

1 **The influence of smoking, age and stage at diagnosis on the survival after larynx,**
2 **hypopharynx and oral cavity cancers in Europe: the ARCAGE study**

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64 **Brief description – “Novelty and Impact”**

65 Head and neck cancer (HNC) is a complex and difficult-to-treat malignancy that leads to
66 severe disabilities and high mortality. We investigated if, after major improvements in
67 diagnosis and therapeutic modalities, HNC survival has increased in Europe, and what
68 are the main determinants of outcome. We found that survival from HNC remains low in
69 Europe and, alongside with late stage at diagnosis, older age at diagnosis and smoking
70 are strong predictors of outcome.

71

72 **Abstract**

73 Head and neck cancer (HNC) is a preventable malignancy that continues to cause
74 substantial morbidity and mortality worldwide. Using data from the ARCAGE and Rome
75 studies, we investigated the main predictors of survival after larynx, hypopharynx and
76 oral cavity (OC) cancers. We used the Kaplan-Meier method to estimate overall survival,
77 and Cox proportional models to examine the relationship between survival and
78 sociodemographic and clinical characteristics. 604 larynx, 146 hypopharynx and 460 OC
79 cancer cases were included in this study. Over a median follow-up time of 4.6 years,
80 nearly 50% (n=586) of patients died. Five-year survival was 65% for larynx, 55% for OC,
81 and 35% for hypopharynx cancers. In a multivariable analysis, we observed an increased
82 mortality risk among older (≥ 71 years) vs. younger (≤ 50 years) patients with
83 larynx/hypopharynx combined (LH) and OC cancers [HR=1.61, 95% CI 1.09–2.38 (LH)
84 and HR=2.12, 95% CI 1.35–3.33 (OC)], current vs. never smokers [HR=2.67, 95% CI
85 1.40–5.08 (LH) and HR=2.16, 95% CI 1.32–3.54 (OC)], and advanced vs. early stage
86 disease at diagnosis [IV vs. I, HR=2.60, 95% CI 1.78–3.79 (LH) and HR=3.17, 95% CI
87 2.05–4.89 (OC)]. Survival was not associated with sex, alcohol consumption, education,
88 oral health, p16 expression, presence of HPV infection, or body mass index 2 years
89 before cancer diagnosis. Despite advances in diagnosis and therapeutic modalities,
90 survival after HNC remains low in Europe. In addition to the recognized prognostic effect
91 of stage at diagnosis, smoking history and older age at diagnosis are important
92 prognostic indicators for HNC.

93

94 **Introduction**

95 Head and neck cancer (HNC) is mostly comprised of oral cavity, oropharynx,
96 hypopharynx, and larynx tumors. When taken together, HNC represents the 5th most
97 common malignancy in males in the high-income countries, with a lower incidence
98 among females (male to female ratio varies from 2:1 to 4:1).¹ Over 90% of cases are
99 squamous cell carcinomas.² HNC can be cured if the tumor is diagnosed at early stage
100 and limited to the head and neck region. However, prognosis is very poor when HNC is
101 diagnosed at later stages with metastatic or recurrent disease. A decision between
102 aggressive multimodality and function-preserving treatment should be based on patient's
103 health and comorbidities, and on the extent to which therapy may affect the patient's
104 quality of life.³

105 Tobacco exposure (including active and smokeless tobacco use) and alcohol
106 consumption are well-established risk factors for HNC.⁴ Human Papillomavirus (HPV)
107 infection is an additional independent risk factor for oropharynx cancer. Studies have
108 shown that HPV-related HNC is genetically and biologically different from smoking-
109 associated HNC, with HPV-related HNC demonstrating improved clinical outcomes.³
110 HPV positive oropharynx cancer patients commonly have greater survival than HPV
111 negative cases.⁵⁻⁷ However, the same HPV causal and prognostic associations have not
112 been observed for larynx, hypopharynx, or oral cavity cancer where HPV infections are
113 rare.⁸

