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“Allergen immunotherapy: The growing role of observational and randomized trial “Real-World Evidence”

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4 **Allergen immunotherapy: the growing role of observational and** 5 **randomised trial “real-world evidence”**

6 **Suggested short title:** Real-world evidence for allergen immunotherapy

7 **EAACI Methodology Committee Recommendations**

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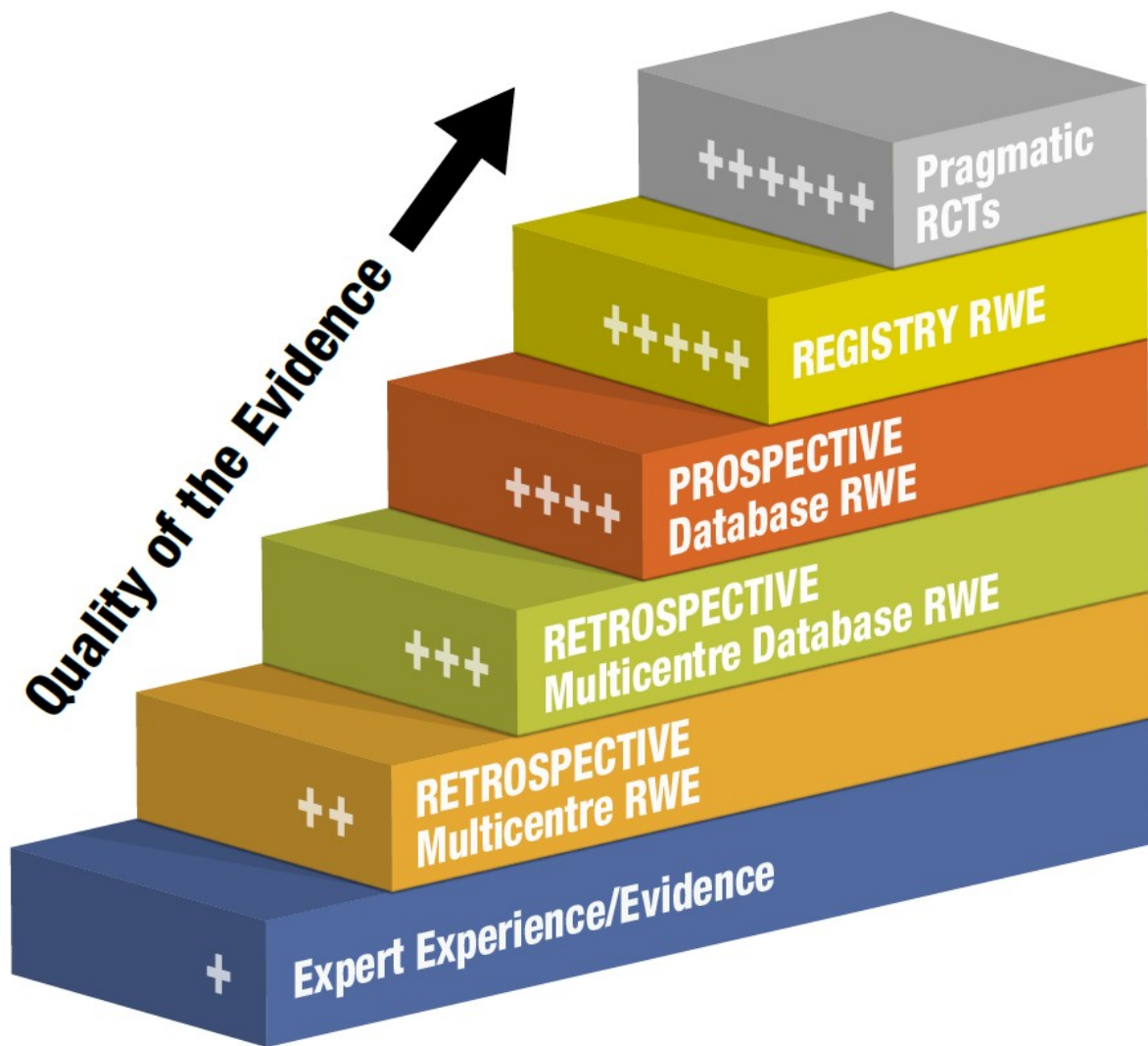
117 **Suggested abstract**

