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## Evaluation of a Machine Learning-Based Prognostic Model for Unrelated Hematopoietic Cell Transplantation Donor Selection

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### Abstract

Survival of patients undergoing hematopoietic cell transplantation (HCT) from unrelated donors for acute leukemia exhibits considerable variation, even after stringent genetic matching. In order to improve the donor selection process, we attempted to create an algorithm to quantify the likelihood of survival to five years after unrelated donor HCT for acute leukemia, based on the clinical characteristics of the donor selected. All standard clinical variables were included in the model, which also included average leukocyte telomere length (ATL) of the donor based on its association with recipient survival in severe aplastic anemia, and links to multiple malignancies.

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#### Authorship Contributions

LB, JS, SRS, SJL, DL conceived and drafted the research plan; TW, LH, LF performed telomere analyses on samples; LB developed the machine learning models; LB, TW statistically analyzed the validation study results; SRS, SJL, LB, JS, TW interpreted results; LB, SRS, SJL drafted the paper; KF, KCH, MRV, MH critically reviewed the paper.

#### Disclosure of Conflicts of Interest

Jason Shelton is the CEO of Telomere Diagnostics, which funded this study. Todd Woodring is an employee of Telomere Diagnostics. Lyssa Friedman, Ljubomir Buturovic and Lyndal Hesterberg were consultants to Telomere Diagnostics during this project. All other authors declare no competing financial interests.

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We developed a multivariate classifier that assigned a Preferred or NotPreferred label to each prospective donor based on the survival of the recipient. In a prior analysis using a resampling method, recipients whose donors were labeled Preferred experienced clinically compelling better survival compared to donors labeled as NotPreferred by the test<sup>1</sup>. However, in a pivotal validation study in an independent cohort of 522 patients, the overall survival of the Preferred and NotPreferred donor groups was not significantly different. Although machine learning approaches have successfully modeled other biologic phenomena and led to accurate predictive models, our attempt to predict HCT outcomes after unrelated donor transplantation was not successful.

## Keywords

Allogeneic hematopoietic cell transplantation; acute leukemia; machine learning; leukocyte telomere length; donor selection

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## Introduction

Allogeneic hematopoietic cell transplantation (HCT), ideally from a human leukocyte antigen (HLA) identical sibling, is potentially curative treatment for acute leukemia. For the majority of patients, an HLA identical sibling donor is not available, and alternative donor sources such as unrelated volunteer donors, cord blood or mismatched related donors are used<sup>2</sup>. HLA matching remains the most significant determinant of unrelated donor transplant success. While other donor selection factors such as age, sex mismatch, CMV serology, killer immunoglobulin receptor (KIR) status, and HLA-DP matching have been described as important for overall survival<sup>3, 4, 5</sup>, the prioritization and importance of these additional factors have proven challenging. In addition, the contributions of the planned transplant procedure and interactions with donor characteristics are poorly understood. Even in the presence of high resolution matching for 8/8 HLA alleles, a high degree of variation in overall survival has been observed<sup>6, 7</sup>. Various other genetic and clinical donor characteristics have been studied and used in clinical practice to select donors, but none has become the standard of care<sup>8, 9</sup>.

We report results of a clinical validation study of a novel multivariate Support Vector Machine (SVM) classifier intended to identify preferred unrelated donors for a given recipient. The classifier is a mathematical formula which accepts as input the clinical variables for the given patient/donor pair and assigns a label “Preferred” or “NotPreferred” to the pair. The concept is based on the idea that advanced modeling capabilities utilizing progress in machine learning technology may better integrate the complex information and prioritization contained in known clinical and molecular factors determining transplant outcomes than has been possible to date. The utility of this principle has been demonstrated by multiple diagnostic assays used clinically for a variety of indications, including transplantation<sup>10, 11, 12, 13</sup>. A novelty of our approach is that it uses mostly clinical covariates, as opposed to exclusively genomic data.

We hypothesized that machine learning would be able to develop an algorithm to correctly classify patients according to their five year survival status based on known patient, disease, transplant and donor characteristics, and that this algorithm would be validated on an

independent cohort of patients. The goal of this work is to help a physician, using all available information, select the best unrelated donor for their patient to maximize the patient's likelihood of survival.

The model used patient, disease and transplant characteristics that might plausibly affect survival, as judged by the clinical experts on the team. In addition, it included the length of the donor telomeres, the protective caps at chromosome ends. The telomere length was represented by the T/S Ratio (the ratio of telomere sequence and single copy gene abundances, see Materials and Methods). Donor telomere length was shown to be significantly associated with longer survival in severe aplastic anemia patients who underwent allogeneic unrelated donor HCT<sup>14</sup>. Given the similarities of the treatments, as well as its association with multiple other malignancies<sup>15, 16, 17, 18</sup>, we hypothesized that telomere length may also contribute to the classification accuracy of the donor selection algorithm.

Preliminary work had created an earlier version of the SVM classifier algorithm and it was shown to be predictive of survival using a resampling method for internal validation<sup>1</sup>. In that study, the recipients who received transplants from donors identified by the algorithm as Preferred had a statistically significant 14% absolute increase in survival at five years compared with the standard of care (represented by all patients), estimated using cross-validation. This model was subsequently tested in an independent set and showed a trend in the expected direction, but the result was not statistically significant. On the grounds of this prior work, the present study developed a new classifier algorithm using a large set of patients for training, followed by a validation study in an independent cohort.

