

1 **Revised paper (CLM-11767.R1) [marked version]**

2 **Original article**

3 **Title page**

4 **Complete title:** Multinational retrospective case-control study of risk factors for the  
5 development of late invasive pulmonary aspergillosis following kidney transplantation.

6 **Running title:** Late pulmonary aspergillosis in kidney transplantation

7 **Authors' names and affiliations:**

8 Francisco López-Medrano (1)\*; Mario Fernández-Ruiz (1)\*; José Tiago Silva (1); Peggy L.  
9 Carver (2); Christian van Delden (3); Esperanza Merino (4); María José Pérez-Saez (5)  
10 Milagros Montero (6); Julien Coussement (7); Milene de Abreu Mazzolin (8), Carlos Cervera (9);  
11 Lidia Santos (10); Nuria Sabé (11); Anne Scemla (12); Elisa Cordero (13); Leónidas Cruzado-  
12 Vega (14); Paloma Leticia Martín-Moreno (15); Óscar Len (16); Eddison Rudas (17); Alfredo  
13 Ponce de León (18); Mariano Arriola (19); Ricardo Lauzurica (20); Miruna D. David (21);  
14 Claudia González-Rico (22); Fernando Henríquez-Palop (23); Jesús Fortún (24); Marcio Nucci  
15 (25); Oriol Manuel (26); José Ramón Paño-Pardo (27); Miguel Montejo (28); Antonio Vena (29);  
16 Beatriz Sánchez-Sobrinó (30); Auxiliadora Mazuecos (31); Julio Pascual (5); Juan Pablo  
17 Horcajada (6); Thanh Lecompte (3); Asunción Moreno (9); Jordi Carratalà (11); Marino Blanes  
18 (32); Domingo Hernández (17); Erick Alejandro Hernández-Méndez (18); María Carmen  
19 Fariñas (22); Manuel Perelló-Carrascosa (33); Patricia Muñoz (29); Amado Andrés (34); José  
20 María Aguado (1); and the Spanish Network for Research in Infectious Diseases (REIPI), the  
21 Group for the Study of Infection in Transplant Recipients (GESITRA) of the Spanish Society of  
22 Clinical Microbiology and Infectious Diseases (SEIMC), the Study Group for Infections in  
23 Compromised Hosts (ESGICH) of the European Society of Clinical Microbiology and Infectious  
24 Diseases (ESCMID), and the Swiss Transplant Cohort Study (STCS).

25 1. Unit of Infectious Diseases, Hospital Universitario "12 de Octubre", Instituto de  
26 Investigación Hospital "12 de Octubre" (i+12), Department of Medicine, School of  
27 Medicine, Universidad Complutense, Madrid, Spain

28 2. University of Michigan College of Pharmacy, Department of Clinical Pharmacy,  
29 University of Michigan Health System, Ann Arbor, Michigan

- 30 3. Unit of Transplant Infectious Diseases, Department of Medical Specialities, University  
31 Hospitals Geneva, Geneva, Switzerland
- 32 4. Unit of Infectious Diseases, Hospital Universitario General, Alicante, Spain
- 33 5. Department of Nephrology, Hospital del Mar, Hospital del Mar Medical Research  
34 Institute (IMIM), Barcelona, Spain
- 35 6. Department of Infectious Diseases, Hospital del Mar, Hospital del Mar Medical  
36 Research Institute (IMIM), Barcelona, Spain
- 37 7. Department of Nephrology, Dialysis and Kidney Transplantation, CUB-Hôpital Erasme,  
38 Université Libre de Bruxelles, Brussels, Belgium
- 39 8. Division of Nephology, Department of Medicine, Universidade Federal de São Paulo-  
40 UNIFESP and Hospital do Rim e Hipertensão, Fundação Oswaldo Ramos, São Paulo,  
41 Brazil
- 42 9. Department of Infectious Diseases, Hospital Clinic, Institut d'Investigacions  
43 Biomèdiques August Pi i Sunyer (IDIBAPS), School of Medicine, University of  
44 Barcelona, Barcelona, Spain
- 45 10. Unit of Renal Transplantation, Department of Urology and Kidney Transplantation,  
46 Coimbra Hospital and University Centre, Coimbra, Portugal
- 47 11. Department of Infectious Diseases, Hospital Universitari de Bellvitge, Institut  
48 d'Investigació Biomèdica de Bellvitge (IDIBELL), Barcelona, Spain
- 49 12. Service de Néphrologie et Transplantation Adulte, Hôpital Necker Enfants Malades,  
50 Assistance Publique-Hôpitaux de Paris, Université Paris Descartes Sorbonne Paris  
51 Cité, RTRS Centaure, Paris, France
- 52 13. Department of Infectious Diseases, Hospitales Universitarios "Vigen del Rocío",  
53 Instituto de Biomedicina de Sevilla (IBIS), Seville, Spain
- 54 14. Department of Nephrology, Hospital Universitario "La Fe", Valencia, Spain
- 55 15. Department of Nephrology, Clínica Universitaria de Navarra, Pamplona, Spain
- 56 16. Department of Infectious Diseases, Hospital Universitari Vall d'Hebrón, Vall d'Hebron  
57 Research Institute (VHIR), Barcelona, Spain
- 58 17. Department of Nephrology, Hospital Universitario "Carlos Haya", Málaga, Spain