118 Although there is a considerable body of knowledge about allergen immunotherapy (AIT),
119 there is a lack of data on the reliability of real-world evidence (RWE) in AIT and
120 consequently, a lack of information on how AIT effectively works in real life. To address the
121 current unmet need for an appraisal of the quality of RWE in AIT, the European Academy of
122 Allergy and Clinical Immunology Methodology Committee recently initiated a systematic
123 review of observational studies of AIT, which will use the RELEVANT tool and the Grading
124 of Recommendations Assessment, Development and Evaluation approach (GRADE) to rate
125 the quality of the evidence base as a whole. The next step will be to develop a broadly
126 applicable, pragmatic “real-world” database using systematic data collection. Based on the
127 current RWE base, and perspectives and recommendations of authorities and scientific
128 societies, a hierarchy of RWE in AIT is proposed, which places pragmatic trials and registry
129 data at the positions of highest level of evidence. There is a need to establish more AIT
130 registries that collect data in a cohesive way, using standardised protocols. This will provide
131 an essential source of real-world data that can be easily shared, promoting evidence-based
132 research and quality improvement in study design and clinical decision-making.

133

134 **Suggested key words:** allergen immunotherapy, randomised controlled trial, real-world
135 evidence, subcutaneous immunotherapy, sublingual immunotherapy

136



139 **1. Introduction**

140 Allergen-specific immunotherapy (AIT) is the only treatment with a disease-modifying effect
141 in IgE-mediated allergic diseases, and it can deliver long-term clinical benefits that may
142 persist for years after treatment discontinuation.^{1,2} In 1911, Noon demonstrated the efficacy
143 of subcutaneous injections of a grass pollen extract in patients with hay fever, using an
144 empiric approach.³ Although Noon's rationale for 'vaccinating' against 'aerogenic toxins' to
145 induce tolerance was incorrect, his research served to demonstrate that subcutaneous
146 administration of pollen extracts was effective in reducing hay fever symptoms, and this early
147 discovery paved the way for the development of AIT. In 1964, Frankland and colleagues took
148 the important step of conducting the first randomised, double-blind, placebo-controlled study
149 of subcutaneous immunotherapy (SCIT),⁴ and in 1968, Johnstone and Dutton provided
150 evidence that SCIT could modify the clinical course of respiratory allergy.⁵

151 For more than 70 years, SCIT remained the only form of AIT available, and it was used
152 empirically until the discovery of IgE by Ishizaka and colleagues in 1965.⁶ SCIT is associated
153 with several drawbacks including the need for repeated injections, as well as the risk of
154 systemic adverse reactions.⁷ Concerns about safety and the need for a simpler administration
155 regimen drove the search for alternative routes of AIT administration, with the aim of
156 developing effective treatments for allergic rhinitis (AR) and asthma that offered improved
157 convenience, safety and a reduced potential for human error, compared with conventional
158 SCIT. By the early 1980s, several new administration routes had been explored, including the
159 local bronchial and oral routes; however, these were abandoned due to a lack of efficacy in
160 reducing symptoms and an increased risk of side effects.^{2,8}

161 Sublingual administration of allergen extracts was first investigated in the early 1900s, but it
162 was not until the 1980s that several landmark studies demonstrated the safety and
163 effectiveness of sublingual immunotherapy (SLIT). In 1986, Scadding and colleagues

164 conducted the first randomised, double-blind, placebo-controlled trial of a sublingual AIT
165 preparation, with results showing that low-dose SLIT was efficacious in relieving symptoms
166 in almost three-quarters of patients with perennial AR due to house dust mite allergens.⁹ In
167 1998, the first mechanistic trial of SLIT demonstrated a downregulation of markers of
168 allergic inflammation, coupled with a significant clinical effect in lowering symptom scores.¹⁰
169 In the same year, the World Health Organization first recognised SLIT as a viable alternative
170 to the subcutaneous route. Subsequently, European Academy of Allergy and Clinical
171 Immunology (EAACI) guidelines on AIT for AR¹¹ and two World Allergy Organization
172 (WAO) position papers dedicated to SLIT were published: the first WAO report in 2009
173 assessed 60 trials,¹² and the second in 2014 included 77 trials.¹³ Both SCIT and SLIT have
174 demonstrated good clinical efficacy for the management of AR and asthma, and the
175 availability of both formulations offers clinicians and patients a wide choice of treatment.

