

Site-Specific Codes for Neoadjuvant Therapy Treatment Effect

Schemas: Colon and Rectum, Esophagus, Stomach, Anus, Pancreas

Neoadjuvant Therapy--Treatment Effect data item [NAACCR # 1634] is related to the *Neoadjuvant Therapy* data item [NAACCR # 1632]. This data item records the findings from the post neoadjuvant therapy **surgical pathology report ONLY** when surgery is performed after neoadjuvant therapy. This set of codes applies to the schemas: Colon and Rectum, Esophagus, Stomach, Anus, and Pancreas.

| Code | Description |
|------|--|
| 0 | Neoadjuvant therapy not given/no known presurgical therapy |
| 1 | Present: No viable cancer cells Complete response Score 0 |
| 2 | Present: Single cells or rare small groups of cancer cells Near complete response Score 1 |
| 3 | Present: Residual cancer with evident tumor regression, but more than single cells or rare small groups of cancer cells Partial response Minimal response Score 2 |
| 4 | Absent: Extensive residual cancer with no evident tumor regression Poor or no response Score 3 |
| 6 | Neoadjuvant therapy completed and surgical resection performed, response not documented or unknown Cannot be determined |
| 7 | Neoadjuvant therapy completed and planned surgical resection not performed |
| 9 | Unknown if neoadjuvant therapy performed Unknown if planned surgical procedure performed after completion of neoadjuvant therapy Death Certificate only (DCO) |

For purposes of this data item, **neoadjuvant therapy** is defined as systemic treatment (chemotherapy, endocrine/hormone therapy, targeted therapy, immunotherapy, or biological therapy) and/or radiation therapy given to shrink a tumor before surgical resection.

Surgical resection: For purposes of this data item, surgical resection is defined as the most definitive surgical procedure that removes some or all of the primary tumor or site, with or without lymph nodes and/or distant metastasis. For many sites, this would be Surgical Codes 30-80; however, there are some sites where surgical codes less than 30 could be used (for example, code 22 for Breast (excisional biopsy or lumpectomy)).

Note: This data item is **not** the same as AJCC's Post Therapy Path (yp) Pathological Response, which is based on the managing/treating physician's evaluation from the surgical pathology report and clinical evaluation after neoadjuvant therapy. This data item addresses response based on the **surgical pathology report** including the Treatment Effect section of the CAP Cancer Protocol if applicable.

Coding Instructions

Use the *Neoadjuvant Therapy--Treatment Effect* data item [NAACCR # 1634] to record the findings from the post neoadjuvant therapy **surgical pathology report ONLY** including the Treatment Effect section of the CAP Cancer Protocol if applicable.

1. Assign code **0**
 - a. When the patient did not receive neoadjuvant therapy prior to surgical resection
 - b. When the treatment administered is not neoadjuvant therapy (pre-surgical treatment) because surgical resection was not planned
Example: Patient with unresectable cancer (no surgical resection planned), chemotherapy and radiation administered.
 - c. It is clear that the patient did not have neoadjuvant therapy based on the sequence of diagnosis and treatment
Example: Patient diagnosed with cancer via needle core biopsy, had surgical resection followed by chemotherapy and radiation.
 - d. For autopsy only cases
Note: *Neoadjuvant Therapy* data item [NAACCR # 1632] coded to 0 or 3.
2. Assign code **1** when
 - a. A complete response (CR) is documented in the surgical pathology report
Note: CR is defined as no viable cancer cells seen.
 - b. The treatment effect score is documented as 0
 - c. There is residual in situ cancer only
Note: *Neoadjuvant Therapy* data item [NAACCR # 1632] coded to 1 or 2.
3. Assign code **2** when
 - a. A near complete response is documented in the surgical pathology report
Note: Near complete response is defined as the presence of single cells or rare small groups of cancer cells.
 - b. The treatment effect score is documented as 1
Note: *Neoadjuvant Therapy* data item [NAACCR # 1632] coded to 1 or 2.
4. Assign code **3** when
 - a. A partial response is documented in the surgical pathology report
Note: Partial or minimal response is defined as evidence of tumor regression, but more than single cells present or there are rare small groups of cancer cells present.
 - b. The treatment effect score is documented as 2
Note: *Neoadjuvant Therapy* data item [NAACCR # 1632] coded to 1 or 2.
5. Assign code **4** when
 - a. A poor or no response is documented in the surgical pathology report

Note: Poor or no response is defined as no evidence of tumor regression.

b. The treatment effect score is documented as 3

Note: *Neoadjuvant Therapy* data item [NAACCR # 1632] coded to 1 or 2.

6. Assign code **6** when

a. Neoadjuvant therapy was completed and there is no documented treatment response in the surgical pathology report

Note: *Neoadjuvant Therapy* data item [NAACCR # 1632] coded to 1 or 2.

7. Assign code **7** when

a. The planned post neoadjuvant surgical resection was not completed for reasons including

- i. Complete clinical response and planned surgical resection cancelled
- ii. Treatment failure (stable or progressive disease) and planned surgical resection cancelled
- iii. Complications and planned surgical resection cancelled
- iv. Patient refusal of planned surgical resection
- v. Planned surgical resection started but not completed (surgical resection aborted)

Note 1: *Neoadjuvant Therapy* data item [NAACCR # 1632] coded to 1 or 2.

Note 2: Code the reason for the surgery not done in *Reason for No Surgery* [NAACCR # 1340].

8. Assign code **9** when

a. It is unknown whether neoadjuvant therapy was administered

- i. Planned, but unknown if given
- ii. Death certificate only (DCO)

b. The only information available is the managing/treating physician's evaluation

Note 1: *Neoadjuvant Therapy* data item [NAACCR # 1632] coded to 9.

Note 2: *Neoadjuvant Therapy--Clinical Response* data item [NAACCR # 1633] coded to 9.

Note 3: Code 9 (unknown) should be used rarely.

Note 4: Use code 0 when it is clear that the patient did not have neoadjuvant therapy based on the sequence of diagnosis and treatment.