114 Stage at diagnosis has been considered one of the strongest predictors of survival
115 among patients with HNC,⁹ whereas the role of smoking and alcohol on survival remains
116 controversial. Robust epidemiological data may help to identify modifiable prognostic
117 factors and guide cancer prevention programs aimed to reduce the burden of HNC
118 worldwide.¹⁰ In this study we focused on the determinants of survival from larynx,
119 hypopharynx, and oral cavity cancers in Europe. A separate study has examined survival
120 from oropharynx cancer including the role of HPV.¹¹

121

122 **Patients and methods**

123 *Patients*

124 Data was obtained from 14 centers located in 9 European countries. Thirteen centers
125 were participants of the ARCAGE* case-control study¹² as follows: Czech Republic
126 (Prague), Germany (Bremen), Greece (Athens), Italy (Aviano, Padova, and Turin),
127 Ireland (Dublin), Norway (Oslo), United Kingdom (Glasgow, Manchester, and Newcastle),
128 Spain (Barcelona), and Croatia (Zagreb). The remaining data were obtained from a case-
129 control study in Rome.¹³ The recruitment of cases was performed from 2002 to 2005 for
130 the ARCAGE study (n=1,066) and from 2003 to 2011 for the Rome study (n=144).
131 Details of the ARCAGE and Rome projects can be found elsewhere.^{12,13}

132 Cases eligible for inclusion in our study were all patients with a primary squamous
133 cell carcinoma of the larynx, hypopharynx or oral cavity confirmed by histology or
134 cytology. We included the following topography codes from the *International*
135 *Classification of Diseases for Oncology*, 3rd edition (ICD-O-3)¹⁴: C320-C32.9 for larynx,
136 C12.9 and C13.0-C13.9 for hypopharynx, and C00.3-C00.9, C02.0-C02.3, C03.0-C03.9,
137 C04.0-C04.9, C05.0, and C06.0-C06.9 for oral cavity cancers. Following a standard
138 protocol, participants underwent an identical questionnaire-based interview within 6
139 months of diagnosis in order to obtain sociodemographic information, complete lifetime
140 smoking and alcohol histories, dietary habits, dental health and care, and education level
141 attained. Biological samples (blood and/or tumor blocks) were also collected. Data on
142 stage at diagnosis, overall treatment, and clinical outcomes were subsequently obtained
143 from population-based registries, medical records, linkage with regional or national death
144 index, as well as doctor's contact. Participants were followed from the date of diagnosis
145 to the date of death, loss to follow-up or end of study (31st December 2011), whichever
146 occurred first. Patient's follow-up was performed once from 2012 to 2015 to obtain last
147 known vital status (alive, death, or lost to follow-up) and date of last contact.

148 149 *Sociodemographic, clinical and lifestyle variables*

150 The sociodemographic, clinical and lifestyle variables were classified as follows. Age at
151 diagnosis was categorized in 4 groups (≤ 50 , 51–60, 61–70, and ≥ 71 years). Tumor stage
152 at diagnosis was classified in stage I to IV based on the TNM system of the American
153 Joint Commission on Cancer (AJCC) Staging Manual, 6th edition.¹⁵ Smoking was

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154 examined in 3 different ways: overall history (never, former or current smokers), duration
155 (never, 1–9, 10–19, 20–29, 30–39 and ≥ 40 years), or intensity (number of pack of
156 cigarettes per year: never, <20 , 20–39, 40–59, ≥ 60). Smokers were individuals who used
157 any tobacco product (estimated based on cigarette equivalents) at least once a week for
158 one year. Alcohol consumption was also examined in 3 ways: overall history (never,
159 former or current drinkers), duration (never, 1–9, 10–19, 20–29, 30–39 and ≥ 40 years),
160 and intensity (number of drinks per day: <5 or ≥ 5). Information on overall smoking and
161 alcohol histories were obtained from all centers, whereas Rome did not have information
162 on duration and intensity of these variables. Therefore, overall histories were included in
163 the main models and separate models, excluding Rome cases, were performed to
164 examine the effect of smoking and alcohol duration and intensity on survival, and were
165 included in the supplementary materials (Table S1).