- 59 18. Department of Transplantation, Instituto Nacional de Ciencias Médicas y Nutrición  
60 "Salvador Zubirán", México DF, México
- 61 19. Clínica de Nefrología, Urología y Enfermedades Cardiovasculares, Santa Fe,  
62 Argentina
- 63 20. Department of Nephrology, University Hospital Germans Trias i Pujol, Badalona,  
64 Barcelona, Spain
- 65 21. Department of Microbiology, University Hospitals Birmingham NHS Foundation Trust,  
66 Birmingham, UK
- 67 22. Department of Infectious Diseases, University Hospital "Marqués de Valdecilla",  
68 Santander, Spain
- 69 23. Department of Nephrology, University Hospital "Doctor Negrín", Las Palmas de Gran  
70 Canaria, Spain
- 71 24. Department of Infectious Diseases, University Hospital "Ramón y Cajal", Madrid,  
72 Spain
- 73 25. Department of Internal Medicine, Hematology Service and Mycology Laboratory,  
74 Hospital Universitário Clementino Fraga Filho, Universidade Federal do Rio de  
75 Janeiro, Rio de Janeiro, Brasil
- 76 26. Department of Infectious Diseases and Transplantation Center, University Hospital  
77 (CHUV) and University of Lausanne, Switzerland
- 78 27. Infectious Diseases and Clinical Microbiology Unit, Department of Internal Medicine,  
79 Hospital Universitario "La Paz", School of Medicine, Universidad Autónoma de Madrid,  
80 Madrid, Spain
- 81 28. Department of Infectious Diseases, Hospital Universitario Cruces, Barakaldo, Bilbao,  
82 Spain
- 83 29. Department of Clinical Microbiology and Infectious Diseases, Hospital General  
84 Universitario Gregorio Marañón; Instituto de Investigación Sanitaria Hospital Gregorio  
85 Marañón, Madrid, Spain; CIBER Enfermedades Respiratorias - CIBERES  
86 (CB06/06/0058), Madrid Spain; Medicine Department, School of Medicine,  
87 Universidad Complutense de Madrid, Madrid, Spain

- 88 30. Department of Nephrology, Hospital Universitario Puerta de Hierro-Majadahonda,  
89 School of Medicine, Universidad Autónoma de Madrid, Madrid, Spain
- 90 31. Department of Nephrology, Hospital Universitario "Puerta del Mar", Cádiz, Spain
- 91 32. Unit of Infectious Diseases, Hospital Universitario "La Fe", Valencia, Spain
- 92 33. Department of Nephrology, Hospital Universitari Vall d'Hebrón, Vall d'Hebron  
93 Research Institute (VHIR), Barcelona, Spain
- 94 34. Department of Nephrology, Hospital Universitario "12 de Octubre", Instituto de  
95 Investigación Hospital "12 de Octubre" (i+12), Department of Medicine, School of  
96 Medicine, Universidad Complutense, Madrid, Spain

97 \* Both authors contributed equally to this work

98

99 • **Manuscript word length** (excluding title page, abstract, references, tables and figure  
100 legends): 2,582

101 • **Number of tables:** 3

102 • **Number of figures:** 1

103 • **Number of references:** 28

104 • **Keywords:** kidney transplantation; late invasive pulmonary aspergillosis; risk factors;  
105 case-control study.

106 • **Corresponding author:** Francisco López-Medrano, MD, PhD, MSc. Unit of Infectious  
107 Diseases, Hospital Universitario "12 de Octubre", Centro de Actividades Ambulatorias,  
108 2ª planta, bloque D. Avda. de Córdoba, s/n. Postal code 28041. Madrid, Spain. Phone:  
109 +34 913908000. Fax: +34 914695775. E-mail address: [fmedrano@yahoo.es](mailto:fmedrano@yahoo.es)

110 **Abstract** (250 words)

111 *Objectives:* To assess the risk factors for the development of late-onset invasive pulmonary  
112 aspergillosis (IPA) after kidney transplantation (KT).

113 *Methods:* We performed a multinational case-control study that retrospectively recruited 112 KT  
114 recipients diagnosed with IPA between 2000 and 2013. Controls were matched (1:1 ratio) by  
115 center and date of transplantation. Immunosuppression-related events (IREs) included the  
116 occurrence of non-ventilator-associated pneumonia, tuberculosis, cytomegalovirus disease  
117 and/or *de novo* malignancy.

118 *Results:* We identified 61 cases of late (>180 days after transplantation) IPA from 24  
119 participating centers (accounting for 54.5% [61/112] of all cases included in the overall study).  
120 Most diagnoses (54.1% [33/61]) were established within the first 36 post-transplant months,  
121 although 5 cases occurred more than 10 years after transplantation. Overall mortality among  
122 cases was 47.5% (29/61). Compared to controls, cases were significantly older ( $P$ -value =  
123 0.010) and more likely to have pre-transplant chronic obstructive pulmonary disease ( $P$ -value =  
124 0.001) and a diagnosis of bloodstream infection ( $P$ -value = 0.016) and IRE ( $P$ -value <0.001)  
125 within the 6 months prior to the onset of late IPA. After multivariate adjustment, previous  
126 occurrence of IRE (odds ratio: 19.26; 95% confidence interval: 2.07 - 179.46;  $P$ -value = 0.009)  
127 was identified as an independent risk factor for late IPA.

128 *Conclusion:* More than half of IPA cases after KT occur beyond the sixth month, with some of  
129 them presenting very late. Late IPA entails a poor prognosis. We identified some risk factors  
130 that could help the clinician to delimit the subgroup of KT recipients at the highest risk for late  
131 IPA.

**132 Introduction**

133 Invasive pulmonary aspergillosis (IPA) constitutes one of the most feared complications  
134 occurring in patients undergoing solid organ transplantation (SOT) in terms of both patient and  
135 graft survival [1-3]. Apart from local susceptibility associated with specific surgical procedures  
136 (e.g., ulcerative aspergillus tracheobronchitis at the bronchial anastomosis site after lung  
137 transplantation) [4], it is conventionally assumed that the lifelong use of immunosuppression to  
138 avoid graft rejection confers the most relevant risk for this event [5].

139 The intensity of the immunosuppressive therapy is usually higher during the first 6 months  
140 following SOT, and therefore this period has been traditionally considered as carrying the  
141 maximum risk for opportunistic infection including IPA [6]. Nevertheless, kidney transplant (KT)  
142 recipients require potent triple-drug regimens —often containing steroids, calcineurin inhibitors  
143 and antiproliferative agents— for indefinite time periods [7]. Although the relative risk of post-  
144 transplant IPA after KT is lower compared to other types of grafts [1,3,8], KT recipients suffer  
145 from the highest absolute disease burden due to the large number of procedures performed  
146 worldwide [9,10]. In addition, recent decades have witnessed a continuous improvement in  
147 long-term graft survival [11], thus increasing the population of aged KT recipients chronically  
148 exposed to a high degree of immunosuppression.

149 By using a multicenter case-control design, we have recently analyzed the risk factors for the  
150 occurrence of early IPA (i.e., diagnosed within the first 180 days) after KT [12]. Only one  
151 previous study has analyzed the predisposing conditions for the late forms of infection, although  
152 its results were limited by its single-center nature and by the inclusion of only 26 cases of late  
153 IPA [13].

