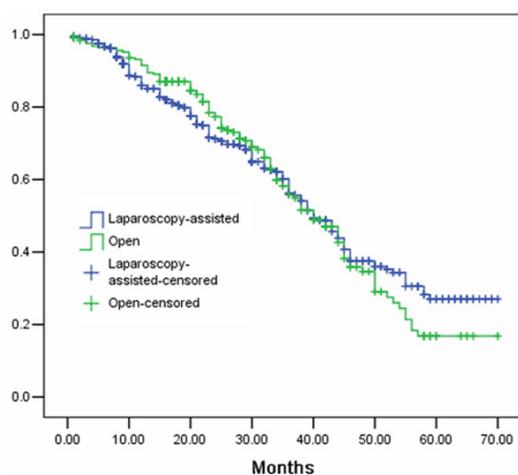
### Overall survival

The median follow-up duration was 36 months and was similar in each group. There was no difference in overall survival between the laparoscopy-assisted group and the open surgery group (**Figure 1**,  $P = 0.472$ ). Three- and five-year overall survival were 65.6% and 45.2%, respectively, in the laparoscopy-assisted group compared with 63.2% and 37.5%, respectively, in the open group.

When multivariate Cox regression analysis of all patient overall survival was also performed, advanced pathologic T3 or T4a stage, pathologic N2 or N3 disease, and poorly differentiated tumors were significant predictors of worse survival (**Table 4**). However, surgical approach by laparoscopy-assisted surgery was not found a significant predictor of overall survival by univariate analysis.

### Disease-free survival

When disease-free survival was evaluated, 3- and 5-year disease-free survival were 60.3% and 26.3%, respectively, in the laparoscopy-assisted group compared with 58.6% and 18.9%, respectively, in the open group (**Figure 2**,  $P = 0.840$ ). Recurrence patterns and time to



**Figure 2.** Disease-free survival in relation to approach of esophagectomy in 685 consecutive patients.

## Laparoscopy-assisted esophagectomy

**Table 5.** Comparison of recurrence pattern and site after esophagectomy

	Laparoscopy-assisted (n = 432)	Open (n = 253)	P value
Overall recurrence n (%)	159 (36.8)	99 (39.1)	0.771
Locoregional n (%)	95 (22.0)	53 (20.9)	0.863
Cervical lymph node	3	2	1.000
Mediastinal lymph nodes	38	21	0.823
Abdominal lymph nodes	19	14	0.503
Anastomosis	11	4	0.405
Pleura	12	8	0.773
Stomach graft	12	4	0.317
Distant n (%)	64 (14.8)	45 (17.8)	0.568
Brain	13	9	0.695
Lung	31	21	0.592
Liver	9	8	0.381
Bone	11	7	0.862
Time to recurrence (median)	15 months	12 months	0.580

recurrence were also examined to determine whether patients who underwent a laparoscopy-assisted surgery had a higher incidence of recurrent cancer compared with open surgery patients (**Table 5**). The location of the recurrence and the time to recurrence were not significantly different between the 2 groups. No port site recurrence occurred in the laparoscopy-assisted group. Multivariate Cox regression analysis of disease-free survival showed that significant predictors of worse disease-free survival were advanced pathologic T3 or T4 a stage, pathologic N2 or N3 disease and poor tumor differentiation (**Table 6**). The laparoscopy-assisted approach was not a significant predictor of decreased disease-free survival.

### Discussion

Minimally invasive esophagectomy has been performed over the last 10 years reduce post-operative complications without compromising long-term survival [66-68]. This technique corresponds to a collection of surgeries that combine thoracoscopic and/or laparoscopic approaches, including total minimally invasive esophagectomy (thoracoscopy and laparoscopy approaches) or hybrid minimally invasive esophagectomy (thoracoscopy with laparotomy or thoracotomy with laparoscopy) [69]. The laparoscopy-thoracotomy approach has the advantages of causing fewer complications (due to less trauma and reduced deterioration of the

ventilatory mechanisms), ease of performance, avoidance of tumor dissemination, and applicability to patients irrespective of cancer stage [11-13, 69]. However, the most important measurement of any radical surgery is the long-term outcome. In the absence of survival data from phase 3 trials comparing Ivor Lewis esophagectomy done by laparoscopy-thoracotomy and open surgery, a high volume, center-based analysis was performed to compare 2 groups of patients and investigate their perioperative as well as long-term outcomes. Our results showed that laparoscopy-assisted esophagectomy achieves similar overall survival and disease-free survival compared with open surgery.

These oncological outcomes were comparable with those from other reports [11-13]. To our knowledge, our study of 432 patients underwent laparoscopy-assisted surgery, is the largest series of comparing laparoscopy-assisted Ivor Lewis esophagectomy and open surgery.