176

177 **2. Evaluation of AIT**

178 Evaluating the AIT literature reveals a major limitation, in that many studies are not
179 comparable because they use different types of allergen extracts, doses and dosing regimens,
180 and their study designs, inclusion criteria and outcome assessments often also differ. The
181 broad diversity in composition of AIT products¹⁴ means that efficacy must be demonstrated
182 for each individual product, rather than as a class.^{15, 16} In addition, the clinical efficacy of AIT
183 is measured using various scores as primary and secondary study endpoints. The

184 European Medicines Agency (EMA) stipulates combined symptom and medication scores as
185 primary endpoint. In the future in order to permit the comparison of results from different
186 studies is mandatory a standardisation of clinical endpoints^{17,18}.
187 However, due to the wide variety of allergens and compositions of allergen extracts, it is
188 challenging from an organisational or economic perspective to conduct randomised
189 controlled trials (RCTs) with every product.

190 **2.1. Overview of current AIT markets**

191 Globally, SLIT appears to be the most common route of administration of AIT, as
192 demonstrated by an analysis of the worldwide market share in 2019 for different AIT
193 formulations; these data show that SLIT tablets and drops combined accounted for 52% of all
194 prescribed AIT products (*Data provided by IQVIA report 2019-formerly IMS*).

195 Across Europe in 2019, the preferred route of administration of AIT differed widely, with
196 subcutaneous unfractionated allergoid immunotherapy formulations comprising most of the
197 AIT prescriptions in Germany, Poland, Spain and Switzerland, while SLIT predominated in
198 Czechoslovakia, France, Italy and Russia. The proportions of SCIT and SLIT prescriptions
199 were comparable in the Benelux countries. Looking further afield, this was also the case for
200 Australia and New Zealand (**Figure 1**) (*Data provided by IQVIA report 2019-formerly IMS*).

201 .

202 **2.2. Current and future evidence base for AIT**

203 Randomised, double-blind, placebo-controlled phase III studies have provided the necessary
204 evidence for registration of several AIT products,¹⁸⁻²² and there is now a considerable body of
205 knowledge about AIT. However, there remains a need for more high-quality studies and data.
206 In the allergy field, the Allergic Rhinitis and its Impact on Asthma (ARIA) guidelines were
207 the first to adopt an evidence-based medicine approach.^{23,24} Since then, several meta-analyses

208 have been performed to evaluate the efficacy and safety of SCIT or SLIT for the management
209 of asthma and AR in both adult and paediatric populations.^{22,25-30} The findings of the
210 individual studies chosen for inclusion in meta-analyses are usually in favour of AIT, but due
211 to differing products, dosages, protocols and treatment schedules, as well as outcome
212 measures, methodological difficulties may prevent meta-analyses from reaching robust and
213 definitive conclusions.^{15, 31-35}

214 A product-by-product analysis and evaluation is mandatory when an AIT treatment is chosen
215 for clinical use, as clearly stated in WAO criteria for the requirements of an AIT product,¹⁵ by
216 EAACI guidelines.^{16,17, 36, 37} Scientific societies such as the WAO have also published
217 guidance and criteria to design and run a robust clinical trial of AIT.^{12, 13}

218 Evidence to inform decision-making can range in design from being clinically mechanistic to
219 pragmatic, and randomised or non-randomised. In this regard, some have advocated for the
220 term “real-world evidence” (RWE), although this has some significant limitations; notably,
221 the suggestion that populations in RCTs do not come from the “real world” when clearly they
222 do, albeit often selected.³⁸ Non-randomised studies (NRS) can be considered a source of
223 complementary evidence to inform clinical practice alongside RCTs.³⁹ In 2019, ARIA
224 proposed that Grading of Recommendations Assessment, Development and Evaluation
225 (GRADE) criteria should be applied to NRS in order to strengthen the conclusions drawn
226 from these data. They also advised that future guidelines for AR and asthma should include
227 testing, refinement and confirmation of guideline recommendations, based on NRS in
228 combination with the GRADE approach.⁴⁰