154 Transplant physicians may benefit from identifying, among the increasing population of long-  
155 term KT recipients, that subgroup of patients at increased risk for late IPA in order to implement  
156 individualized follow-up and prevention strategies. Unfortunately, such an approach remains an  
157 unmet clinical need. To the best of our knowledge, this is the first study specifically aiming to  
158 ascertain the predisposing factors for the development of late IPA from a large representative  
159 population of KT recipients.

160 **Materials and Methods**161 *Study design*

162 This is a sub-analysis of a multinational retrospective case-control study performed in 29  
163 hospitals from 10 European (Spain, Switzerland [6 centers included in the Swiss Transplant  
164 Cohort Study [14]], Belgium, Portugal, France and United Kingdom) and American institutions  
165 (United States, Brazil, Mexico and Argentina). Participating centers included cases of IPA  
166 diagnosed in KT recipients between January 1, 2000 and December 31, 2013 [12,15]. In the  
167 present *a priori* designed sub-analysis we focused on late episodes of IPA, defined as those  
168 diagnosed beyond the first 180 days after transplantation (“IPA cases”). The “control group” was  
169 selected (in an 1:1 ratio) among those patients that underwent transplantation at the same  
170 center within a 3-month period before or after the calendar date of the corresponding case but  
171 without the diagnosis of IPA throughout the post-transplant period. In addition, controls must  
172 have survived at least until the time of diagnosis of IPA in the index case. To take into account  
173 the effect of post-transplant events on the occurrence of late IPA, controls were assigned a  
174 “pseudo-date of diagnosis” to match their cases with the aim of ensuring comparable risk  
175 exposure periods in both groups. The criteria used to establish the date of IPA diagnosis is  
176 available as **Supplementary Methods**. This research adhered to the STROBE guidelines for  
177 observational studies. The study protocol was approved by the local Ethics Committee of the  
178 coordinating center and of other participating sites as required.

179 *Study definitions*

180 IPA was defined according to the revised criteria proposed in 2008 by the European  
181 Organization for Research and Treatment of Cancer/Invasive Fungal Infections Cooperative  
182 Group and the National Institute of Allergy and Infectious Diseases Mycoses Study Group  
183 (EORTC/MSG) Consensus Group (details provided as **Supplementary Methods**) [16]. It  
184 should be noted that we added a modified radiological criterion (beyond the classic dense, well-  
185 circumscribed lesions with or without halo sign or cavitation) based on the presence of certain  
186 lung patterns that have been specifically associated with post-transplant IPA (peribronchial  
187 consolidation or tree-in-bud pattern) [17]. Additional study definitions (including IPA-attributable  
188 mortality, cytomegalovirus [CMV] disease, tuberculosis, pneumonia, respiratory tract viral  
189 infection, bloodstream infection [BSI] or post-transplant lymphoproliferative disorder [PTLD]) are

190 available in **Supplementary Methods**.

191 To encompass the different post-transplant complications that may be attributable to over-  
192 immunosuppression we constructed a composite variable (termed “immunosuppression-related  
193 event” [IRE]) that included the occurrence of any of the following: non-ventilator-associated  
194 pneumonia, tuberculosis, CMV disease and/or post-transplant *de novo* malignancy (both PTLD  
195 and solid organ tumors). Community-acquired pneumonia has been previously recognized to be  
196 more frequent among SOT recipients due to immunosuppression [18] and therefore  
197 pneumococcal vaccination is strongly recommended for this population [19]. We did not  
198 consider within the definition of IRE certain post-transplant infections (such as BSI or ventilator-  
199 associated pneumonia) that may be arguably attributable to invasive procedures,  
200 instrumentation (i.e., indwelling catheters) or anatomical abnormalities rather than to the  
201 recipient’s immune status.

#### 202 *Statistical analysis*

203 Continuous variables were summarized by the mean  $\pm$  standard deviation (SD) or the median  
204 with interquartile ranges (IQR), while categorical variables were summarized using absolute  
205 counts and percentages. Categorical variables were compared using the McNemar test,  
206 whereas the Student's t-test for repeated measures or the Wilcoxon signed-ranks test were  
207 applied for continuous variables. Conditional logistic regression was used to identify  
208 independent risk factors for the development of late IPA. Those variables found to be significant  
209 ( $P$ -value  $\leq 0.1$ ) at the univariate level were included into the multivariable models in a backward  
210 stepwise fashion. Collinearity among explanatory variables was assessed by means of the  
211 variance inflation factor (VIF), with VIF values over 3 suggesting significant collinearity. Results  
212 are given as odds ratios (ORs) with 95% confidence intervals (CIs). As a secondary outcome,  
213 we compared patient survival from the date (for cases) or the “pseudodate” (for controls) of IPA  
214 diagnosis. Survival curves were plotted by the Kaplan-Meier method and differences between  
215 groups were compared with the log-rank test. All the significance tests were two-tailed.  
216 Statistical analysis was performed with SPSS version 20.0 (IBM Corp., Armonk, NY) and  
217 graphics were generated with Prism v. 6.0 (GraphPad Software Inc., La Jolla, CA).

218 **Results**

219 We included 61 cases of late IPA (14/61 [23.0%] proven and 47/61 [77.0%] probable) and their  
220 corresponding controls from 24 out of 29 participating centers (i.e., 5 centers did not contribute  
221 to the present sub-analysis). This figure accounts for 54.5% (61/112) of all the cases enrolled in  
222 the overall study. Twenty-nine out of 61 cases (47.5%) were diagnosed between 2010 and  
223 2013. The median time interval between transplantation and diagnosis was 34.4 months (IQR:  
224 11.8 - 78.5). Most diagnoses (54.1% [33/61]) were established within the first 36 months,  
225 although this period spanned more than 27 years (with 5 very late-onset cases occurring after  
226 the tenth year) (**Figure 1**). The median follow-up from the date (for cases) or the “pseudo-date”  
227 of diagnosis (for controls) was 476 days (IQR: 70.0 - 1298.5). Overall and IPA-attributable  
228 mortality among IPA cases was 47.5% (29/61) and 21.3% (13/61) and occurred at a median of  
229 53.5 days (IQR: 14.5 - 171.5) and 15 days (IQR: 7.3 - 33.3), respectively, from diagnosis. There  
230 were no significant differences in one-year survival rates between cases occurring in months 6  
231 to 36 or >36 months after transplantation (55.0% versus 41.0%, respectively; log-rank test *P*-  
232 value = 0.619). Among survivors, 9.4% (3/32) patients experienced definitive graft failure  
233 requiring return to permanent dialysis. None of the patients in the control group died during the  
234 follow-up. One-year survival was significantly lower among cases than controls (49.0% versus  
235 100.0%; log-rank test *P*-value = 0.021).