## Materials and Methods

This research was conducted using donor blood samples and donor and recipient clinical data provided by the Center for International Blood & Marrow Transplant Research (CIBMTR). The study involved 1255 patients who had received unrelated donor HCT for acute myelogenous or acute lymphoblastic leukemia between 2000 and 2010 with data reported to the CIBMTR and donor samples available through the CIBMTR Repository. The cohort was randomly partitioned into a training set (T, n = 733) and validation set (V, n = 522). All patients were 8/8 HLA-A, B, C and DRB1 high resolution matched with their donors, and all recipients underwent myeloablative conditioning and received T replete grafts (no ex vivo T-cell depletion or CD34 selection). The characteristics of the recipient/donor pairs are shown in Table 1. The telomere length assay is described in Supplementary Materials and Methods.

### Model creation

The principal method described in this paper converts the problem of donor selection to a machine learning binary classification problem, where the two categories were “overall survival more than five years” and “death before five years”. This approach requires exact knowledge as to whether a patient survived to five years following transplantation. For that reason, subjects who were censored prior to five years were removed from the training phase of the algorithm, resulting in 660 samples used in training.

Using machine learning techniques, a preliminary analysis removed from consideration the stem cell source (bone marrow or peripheral blood), donor ABO blood type, donor and recipient cytomegalovirus serostatus, and HLA-DPB1 match. Subsequently, a structured model was created by considering all patients in the training set along with their matrix of included variables (Table 2) and their primary outcomes. The resulting multivariate training set contained 660 samples (287 who survived and 373 who did not). The SVM classifier was trained by a machine learning algorithm to accurately predict which patients survived over five years, using the knowledge of these attributes and the outcomes. The result of the training is a classifier which assigns to each new, previously unseen (patient, donor) pair a binary label of “long-surviving” or “short-surviving”. In the rest of the manuscript, the donors whose recipients were long-surviving are also referred to as “Preferred”, with the understanding that such label applies to a donor in relation to a given patient, not in isolation. The process is illustrated in Fig. 1.

The details of model development are given in the Supplementary Materials. A key tool used to select the best model is illustrated in Fig. 2, which shows relevant performance characteristics of a large collection of classifiers, and allowed identification of a candidate algorithm for validation.

### Model Assessment

Once the parameters of the model were set, any given future (recipient, donor) pair could be classified as Preferred or NotPreferred by comparing their score, based on their individual variables, with the pre-specified threshold value incorporated in the model. The primary validation acceptance criterion was set as statistically significantly superior five-year overall survival of recipients corresponding to Preferred (recipient, donor) pairs compared with NotPreferred, at 0.05 significance.

To further characterize the performance of the best classifiers, we plotted Kaplan-Meier graphs of five-year survival of training set patients that received HCT from a Preferred donor vs. the survival of patients who received HCT from NotPreferred donors. The graphs were produced using cross-validation analysis. A representative graph is shown in Fig. 3.

### Exploratory model

We developed another SVM model, inspired by insights from model selection graphs and clinical considerations. It utilized a different trade-off between proportion of Preferred donors and overall survival benefit, and served hypothesis-generating purpose. Because it was not the primary model, and no acceptance criteria were defined for it, we termed it “Exploratory Model”. It used the same training data and model development approach as the primary model. We used the names “Poor” and “NotPoor” for the two populations defined by this model, to better reflect the fact that this model provides for elimination of unsuitable donors, as opposed to the principal model, which identifies best donors. The selected classifier labeled about 50% of donors “Poor”, defined as those who conferred less than 10% survival gain compared with the other donors. The 10% threshold corresponds to a single HLA mismatch survival difference<sup>6</sup>, which is in practice accepted as clinically meaningful improvement. Thus, this classifier identifies a higher proportion of donors as poor but

defines treatment failure as a lower chance of survival rather than actual survival (Fig. 4). The clinical rationale for considering this model was the fact that it provides clinically useful information (i.e., Poor/NotPoor designation) for about 50% of donors, in contrast to the primary model that identifies only about 10% of donors as Preferred (albeit with a high predicted survival benefit).

### Model Validation

Both the principal classifier model and the exploratory model were selected and locked before any validation data was received. This means that entire algorithm and corresponding computer code - encompassing reading of input clinical and telomere data, pre-processing, normalizing and producing Preferred/NotPreferred, and Poor/NotPoor donor labels - was recorded, documented and never subsequently changed. Per the pre-specified analytic plan, results are shown as KM graphs comparing survival of recipients identified as receiving Preferred vs. NotPreferred and Poor vs. NotPoor donors. We also report hazard ratios and corresponding log-rank test p-values. The survival difference is reported at five years after HCT.

### Results

We applied the primary classification model to the validation set and obtained a Preferred or NotPreferred label for each (patient, donor) pair. The principal validation result, Fig. 5, shows Kaplan-Meier estimates of survival for the two groups. As seen, the curves trend in the opposite direction of expected, since the Preferred donors were associated with shorter survival, although this was not statistically significant.