229 **3. Non-randomised studies and real-world evidence**

230 The term RWE has often been invoked as a catchall and led to misuse and confusion. The
231 United States Food and Drug Administration (FDA) has provided some guidance, defining
232 RWE as “clinical evidence regarding the usage and potential benefits or risks of a medical

233 product derived from analysis of RWD (real-world data). RWE can be generated by different
234 study designs or analyses, including but not limited to, randomised trials, including large
235 simple trials, pragmatic trials, and observational studies (prospective and/or retrospective).⁴¹
236 Likewise, the FDA defines RWD as “data relating to patient health status and/or the delivery
237 of health care routinely collected from a variety of sources... for example: electronic health
238 records (EHRs), claims and billing activities, product and disease registries, patient-generated
239 data including in home-use settings, and data gathered from other sources that can inform on
240 health status, such as mobile devices.”⁴¹

241 Here, we define RWE NRS similarly, encompassing a range of methodologies that include
242 non-interventional studies, patient registries, claims database studies, patient surveys and
243 electronic health record studies. However, not all NRS are RWE and vice versa. A further
244 implication is that real-world data are often collected without the explicit intention of being
245 used for research on safety or effectiveness, but instead are repurposed for use as such. A
246 common misconception is that RCTs only assess treatments that are still in clinical
247 development in a highly selected group of patients; however, in reality, both pragmatic RCTs
248 and NRS (e.g. registries) can assess treatments that are already approved and include broad
249 and diverse patient populations.

250 Until the 1940s, the development of new treatments relied on NRS. After that time, there was
251 increasing recognition that anecdotal reports based on clinical practice observations were
252 often misleading. This led to a near-total replacement of the prior non-randomised approach
253 with the use of randomised, controlled clinical trials. Indeed, the history of medicine is rife
254 with examples whereby observational data have been misleading even with established
255 clinical practices, and which are only uncovered after the same hypothesis is tested in an
256 RCT.⁴² This reinforces the widely-held notion about NRS that no matter how large in scale or
257 sophisticated in analysis, the risk of bias (including mis-specification, selection, reporting,

258 analysis and confounding, among others) will limit certainty in causal inference. Conversely,
259 proponents of NRS RWE advocate that mechanistic trials may often not be fully
260 representative of real-life situations because they employ strict, protocol-defined inclusion
261 criteria to identify eligible patients – that is to say, directness in the applicability of the
262 studied intervention effects to the applied population. This could mean that some patients
263 with the condition of interest may be excluded based on characteristics such as disease
264 severity, age, comorbidities or the use of concomitant medications. Though there is often no
265 compelling rationale to suspect any modification of the treatment effect in these
266 subpopulations, registries and routinely collected data can facilitate analysis of a broader
267 patient population. However, it must be recognised that any results, whether from
268 mechanistic RCTS, pragmatic RCTS, or NRS RWE, are always extrapolated to the patient at
269 the bedside in clinical practice.

270 Traditional RCTs may answer a specific question more robustly and have a lower risk of bias,
271 but some may consider them to be limited in applicability at times. In contrast, NRS may be
272 able to evaluate broader and larger populations and thus the results are more generalisable,
273 but may be misleading due to the higher risk of bias. Therefore, both approaches have their
274 inherent pitfalls, and there is clearly a trade-off in choosing one approach over the other.
275 However, it is a fallacy to pit them against each other, rather than viewing them as providing
276 complementary evidence to aid the process of making trustworthy clinical decisions.^{38, 39} A
277 balance must be struck between pragmatic RCTs (which can include patient registries and
278 routinely collected data in order to mitigate cost, resource requirements and accessibility) and
279 the long timelines associated with traditional RCTs (**Figure 2**). This is particularly relevant to
280 AIT studies, which may involve follow-up for years after cessation of the treatment course.
281 Furthermore, restrictive enrolment criteria and a concentration of trial sites in certain health

282 systems make it challenging for some patients to enrol in RCTs, particularly if they have
283 comorbidities or their mobility or cognitive abilities are affected.