236 The demographics and pre-transplant factors of patients who developed late IPA and their  
237 controls are compared in **Table 1**. Cases were significantly older ( $54.6 \pm 14.2$  versus  $48.6 \pm$   
238  $15.5$  years; *P*-value = 0.010) and more likely to have pre-transplant chronic obstructive  
239 pulmonary disease (COPD) (18.0% [11/61] versus 0.0% [0/61]; *P*-value = 0.001) than control  
240 counterparts. The prevalence of underlying diabetic nephropathy as a reason for end-stage  
241 renal disease requiring transplantation was also higher among cases, although not achieving  
242 statistical significance (19.7% [12/61] versus 6.6% [4/61]; *P*-value = 0.077).

243 Donor- and transplant-related and post-transplant variables are compared in **Table 2**. Cases  
244 were more likely to have been diagnosed with an IRE during the 6 months prior to the onset of  
245 IPA (34.4% [21/61] versus 3.3% [2/61]; *P*-value <0.001), with significant (for non-ventilator-  
246 associated pneumonia and CMV disease) or near significant differences (for post-transplant *de*  
247 *novo* malignancy) observed for each of the different individual events included in this composite

248 variable. PTLD was the predominant type of malignancy diagnosed. A prior occurrence of BSI  
249 was also more common among cases than controls (11.5% [7/61] versus 0.0% [0/61];  $P$ -value =  
250 0.016). No significant differences were observed between the groups regarding the prior  
251 occurrence of acute graft rejection or the requirement of steroid boluses. None of these  
252 episodes were treated with lymphocyte-depleting agents as anti-rejection therapy, and only one  
253 of them (in the control group) received rituximab.

254 Finally, age at transplantation, pre-transplant COPD, underlying diabetic nephropathy, and the  
255 diagnosis of an IRE or BSI within the preceding 6 months were entered into the conditional  
256 logistic regression model (**Table 3**). Linear regression analysis showed no significant collinearity  
257 among these explanatory variables, with all VIF values  $<1.5$  (data not shown). After multivariate  
258 adjustment, prior diagnosis of IRE (OR: 19.26; 95% CI: 2.07 - 179.46;  $P$ -value = 0.009) was  
259 identified as the only independent risk factor associated with late IPA.

260 **Discussion**

261 To our knowledge, our multinational retrospective case-control study represents the largest  
262 effort to date to explore the clinical outcome of and risk factors for IPA in the specific population  
263 of KT recipients. Our experience highlights the poor prognosis conferred by the late forms of  
264 this opportunistic infection, since more than half of the included patients had died at a median  
265 time of less than two months from diagnosis. In addition, IPA-attributable mortality was  
266 assumed in more than 20% of cases. Notwithstanding such an ominous picture, in our previous  
267 study we reported even worse figures for early IPA (first 180 days), with global and attributable  
268 mortality of 60.8% and 45.1%, respectively [12]. We hypothesize that this difference may be  
269 explained by the relatively more intensive immunosuppression among patients in their first post-  
270 transplant months [15].

271 Remarkably, although most of the episodes of late IPA occurred within the first three years,  
272 almost 10% of them were diagnosed across a large time period covering more than a decade  
273 after transplantation, including some very late onset episodes occurring more than ten years  
274 post-transplantation. In a previous series of IPA among KT recipients [13], 43% of the 41 cases  
275 were diagnosed beyond the sixth month, and 6 (14%) beyond the fifth year post-transplantation.  
276 These concordant results reinforce the previously stated concept [20] that the period at risk for  
277 severe opportunistic infection continues far beyond the classical time scheme proposed for SOT  
278 recipients.

279 Despite the wide range of time between KT and the onset of late IPA, we were still able to  
280 identify some factors associated to this event. Cases were more likely to have been diagnosed  
281 with COPD, although such association only showed borderline univariate significance. The  
282 presence of pre-transplant COPD may reflect underlying injury to the lung parenchyma [12,21]  
283 or act as a surrogate marker for prolonged corticosteroid exposure. BSI during the six preceding  
284 months was also more frequent among cases. Comparable associations have been previously  
285 reported for the overall SOT population [8] or, specifically, KT recipients [12]. The occurrence of  
286 BSI may identify patients commonly suffering from invasive procedures, impaired graft function  
287 and antibiotic therapy exposure, which overall reflect increased patient frailty.

288 Following the example of previous studies [22], we created a composite variable (IRE) that  
289 summarized post-transplant complications —such as severe non-device-associated infections,

290 CMV disease or *de novo* cancer— that are consistently assumed to indicate an excess of  
291 immunosuppression. In the regression model this condition displayed a significant association  
292 with the development of IPA during the following six months. Other authors have also reported  
293 the observation of episodes of pneumonia preceding the onset of IPA [23,24]. On the other  
294 hand, the deleterious impact exerted by CMV on the risk of IPA has been well established for  
295 the SOT recipient [8,25,26]. In accordance with this rationale, the incidence of CMV disease in  
296 our experience was ten times higher among cases than controls (16.4% versus 1.6%,  
297 respectively). In a similar way, a recent diagnosis of *de novo* cancer (either PTLD or solid organ  
298 tumor) had been made in almost one out of every ten cases as compared to none of the  
299 controls. In a French nationwide epidemiological study, both hematologic and solid organ  
300 malignancies have been described as an important risk factor for invasive aspergillosis [3]. In  
301 addition to the direct deleterious effect of the oncologic therapies (B-cell-depleting agents such  
302 as rituximab or cytotoxic chemotherapy) on the host's response and infection susceptibility, the  
303 function of natural killer cells (which significantly contribute to the protective immunity against  
304 fungi [27]) has been shown to be impaired in KT recipients with post-transplant cancer [28].