166 Education was categorized as level of education attained by the time of diagnosis:
167 primary school, secondary school or university degree. Body mass index (BMI, kg/m^2)
168 was examined using self-reported height and weight 2 years before cancer diagnosis,
169 which decreases the probability that low BMI is secondary to cancer development.¹⁶ BMI
170 was classified according to the World Health Organization into 4 categories: underweight
171 (<18.5), normal weight (18.5–24.9), overweight (25.0–29.9) and obese (≥ 30.0). Dental
172 care and oral hygiene scores were created and classified as good, moderate, and poor
173 as described elsewhere.¹⁷

174 Binary variables were sex (male/female) and the HPV tumor markers HPV16 DNA
175 and p16 protein expression (positive/negative). HPV16 DNA genotyping was done using
176 the type-specific E7 polymerase chain reaction bead-based multiplex assay (TS-E7-
177 MPG, IARC, Lyon, France) as described elsewhere.¹⁷ The qualitative assessment of
178 antigen p16^{INK4A} was performed by immunohistochemistry, using the CINtec Histology kit
179 according to the manufacturer's instructions (www.mtmlabs.com). P16 expression was
180 scored based on the intensity and the proportion of nuclear and cytoplasmic stained
181 cells, and was considered positive when the combined score was equal to 4 or higher.
182 Studies have shown that combined p16 expression and HPV16 DNA testing are needed
183 to predict outcome for HNC.¹⁸ We examined p16 expression alone and combined with
184 HPV16 DNA as follow: p16 (–) DNA (–), p16 (+) DNA (–), p16 (+) DNA (+), and p16 (–)
185 DNA (+). In addition to the variables above, we provided a descriptive analysis on
186 relapse occurrence and overall treatment.

187

188 *Statistical analyses*

189 We used the Kaplan-Meier method to estimate 2-, 5- and 8-year overall (all-cause)
190 survival, and used the log-rank test to examine differences in survival across strata of
191 each variable. Overall survival is presented by anatomic site and, sample size allowing,
192 by tumor subsite (glottis vs. supraglottis, tongue vs. other regions of the mouth, as well
193 as pyriform sinus and other hypopharynx regions).

194 Multivariable Cox regression models were used to obtain the hazard ratios (HRs)
195 of death and corresponding 95% confidence intervals (CI). We used the likelihood ratio
196 test as an overall significance test for the association of each independent variable with
197 the hazard ratio of death. We tested the proportional hazard (PH) assumption by
198 examining log-log survival plots, and confirmed the results by using Schoenfeld's global
199 test. The PH assumption was met for all variables in the multivariable models. We
200 included in the multivariable models the variables with *a priori* hypothesized or previously
201 observed associations with survival (sex, age and stage at diagnosis, smoking and
202 alcohol histories, BMI 2 years before diagnosis, education level, and dental care) and
203 additionally adjusted for year of diagnosis. A separate model was performed to examine
204 the association between HPV tumor markers and survival.

205 Given the modest number of hypopharynx cases, they were pooled with larynx
206 cases for the multivariable analysis. When we performed separate Cox models, we
207 observed the same pattern of associations for both larynx and hypopharynx cases, but
208 with larger confidence intervals and p-values for hypopharynx cases due to the smaller
209 sample size. Cases from Rome did not provide data on education, BMI pre-diagnosis
210 and oral health. Missing data were handled by including them as "unknown" categories in
211 the multivariable models (omitted in the tables). A complete analysis where missing data
212 were excluded was also conducted, and similar results were obtained. We tested for
213 interactions between tumor sites and each variable and found no significant interaction.
214 Statistical analyses were performed using Stata 14 software (StataCorp, College Station,
215 TX, USA), and a 2-sided p-value of less than 0.05 was considered statistically significant.

