

- 1 **Instructions:**
- 2 **BEFORE YOU START:** Review the draft document *Lung Transplant Referral for Individuals with cystic*
- 3 *fibrosis: Cystic Fibrosis Foundation Consensus Guidelines*
- 4 **SECTION 1: Demographics:** Enter your role and association with the CF community
- 5 **SECTION 2: General Feedback:** Select your answer to the question, and then if directed, use the text box
- 6 to provide additional information
- 7 **SECTION 3: Recommendation Statement Feedback:** Review the draft recommendation statements and
- 8 associated supporting evidence and provide any comments
- 9 **SECTION 4: Other Sections of the Manuscript Feedback:** Use the text box to provide any additional
- 10 comments on the other sections of the manuscript such as the introduction, methods, tables and
- 11 figures, and international perspective
- 12 **SECTION 5: Additional Feedback:** Use the text box to provide any additional feedback that was not
- 13 previously captured.

DRAFT

14 **Lung Transplant Referral for Individuals with cystic fibrosis: Cystic Fibrosis Foundation Consensus**
15 **Guidelines**

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17 **Hempstead, Erin Tallarico, Albert Faro, Daniel B. Rosenbluth, Alice L. Gray, and Jordan M. Dunitz for**
18 **the CF Lung Transplant Referral Guidelines Committee**

19

20 **1. Introduction**

21 Many individuals with cystic fibrosis (CF) die from respiratory failure without referral for lung
22 transplantation (LTx)[1, 2]. LTx evaluation is best initiated for individuals with advanced but not end-
23 stage lung disease; emergent inpatient referral does not allow time for careful consideration of the LTx
24 option and is not universally available. Early referral for LTx gives individuals with CF the opportunity to
25 learn more about the risks and benefits of LTx, both generally and specific to their clinical situation, so
26 they can make informed decisions. Early referral for LTx evaluation increases the likelihood of an
27 individual being a candidate for transplant by giving the patient an understanding of their specific
28 barriers to LTx, as well as an opportunity to address those barriers. While some individuals who meet
29 criteria for referral will be "too early" for listing, it is important to recognize that referral does not
30 necessarily lead to a full evaluation or listing, but instead gives individuals with CF, their families, and
31 providers access to the expertise of the LTx team. Progressing from routine CF care to LTx can be viewed
32 as a transition. Just like the transition from pediatric to adult care, it is facilitated by education,
33 communication and support for the individual and family. Timely referral for LTx allows individuals to be
34 medically, psychosocially, and financially prepared for LTx should the need arise. While there may be not
35 be a perfect "window" for referral, prioritizing inclusive policies reduces the likelihood that eligible
36 patients miss an opportunity for LTx. The goal of these Consensus Guidelines is to provide pragmatic
37 recommendations and guidance to the CF community to allow for better identification and timely
38 referral of those individuals with CF who have advanced lung disease (ALD).

39 **2. Methods**

40 The CF Foundation invited a multidisciplinary team including adult and pediatric CF and transplant
41 pulmonologists, a clinical psychologist, a social worker, a transplant recipient with CF, a former CF nurse,
42 and a transplant coordinator to participate in development of consensus guidelines. The committee met
43 for a virtual kickoff meeting on September 26, 2017 to determine the scope of the work and divide into
44 three workgroups focusing on: understanding the timing for transplant referral; an emphasis on early
45 referral and modifiable barriers; and transition to transplant. Several PICO (Population, Intervention,
46 Control, Outcome) questions were developed. The workgroups performed individual literature searches
47 in PubMed. Information about the specific literature searches can be found in Supplement X.

48 The workgroups developed draft recommendations based on the results of the search. Workgroups
49 discussed the recommendations on monthly phone calls. The committee reconvened on May 11, 2018
50 to revise and adopt the draft recommendation statements. An a priori voting threshold of 80%
51 agreement was established. On September 19, 2018, the guidelines were distributed for public
52 comment.

53 **Focus Group**

54 As part of the consensus guidelines, a focus group of seven CF transplant recipients and two spouses of
55 recipients (hereafter referred to as “the focus group”) was organized. Although focus group content and
56 data synthesis are qualitative by nature, these ancillary data sources can provide informative clinical
57 data [3, 4]. The focus group participated in seven, one-hour long video-calls led by a transplant
58 psychologist (PJS) and an adult with CF (AL). Following an introductory session during which thematic
59 content was identified and analyzed, the focus group participated on five content-specific calls and one
60 summary review call. Themes identified during the introductory call included: 1) timing of transplant
61 information presentation, 2) transplant-related expectations, 3) treatment team transition issues, 4)
62 stigma associated with the need for transplantation, and 5) concerns regarding social support during the
63 transition to transplant. All calls were video- and audio-recorded in order to facilitate re-analysis by
64 focus group leaders.

65 **3. Discussion of Recommendation statements listed in Table 1**

66 1. The CF Foundation recommends clinician-led efforts to normalize lung transplant as a component of
67 clinical care through discussions regarding disease trajectory and treatment options including lung
68 transplantation during annual clinic visits

69 For individuals with CF, post-transplant survival is increasing, with the current ISHLT report documenting
70 9.2 years median survival among adults with CF[5]; therefore, periodic discussion of LTx is
71 recommended to help destigmatize the procedure. Numerous members of the focus group noted that
72 early introduction and normalization of LTx facilitated a more effective transition/referral process. In
73 contrast, when LTx was introduced in the context of clinical deterioration, it was associated with
74 increased fear, denial, and potential delay and/or avoidance of important clinical elements of care.
75 Many focus group members, characterized their impressions of LTx as ‘a death sentence’, ‘the beginning
76 of the end’, or with similarly negative connotations, despite the improving post-transplant survival
77 outcomes (Table 2). It was also noted in the focus group that individuals’ feelings toward transplant
78 strongly mirrored that of their physician(s). For example, a strong association was noted between
79 physicians who reportedly exhibited a negative bias towards transplant and individuals who felt fear,
80 anxiety, and a sense of personal failure. In contrast, individuals whose physicians reportedly regarded
81 transplant more positively, and who approached transplant as a viable treatment option for end-stage
82 CF, felt more informed, confident, and optimistic about their future quality of life. Several specific
83 recommendations in the consensus guidelines may help accomplish the broader goal to normalize
84 discussion of LTx, including earlier physician-patient discussions of LTx as a viable treatment option for
85 end-stage CF, the use of up-to-date, understandable sources of information related to LTx [6, 7], and
86 alternative discussion points for clinicians (Table 2).