We next wanted to check if observed differences in clinical covariates between training and validation sets contributed to or caused this result. As shown in Table 1, disease, disease status, donor sex, weight and height were significantly or near-significantly different between the two sets (we ignored the differences between year of transplant because a clinical assay has to be robust with respect to them). To assess the impact of these differences, we sampled 450 (patient, donor) pairs out of the validation set such that the resulting set has non-significant difference compared with the training (with the exception of donor weight, which proved practically impossible to match). Subsequently we applied the primary classification model to the 450-set and obtained virtually identical result (HR = 1.12, 95% CI, 0.70–1.82) as in the full set. Our algorithmic approach, involving classification of (patient, donor) pairs into two survival categories based on five-year survival, required removal of training set patients who were censored prior to the cutoff time. This could potentially introduce a non-random bias in the results since the validation set did not have such observations removed. To assess the impact of this discrepancy, we analyzed results in a subset of the validation set whereby the patients censored prior to five years were removed, as was done in the training set. We found that the result (HR = 1.08, 95% CI, 0.70–1.67) was very similar as in the full set.

Next, we applied the exploratory model (Poor/Not Poor) to the validation set and obtained the result shown in Fig. 6. In this case the curves trend in the correct direction, however the five-year survival benefit is relatively small and not statistically significant.

### Disease-specific analysis

We applied the primary classification model to Acute Myeloid Leukemia (AML) and ALL sub-populations separately (Figs. 7A and 7B) as well as to other patient subpopulations to try to understand why validation failed in the independent cohort. Surprisingly, the graphs show clearly and dramatically diverging trends for the two diseases: statistical significance in the correct direction for ALL patients, and statistical significance in the reverse direction for the AML patients.

Even though the disease-specific analyses were not part of the pre-defined validation plan, we were wondering if the ALL finding could form the basis of a future, ALL-specific clinical assay. To that end, it was important to understand the robustness of this result. To provide evidence in that regard, we examined if disease-specific performance of the primary classification model in the training set. Therefore, we applied the primary model to AML and ALL patients separately, in the training (cross-validation) mode. The results are shown in Figs. 8A and 8B and demonstrate that the discrepancy between outcomes for AML and ALL patients was not present in the training set, suggesting the ALL validation result was not robust.

### Discussion

We attempted to develop a clinically relevant algorithm for identifying preferred unrelated donors for a given HCT recipient using all available data, including a measure of donor telomere length. The principal candidate classifier failed twice when applied to an independent validation set, according to pre-specified acceptance criteria.

We should note that the first independent validation of the model trended in the expected direction, but the survival benefit was not statistically significant ( $P = 0.09$ , unpublished data). This result suggested that the model has clinical potential and may achieve significance in a second validation on a larger set. However, the final results, presented in this article, proved otherwise.

Although the power of machine learning is its ability to aggregate complex data into meaningful patterns to predict future outcomes, the complexity of unrelated donor transplantation, combined with the lack of detailed clinical data may have proven an insurmountable challenge. The outcome of the model, survival to 5 years after HCT, is influenced by many factors that likely lose their correlation with baseline factors over time. It is also possible that we did not have access to the true determinants of patient outcome such as subtle differences in clinical care, or it may simply not be possible to create a robust model for long-term survival after HCT based solely on information available prior to the transplant.

Although the primary classifier model appeared to fit well with the training data on internal testing, it did not predict outcome in the independent validation set, and in one subset, even was associated with the opposite outcome of death before 5 years. One potential explanation is that the model was overfit for the testing set so that when applied to an independent data set, it performed worse. We also considered a hypothesis that the two cohorts were

materially different, even though they were contemporaneous patients allocated to the training and testing set randomly. However, analyses of carefully matched training/validation subsets found no support for this.

In subgroup analysis, it appears that the model worked better for ALL than AML in the validation cohort, which is surprising since the majority of patients in the training set were transplanted for AML. Nevertheless, it is possible that ALL and AML require different models although no differences were detected in the training set. Disease-specific effects were analyzed extensively during the test development, but we were unable to construct separate plausible models for the two disease types due to insufficient numbers of samples. For future research in this direction, it seems mandatory to consider these two conditions separately, although an obvious issue is sample size limitations as inclusion criteria for the study become stricter.

In contrast with the primary classifier, which produced highly unstable results, the exploratory model exhibited directionally correct predictions, although it never approached statistical significance. This could perhaps be due to differences in class sizes (proportions of Preferred/NotPoor) between the two models. Future research should take this hypothesis into consideration.

Other statistical approaches can be used to create predictive algorithms. We also considered creating the predictive algorithm by using a survival model with L2 regularization<sup>19</sup>, such as Cox proportional hazards or a parametric survival model. In principle, the survival models can be used to directly estimate five-year survival probabilities of a given recipient for multiple potential donors. One could then rank the donors based on this statistic. We considered and evaluated this approach, but the resulting rankings were essentially random (data not shown). This could be due to dominance of discrete (clinical) variables, or other reasons. These alternate approaches were not considered further.

Emerging data such as whole-genome sequencing and genotyping microarrays may make future attempts at donor classifier models more successful since more genetic data will be available for modeling. We also hypothesize that these approaches might yield additional clinical improvements in terms of matching donors and recipients. Recent studies found unexpected associations between genome variation and a variety of phenotypes<sup>15, 20</sup>. Based on these results, it stands to reason that there may be additional areas of the human genome governing the immune system response to HCT. Whole genome analysis methods such as sequencing and genotyping appear to be natural frameworks for pursuing this concept.