216

217 **Ethics approval**

218 The ARCAGE study was approved by the Ethical Review Board of the International
219 Agency for Research on Cancer (IARC), as well as the respective local boards in the
220 individual participating centers. The Rome study was approved by the ethical committee

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221 of Fondazione Policlinico Universitario "A. Gemelli". All participants provided written
222 informed consent for their participation in the study.

Results

A total of 604 (50%) larynx, 146 (12%) hypopharynx and 460 (38%) oral cavity cancer cases were included in this study. The sociodemographic and clinical characteristics of patients are summarized by anatomic site in Table 1. Overall, most of patients were males (82%), ever smokers (91%), and ever drinkers (93%), had a median age at diagnosis of 60 years, and were diagnosed with advanced stage disease (55% stages III or IV vs. 45% stages I or II).

Overall survival

The median follow-up time was 4.6 years. Of 1,210 patients, nearly half (n=586) died over the course of follow-up. Five-year survival was 65% for larynx (95% CI 61–69), 55% for oral cavity (95% CI 50–60) and 35% for hypopharynx (95% CI 27–43) cancers (Tables 2A & 2B, Figure 1A). When an adequate sample size was available, survival was also examined by anatomic subsite. Based on the log-rank test, we observed that 5-year survival was higher among patients with glottic vs. supraglottic cancer (77% vs. 58%), and for those with tumor of the tongue vs. other regions of the mouth (63% vs. 50%). There was no evidence of difference in survival between patients with cancer of the pyriform sinus and other hypopharynx regions (Figures 1B-D).

For all anatomic sites, we found strong evidence of an association between worse survival and smoking history (former or current smoker) (Tables 2A & 2B,) or advanced stage disease at diagnosis (Tables 2A & B, Supplementary Figure S1). Among oral cavity cancer patients, we also found associations of lower survival with older age at diagnosis, male sex, lower level of education, and low BMI 2 years before cancer diagnosis). There was no evidence of survival differences by p16 protein expression alone or combined with HPV testing for any cancer site (Table 2A & 2B). Survival did not vary by cancer center or country (data not shown).

Hazard ratio of death

In a multivariable Cox regression analysis, in which all variables were mutually adjusted for, we found, among larynx/hypopharynx cases, an increased risk of death for hypopharynx vs. larynx cancer (HR=2.29, 95% CI 1.79–2.94), older compared to younger patients (≥ 71 vs. ≤ 50 years, HR=1.61, 95% CI 1.09–2.38), current vs. never smokers (HR=2.67, 95% CI 1.40–5.08) and advanced vs. early stage disease at diagnosis (IV vs. I, HR=2.60, 95% CI 1.78–3.79). Likewise, among oral cavity cancer

257 patients, we observed an increased risk of death for older compared to younger patients
258 (≥ 71 vs. ≤ 50 years, HR=2.12, 95% CI, HR=1.35–3.33; and 61–70 vs. ≤ 50 years,
259 HR=1.65, 95% CI 1.12–2.44), current vs. never smoker (HR=2.16, 95% CI 1.32–3.54),
260 and for those with advanced vs. early stage at diagnosis (IV vs. I, HR=3.17, 95% CI
261 2.05–4.89) (Table 3). We did not find significant associations between the risk of death
262 and sex, dental care or BMI 2 years pre-diagnosis.

263 In separate analyses, when we used the number of packs of cigarettes smoked
264 per year or duration of smoking instead of overall smoking history (Rome cases
265 excluded), similarly strong associations were found. For instance, larynx/hypopharynx
266 patients who smoked ≥ 20 cigarette pack years had approximately 3 times higher risk of
267 death than never smokers. Likewise, for oral cavity cancer, patients who smoked ≥ 20
268 cigarette pack years had a risk of death about 2.5 times higher than never smokers.
269 (Supplementary Table S1) When we examined alcohol duration and intensity, we also
270 did not find evidence of an association between the risk of death and alcohol
271 consumption (Supplementary Table S1). There was no evidence of an association
272 between the risk of death and p16 expression, whether examined alone or combined with
273 HPV16 DNA testing (Figure 2, Supplementary Table S2).