87

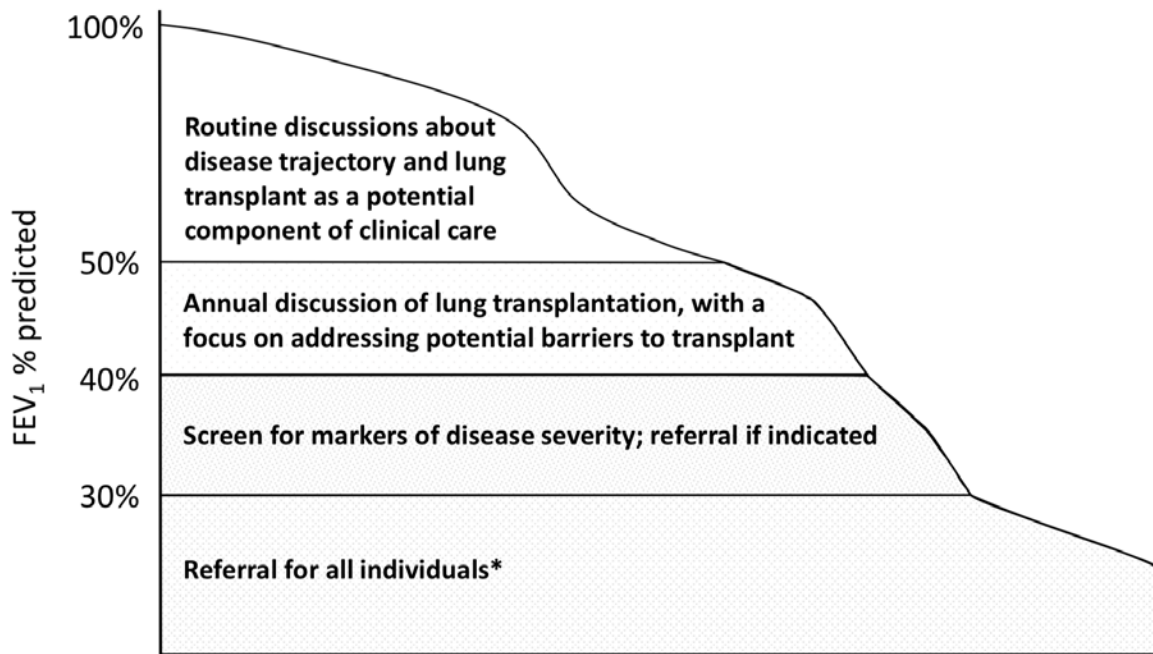
88 2. The CF Foundation recommends CF care team initiated discussion regarding lung transplantation with
89 all individuals with CF and an FEV₁ less than 50% predicted

90 While many studies have demonstrated an association between forced expiratory volume in one second
91 (FEV₁) and mortality[8-14], FEV₁ is an imperfect marker of disease severity. Survival with low lung
92 function is improving, and some individuals with CF live for prolonged periods with severely reduced
93 lung function while others die quickly following a decline in FEV₁ [1, 8, 15]. Determining which FEV₁
94 (best, worst, “baseline”, or during an exacerbation) should prompt action is challenging. Expert

95 consensus concluded that an FEV₁ <50% predicted, regardless of the context, should prompt discussion
96 of LTx as a potential therapeutic option (Figure 1). This discussion serves as an opportunity to identify
97 barriers to LTx and to clarify the individual's goals of care (See Table 3). Some potential barriers to LTx
98 could require years of work to correct in order for an individual to become an acceptable candidate.
99 Early discussion may permit this opportunity.

100

101 **Figure 1: Lung function thresholds for communication about lung transplantation and timing of lung**
102 **transplant referral**



*In the presence of contraindications, recommend discussion with at least two transplant centers prior to determining that an individual is not a transplant candidate

103

104

105 3. The CF Foundation recommends that the individual's CF care team elicit and address CF-specific
106 psychosocial and physical concerns about lung transplantation to facilitate transition to transplant

107 Numerous psychosocial, physical, and care-related concerns emerged from the focus group as being
108 particularly salient among individuals with CF. Increased complexity of care, the potential for de-
109 centralization of care (leaving the CF center), worsening impairments in quality of life at a young age,
110 the potential loss of CF identity, concerns regarding family planning, relationship issues, and
111 education/career could influence their approach to the transplant process. There is decreased access to
112 referral, listing and LTx for individuals with CF and lower socioeconomic status (e.g. Medicaid insurance
113 status)[16, 17]. Geographic disparities in access to LTx are an important consideration for people with CF
114 [16]. Although Hispanic individuals with CF tended to have milder phenotypes, a recent study
115 demonstrated increased risk of death without LTx and a younger age at death for Hispanic individuals

116 with CF[18]. Providing support to individuals with CF during the transition requires an understanding of
117 these (and other) CF-specific psychosocial concerns.