Simultaneous with this research, a telomere-length-only model of outcomes of allogeneic HCT was pursued by the authors of this manuscript and others. Independent validation showed no association between the telomere length and overall survival<sup>21</sup>. Nevertheless, in the machine-learning model development, telomere length was a modest contributor to overall accuracy, perhaps due to interactions with other covariates. Consequently, it was retained in the final multivariate model.

In conclusion, using a machine-learning approach, we were not able to generate a predictive algorithm for survival after unrelated donor transplantation using the variables available in

the CIBMTR database, even when supplemented with additional telomere length data generated specifically for this project. These results emphasize that validation studies are necessary to confirm provocative observations identified in risk prediction models. Planning for the validation study even before the training set is analyzed maximizes the chance of obtaining robust results that will ultimately move the field forward. Although we were disappointed by our final results, they do provide a definitive answer to our hypothesis.

## Supplementary Material

Refer to Web version on PubMed Central for supplementary material.

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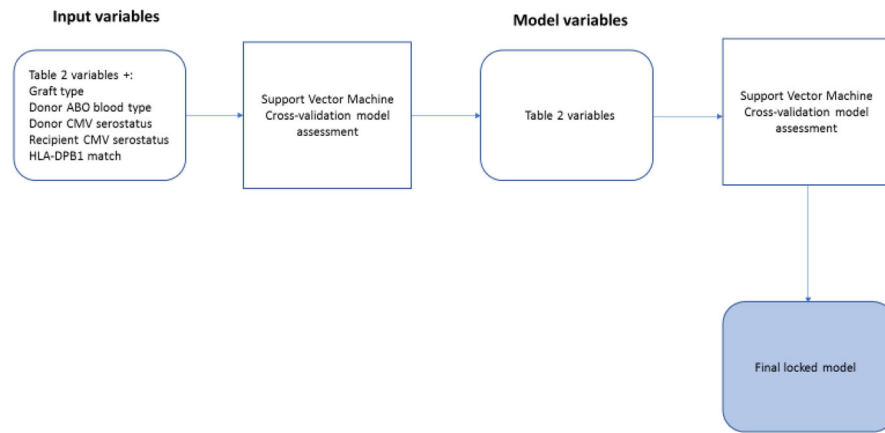
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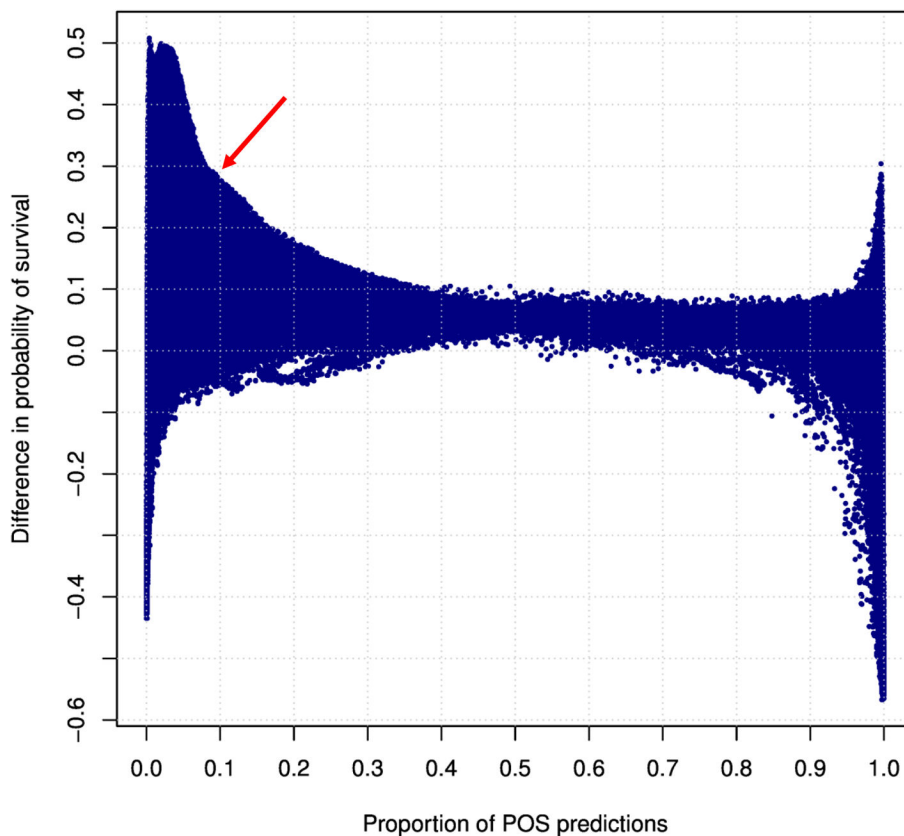
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### Highlights

- Optimal unrelated donor selection has the potential to improve HCT success
- We developed a multi-variable machine learning algorithm to improve donor selection
- Despite promising preliminary results, the algorithm failed in pivotal study
- Translating machine learning risk predictors to clinical use is a major challenge