284 In this context, it is important to define the terms ‘efficacy’ and ‘effectiveness’. The former is
285 representative of mechanistic clinical trials, answering the question “Can intervention X
286 improve condition Y?”, while the latter applies to pragmatic studies (both randomised and
287 non-randomised), addressing “Does intervention X improve condition Y under practical (or
288 even routine) circumstances?”. Efficacy is the extent to which an intervention does more
289 good than harm under ideal circumstances, whereas effectiveness assesses whether an
290 intervention does more good than harm when provided under the usual circumstances of
291 healthcare practice.⁴³⁻⁴⁵ It follows that studies demonstrating efficacy can fail to show
292 effectiveness, for example due to poor implementation. Likewise, studies that fail to show
293 effectiveness do not imply the absence of efficacy, even within the same patient population
294 **(Figure 2)**.

295 Although most NRS of the effectiveness of AIT are retrospective in design and include small
296 numbers of patients, large prescription and claims databases are increasingly being used to
297 enable analysis of greater numbers of patients than was possible in the past, albeit with the
298 caveats in mind described above. For example, Wahn and colleagues conducted a
299 retrospective cohort analysis of a German longitudinal prescription database including
300 patients with birch pollen-associated AR and/or asthma.⁴⁶ They demonstrated the benefits of
301 AIT for up to 6 years after treatment cessation, through significantly reduced AR and asthma
302 medication intake, and significantly decreased risk of new-onset asthma medication use on-
303 treatment. A similar analysis by Jutel and colleagues that investigated the effectiveness of
304 allergoid AIT in the treatment of house dust mite-induced AR and/or asthma reported
305 significantly fewer AR and asthma prescriptions in patients on AIT versus control patients
306 (59.7% vs 10.8%), and a significantly lower probability of asthma development with up to 6

307 years of follow-up.⁴⁷ However, a limitation of databases such as these is that information on
308 symptom scores is not recorded (i.e. indirectness in GRADE terminology), supporting the
309 need for AIT registries that capture data on both symptoms and medication use routinely.

310 Another retrospective study included 117 adults with allergic asthma who had used inhaled
311 corticosteroids (ICS) for >1 year in a single tertiary hospital in Korea. It compared the
312 clinical parameters and outcomes between the AIT and non-AIT groups and concluded that
313 irrespective of the type of allergen, long-term maintenance AIT helps to spare ICS dose and
314 achieve better control in patients with allergic asthma.⁴⁸⁻⁵³ The tools used in these studies are
315 reminiscent of the anonymous electronic medical records and patient questionnaires collected
316 within the Optimum Patient Care Research Database (OPCRD) that provide an essential
317 source of data to promote evidence-based research and quality improvement.⁵⁴

318 In observational research as well as in RCTs, ensuring high-quality methodology is crucial to
319 avoid biases that would compromise the reliability and validity of results. Following the
320 GRADE methodology for evidence appraisal, both RCTs and NRS can start as high-quality
321 evidence. Subsequent considerations of risk of bias, imprecision, indirectness, inconsistency,
322 publication bias, residual confounding, the strength of association and possible dose-response
323 gradients can lead to the level of evidence being downgraded or upgraded. While there are
324 several tools to guide the design of observational research to ensure systematic and rigorous
325 processes, until the creation of the Risk Of Bias In Non-randomised Studies of Interventions
326 (ROBINS-I)^{55, 56} and REal Life EVidence AssessmeNt Tool (RELEVANT),^{55, 57, 58} there were
327 no instruments specifically designed for the evaluation of published asthma effectiveness
328 research.

329 The Cochrane Collaboration's ROBINS-I⁵⁹ encourages users to appraise each NRS in its
330 attempt to emulate a hypothetical pragmatic RCT,^{60, 61} as doing so can facilitate identification
331 of risks of bias. Similar to the well-known Cochrane RCT risk-of-bias tools, ROBINS-I

332 covers the seven core domains where internal validity might be threatened. ROBINS-I
333 employs ‘signalling questions’ to help users judge the risk of bias within each domain. The
334 judgements for each domain carry forward to an overall risk of bias judgement across all
335 domains for the outcome being assessed. RELEVANT was jointly created in 2019 by
336 members of the Respiratory Effectiveness Group and a specific EAACI Task Force through a
337 step-wise approach, and was designed for use in asthma. The final version of this tool
338 consists of 21 quality sub-items (11 of these are considered critical and named ‘primary sub-
339 items’) distributed across seven methodology and reporting domains: Background, Design,
340 Measures, Analysis, Results, Discussion/Interpretation, and Conflict of Interest.