118

119 4. The CF Foundation recommends the use of up-to-date CF-specific transplant resources to promote
120 understanding of the transplant journey and to minimize misconceptions regarding outcomes

121 Individuals with CF and their families should have access to contemporary, CF-specific information
122 regarding LTx in order to optimize their understanding of potential transplant outcomes. These data can
123 be found on the websites of several organizations, including the Cystic Fibrosis Foundation (CFF.org), the
124 International Society for Heart and Lung Transplantation (ISHLT) (ishlt.org), and the Scientific Registry of
125 Transplant Recipients (SRTR.org). Decision aids or other technology-based sources of information could
126 be useful to highlight misconceptions/misunderstanding and facilitate an accurate fund of knowledge
127 regarding LTx. Another potential resource is connecting people with CF with each other to address
128 concerns regarding LTx[7].

129

130 5. The CF Foundation recommends the CF and lung transplant care teams acknowledge and provide
131 support for mental health concerns regarding the referral and evaluation process for transplant that are
132 unique to individuals with CF

133 Many focus group members noted that the idea of requiring LTx may elicit reflexive, internal
134 attributions that the need for transplant reflects a failure of their own adherence behaviors. Because the
135 importance of adherence-related behaviors is often underscored for many individuals with CF, and these
136 behaviors are integrally tied to clinical functioning in younger individuals with CF, this implicit
137 association may inadvertently elicit feelings of shame[19, 20] or stigma[21]. For example, many
138 individuals in the focus group characterized coping styles that would 'fight' or 'beat' CF through vigilant
139 adherence behaviors[22-24]. Providers are encouraged to identify and address individuals' negative self-
140 directed emotions because they can lead to avoidance of clinical interactions and delay the receipt of
141 appropriate care[25, 26]. In addition, providers should be aware that the introduction of uncertainty
142 about patients' *eligibility* for LTx may serve to increase ambivalence and ultimately avoidance of
143 transplant-related knowledge or health decisions [27, 28]. Moreover, depression and anxiety are
144 common among individuals with CF[29] and may adversely impact LTx outcomes[30].

145

146 6. For individuals with CF 18 years of age and older, the CF Foundation recommends lung transplant
147 referral no later than when:

148 • FEV₁ is <50% predicted and rapidly declining (>20% relative decline in FEV₁ within 12 months)

149 OR

150 • FEV₁ is <40% predicted with markers of shortened survival (including, those noted in
151 recommendation #10, 14, 15, 16, and 18)

152 OR

153 • FEV₁ is <30% predicted

154 Because FEV₁ is associated with mortality[8-14], FEV₁ thresholds were identified to prompt further
155 action, including evaluation for markers of shortened survival (discussed below) and/or lung transplant
156 referral. Markers of shortened survival include low FEV₁, 6-minute walk test (6MWT) distance <400
157 meters, hypoxemia (SpO₂ <88% or P_aO₂ <55 mmHg, at rest or with exertion), hypercarbia (P_aCO₂ >50
158 mmHg, confirmed on arterial blood gas), pulmonary hypertension (PA systolic pressure >50 mmHg on
159 echocardiogram or evidence of right ventricular dysfunction in the absence of a tricuspid regurgitant
160 jet), BMI <18 kg/m², increased frequency of pulmonary exacerbations (>2 exacerbations per year
161 requiring IV antibiotics or one exacerbation requiring positive pressure ventilation), massive hemoptysis,
162 or pneumothorax.

163 Although FEV₁ alone should not determine timing of lung transplant referral, referral should occur no
164 later than when the non-exacerbation (“stable”) FEV₁ is <30% predicted. Among individuals with a
165 “stable” FEV₁ <30% predicted in the US, approximately 10% die without LTx each year after reaching this
166 threshold[1]. For individuals with frequent exacerbations, it may be difficult to assess a “stable” FEV₁,
167 but these individuals may benefit from referral (see recommendation #15). Rapidly declining FEV₁ has
168 been shown to predict death without LTx[15, 31, 32]. A recent study of a sample of individuals with CF
169 who died in the US found that 38% had a documented “highest” FEV₁ that was greater than 40% in the
170 year prior to death, highlighting that a rapid decline in FEV₁ may precede death for many individuals
171 with CF[33]. Recommendations 10, 14-16, and 18 identify individuals with risk profiles highlighted in
172 published prognostic models[8, 10-14].

173

174 7. For individuals with CF under the age of 18 years, the CF Foundation recommends lung transplant
175 referral when the FEV₁ is <40% predicted

176 Individuals with CF frequently transition to adulthood with FEV₁ in the normal or only mildly impaired
177 range, with only 5% of 18 year olds having severe lung disease (FEV₁ <40%) in 2015[34]. Children with CF
178 tend to do worse than adults with the same FEV₁ % predicted. For this reason, expert consensus was
179 that children with CF under age 18 years should be referred for LTx at an earlier FEV₁ threshold than the
180 average adult individual [31]. For children with markers of increased disease severity (including those
181 noted in recommendation 10, 14-16, and 18) consideration for referral prior to the FEV₁ <40% threshold
182 is recommended.

183

184 8. For individuals with CF and an FEV₁ <40% predicted, the CF Foundation recommends an annual 6-
185 minute walk test (6MWT), assessment of need for supplemental oxygen and venous blood gas to screen
186 for markers of severe disease that may warrant transplant referral

187 The 6-minute walk test (6MWT) distance is used regularly in Canada, Ireland and other parts of the
188 world to assess the clinical status of individuals with advanced/deteriorating CF lung disease[35, 36].
189 Expert consensus was that annual testing with a 6MWT, an assessment for supplemental oxygen
190 requirement, and venous blood gas (VBG) would provide clinically meaningful data for patients with
191 ALD. Assessment for supplemental oxygen requirement (SpO₂ <88% or P_aO₂ <55 mmHg) should occur at
192 rest, with exertion, and during sleep [8, 37-39]. An annual VBG should be used to screen for hypercarbia,

193 and if P_vCO_2 is elevated ($P_vCO_2 > 56$ mmHg), a confirmatory arterial blood gas (ABG) should be obtained.
194 In the pediatric population, consider performing testing prior to reaching the $FEV_1 < 40\%$ threshold.