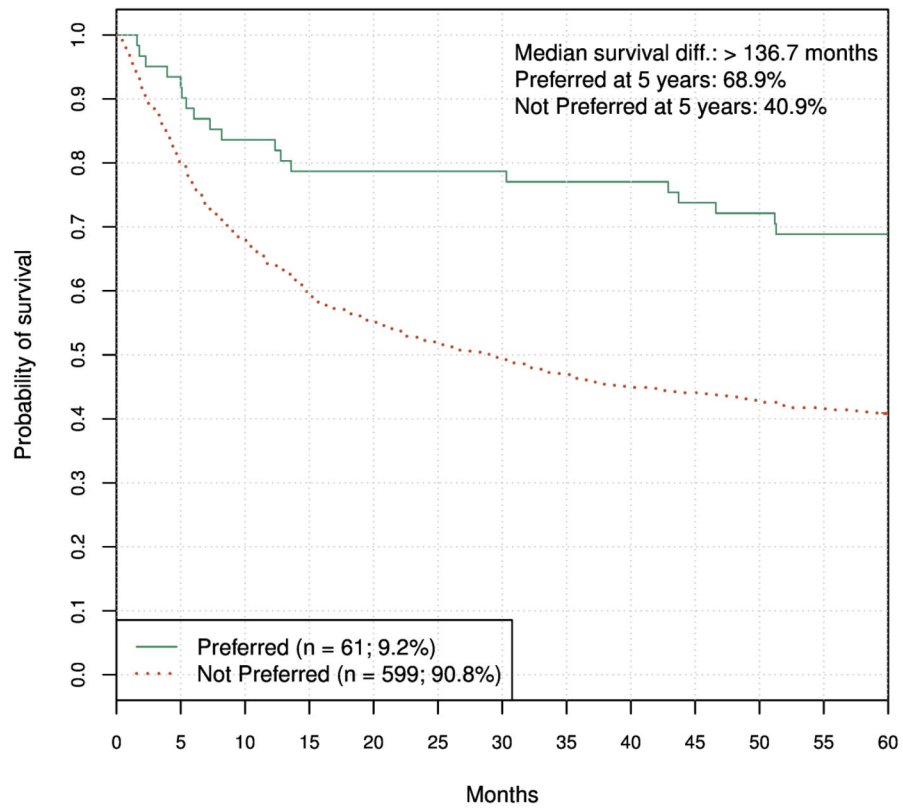


**Figure 1.**  
The process used to define the set of variables and the model used for validation.

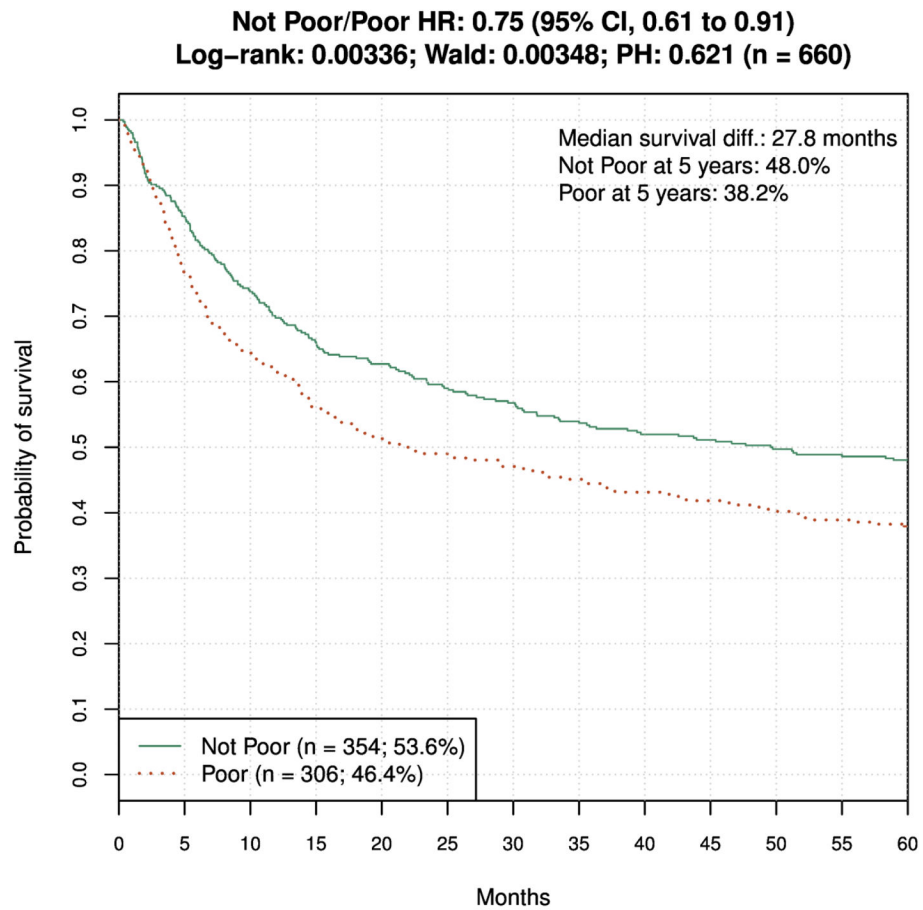


**Figure 2.**

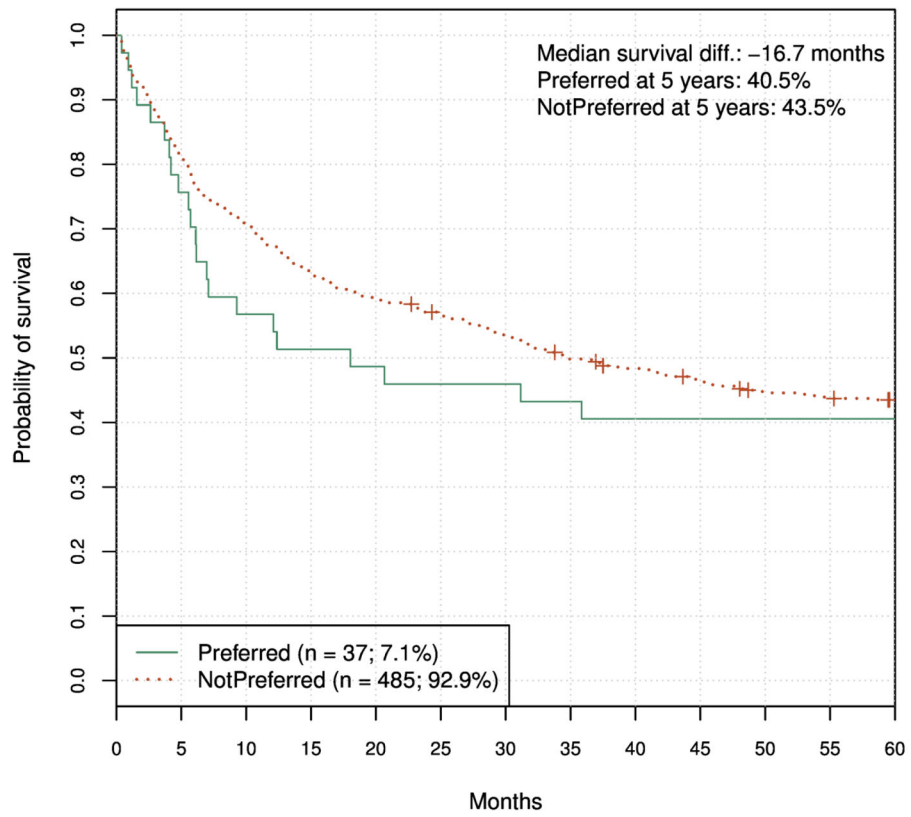
A graph of relevant statistics for a large collection of SVM classifiers developed for the HCT donor selection application. Each dot represents a classifier, which labels donors as Preferred (or, equivalently, “POS”, for Positive) and NotPreferred (or, equivalently, “NEG”, for Negative). The x-axis is the proportion of donors labeled Preferred (i.e., “POS”) by the classifier. The y-axis is the survival benefit (difference in survival at 5 years) conferred by the