341 **4. Appraising the quality of RWE in AIT**

342 Although RCTs are considered as the gold standard for evaluating treatment efficacy,⁶² one of
343 the main limitations of most RCTs in AIT is their short duration (usually 12 months,
344 encompassing one pollen season). Several long-term studies have shown that the
345 effectiveness of AIT and its potential for preventing the onset of asthma and new
346 sensitisations is dependent on its duration of use, with successful outcomes (i.e. disease
347 modification) achieved only after completion of the recommended 3-year treatment course.⁶³⁻
348 ⁶⁵ However, RWE from NRS using pharmaceutical prescription databases suggests that AIT
349 treatment effect persistence (i.e. the completion of the 3-year course) is achieved by <40% of
350 patients receiving SCIT, and <10% of patients using SLIT.⁶⁶⁻⁶⁸ A frequent issue in these trial
351 is patient attrition. Furthermore, adherence to treatment (e.g. the number of SLIT tablets
352 actually taken by patients relative to the prescribed number) is low in routine clinical
353 practice.⁶⁹ Taking these factors into account, it is clear that results from RCTs demonstrating
354 AIT efficacy may not always translate into AIT effectiveness and that knowledge translation
355 efforts, as well as methods to enhance adherence, are required.

356 There is a lack of data on the reliability of RWE (NRS and RCT) studies in AIT and,
357 consequently, a lack of information on how AIT effectively works in real life. To address the
358 current unmet need for an appraisal of the quality of RWE in AIT, the EAACI Methodology
359 Committee has recently initiated a systematic review of observational studies of AIT, which
360 will use the RELEVANT and ROBINS-I tools to determine the risk of bias for the evidence
361 available, and use the GRADE approach to rate the quality of the evidence base as a whole.
362 The purpose of this analysis is two-fold: firstly, to identify robust evidence that can be
363 integrated with the findings from RCTs to provide a more complete picture on which to base
364 clinical recommendations and secondly, in the case of there not being any studies of
365 sufficient quality, to use the available evidence to inform the optimal design of future high-
366 quality research in AIT. The next step will be to develop a broadly applicable and pragmatic
367 “real-world” database using systematic data collection, similar to the OPCRDR.⁵⁴

368 **5. Looking to the future of RWE: a call to action**

369 Recently, Schünemann published “All evidence is real world evidence”,³⁸ reinforcing the
370 relevance of RCT as part of the real world, the misuse of the term “RWE”, the potential role
371 of NRS and the possible bias in collecting or evaluating these data. In this light, the recent
372 manifesto in respiratory medicine highlighted the importance of RWE (NRS and RCT),
373 advocating for the appraisal and inclusion of high-quality, pragmatic studies in large,
374 heterogeneous populations in the development of clinical practice guidelines.⁶² In addition to
375 providing information for clinicians, the value of these data is increasingly being recognised
376 by regulatory bodies and other stakeholders.^{41, 70}

377 Registries are considered a particularly valuable source of broadly applicable data. For
378 example, the Severe Asthma Registries⁷¹ have demonstrated their value at a national, regional
379 and international level in providing remarkable data, fruitfully revealing information that was

380 not detectable in traditional registration trials conducted in highly selected, homogeneous
381 patient populations.

382 Based on the current knowledge base for RWE and the perspectives and recommendations of
383 authorities and scientific societies, we therefore propose a hierarchy of RWE in AIT (**Figure**
384 **3, Table 1**), which places pragmatic trials and registry data at the position of highest levels of
385 evidence.

386 **6. Final Remark**

387 Because of their proven importance and value, we conclude with a *Call to Action* to establish
388 more AIT registries, with the aim of collecting data in a cohesive way, using standardised
389 protocols. Particular attention should be paid to patient engagement in these trials to obtain
390 high quality data. This will enable data to be easily shared and provide an essential source of
391 RWE to promote evidence-based research and quality improvement in study design and
392 clinical decision-making.