195

196 9. For individuals with CF 18 years of age and older with $FEV_1 < 40\%$ predicted, the CF Foundation
197 recommends a baseline echocardiogram to screen for pulmonary hypertension

198 Pulmonary hypertension is common in individuals with advanced CF-related lung disease[39-43], but its
199 presence is rarely identified prior to evaluation for LTx. Repeat echocardiogram should be considered for
200 individuals with worsening clinical status.

201

202 10. The CF Foundation recommends lung transplant referral, regardless of FEV_1 , when there are markers
203 of shortened survival, including:

204 • 6MWT distance < 400 meters

205 OR

206 • hypoxemia (at rest or with exertion)

207 OR

208 • hypercarbia ($P_aCO_2 > 50$ mmHg, confirmed on arterial blood gas)

209 OR

210 • pulmonary hypertension (PA systolic pressure > 50 mmHg on echocardiogram or evidence of
211 right ventricular dysfunction in the absence of a tricuspid regurgitant jet)

212 Individuals with FEV_1 greater than 40% predicted are unlikely to have these data available unless their
213 clinical status is out of proportion to their FEV_1 .

214 The 6MWT distance is associated with death or LTx for individuals with CF[42, 44-46]. The ISHLT
215 recommends referral for LTx evaluation when the 6MWT distance is less than 400 meters[47]. Although
216 a sub-maximal exercise test for a majority of individuals with CF, the 6MWT is a marker of functional
217 status and may better reflect limitations experienced by individuals with ALD than the FEV_1 alone.

218 Supplemental oxygen requirement and/or low P_aO_2 have been repeatedly associated with death without
219 LTx for individuals with CF[1, 8, 37, 42, 48, 49]. Arterial hypercarbia is a known predictor of death in
220 individuals with CF [8, 12, 39, 50]. Pulmonary hypertension has been associated with death without lung
221 transplant [51-53], but echocardiograms are imperfect at determining the severity of pulmonary
222 hypertension in patients with ALD and may identify “false positive” cases[54, 55]. In an individual with
223 $FEV_1 < 40\%$ whose only marker of increased disease severity is an elevated PA systolic pressure (> 50
224 mmHg), a confirmatory right heart catheterization may be warranted prior to transplant referral.

225

226 11. The CF Foundation recommends that modifiable barriers to lung transplantation be addressed
227 preemptively to optimize transplant candidacy; however, unresolved barriers should not preclude

228 referral. Potentially modifiable barriers may include but are not limited to: sputum microbiology,
229 nutritional status, diabetes management, renal insufficiency, liver disease, adherence behaviors, mental
230 health issues, substance use, and psychosocial factors

231 The number of individuals with CF who die each year without lung transplant referral remains
232 significant[1]. A survey of physicians in the US demonstrated that potentially modifiable barriers are a
233 frequent reason for non-referral[56]. Modifiable barriers to transplant should be identified preemptively
234 in CF clinic, potentially years prior to the need for LTx; these do not need to be fully resolved prior to a
235 referral (Table 3). Transplant providers may help those individuals with modifiable barriers better
236 understand how these issues negatively impact their transplant candidacy and provide tools and
237 motivation to mitigate these barriers. The transplant program can assess potentially modifiable barriers
238 in the context of transplant candidacy as a whole, to determine exactly what progress needs to be made
239 in order for someone to become an acceptable candidate for transplant. Additionally, non-medical
240 barriers to LTx, including insurance status, geography, finances, medical literacy, and limited social
241 support, may influence not only when to refer for transplant, but also where to refer. Certain
242 psychosocial factors may take years to optimize prior to a lung transplant referral.

243

244 12. The CF Foundation recommends CF clinician consultation with local and geographically distant lung
245 transplant centers for individuals with microorganisms that may pose a risk for lung transplantation (e.g.
246 *Burkholderia cepacia* complex, nontuberculous mycobacterium)

247 Infection with certain microorganisms (e.g. *Burkholderia cepacia* complex, nontuberculous
248 mycobacterium, multi-drug resistant microorganisms) is associated with worse outcomes following lung
249 transplantation[14, 47, 57-62]. These microorganisms may be considered absolute contraindications at
250 some transplant programs and acceptable at other institutions. Similarly, infection with a particular
251 organism may not in and of itself be considered an absolute contraindication by a program, but if
252 combined with other risk factors, may be a reason an individual is declined for LTx.

253

254 13. The CF Foundation recommends consultation with at least two transplant centers before
255 determining that an individual is not a transplant candidate

256 Each lung transplant program has its own criteria for transplant candidacy and listing. Criteria differ
257 widely based on institutional experience, resources and risk thresholds. Center practices may also
258 evolve over time. Individuals who are declined at one transplant center may be deemed suitable at
259 another center.

260

261 14. The CF Foundation recommends lung transplant referral in adults with CF with a BMI <18 and FEV₁
262 <40% predicted while concurrently working to improve nutritional status

263 Studies have shown low BMI is a risk factor for death without lung transplantation[1, 10, 11, 14, 63, 64]
264 and it should be considered a marker of urgency for lung transplant referral. Minimum BMI thresholds
265 vary from center to center and low BMI should be proactively addressed (enteral tube feeding
266 guidelines)[65] as a modifiable barrier to transplant. While a specific BMI cutoff is not useful for defining

267 malnutrition in the pediatric population and a weight-for-age >10th percentile is a common goal[66],
268 malnutrition is an important modifiable barrier to lung transplantation for children with CF [67] and
269 should be addressed concurrently with referral for children with ALD.