274

275 *Descriptive analysis*

276 Data on relapse was available for approximately 80% of cases. Out of 973 patients, 341
277 (35%) relapsed. Higher incidence of relapse was observed among patients with
278 hypopharynx (46%), followed by oral cavity (38%) and larynx (30%) cancers ($p=0.002$).
279 After excluding cases to whom relapse occurred less than 90 days from diagnosis
280 ($n=49$), we observed that the majority of patients ($n=194$, 72%) relapsed within 2 years of
281 HNC diagnosis, whereas 19% ($n=52$) and 9% ($n=25$) relapsed within >2 to 5 years and
282 >5 to 10 years respectively (Supplementary Figure S2). Time to relapse did not differ
283 significantly by anatomic site.

284 Overall information on type of treatment was available for approximately 97% of
285 cases. Surgery was performed in most of patients (74%), alone (34%) or combined with
286 radiotherapy (28%), chemotherapy (1%), or both (11%). About 12% of patients received
287 radiotherapy alone, 10% received chemotherapy and radiotherapy, and 1% received
288 chemotherapy alone. For about 2% of patients no type of treatment was reported.

289

290 **Discussion**

291 Our results reveal that survival from head and neck cancer remains low in Europe.
292 Except for patients with tumors of the glottis, 8-year survival was lower than 50% for all
293 tumor sites and subsites. In the multivariable analyses, the main predictors of survival
294 were age at diagnosis, stage at diagnosis, smoking history, and anatomic site.

295 Age at diagnosis is often considered an independent predictor of outcome for
296 many types of cancer.^{19,20} The influence of age on HNC survival remains controversial. In
297 a recent review, which included surgical, radiation-alone, and chemoradiation studies
298 from 1980 to 2012, the authors concluded that even though elderly patients may
299 experience higher treatment-related toxicities than their younger counterparts, there was
300 not sufficient evidence that survival is worse among older than younger patients (the
301 majority of the studies investigated overall rather than disease-free or cancer-specific
302 survival).²¹ Another study which use data from the Surveillance Epidemiology and End
303 Results (SEER) program in the United States (US) and estimated overall survival of
304 patients diagnosed with larynx, tongue or tonsil cancer between 1988 and 1998,
305 supported these findings.²²

306 In contrast, our findings of increased risk of death among older patients (≥ 71 years
307 for larynx/hypopharynx and ≥ 61 years for oral cavity cancers) support the results of
308 several population-based studies in Europe and in the US. For instance, a European
309 study used data from 15 French cancer registries on patients diagnosed with HNC
310 between 1989 and 1997. The authors found that relative survival (which accounts for
311 competing causes of death) was consistently lower for elderly compared to younger
312 patients. The excess mortality among patients aged >75 years was apparent during the
313 first 3 months and after 3 years of diagnosis, with no significant influence of age between
314 1 and 3 years after diagnosis.²³ Likewise, in a later European study on HNC, relative
315 survival was lower among elderly (≥ 75 years) vs. younger patients diagnosed from 1999
316 to 2007.⁹ In the US, a study from a large university-based cancer registry used data from
317 1990 to 2005 and found that, after adjusting for potential confounders, patients with HNC
318 aged ≥ 70 years at diagnosis had a risk of death about twice as high as that of patients
319 younger than 70 years.²⁴ Notably, the authors showed that when older patients with
320 advanced disease (stage at diagnosis III–IV) were treated with multimodality therapy, 5-
321 year overall survival was close to that of younger patients who received similar
322 therapeutic management. However, older patients who received single-modality