Some reports have shown that laparoscopy-assisted Ivor Lewis esophagectomy slightly improves long-term survival and disease-free survival after Laparoscopy [11-13]. The potential survival advantage of minimally invasive surgery can be seen in other radical cancer resections [70-72], such as video-assisted thoracoscopic surgery (VATS) for lobectomy of lung cancer [73-75], laparoscopic colectomy for colon cancer [76], and laparoscopic gastrectomy for gastric cancer [77]. In our series, the patients who underwent laparoscopy-assisted surgery had slightly improved survival and slower recurrence. This phenomenon may be hard to explain. Some surgeons hypothesized that this phenomenon may be due to fewer traumas and quicker recovery with minimally invasive surgery, during which earlier adjuvant therapy is administered which aids compliance with additional cycles of adjuvant therapy [73-75]. The other reason may be reduced immunologic suppression with minimally invasive surgery increases a patient's ability to scavenge residual tumor cells shed into the blood or lymphatics

## Laparoscopy-assisted esophagectomy

**Table 6.** Multivariate Cox regression analyses of disease-free survival

Regression variables	Adjusted hazard ratio	95% CI	Beta value	P value
Age				
< 70 years	1.00			
≥ 70 years	1.35	0.69-1.58	0.69	0.102
ASA score				
I-II	1.00			
III	1.26	0.70-1.38	0.60	0.206
Comorbidity				
No	1.00			
Yes	1.39	0.51-1.59	0.49	0.108
Major complications				
No	1.00			
Yes	1.50	0.85-1.98	0.85	0.109
Adjuvant chemotherapy				
Yes	1.00			
No	1.69	0.74-	0.60	0.100
Pathological T stage				
T <sub>1b</sub>	1.00			
T <sub>2</sub>	1.89	0.88-2.36	0.68	0.126
T <sub>3</sub> /T <sub>4a</sub>	2.59	1.25-5.63	1.29	0.003
Pathological N stage				
N <sub>0</sub>	1.00			
N <sub>1</sub>	1.50	0.36-2.34	0.89	0.523
N <sub>2</sub> /N <sub>3</sub>	3.12	2.39-6.53	1.59	0.012
Differentiation grade				
G1 (good)	1.00			
G2 (moderate)	1.58	0.54-4.01	0.28	0.201
G3 (poor)	3.52	1.38-5.68	2.98	0.009

at esophagectomy [73-75]. However, the detailed mechanism underlying any minimally invasive esophagectomy-associated survival advantage remains to be investigated.

We employed laparoscopy, but not thoracoscopy, as minimally invasive Ivor Lewis esophagectomy. Many reports have assessed the advantages of thoracoscopy, such as less blood loss, less pain, earlier recovery, and earlier hospital discharge [66-69]. However, thoracoscopy approaches are time-consuming and are not easy to perform. The learning curve was steeper in the thoracoscopy approaches.

In a study performed by Makoto Yamasaki and his colleagues [12], cervical lymph node dissection was performed in about 55% patients underwent laparoscopy-assisted Ivor Lewis esophagectomy. Cervical lymph node dissec-

tion accompanied by abdominal and mediastinal lymph nodes dissection was named 3-field lymphadenectomy. Whether 3-field lymphadenectomy had the survival advantage over 2-field lymphadenectomy has been controversial due to the paucity of high quality research. A latest meta-analysis demonstrated that given the lack of large-sample randomized controlled studies, further evaluations comparing 3-field lymphadenectomy and 2-field lymphadenectomy are necessary [78]. In our study, clinical cervical metastasis was excluded by preoperative work-ups and the recurrence of cervical lymph node was very low. Therefore, we did not perform cervical lymph nodes dissection.

In the previous studies concerning laparoscopy-assisted Ivor Lewis esophagectomy, most patients underwent neoadjuvant chemo-radiotherapy [11-13]. Theoretically, neoadjuvant chemo-radiotherapy has the advantage of longer overall and disease-free survival than esophagectomy alone. In our series, we did not perform neoadjuvant chemo-radiotherapy. However, the overall and disease-free survival reported in these studies was similar to our series. P. van Hagen has reported a multi-center, randomized controlled clinical trial

concerning esophagectomy alone versus neoadjuvant chemo-radiotherapy with surgery [31]. This trial showed that neoadjuvant chemo-radiotherapy had the survival advantage over esophagectomy alone. However, the role of neoadjuvant chemo-radiotherapy for squamous cell esophageal cancer is in doubt because of the small sample size in the squamous cell carcinoma subgroup (only 84 patients), though neo-adjuvant chemoradiotherapy has the survival advantage over esophagectomy alone in the trial. Whether neoadjuvant therapy has the survival advantage over surgery alone need to be confirmed by large sample, randomized controlled clinical trial.

Some limitations of this study have to be acknowledged. This study is based on a single-center, not multiple-center and based on retro-

spective analysis, not prospective randomized analysis. So we cannot exclude bias from patients and surgical approaches selection by the surgeons. This limitation should be taken into account when interpreting the results. Other factors that may affect long-term outcomes are not completely accounted by this analysis.

In summary, it is reasonable to conclude from our study that laparoscopy-assisted Ivor Lewis esophagectomy performed by dedicated thoracic surgeons is safe and can achieve similar long-term survival to open approach. Further prospective randomized multi-center trials are warranted before incorporating laparoscopy-assisted Ivor Lewis esophagectomy into clinical routine.

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### Disclosure of conflict of interest

None.

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