393 **7. References**

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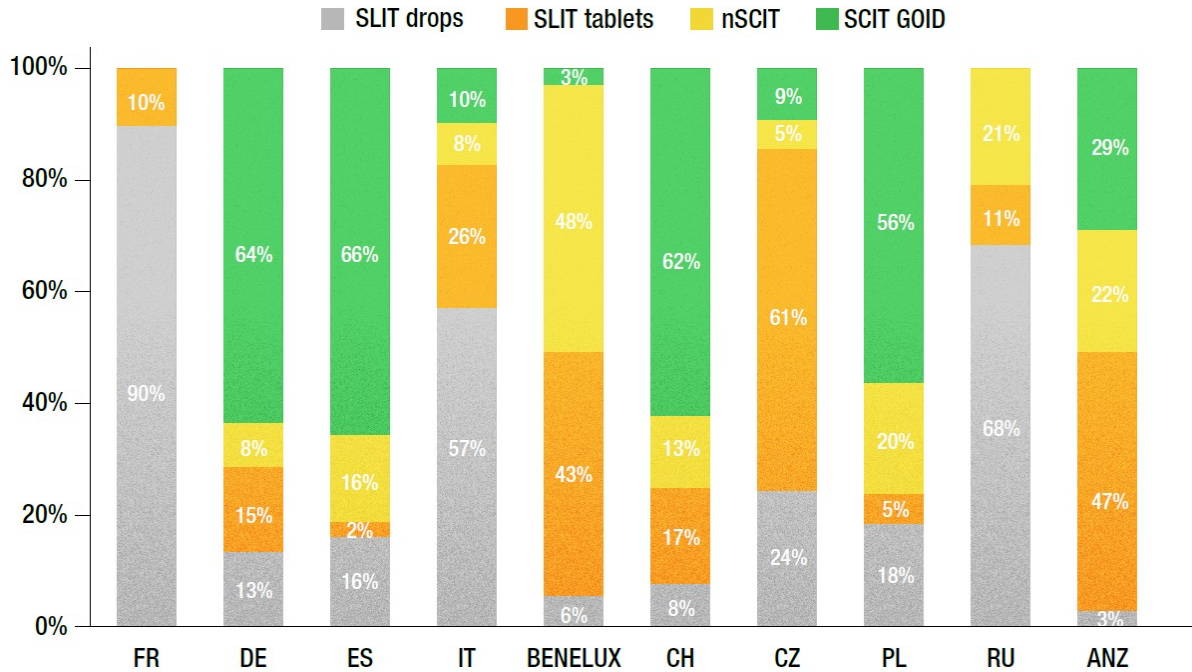
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642 **8. Figures**

643 **Figure 1.** Sales of AIT in 2019 by route of administration, stratified by selected
 644 countries/regions.



645

646 nSCIT, subcutaneous immunotherapy with natural extracts; SCIT, subcutaneous
 647 immunotherapy with natural extracts; SCIT GOID, subcutaneous unfractionated allergoid
 648 immunotherapy; SLIT, sublingual immunotherapy. FR: France; DE: Germany; ES: Spain; IT:
 649 Italy; CH: Switzerland; CZ: Czech Republic; PL: Poland; RU: Russian; ANZ: Australia &
 650 New Zealand.

651 Data source: IQVIA report 2019-formerly IMS.

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653

654 **Figure 2.** The outer circle includes the heterogeneous patient population eligible for a given
655 treatment under routine care. This population is typically enrolled in pragmatic RT and in
656 observational studies. The inner circle includes a small subgroup of the potentially eligible
657 patients representing a “selected” population devoid of specific characteristics potentially
658 interfering with treatment effect (confounders). This subpopulation is typically included in
659 RCTs (efficacy studies).