323 treatment had dramatically lower 5-year survival than their younger counterparts. Older
324 age is commonly associated with moderate to severe comorbidities, which may diminish
325 the patient's ability to tolerate surgery and intensive cancer adjuvant treatment, such as
326 radiotherapy and/or chemotherapy.¹⁰ Comorbidities such as cardiovascular and
327 pulmonary diseases in HNC patients are mostly secondary to smoking and excessive
328 alcohol use. In addition, advanced age is associated with a decline in immune function,²⁵⁻
329 ²⁷ which may not only facilitate cancer progression, but also weaken the host immune
330 response against cancer.¹⁰ Nonetheless, studies suggest that, since cancer is the main
331 cause of death among elderly patients with advanced HNC, the competing causes of
332 death likely contribute to a small fraction of the lower survival observed among these
333 patients.²⁴ The main challenge in the treatment of elderly patients with HNC is to decide
334 for which patients the benefit of intensive multimodality therapy compensates the risk of
335 treatment toxicity.

336 Stage at diagnosis is widely considered a main determinant of cancer survival and
337 this is also true for HNC.⁹ Our results showed that even with the advance on diagnosis
338 procedures observed in the last decades, the majority of patients (55%) with HNC are
339 still diagnosed with advanced disease (stage III–IV) in Europe. This proportion is close to
340 the EURO CARE-5 study,⁹ which used data from 29 European countries on patients
341 diagnosed from 1999 through 2007. The authors emphasized that over 54% of patients
342 were diagnosed with regional or metastatic disease. We found that the risk of death was
343 approximately 2 or 3 times greater among patients with stage III or IV, respectively, than
344 those with stage I at diagnosis. While HNC can be often cured when diagnosed at early
345 stage, late stage disease may be untreatable or involve aggressive multimodality
346 treatment that often leads to severe physical and psychological disabilities. It has been
347 reported that HNC have the highest risk of disability and work quitting, together with
348 central nervous system and hematologic malignancies²⁸

349 We observed a strong association between smoking and survival. This association
350 was significant for all investigated variables (overall smoking history, duration, and
351 intensity) and highlights the importance of intensifying tobacco prevention and control in
352 Europe. According to the World Health Organization, smoking kills closely 6 million
353 people per year, more than HIV/AIDS, malaria and tuberculosis combined. It has been
354 estimated that this number can increase to over 8 million people by 2030 if more
355 immediate and severe actions are not taken.²⁹ While some previous studies had shown
356 negative^{30,31} or limited^{32,33} association between smoking and HNC survival, our findings

357 support a large population-based study conducted in Ireland which revealed that smoking
358 at diagnosis was associated with worse survival.³⁴ The authors highlighted that this
359 association was stronger among patients who had surgical treatment for their HNC, and
360 neither chemotherapy nor radiotherapy influenced the effect of smoking on survival. One
361 relevant question in the clinical setting is whether smoking cessation after cancer
362 diagnosis can improve prognosis of HNC, for instance decreasing treatment
363 complications and the risk of relapse or second primary malignancy.³⁵ Post-treatment
364 smoking history was not available in our study.

365 While our results support the influence of smoking on survival from HNC, we did
366 not find the same association regarding alcohol consumption and survival when we
367 examined overall alcohol history, duration or intensity. Our findings differ from a US
368 study³⁶ which found that alcohol consumption pre- and post-diagnosis adversely affected
369 HNC survival, and highlighted the need for aggressive interventions to help patients to
370 abstain from or decrease alcohol intake. In another US study,³⁷ which enrolled over
371 1,000 patients with HNC, about 17% of patients had secondary tumors. Strikingly,
372 alcohol consumption combined with smoking after diagnosis was found to significantly
373 increase the risk of secondary tumors among these patients. More studies in Europe are
374 needed to investigate the association between alcohol pre- and post-diagnosis and HNC
375 outcomes.