305 The design of our study (case-control study) prevents us from estimating the actual incidence of  
306 late IPA among KT recipients that develop an episode of IRE. Case-control studies can  
307 generate plausible associations rather than demonstrate direct causality. In our opinion, such a  
308 circumstance and the heterogeneous distribution of IPA cases over a very long post-transplant  
309 period would make it unreasonable to propose the use of antifungal prophylaxis for those  
310 recipients fulfilling the characterized risk factors. Nevertheless, our findings do support the  
311 recommendation of maintaining a low threshold for suspicion of post-transplant IPA in patients  
312 with compatible respiratory symptoms and underlying COPD or recently diagnosed with a  
313 serious infection, CMV disease or post-transplant cancer. In addition, this clinical awareness  
314 should be maintained even for very long-term KT recipients, as IPA may occur many years after  
315 transplantation. In this context, we have previously shown the protean clinical features of IPA  
316 among KT recipients and the correlation between the timely initiation of antifungal therapy and  
317 the outcome [15].

318 Strengths of the present collaborative effort include its multicenter nature, the use of uniform  
319 diagnostic criteria, and the standardized collection of a large number of variables. However,

320 some limitations must be acknowledged, such as its retrospective design and the relatively low  
321 sample size that may have limited statistical power. Therefore, confidence intervals for risk  
322 estimates were wide. Most IPA cases were categorized as “probable” rather than “proven” [16].  
323 The protracted inclusion period imposes heterogeneity among participating centers in  
324 immunosuppression and standard of care. Nonetheless, the low incidence among KT recipients  
325 of late-onset IPA made this approach the only practical method to collect a meaningful number  
326 of cases. We lacked detailed data on certain relevant factors (such as the receipt of rituximab or  
327 cytotoxic chemotherapy among patients with PTLD). Finally, we were unable to estimate the  
328 incidence of late IPA due to the lack of denominator figures (i.e., number of transplant  
329 procedures performed at each center or number of at-risk recipients during the study period)  
330 since our research was conceived exclusively to ascertain the risk factors for developing such  
331 condition. Thus, we chose a case-control design instead than other approaches (i.e., nested  
332 case-control study within a multicenter cohort).

333 In conclusion, late IPA may develop among KT recipients even more than 10 years after  
334 transplantation and entails a very poor prognosis. The preceding diagnosis of post-transplant  
335 adverse events reflecting an excess of immunosuppression, such as serious or opportunistic  
336 infection or *de novo* malignancy, may be useful to identify those patients at the highest risk for  
337 this complication.

- 338 • **Acknowledgements:** The authors would like to acknowledge Mariano Barroso for his  
339 kind assistance with the creation of the database. The present study was performed  
340 under the scientific auspice of the Group for the Study of Infection in Transplant  
341 Recipients (GESITRA) of the Spanish Society of Clinical Microbiology and Infectious  
342 Diseases (SEIMC) and the Spanish Network Research of Infectious Diseases (REIPI).
- 343 • **Authors' contribution:** FLM designed the study; FLM and MFR analyzed data and wrote  
344 the manuscript; FLM, MFR, JTS and JMA coordinated the study. FLM, JTS, PLC, CvD,  
345 EM, MJPS, MM, JC, MAM, CC, LS, NS, AS, EC, LCV, PLMM, OL, ER, APL, MA, TL, MD,  
346 CGR, FHP, JF, MN, OM, JRPP, MM, AV, BSS, AM, JP, JPH, TL, AM, JC, MB, DH,  
347 EAHM, MCF and MPC collected data and critically reviewed the final version of the  
348 manuscript.
- 349 • **Transparency declaration:** Francisco López-Medrano has been paid for talks on behalf  
350 of Pfizer, Gilead Sciences and Astellas Pharma. Mario Fernández-Ruiz has been paid for  
351 talks on behalf of Pfizer and Gilead Sciences. Christian van Delden has been consultant  
352 for Basilea, Debiopharm, Gilead Sciences, Merck Sharp and Dohme, Pfizer and Astellas  
353 Pharma. Óscar Len has been paid for talks on behalf of Astellas Pharma and Merck,  
354 Sharp and Dohme and has received grants from Merck Sharp and Dohme and Astellas.  
355 Oriol Manuel has received unrestricted grants for research from Roche and Lophius  
356 Bioscience. Mariano Arriola has been consultant for Novartis, Pfizer and Astellas Pharma.  
357 Miruna D. David has been a consultant for Merck Sharp and Dohme and has received  
358 travel grant to attend conferences from Astellas Pharma and Gilead. Jesús Fortún has  
359 received grant support from Astellas Pharma, Gilead Sciences, Merck Sharp and Dohme,  
360 Pfizer and Instituto de Salud Carlos III. Ricardo Lauzurica has been paid for talks on  
361 behalf of Novartis and Astellas Pharma. Marino Blanes has been paid for talks on behalf  
362 of Astellas, Pfizer, Gilead and Merck Sharp and Dohme. José María Aguado has been a  
363 consultant to and on the speakers' bureau for Astellas Pharma, Pfizer, Gilead, Merck  
364 Sharp and Dohme, and Roche. The remaining authors of this manuscript have no  
365 conflicts of interest to disclose.
- 366 • **Funding sources:** This research was supported by Plan Nacional de I+D+i and Instituto  
367 de Salud Carlos III (Proyecto Integrado de Excelencia [PIE] 13/00045), Subdirección

368 General de Redes y Centros de Investigación Cooperativa, Spanish Ministry of Economy  
369 and Competitiveness, Spanish Network for Research in Infectious Diseases (REIPI  
370 RD12/0015) - co-financed by the European Development Regional Fund (EDRF) "*A way  
371 to achieve Europe*". This study was also co-funded by an unrestricted grant from Pfizer  
372 Pharmaceutical (REI-ANT-2013-01). Mario Fernández-Ruiz holds a clinical research  
373 contract "Juan Rodés" (JR14/00036) from the Instituto de Salud Carlos III, Spanish  
374 Ministry of Economy and Competitiveness. These funding institutions had no involvement  
375 in the study design; in the collection, analysis, and interpretation of data; in the writing of  
376 the paper; or in the decision to submit it for publication.