270

271 15. The CF Foundation recommends lung transplant referral of individuals with FEV₁ <40% predicted and
272 >2 exacerbations per year requiring IV antibiotics or 1 exacerbation requiring positive pressure
273 ventilation regardless of FEV₁

274 Increasing number of pulmonary exacerbations is associated with death without transplant among
275 individuals with ALD, with risk increased in the setting of 1 or more courses of IV antibiotics[1, 9, 13, 14,
276 68] or the need for hospitalization[10, 11, 13, 14, 37]. The presence of acute hypercapnic or hypoxemic
277 respiratory failure, or chronic hypercapnic respiratory failure, necessitating positive pressure ventilation
278 (e.g. noninvasive or invasive ventilatory support), in the hospital or home setting, should prompt referral
279 for LTx regardless of FEV₁.

280

281 16. The CF Foundation recommends referral for lung transplant evaluation of individuals with FEV₁ <40%
282 predicted and massive hemoptysis (>240mL) requiring ICU admission or bronchial artery embolization

283 Hemoptysis increases the risk for death or LTx [69, 70]. There may be an increased risk for hypercapnic
284 respiratory failure and death following bronchial artery embolization among individuals with ALD[71]. It
285 is expert consensus that among individuals with CF and FEV₁ between 30% and 40% predicted, an
286 episode of hemoptysis leading to ICU admission and/or bronchial artery embolization should prompt
287 referral for LTx evaluation. Individuals referred for hemoptysis may have risk that is not captured in the
288 lung allocation score (LAS), and serious hemoptysis may occur without warning, potentially prompting
289 lung transplant centers to request an exception to the LAS. Additionally, individuals with CF and FEV₁
290 >40% may also warrant LTx evaluation if episodes of hemoptysis are frequent and severe.

291

292 17. For women with CF, especially those who are younger or short stature, the CF Foundation
293 recommends special consideration for lung transplant referral even when other thresholds have not
294 been met

295 There is a persistent gender gap in survival for individuals with CF[1, 8-11, 49, 72, 73] and this
296 recommendation aims to focus providers on the increased risk of death for women with CF. Special
297 consideration for LTx referral is recommended for women who are younger (age 18-25 years), have
298 shorter stature (under 162 cm)[74], CF-related diabetes, rapidly declining FEV₁, or rapidly declining BMI.

299

300 18. The CF Foundation recommends consideration of early lung transplant referral for individuals with
301 FEV₁ <40% predicted and pneumothorax

302 The occurrence of pneumothorax is more frequent among individuals with CF and severe pulmonary
303 impairment (FEV₁ <40%) and older age, leading to an increased number of hospitalizations and number
304 of days spent in the hospital, and an increase in 2-year mortality for individuals with this

305 complication[75]. Recurrent pneumothorax is an indication for referral for LTx in the ISHLT
306 recommendations for individuals with CF[47]. This complication is a marker of increased disease
307 severity, is associated with decreased survival, and may impact surgical planning for LTx.

308

309 19. The CF Foundation recommends that CF clinicians develop relationships with peers at partnering
310 transplant centers to:

- 311 • optimize the transition to transplant, starting with referral
- 312 • understand transplant center-specific practices, including navigating complex socioeconomic
313 barriers to transplant
- 314 • maintain ongoing dialogue about clinical status of individuals listed or approaching transplant
315 listing

316 Identifying peers at partnering transplant centers allows for improved communication and facilitates
317 continuity of care. CF care teams can deliver the best care to individuals at their home CF Center when
318 they are aware of the partnering lung transplant center practices. Clear communication of the necessary
319 medical information at the time of transplant referral will streamline the process and increase efficiency
320 for both teams. Maintaining a relationship between the CF team and partnering transplant team is key
321 to facilitate a smooth transplant referral and ongoing co-management of individuals in the pre-
322 transplant phase. CF providers, including all members of the CF care team, can reinforce the importance
323 of ongoing work by the individuals with CF and caregivers to address outstanding concerns.

324

325 20. The CF Foundation recommends communication between the CF and lung transplant care teams
326 every 6 months and with major clinical changes to discuss individuals referred but not listed for
327 transplant to review clinical status and progress addressing transplant team recommendations

328 Timely referral for LTx allows individuals with CF to establish a relationship with the transplant team,
329 obtain transplant specific education, and identify and modify barriers to transplant. For individuals with
330 CF deemed “too early” for listing, ongoing discussion at set time intervals will allow for continued
331 assessment of disease progression (e.g. development of markers of increased disease severity noted in
332 recommendation 10, 14-16, and 18; significant clinical events) and readiness for transplant. For
333 individuals deferred due to barriers, dialogue should highlight progress toward addressing barriers to
334 transplant. Further, because certain characteristics such as height, chest cavity size, ABO blood type and
335 HLA sensitization may result in challenges finding a suitable donor, it is critical for the transplant team to
336 be aware of changes in clinical status, which may affect transplant candidacy as well as timing for listing.
337 Open lines of communication between the CF and lung transplant care teams regarding patients who
338 are listed or approaching listing are vital if an individual has a sudden deterioration. Geographic and
339 program-specific donor availability and waitlist times may influence the timing of listing. Finally, local
340 lung transplant center practices will necessarily influence how CF providers interpret and implement
341 these consensus recommendations.