376 In our study, HNC prognosis varied significantly by anatomic site, with better
377 survival for larynx, intermediate for oral cavity, and worse for hypopharynx cancer
378 patients. These results are consistent with previous survival studies in Europe. For
379 example, the EUROCORE II study,³⁸ which used data from 17 countries on patients
380 diagnosed from 1985 to 1989, revealed that overall, 5-year relative survival was
381 approximately 63% for larynx, 41% for oral cavity, and 22% for hypopharynx cancer, with
382 wide geographic variations (higher survival in Western than Eastern European countries).
383 The authors suggested that possible reasons for the observed survival disparities are
384 late diagnosis, late referral to treatment, and lack of access to effective treatment. The
385 subsequent EUROCORE-5 study⁹ showed that 5-year relative survival after larynx
386 cancer has not improved over time (from 1999–2001 to 2005–2007), whereas survival
387 improved by 3–5% (absolute difference) for oral cavity, oropharynx, and hypopharynx.
388 However, 5-year relative survival was still low: 25% for hypopharynx and 45% for oral
389 cavity cancer patients. Although our results are not directly comparable, the same
390 survival pattern was observed in our cohort of patients, suggesting no or little

391 improvement in the last few decades, despite progresses in diagnosis procedures and
392 therapeutic management. This finding is concerning and emphasizes the need for
393 increased healthcare policy aimed at decreasing modifiable risk factors (such as smoking
394 and alcohol consumption) for HNC occurrence in Europe.

395 Curative treatment for HNC is complex and often negatively impacts patient's
396 quality of life (e.g. causing difficulty to speak, breath, swallow, as well as facial
397 deformity). Advancements in treatment such as new surgical techniques, the use of
398 concurrent or alternating chemoradiation, hyperfractionated or accelerated radiotherapy,
399 and more recently immunotherapy, may improve HNC survival and reduce the burden of
400 complications secondary to treatment.³⁹ However, improvement in HNC outcomes have
401 been disappointing. Despite treatment advances, larynx cancer is one of the few types of
402 cancer in which survival has recently decreased in the US (from 66% during 1975–1977
403 and 1987–1989 to 63% during 2005–2011).⁴⁰ It has been postulated that the declining
404 survival trends are due to changes in treatment toward a nonsurgical (organ
405 preservation) approach.^{41,42}

406 For hypopharynx cancer, a recent population-based study⁴³ using SEER data
407 showed evidence of increasing survival trends since 1990: 5-year overall survival
408 improved from 38% during 1973–1989 to 41% during 1990–2003. Through the study
409 period, there was a trend toward reduced surgical treatment and increased use of
410 radiation-only therapy. In contrast to what has been observed for larynx cancer in the US,
411 this study suggests that organ preservation may have a survival benefit for hypopharynx
412 cancer patients. For oral cavity cancer, surgery remains the first-line treatment,⁴⁴ while
413 radiotherapy and lymph node resection are usually performed for advanced stage
414 disease or for those patients considered ineligible for surgical interventions.

415 It has been recognized that approximately 50% of patients with HNC have
416 substantial weight loss at diagnosis and just before start of therapy in consequence of
417 cancer symptoms (e.g. dysphagia, odynophagia, and anorexia),⁴⁵ and this has been
418 shown to negatively impact survival.⁴⁶ Therefore, we aimed to investigate whether BMI 2
419 years before diagnosis also influence survival after HNC. After multiple adjustments, we
420 did not observe a significant association between the risk of death and underweight,
421 which may be explained by the small number of patients in this category (fewer than
422 3.5%). Likewise, overweight or obesity pre-diagnosis was not found to impact survival
423 among our patients.