377 **References**

- 378 1. Cornet M, Fleury L, Maslo C, Bernard JF, Brucker G, Invasive Aspergillosis Surveillance  
379 Network of the Assistance Publique-Hopitaux de P. Epidemiology of invasive aspergillosis  
380 in France: a six-year multicentric survey in the Greater Paris area. *J Hosp Infect*  
381 2002;51:288-96.
- 382 2. Morgan J, Wannemuehler KA, Marr KA, Hadley S, Kontoyiannis DP, Walsh TJ, et al.  
383 Incidence of invasive aspergillosis following hematopoietic stem cell and solid organ  
384 transplantation: interim results of a prospective multicenter surveillance program. *Med*  
385 *Mycol* 2005;43 Suppl 1:S49-58.
- 386 3. Lortholary O, Gangneux JP, Sitbon K, Lebeau B, de Monbrison F, Le Strat Y, et al.  
387 Epidemiological trends in invasive aspergillosis in France: the SAIF network (2005-2007).  
388 *Clin Microbiol Infect* 2011;17:1882-9.
- 389 4. Fernández-Ruiz M, Silva JT, San-Juan R, de Dios B, García-Luján R, López-Medrano F,  
390 et al. *Aspergillus* tracheobronchitis: report of 8 cases and review of the literature. *Medicine*  
391 (Baltimore) 2012;91:261-73.
- 392 5. Singh N, Husain S, AST Infectious Diseases Community of Practice. Aspergillosis in solid  
393 organ transplantation. *Am J Transplant* 2013;13 Suppl 4:228-41.
- 394 6. Fishman JA, Issa NC. Infection in organ transplantation: risk factors and evolving patterns  
395 of infection. *Infect Dis Clin North Am* 2010;24:273-83.
- 396 7. Kidney Disease: Improving Global Outcomes Transplant Work G. KDIGO clinical practice  
397 guideline for the care of kidney transplant recipients. *Am J Transplant* 2009;9 Suppl 3:S1-  
398 155.
- 399 8. Gavaldà J, Len O, San Juan R, Aguado JM, Fortún J, Lumbreras C, et al. Risk factors for  
400 invasive aspergillosis in solid-organ transplant recipients: a case-control study. *Clin Infect*  
401 *Dis* 2005;41:52-9.
- 402 9. Pappas PG, Alexander BD, Andes DR, Hadley S, Kauffman CA, Freifeld A, et al. Invasive  
403 fungal infections among organ transplant recipients: results of the Transplant-Associated  
404 Infection Surveillance Network (TRANSNET). *Clin Infect Dis* 2010;50:1101-11.
- 405 10. Neofytos D, Treadway S, Ostrander D, Alonso CD, Dierberg KL, Nussenblatt V, et al.  
406 Epidemiology, outcomes, and mortality predictors of invasive mold infections among

- 407 transplant recipients: a 10-year, single-center experience. *Transpl Infect Dis* 2013;15:233-  
408 42.
- 409 11. Ojo AO, Hanson JA, Wolfe RA, Leichtman AB, Agodoa LY, Port FK. Long-term survival in  
410 renal transplant recipients with graft function. *Kidney Int* 2000;57:307-13.
- 411 12. López-Medrano F, Silva JT, Fernández-Ruiz M, Carver PL, van Delden C, Merino E, et al.  
412 Risk factors associated with early invasive pulmonary aspergillosis in kidney transplant  
413 recipients: results from a multinational matched case-control study. *Am J Transplant*  
414 2016;16:2148-57.
- 415 13. Heylen L, Maertens J, Naesens M, Van Wijngaerden E, Lagrou K, Bammens B, et al.  
416 Invasive aspergillosis after kidney transplant: case-control study. *Clin Infect Dis*  
417 2015;60:1505-11.
- 418 14. Koller MT, van Delden C, Muller NJ, Baumann P, Lovis C, Marti HP, et al. Design and  
419 methodology of the Swiss Transplant Cohort Study (STCS): a comprehensive prospective  
420 nationwide long-term follow-up cohort. *Eur J Epidemiol* 2013;28:347-55.
- 421 15. López-Medrano F, Fernández-Ruiz M, Silva JT, Carver PL, van Delden C, Merino E, et al.  
422 Clinical presentation and determinants of mortality of invasive pulmonary aspergillosis in  
423 kidney transplant recipients: a multinational cohort study. *Am J Transplant* 2016;16:3220-  
424 34.
- 425 16. De Pauw B, Walsh TJ, Donnelly JP, Stevens DA, Edwards JE, Calandra T, et al. Revised  
426 definitions of invasive fungal disease from the European Organization for Research and  
427 Treatment of Cancer/Invasive Fungal Infections Cooperative Group and the National  
428 Institute of Allergy and Infectious Diseases Mycoses Study Group (EORTC/MSG)  
429 Consensus Group. *Clin Infect Dis* 2008;46:1813-21.
- 430 17. Muñoz P, Vena A, Ceron I, Valerio M, Palomo J, Guinea J, et al. Invasive pulmonary  
431 aspergillosis in heart transplant recipients: two radiologic patterns with a different  
432 prognosis. *J Heart Lung Transplant* 2014;33:1034-40.
- 433 18. Giannella M, Muñoz P, Alarcon JM, Mularoni A, Grossi P, Bouza E, et al. Pneumonia in  
434 solid organ transplant recipients: a prospective multicenter study. *Transpl Infect Dis*  
435 2014;16:232-41.