342

343 21. The CF Foundation recommends research on factors contributing to lack of transplant referral for
344 individuals with CF and FEV₁ <30% predicted or those with higher lung function who die of respiratory
345 disease

346 Evidence indicates that many individuals with CF who die from respiratory disease are never referred for
347 transplant[2, 17]. Presumably, some deaths may have been prevented if LTx had been considered and a
348 referral made. Available data suggests the reasons for non-referral may not be due to absolute
349 contraindications to transplant[2]. More research is needed to understand why some individuals with
350 ALD are not referred and which individuals are at greatest risk of dying without transplant referral.
351

352 **4. International perspective**

353 Outside of the U.S., there is a broadly similar experience with delays in referral for lung transplant. Both
354 European and Australian CF patient registries show that many individuals die without receiving LTx. It is
355 not known, however, whether these individuals were in the process of assessment or had been
356 considered for transplant prior to death. It is likely that similar barriers to LTx seen in the U.S. exist in
357 many countries and guidelines for timely referral for lung transplant assessment are welcome. In
358 addition to the barriers outlined earlier in this statement, there are a number of unique challenges in
359 Europe as many of the smaller European countries do not have a transplant program and must refer to
360 neighboring countries. This leads to further barriers such as inability of very sick individuals to travel
361 (often significant distances by air), language and cultural difficulties throughout the transplant process,
362 and complexities of cross-country funding and follow-up. Even in countries with well-established
363 programs, many individuals with CF die without receiving LTx [2]. In the UK, in a recent survey of 28
364 specialty CF centers[76] 22% of respondents expressed concerns that LTx was discussed with patients
365 too late and 19% expressed concerns that individuals with CF were referred for transplant assessment
366 too late. Barriers to referral in the UK included patient refusal, poor-adherence and psychological
367 readiness as well as unexpected rapid clinical deterioration or the presence of significant
368 comorbidities/infections that could preclude transplant. In France, with a well-developed National Lung
369 Transplant Program, including the introduction of an emergency transplant program in 2007, 50% of all
370 CF deaths occur without lung transplantation of which 72% had at least one indication for transplant and
371 were not on the active transplant list [2]. Although the majority of these individuals were in the process
372 of lung transplant assessment or had been declined for LTx, 39% of these potentially eligible individuals
373 with CF had never been considered for transplant[2]. A subsequent survey of French centers[77]
374 proposed an earlier structured approach to transplant assessment including improved patient and
375 caregiver education and earlier discussions of transplant options. These studies, in countries with well-
376 established transplant programs and specialized CF centers, highlight that transplant referral challenges
377 are worldwide and that barriers to early referral need to be identified and overcome.

378

379 **5. Conclusions and next steps**

380 Survival for individuals with CF has improved dramatically over the past few decades and this
381 improvement may accelerate with new agents that address the cellular defect in CF. Nevertheless, the
382 majority of individuals with CF still eventually succumb to their lung disease. LTx has the potential to
383 extend survival. Despite this fact, many individuals with CF die without ever being considered for

384 transplantation. These guidelines are intended to help CF providers appropriately counsel their patients
385 about LTx. The journey through referral, evaluation, listing and transplantation is fraught with physical
386 and psychosocial challenges for the individual and their family. It is the responsibility of both the CF
387 team and the transplant team to provide support through this transition. Many of the barriers to LTx can
388 be overcome if identified and addressed early enough in the course of the disease to permit adequate
389 time for resolution. While data is limited, there is a growing body of literature to support the use of FEV₁
390 combined with other physiologic parameters including pulmonary artery pressure, hypoxia, hypercarbia,
391 trajectory of lung function and nutritional status to determine appropriate timing of referral.

392

393

394

DRAFT

395 Table 1: Recommendation Statements

	Recommendation	% Consensus
1	The CF Foundation recommends clinician-led efforts to normalize lung transplant as a component of clinical care through discussions regarding disease trajectory and treatment options including lung transplantation during annual visits in clinic	100%
2	The CF Foundation recommends CF care team initiated discussion regarding lung transplantation with all individuals with CF and an FEV ₁ less than 50% predicted	100%
3	The CF Foundation recommends that the individual's CF care team elicit and address CF-specific psychosocial and physical concerns about lung transplantation to facilitate transition to transplant	100%
4	The CF Foundation recommends the use of up-to-date CF-specific transplant resources to promote understanding of the transplant journey and to minimize misconceptions regarding outcomes	100%
5	The CF Foundation recommends the CF and lung transplant care teams acknowledge and provide support for mental health concerns regarding the referral and evaluation process for transplant that are unique to individuals with CF	100%
6	For individuals with CF 18 years of age and older, the CF Foundation recommends lung transplant referral no later than when: <ul style="list-style-type: none"> • FEV₁ is <50% predicted and rapidly declining (>20% relative decline in FEV₁ within 12 months) <li style="text-align: center;">OR • FEV₁ is <40% predicted with markers of shortened survival (including, those noted in recommendation #10, 14, 15, 16, and 18) <li style="text-align: center;">OR • FEV₁ is <30% predicted 	100%
7	For individuals with CF under the age of 18 years, the CF Foundation recommends lung transplant referral when the FEV ₁ is <40% predicted	100%
8	For individuals with CF and a FEV ₁ <40% predicted, the CF Foundation recommends an annual 6-minute walk test (6MWT), assessment of need for supplemental oxygen and venous blood gas to screen for markers of severe disease that may warrant transplant referral	100%
9	For individuals with CF 18 years of age and older with FEV ₁ <40% predicted, the CF Foundation recommends a baseline echocardiogram to screen for pulmonary hypertension	100%