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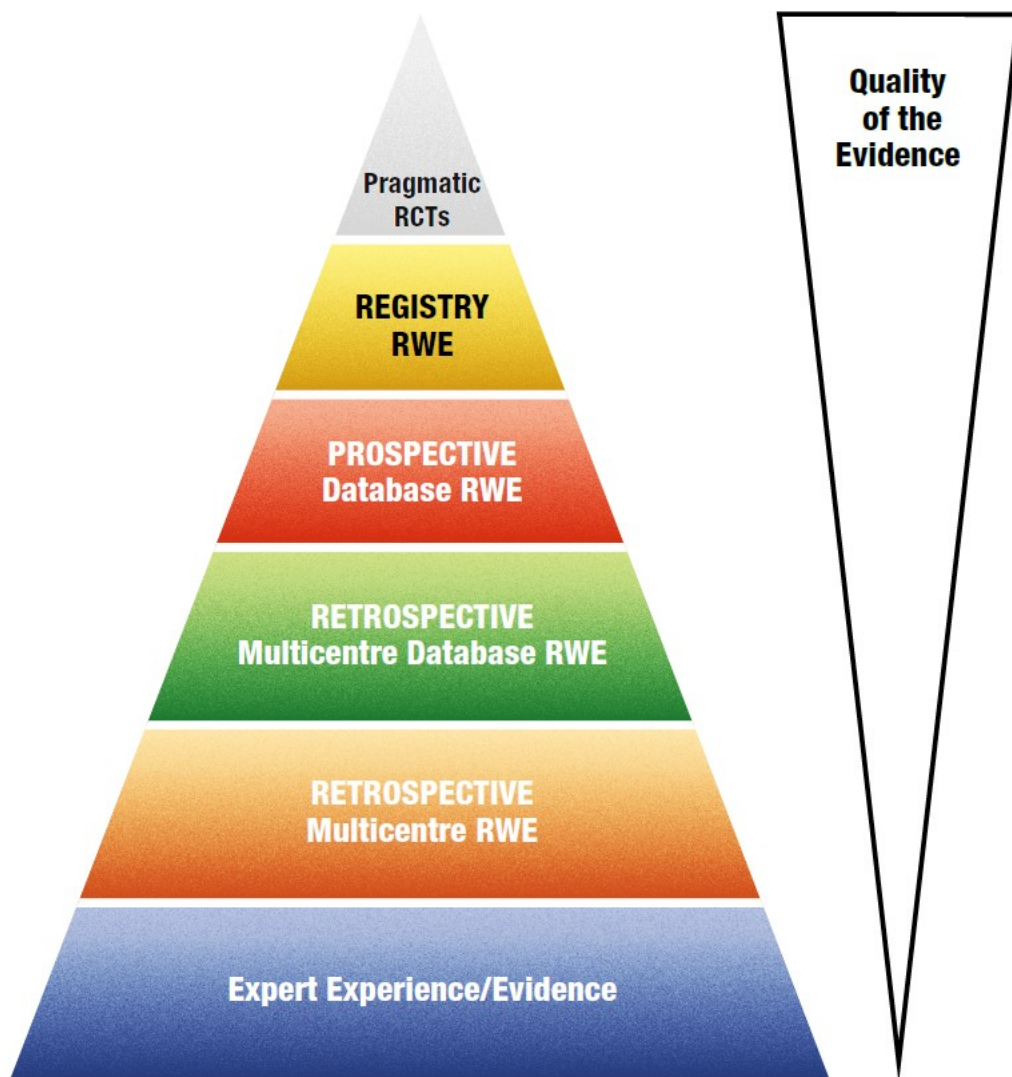
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668 **Figure 3.** Proposed Hierarchy of allergen immunotherapy real-world evidence from highest

669 to lowest quality. The definition of the studies is in Table 1.



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671 RCT, randomised controlled trial; RWE, real-world evidence

672

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674

675 **9.Table**

676 **Table 1.** The definition of the type of studies present in the proposed Hierarchy of allergen
677 immunotherapy real-world evidence.

678

<p>Pragmatic randomised controlled trial: Trials designed to evaluate the effectiveness of interventions in real-life routine practice conditions, opposite to explanatory trials that aim to test whether an intervention works under optimal situations ⁷².</p>
<p>Registry real-world evidence: An organised system that uses observational methods to collect uniform data relative to real-world setting on specified outcomes in a population defined by a particular disease, condition or exposure ⁷³.</p>
<p>Prospective database real-world evidence: is a type of cohort study, where participants are enrolled into the study before they develop the disease or outcome in question in a real-world context ⁷⁴.</p>
<p>Retrospective multicenter Database real-world evidence: is based on the use of an existing database to respond retrospectively to clinical questions ⁷⁵.</p>
<p>Retrospective multicenter real-world evidence: is a clinical trial conducted at more than one medical center or clinic where, in contrast to a prospective study, the outcome of interest has already occurred at the time the study is initiated ⁷⁶.</p>
<p>Expert Experience/Evidence: is somebody who has a broad and deep competence in terms of knowledge, skill and experience through practice and education in a particular field.</p>

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