- 436 19. Blasi F, Akova M, Bonanni P, Dartois N, Sauty E, Webber C, et al. Community-acquired  
437 pneumonia in adults: Highlighting missed opportunities for vaccination. *Eur J Intern Med*  
438 2017;37:13-8.
- 439 20. San Juan R, Aguado JM, Lumbreras C, Díaz-Pedroche C, López-Medrano F, Lizasoain M,  
440 et al. Incidence, clinical characteristics and risk factors of late infection in solid organ  
441 transplant recipients: data from the RESITRA study group. *Am J Transplant* 2007;7:964-  
442 71.
- 443 21. Guinea J, Torres-Narbona M, Gijon P, Muñoz P, Pozo F, Pelaez T, et al. Pulmonary  
444 aspergillosis in patients with chronic obstructive pulmonary disease: incidence, risk factors,  
445 and outcome. *Clin Microbiol Infect* 2010;16:870-7.
- 446 22. San-Juan R, De Dios B, Navarro D, Garcia-Reyne A, Lumbreras C, Bravo D, et al.  
447 Epstein-Barr virus DNAemia is an early surrogate marker of the net state of  
448 immunosuppression in solid organ transplant recipients. *Transplantation* 2013;95:688-93.
- 449 23. Perez-Saez MJ, Mir M, Montero MM, Crespo M, Montero N, Gomez J, et al. Invasive  
450 aspergillosis in kidney transplant recipients: a cohort study. *Exp Clin Transplant*  
451 2014;12:101-5.
- 452 24. Hoyo I, Sanclemente G, de la Bellacasa JP, Cofan F, Ricart MJ, Cardona M, et al.  
453 Epidemiology, clinical characteristics, and outcome of invasive aspergillosis in renal  
454 transplant patients. *Transpl Infect Dis* 2014;16:951-7.
- 455 25. Sahin SZ, Akalin H, Ersoy A, Yildiz A, Ocakoglu G, Cetinoglu ED, et al. Invasive fungal  
456 infections in renal transplant recipients: epidemiology and risk factors. *Mycopathologia*  
457 2015;180:43-50.
- 458 26. Muñoz P, Valerio M, Palomo J, Giannella M, Yanez JF, Desco M, et al. Targeted  
459 antifungal prophylaxis in heart transplant recipients. *Transplantation* 2013;96:664-9.
- 460 27. Fernández-Ruiz M, López-Medrano F, San Juan R, Allende LM, Paz-Artal E, Aguado JM.  
461 Low natural killer cell counts and onset of invasive fungal disease after solid organ  
462 transplantation. *J Infect Dis* 2016;213:873-4.
- 463 28. Hope CM, Troelnikov A, Hanf W, Jesudason S, Coates PT, Heeger PS, et al. Peripheral  
464 natural killer cell and allo-stimulated T-cell function in kidney transplant recipients

465 associate with cancer risk and immunosuppression-related complications. *Kidney Int*  
466 2015;88:1374-82.

467 **Tables**

468 **Table 1.** Comparison of demographics and pre-transplant variables between KT recipients with  
 469 and without late IPA.

Variable	Late IPA group (n = 61)	Control group (n = 61)	P-value <sup>a</sup>
Age, years [mean ± SD]	54.6 ± 14.2	48.6 ± 15.5	<b>0.010</b>
Gender (male) [n (%)]	33 (54.1)	38 (62.3)	0.458
Pre-transplant conditions [n (%)]			
Diabetes mellitus	18 (29.5)	9 (14.7)	0.093
Chronic obstructive pulmonary disease	11 (18.0)	0 (0.0)	<b>0.001</b>
Pre-transplant corticosteroid therapy [n (%)] <sup>b</sup>	6 (10.3)	5 (8.8)	0.754
BMI at transplantation, Kg/m <sup>2</sup> [mean ± SD] <sup>c</sup>	24.3 ± 3.6	26.7 ± 7.3	0.074
Previous kidney transplantation [n (%)]	7 (11.5)	8 (13.1)	1.000
Underlying end-stage renal disease [n (%)]			
Glomerulonephritis	14 (23.0)	14 (23.0)	1.000
Diabetic nephropathy	12 (19.7)	4 (6.6)	0.077
Nephroangiosclerosis	8 (13.1)	8 (13.1)	1.000
Polycystic kidney disease	8 (13.1)	11 (18.0)	0.824
Chronic interstitial nephropathy	3 (4.9)	3 (4.9)	1.000
Congenital nephropathy	2 (3.3)	3 (4.9)	1.000
Lupus nephropathy	1 (1.6)	1 (1.6)	1.000
Reflux nephropathy	0 (0.0)	1 (1.6)	1.000
Unknown	6 (9.8)	9 (14.8)	0.388
Other	7 (11.5)	7 (11.5)	0.549
Pre-transplant positive serostatus [n (%)]			
Hepatitis C virus	6 (9.8)	1 (1.6)	0.125
Hepatitis B virus (surface antigen)	2 (3.3)	4 (6.6)	0.625
Epstein-Barr virus (anti-EBNA) <sup>d</sup>	49 (87.5)	47 (83.9)	0.754
CMV <sup>e</sup>	45 (73.8)	45 (75.0)	1.000
Pre-transplant maintenance dialysis [n (%)]			
Duration, months [median (IQR)]	55 (90.2) 23 (15 - 41)	54 (88.5) 19.5 (12 - 45.8)	1.000

CMV: cytomegalovirus; EBNA: Epstein-Barr virus nuclear antigen; HbC: hepatitis B core antigen; ICU: intensive care unit; IPA: invasive pulmonary aspergillosis; IQR: interquartile range; SD: standard deviation.

<sup>a</sup> Significant P-values (<0.05) are expressed in bold.

<sup>b</sup> Data available for 58 cases and 57 controls.

<sup>c</sup> Data available for 43 cases and 43 controls.

<sup>d</sup> Data available for 56 cases and 56 controls.

<sup>e</sup> Data available for 61 cases and 60 controls.

470 **Table 2.** Comparison of donor- and transplant-related factors, post-transplant events and  
 471 outcomes.