10	<ul style="list-style-type: none"> • The CF Foundation recommends lung transplant referral, regardless of FEV₁, when there are markers of shortened survival, including: • 6MWT distance <400 meters <li style="text-align: center;">OR • hypoxemia (at rest or with exertion), <li style="text-align: center;">OR • hypercarbia (PaCO₂ >50 mmHg, confirmed on arterial blood gas), <li style="text-align: center;">OR • pulmonary hypertension (PA systolic pressure >50 mmHg on echocardiogram or evidence of right ventricular dysfunction in the absence of a tricuspid regurgitant jet) 	100%
11	<p>The CF Foundation recommends that modifiable barriers to lung transplantation be addressed preemptively to optimize transplant candidacy; however, unresolved barriers should not preclude referral. Potentially modifiable barriers may include but are not limited to: sputum microbiology, nutritional status, diabetes management, renal insufficiency, liver disease, adherence behaviors, mental health issues, substance use, and psychosocial factors</p>	100%
12	<p>The CF Foundation recommends CF clinician consultation with local and geographically distant lung transplant centers for individuals with microorganisms that may pose a risk for lung transplantation (e.g. Burkholderia cepacia complex, nontuberculous mycobacterium)</p>	100%
13	<p>The CF Foundation recommends consultation with at least two transplant centers before determining that an individual is not a transplant candidate</p>	100%
14	<p>The CF Foundation recommends lung transplant referral in adults with CF, with a BMI <18, and FEV₁ <40% predicted, while concurrently working to improve nutritional status</p>	100%
15	<p>The CF Foundation recommends lung transplant referral of individuals with FEV₁ <40% predicted and >2 exacerbations per year requiring IV antibiotics or 1 exacerbation requiring positive pressure ventilation regardless of FEV₁</p>	100%
16	<p>The CF Foundation recommends referral for lung transplant evaluation of individuals with FEV₁ <40% predicted and massive hemoptysis (>240mL) requiring ICU admission or bronchial artery embolization</p>	100%
17	<p>For women with CF, especially those who are younger or short stature, the CF Foundation recommends special consideration for lung transplant referral even when other thresholds have not been met</p>	100%
18	<p>The CF Foundation recommends consideration of early lung transplant referral for individuals with FEV₁ <40% predicted and pneumothorax</p>	100%

19	<p>The CF Foundation recommends that CF clinicians develop relationships with peers at partnering transplant centers to:</p> <ul style="list-style-type: none"> • optimize the transition to transplant, starting with referral • understand transplant center-specific practices, including navigating complex socioeconomic barriers to transplant • maintain ongoing dialogue about clinical status of individuals listed or approaching transplant listing 	100%
20	<p>The CF Foundation recommends communication between the CF and lung transplant care teams every 6 months and with major clinical changes to discuss individuals referred but not listed for transplant to review clinical status and progress addressing transplant team recommendations</p>	100%
21	<p>The CF Foundation recommends research on factors contributing to lack of transplant referral for individuals with CF and FEV₁ <30% predicted or those with higher lung function who die of respiratory disease</p>	100%

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398 Table 2: Focus group-derived themes and considerations for communication with individuals with cystic
 399 fibrosis

Thematic Domain	Provider Exemplars from Focus Group	Effective Alternative Exemplars for Clinicians
Normalizing the need for lung transplantation	<ul style="list-style-type: none"> - 'We will think about transplant when it's time [for transplant]' - 'Transplant is to be avoided if at all possible.' - 'You're trading one disease for another.' 	<ul style="list-style-type: none"> - 'Transplant is often considered as a next step as CF worsens.' - 'Many -individuals with CF will undergo transplant as a component of their care when other therapies no longer work.' - 'What have other providers told you, if anything, about the risks and benefits of transplant?' - 'Tell me what your understanding of transplant is so that I can help provide more information.' - 'While there are certainly risks associated with transplantation, there is a very good chance that it will increase the quality and length of your life.'
Eliciting and addressing CF-related concerns and outcomes	<ul style="list-style-type: none"> - 'Your lungs have failed you.' - 'We [treatment team] have failed you.' - 'You fought hard but lost the battle.' - 'Your test results indicate we need to move forward with a transplant referral. We will set up your appointments.' 	<ul style="list-style-type: none"> - 'You've fought hard and done your part. For most people living with CF, lung function will eventually worsen to the point where we consider transplant, no matter how hard you fight.' - 'We did the best we could and now need to consider transplant as the next step to best treat your CF.'

		<ul style="list-style-type: none"> - 'Most people have some concerns about transplantation. Help me to understand yours.' - 'Your test results suggest that we may need to consider a transplant evaluation. What thoughts do you have, if any, about that possibility?'
Addressing transplant-related expectations	<ul style="list-style-type: none"> - 'Recipients only live 5 years.' - 'Many patients don't do well after transplant.' - 'Transplant is a death sentence.' 	<ul style="list-style-type: none"> - 'Everyone's transplant experience is different and unique. For people with CF the median post-transplant survival is almost 9 years. That means that half of the people who undergo lung transplantation for CF live for more than 9 years, many significantly more.' - 'Individuals with CF who receive lung transplants show the greatest health and quality of life benefits compared to other lung transplant recipients. Although there are potential complications, the vast majority are manageable.'

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403 Table 3: Clinical and educational milestones for lung transplant referral

<p>At diagnosis of CF and throughout the life-span</p>	<ul style="list-style-type: none"> - Individuals with CF should establish and maintain care with a physician trained in the natural history, prognosis, and treatment options for CF - Discuss lung transplantation early in the course of disease as a means to normalize this component of clinical care. Introduce it as a potential treatment option that prolongs life for individuals with CF - Frame lung transplantation in a positive manner, instead of as a “last resort” or “failure of therapy,” because care team attitudes affect willingness to discuss lung transplantation when it becomes medically necessary for individuals with CF - Utilize up-to-date, CF specific, resources when providing lung transplant outcomes information
<p>When lung function declines to FEV₁ <50% predicted</p>	<ul style="list-style-type: none"> - Discuss values and goals of care - Implement all indicated medical therapies to optimize lung function and overall health - Discuss ways to optimize health/lung function to delay lung transplantation, and the importance of adherence pre- and post-transplant - Optimize BMI with appropriate nutrition interventions - Initiate discussion regarding lung transplantation; early discussion gives individuals with CF time to consider lung transplantation when it is not urgently needed - Note that lung transplant referral is not an event, it is a process that begins with informed discussions of benefits, risks, indications, and contraindications - Elicit and address CF-related concerns about lung transplantation, such as: fear, shame, and giving up the “fight” against CF - Explain the logistics of lung transplantation at the “home” CF Center - Assess for potential barriers to transplant: medical, psychosocial, financial - Discuss potential geographic barriers to lung transplant (e.g. potential need to relocate, distance to travel for evaluation, insurance limitations to lung transplant center options for coverage) - Acknowledge differences in clinical outcomes and the potential need for increased support for individuals with disadvantaged backgrounds
<p>When lung function declines to FEV₁ <40% predicted</p>	<ul style="list-style-type: none"> - Increase frequency of CF clinic visits, if indicated, to address contributing factors - Emphasize the importance of nutrition, diabetes control, physical conditioning, self-care, mental health, adherence, and social support and correlate them with clinical outcomes and implications for candidacy for transplant