donors, compared with survival of recipients who received HCT from NotPreferred donors. A clinically attractive classifier, selected for the validation, is labeled by red arrow. It is defined as the classifier which maximizes clinical benefit while labeling at least 10% of donors as Preferred.



**Figure 3.** Survival of recipients of donors labeled Preferred and NotPreferred. The graph was produced using ten-fold cross-validation. HR = 0.43 (95% CI, 0.28 to 0.67), log-rank P < 0.001.

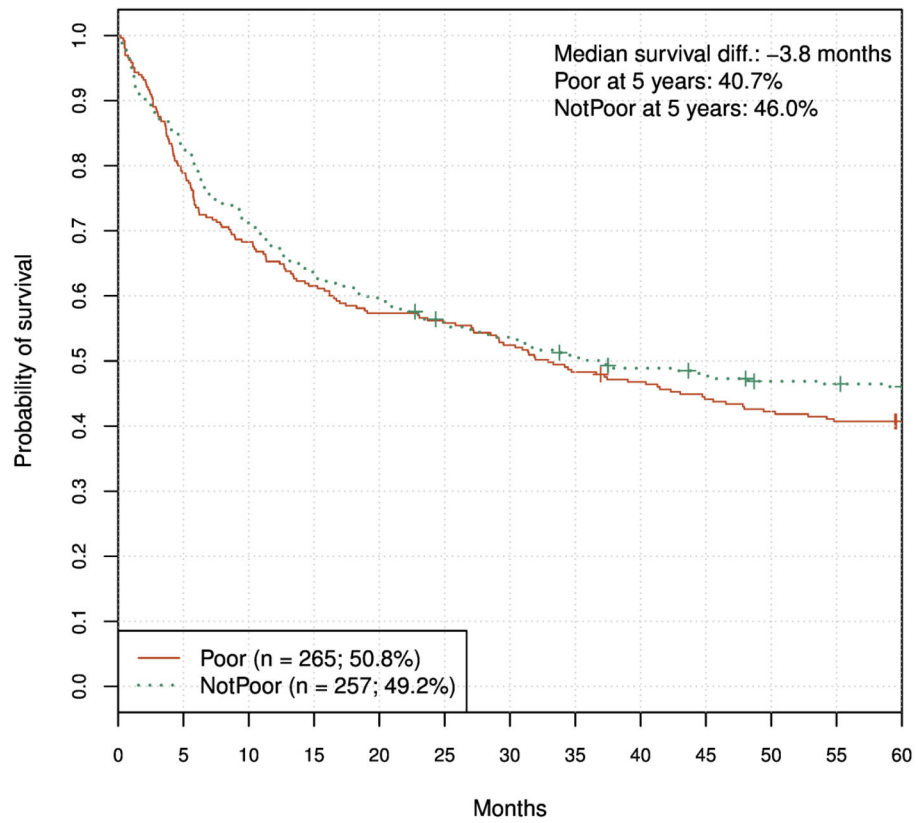


**Figure 4.** Survival of recipients of donors labeled Poor and NotPoor by the less stringent model, in ten-fold cross-validation. HR = 0.75 (95% CI, 0.61 to 0.91), log-rank P = 0.003.