424 Finally, when tumor samples were available, we evaluated whether p16
425 expression alone or associated with HPV16 DNA testing predicts prognosis for non-
426 oropharynx cancers. P16 is a tumor suppressor gene considered a good proxy for HPV
427 infection in tumors.³ Our results support the lack of an association between survival and
428 p16 overexpression examined alone, as reported by other authors.^{47,48} We also did not
429 find any association with survival when p16 was considered with HPV16 DNA testing. It
430 is possible that, in our study, the small number of HNC cases that were positive for both
431 HPV16 DNA and p16 has contributed for the negative association we observed. Further
432 studies to investigate the prognostic role of these markers on non-oropharynx cancer
433 outcomes are warranted.

434 Our study has several limitations. Since the ARCAGE study was initially designed
435 to look at risk factors of head and neck cancer, collection of clinical data such as detailed
436 treatment approach and relapse (including dates of treatment and relapse) were
437 restricted. Therefore it was not possible to investigate the impact of treatment modality
438 on survival or relapse. We used self-reported weight and height 2 years before diagnosis,
439 which may be subject to inaccuracy and bias. However, previous studies have shown
440 high correlation ($r > 0.9$) between self-reported and measured height, weight and BMI.^{49,50}
441 Overall, data were missing on stage at diagnosis in about 21% of cases. However, the
442 strong association we found between stage at diagnosis and survival supports previous
443 studies and emphasizes the impact of late diagnosis on HNC prognosis. Although Rome
444 did not have information on certain variables, the data provided by this center were
445 valuable and the associations we found remained even when these cases were excluded
446 from the analyses. We also lacked information on comorbidities, performance status, and
447 treatment complications. Although these data would likely have contributed additional
448 findings, predictors of HNC outcome such as smoking, stage and age at diagnosis are of
449 paramount importance and were clearly demonstrated in our study. In addition, the
450 strengths of the ARCAGE study includes a standard protocol, data from several
451 European centers with detailed information on smoking and alcohol histories, tumor
452 histological or cytological confirmation for all patients, as well as blood and tumor
453 samples for several cases.

454 In summary, HNC is a complex malignancy that involves vital anatomic structures,
455 which make it difficult to treat. Surprisingly, despite the advances in diagnosis and
456 therapeutic modalities, survival after HNC remains low in Europe. Most patients continue
457 to be diagnosed with disease at advanced stage, which often requires aggressive

458 treatment and may lead to substantial disabilities and psychological disorders, reducing
459 quality of life among survivors. The association between older age and inferior survival
460 suggests that treatment should be personalized based on patients' comorbidities and
461 tolerability. Importantly, public health efforts in Europe should focus on primary
462 prevention to deter the initiation of tobacco use, promote smoking cessation, and prevent
463 excessive alcohol consumption. Furthermore, secondary prevention to detect HNC at an
464 earlier stage is crucial.

465

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472

473 **Author contributions**

474 RA had full access to all of the data and performed the statistical analyses. DA designed
475 and coordinated survival data collection, managed and curated the ARCAGE database.
476 PB coordinated the ARCAGE study and advised and reviewed the statistical analyses.
477 RA led the writing and review of the manuscript. All authors participated in the
478 interpretation of data and critical review of the manuscript. All authors read and approved
479 the final manuscript.

480

481 **Conflict of interest**

482 We declare no conflict of interests.

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- 598

599 **Figure legends**

600

601 Figure 1 - Overall survival from head and neck cancers by: A, anatomic site; B, larynx subsite; C,
602 hypopharynx subsite; and D, oral cavity subsite, 2002–2011, the ARCAGE study

603

604 Figure 2 - The hazard ratios of death by HPV16 tumor markers among patients with larynx,
605 hypopharynx, and oral cavity cancers, 2002–2011, the ARCAGE study

606

607 Figure S1: Overall survival from larynx, hypopharynx (combined), and oral cavity cancers by
608 stage at diagnosis, 2002–2011, the ARCAGE study

609

610 Figure S2: Number of patients with larynx, hypopharynx or oral cavity cancer who relapsed over
611 time, 2002–2011, the ARCAGE study. Forty-nine patients who relapsed within 90 days since
612 diagnosis were excluded.

613