Variable	Late IPA group (n = 61)	Control group (n = 61)	P-value <sup>a</sup>
Age of donor, years [mean ± SD]	49.8 ± 16.3	46.8 ± 13.5	0.283
Living donor [n (%)]	12 (19.7)	12 (19.7)	1.000
Double kidney transplantation [n (%)]	3 (4.9)	0 (0.0)	0.250
Induction therapy [n (%)] <sup>b</sup>			
None	22 (36.7)	20 (33.9)	1.000
Anti-CD25 (basiliximab or daclizumab)	22 (36.7)	20 (33.9)	0.815
Anti-thymocyte globulin	16 (26.7)	19 (32.2)	0.648
Primary immunosuppression regimen including [n (%)] <sup>b</sup>			
Steroids	54 (88.5)	57 (93.4)	0.375
Tacrolimus	29 (48.3)	30 (50.8)	1.000
Cyclosporine	19 (31.7)	20 (33.9)	1.000
MMF / MPA	47 (78.3)	50 (84.7)	0.375
Azathioprine	5 (8.5)	7 (11.9)	0.375
mTOR inhibitor	6 (10.0)	2 (3.4)	0.219
Length of hospital admission for transplantation, days [median (IQR)]	12 (8 - 18.8)	11 (6.3 - 18.8)	0.314
Delayed graft function [n (%)]	13 (21.3)	8 (13.1)	0.388
Surgical reintervention [n (%)] <sup>c</sup>	6 (10.2)	2 (3.7)	0.687
eGFR at month 3 after transplantation, mL/min/1.72 m <sup>2</sup> [mean ± SD] <sup>d</sup>	23.8 ± 3.2	25.6 ± 3.4	0.873
eGFR at month 6 after transplantation, mL/min/1.72 m <sup>2</sup> [mean ± SD] <sup>e</sup>	22.9 ± 3.1	20.5 ± 2.8	0.159
Leukopenia (<3.0 × 10 <sup>9</sup> cells/L) [n (%)] <sup>f,g</sup>	10 (16.9)	6 (10.2)	0.388
Neutropenia (<1.5 × 10 <sup>9</sup> cells/L) [n (%)] <sup>f,h</sup>	6 (12.2)	3 (6.2)	0.687
Serum IgG levels, mg/dL [mean ± SD] <sup>i</sup>	879 ± 627	763 ± 571	0.750
Post-transplant events within the previous 6 months [n (%)] <sup>j</sup>			
IRE <sup>k,l</sup>	21 (34.4)	2 (3.3)	<b>0.000</b>
CMV disease	10 (16.4)	1 (1.6)	<b>0.004</b>
Non ventilator-associated pneumonia	9 (14.8)	1 (1.6)	<b>0.021</b>
<i>De novo</i> malignancy <sup>m</sup>	5 (8.2)	0 (0.0)	0.063
Laboratory-confirmed respiratory tract viral infection <sup>n</sup>	5 (8.2)	0 (0.0)	0.063
Bloodstream infection <sup>o</sup>	7 (11.5)	0 (0.0)	<b>0.016</b>
ICU admission for ≥72 hours	2 (3.3)	0 (0.0)	0.500
Acute graft rejection	4 (6.6)	5 (8.2)	1.000
Episode treated with steroid boluses	4 (4.9)	5 (8.2)	0.687
Overall mortality [n (%)]	29 (47.5)	0 (0.0)	<b>0.001</b>

IPA-attributable mortality [n (%)]	13 (21.3)	-	NA
------------------------------------	-----------	---	----

CMV: cytomegalovirus; eGFR: estimated glomerular filtration rate; ICU: intensive care unit; **IgG: immunoglobulin G**; IPA: invasive pulmonary aspergillosis; IQR: interquartile range; IRE: immunosuppression-related event; MMF / MPA: mofetil mycophenolate / mycophenolate acid; mTOR: mammalian target of rapamycin; **NA: not applicable**; SD: standard deviation.

<sup>a</sup> Significant *P*-values (<0.05) are expressed in bold.

<sup>b</sup> Data available for 60 cases and 59 controls.

<sup>c</sup> Data available for 59 cases and 54 controls.

<sup>d</sup> Data available for 56 cases and 56 controls.

<sup>e</sup> Data available for 54 cases and 54 controls.

<sup>f</sup> At any point during the first 6 months after transplantation.

<sup>g</sup> Data available for 59 cases and 59 controls.

<sup>h</sup> Data available for 49 cases and 48 controls.

<sup>i</sup> Serum IgG levels measured within the 6-month period prior to or following the date of diagnosis of IPA (for cases) or the analogous “pseudo-date” of diagnosis (for controls). Data available for 10 cases and 4 controls.

<sup>j</sup> Events occurring within the 6-month period prior to the date or the “pseudo-date” of diagnosis of IPA.

<sup>k</sup> The total number of IREs may be less than the sum of each conditions since more than one event was consecutively present in some patients.

<sup>l</sup> There were 3 cases of post-transplant tuberculosis, although none of them occurred within the 6-month period prior to the date or the “pseudo-date” of diagnosis of IPA.

<sup>m</sup> Includes PTLN (3 cases), colorectal adenocarcinoma and metastatic adenocarcinoma of unknown primary origin (one case each).

<sup>n</sup> Includes influenza virus infection (4 cases).

<sup>o</sup> Includes BSI due Enterobacteriaceae (3 cases), *Pseudomonas aeruginosa*, *Staphylococcus epidermidis*, *S. aureus* and *Candida albicans* (one case each).

472 **Table 3.** Uni- and multivariable analyses (conditional logistic regression) of risk factors  
 473 predicting the occurrence of late IPA.

Variables	Univariate analysis			Multivariate analysis		
	OR	95% CI	P-value	OR	95% CI	P-value
Age at transplantation, years <sup>a</sup>	1.04	1.01 - 1.08	0.017	-	-	-
Diabetic nephropathy	3.00	0.97 - 9.30	0.057	-	-	-
Pre-transplant COPD	65.29	0.51 - 8324.28	0.091	-	-	-
Prior IRE <sup>b,c</sup>	20.00	2.68 - 149.02	0.003	19.26	2.07 - 179.46	0.009
Prior BSI <sup>b</sup>	7.00	0.86 - 56.89	0.069	-	-	-

BSI: bloodstream infection; CI: confidence interval; COPD: chronic obstructive pulmonary disease; IPA: invasive pulmonary aspergillosis; IRE: immunosuppression-related event; OR: odds ratio.

<sup>a</sup> OR per unitary increment.

<sup>b</sup> Events occurring within the 6 months previous to the date of diagnosis of IPA for cases or the analogous “pseudo-date of diagnosis” for corresponding controls.

<sup>c</sup> Includes non-ventilator-associated pneumonia, CMV disease and post-transplant *de novo* malignancy.

474 **Figure legend**

- 475 • **Figure 1.** Temporal distribution of cases of late invasive pulmonary aspergillosis occurring  
476 according to post-transplant month of diagnosis.

477 **Supporting Information**

478 Additional Supporting Information may be found in the online version of this article:

- 479 • **Supplementary Materials and Methods:** Definitions used for date of IPA diagnosis, IPA-  
480 attributable diagnosis, CMV disease, tuberculosis, pneumonia, respiratory tract viral  
481 infection, BSI, PTLD, delayed graft function, acute graft rejection and eGFR.

**Figure 1.**