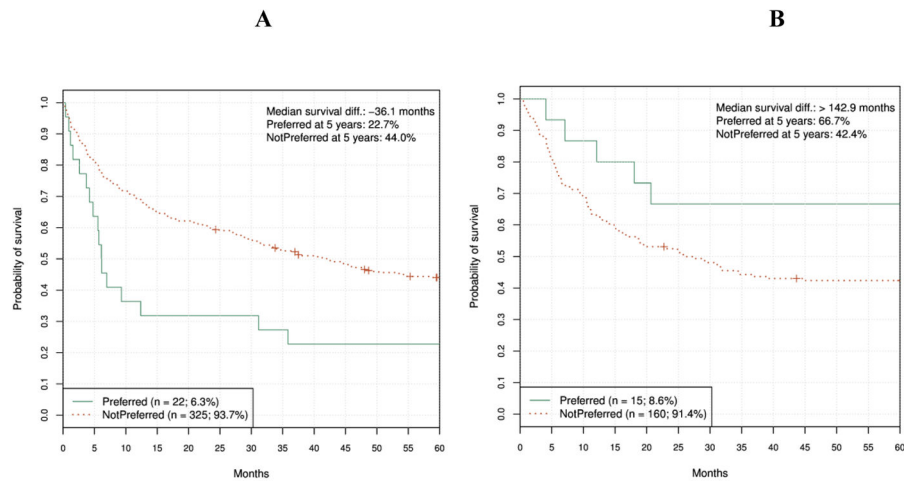


**Figure 5.** Validation KM graph for the primary classification model. HR = 1.12 (95% CI, 0.72 to 1.72), log-rank P = 0.62.



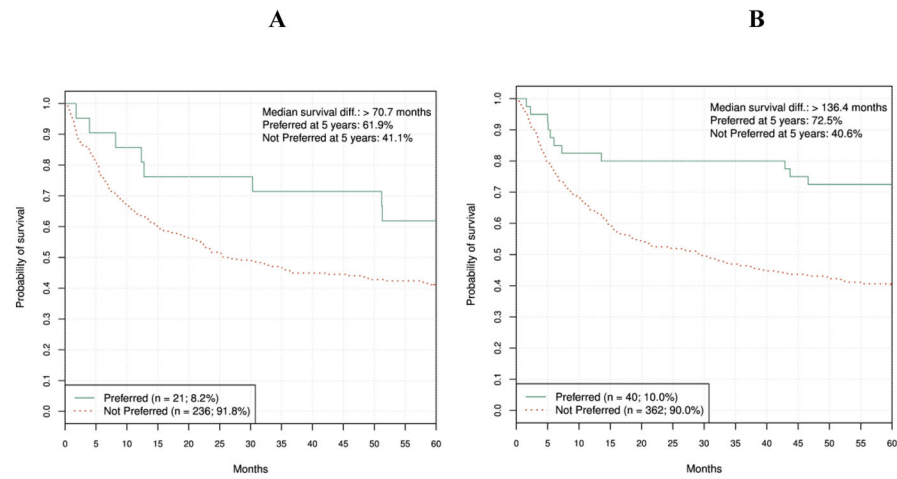


**Figure 6.** Exploratory model validation results at five years. HR = 1.18 (95% CI, 0.94 to 1.48), log-rank P = 0.148.



**Figure 7A and 7B.**

Primary classification model validation results for AML and ALL patients, respectively. AML HR = 2.01 (95% CI, 1.22 to 3.3), log-rank P = 0.005. ALL HR = 0.42 (95% CI, 0.17 to 1.02), log-rank P = 0.049.



**Figure 8A and 8B.**

Primary classification model training (cross-validation) results for AML and ALL patients, respectively. AML HR = 0.56 (95% CI, 0.28 to 1.09), log-rank P = 0.083. ALL HR = 0.37 (95% CI, 0.21 to 0.66), log-rank P < 0.001.