	<ul style="list-style-type: none"> - Evaluate for markers of shortened survival using 6-minute walk test, oxygen desaturation study, nocturnal oximetry, blood gas, echocardiogram - Assess for organisms with implications on transplant candidacy (such as: NTM, fungus, and Burkholderia species) - Referral for individuals with markers of increased severity of disease (e.g. 6-minute walk test distance <400 meters, supplemental oxygen requirement, arterial hypercarbia, pulmonary hypertension). Discuss implications for decreased survival in the presence of markers of increased severity of disease as the rationale for referral to consider lung transplantation - Referral for all individuals under 18 years of age
<p>When lung function declines to FEV₁ <30% predicted</p>	<ul style="list-style-type: none"> - Referral for all individuals - Continue at least annual monitoring for markers of shortened survival. Individuals with CF can have prolonged survival with FEV₁ <30% predicted, but it is important to continue monitoring for complications of CF that increase the risk of death without lung transplant - Update the local transplant center every 6 months or with clinical changes
<p>Modifiable barriers to lung transplantation</p>	<ul style="list-style-type: none"> - Malnutrition (BMI less than 17 kg/m²) may be a contraindication to lung transplantation, but is modifiable. As lung disease progresses, malnutrition becomes more prevalent. Recommend use of enteral tube feed guidelines for management of malnutrition - CF-related diabetes can be associated with increased pulmonary exacerbations, weight loss, and lung function decline. Suboptimal management of diabetes may be a marker of non-adherence and treatment could slow disease progression. Diabetes control should be optimized to maximize medical management of advanced CF and minimize transplant-associated risk - Chronic narcotic use may impair post-lung transplant pain management and may be a contraindication at certain centers - Substance use has been associated with worse post-transplant outcomes and there are center-specific rules related to substance use - Promote strategies to optimize adherence, as many transplant centers consider non-adherence a relative (and sometimes absolute) contraindication to listing/transplant - Early referral permits education and contract setting, if needed, and an opportunity to assess for capacity for adherence - Anxiety and depression are prevalent in individuals with CF, and become more prevalent with advanced lung disease and can impair recovery from transplant. Identify and treat mental health issues that may negatively impact transplant candidacy and outcomes

	<ul style="list-style-type: none"> - Address psychosocial barriers such as: caregiver support, finances, and health literacy
Special considerations	<ul style="list-style-type: none"> - Geographic and program-specific donor availability may influence the timing of listing and choice of transplant center - Insurance coverage may limit access to specific transplant centers - Complexity of surgical procedure may influence the choice of transplant center - Center-specific practices are dynamic and may change over time <p><i>The following may impact lung transplantation candidacy depending on transplant center-specific practices:</i></p> <ul style="list-style-type: none"> - Certain infections (<i>Burkholderia cenocepacia</i>, <i>Burkholderia gladioli</i>, <i>Burkholderia dolosa</i>, <i>Mycobacterium abscessus</i>, <i>Scedosporium prolificans</i>) - Renal insufficiency - Liver disease - Critical or unstable clinical condition (e.g. mechanical ventilation or ECMO) - Cardiac dysfunction - Prior thoracic surgery - Prior lung transplantation - History of cancer
Decision to initiate lung transplant referral	<ul style="list-style-type: none"> - It is important not to rely solely on the FEV₁ for timing of referral. Incorporate other markers of shortened survival into the referral decision: hypoxemia, hypercarbia, shortened 6-minute walk test distance, increasing frequency/severity of exacerbations, low BMI, pulmonary hypertension, massive hemoptysis, pneumothorax, female sex, and short stature - Refer early to avoid missing the lung transplant window - Refer early to give opportunity to explore other options if first transplant center declines the individual as a candidate - Provide detailed information about clinical history, markers of disease severity, and potential contraindications. - The balance of independence versus the need for social support is especially complex for adolescents and young adults - Acknowledge the stress, expense, invasiveness of procedures (e.g. colonoscopy, right heart catheterization), and waiting involved with referral and evaluation - Discuss insurance and financial implications - Assess geographic barriers to transplantation and identify transplant center where individual has the most social support - When a referral is “early,” it is an opportunity to get detailed information about transplant and serves as a second opinion that could identify important modifiable barriers to eventual transplantation

	<ul style="list-style-type: none"> - Referral during a crisis, or rapid decline, may limit an individual's access to transplant depending on local transplant center practices
Decision to defer listing	<ul style="list-style-type: none"> - Consult at least two lung transplant centers prior to determining that an individual is not a transplant candidate if the first center declines to list the individual because of a contraindication - If an individual is "too early" for listing, then establish a plan for continued monitoring and communication with the transplant team - Continued communication with the transplant center includes information about changes in clinical status, social situation, and goals of care
Decision to list for transplant	<ul style="list-style-type: none"> - Communicate with the transplant center about changes in the individual's status while listed - Lung Allocation Score (LAS) is used for determining lung transplant recipient priority in the US. Important components of the LAS include: age, FVC, pCO₂, oxygen requirement, BMI, 6MWT distance, pulmonary arterial pressure, presence of diabetes, diagnosis, and functional status - Continue to acknowledge the stress, expense, waiting time, and uncertainty for individuals awaiting lung transplant

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