**Table 1**

Summary of clinical variables for training and validation sets

Variable	Training N (%)	Validation N (%)	p-value
Number of (donor, recipient) pairs	733	522	
Disease at transplant			0.07
AML	451 (62)	347 (66)	
ALL	282 (38)	175 (34)	
Recipient sex			0.99
Male	386 (53)	275 (53)	
Female	347 (47)	247 (47)	
Donor sex			0.02
Male	475 (65)	371 (71)	
Female	258 (35)	151 (29)	
Karnofsky score			0.63
10–80	164 (22)	126 (24)	
90–100	509 (69)	359 (69)	
Unknown	60 (8)	37 (7)	
Recipient age at transplant			0.38
0–9 years	62 (8)	46 (9)	
10–19 years	109 (15)	56 (11)	
20–29 years	135 (18)	92 (18)	
30–39 years	112 (15)	83 (16)	
50–59 years	134 (18)	98 (19)	
60 years and older	28 (4)	18 (3)	
Median (range)	35 (1–67)	38 (0–68)	
Donor age at donation			0.90
10–19 years old	16 (2)	11 (2)	
20–29 years old	268 (37)	194 (37)	
30–39 years old	253 (35)	183 (35)	
40–49 years old	158 (22)	102 (20)	
50 years and older	38 (5)	32 (6)	
Median (range)	33 (19–60)	33 (18–61)	
Year of transplant			<0.001
2000	29 (4)	25 (5)	
2001	23 (3)	27 (5)	
2002	33 (5)	35 (7)	
2003	45 (6)	40 (8)	
2004	78 (11)	45 (9)	
2005	119 (16)	61 (12)	
2006	135 (18)	72 (14)	
2007	135 (18)	71 (14)	
2008	129 (18)	54 (10)	

Variable	Training N (%)	Validation N (%)	p-value
2009	7 (1)	72 (14)	
2010	0 (0)	20 (4)	
Campath given			0.86
Yes	20 (3)	13 (2)	
No	708 (97)	504 (97)	
Unknown	5 (1)	5 (1)	
ATG given			0.85
Yes	147 (20)	107 (20)	
No	586 (80)	415 (80)	
Graft type			0.16
PBSC	423 (58)	322 (62)	
BM	310 (42)	200 (38)	
Disease status			0.003
Early	413 (56)	337 (65)	
Intermediate	320 (44)	185 (35)	
Conditioning			0.43
TBI	434 (60)	298 (58)	
No TBI	292 (40)	220 (42)	
Donor race / ethnicity			0.17
Caucasian, non-Hispanic	621 (85)	458 (88)	
African-American, non-Hispanic	7 (1)	11 (2)	
Asian, non-Hispanic	12 (2)	6 (1)	
Native American, non-Hispanic	9 (1)	9 (2)	
Hispanic, Caucasian	12 (2)	8 (2)	
Hispanic, race unknown	25 (3)	11 (2)	
Other or unknown	47 (6)	19 (4)	
Recipient race / ethnicity			0.66
Caucasian, non-Hispanic	639 (87)	464 (89)	
African-American, non-Hispanic	10 (1)	11 (2)	
Asian, non-Hispanic	12 (2)	4 (1)	
Native American, non-Hispanic	1 (<1)	2 (<1)	
Hispanic, Caucasian	43 (6)	25 (5)	
Hispanic, race unknown	4 (1)	1 (<1)	
Other or unknown	24 (3)	15 (3)	
Donor T/S Ratio			0.49
Unknown	2 (<1)	0 (<1)	
1.0–1.1	154 (21)	135 (26)	
1.1–1.2	98 (13)	83 (16)	
1.2–1.3	69 (9)	44 (8)	
1.3–1.4	44 (6)	26 (5)	
1.4–1.5	28 (4)	15 (3)	
1.5–2	30 (4)	24 (5)	

Variable	Training N (%)	Validation N (%)	p-value
>2	4 (1)	3 (10)	
Donor height			0.07
Unknown	88 (12)	82 (16)	
100–160	36 (5)	23 (4)	
160–170	147 (20)	88 (17)	
170–180	222 (30)	150 (29)	
180–190	192 (26)	153 (29)	
>190	48 (7)	20 (4)	
Donor weight			<0.001
Unknown	2 (<1)	82 (16)	
25–50	10 (1)	2 (<1)	
50–60	59 (8)	26 (5)	
60–70	97 (13)	52 (10)	
70–80	140 (19)	93 (18)	
80–90	150 (20)	111 (21)	
90–100	142 (19)	0 (<1)	
>100	133 (18)	70 (13)	
Recipient ABO blood type			0.82
Unknown	8 (1)	3 (1)	
A Rh+	253 (35)	174 (33)	
B Rh+	72 (10)	46 (9)	
AB Rh+	23 (3)	14 (3)	
O Rh+	267 (36)	204 (39)	
A Rh–	42 (6)	28 (5)	
B Rh–	14 (2)	7 (1)	
AB Rh–	7 (1)	3 (1)	
O Rh–	47 (6)	42 (8)	
GvHD prophylaxis			0.32
Tacrolimus+MMF+others	70 (10)	68 (13)	
Tacrolimus+MTX+others ex. MMF	386 (53)	270 (52)	
Tacrolimus+others ex. MTX, MMF	32 (4)	17 (3)	
Tacrolimus alone	17 (2)	6 (1)	
CSA+MMF+others	15 (2)	12 (2)	
CSA+MTX+others ex. Tacrolimus, MMF	191 (26)	132 (25)	
CSA+others ex. Tacrolimus, MTX, MMF	8 (1)	8 (2)	
CSA alone	11 (2)	8 (2)	
other	3 (<1)	0 (<1)	

**Table 2**

List of variables used in the model.

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Recipient ABO blood type
Recipient age
Disease stage
ATG (given/not given)
Campath (given/not given)
Donor height
Disease (ALL/AML)
Donor age
Donor ethnicity
Donor sex
Donor weight
Recipient ethnicity
GvHD prophylaxis
Karnofsky performance status
Recipient race
Recipient sex
TBI usage indicator
T/S_Ratio

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