

MESTRADO INTEGRADO EM MEDICINA

2021/2022

Nuno Alexandre Mendes Piedade

Sequential Evaluation of Hematology Values as a Prognostic Factor in
Glioblastoma Patients

MARÇO, 2022

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**FACULDADE DE MEDICINA
UNIVERSIDADE DO PORTO**

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Sequential Evaluation of Haematology Values as a Prognostic
Factor in Glioblastoma Patients

Mestrado Integrado em Medicina

Área: Neurocirurgia

Tipologia: Dissertação

Trabalho efetuado sob a Orientação de:
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Coorientação de:
Professor Doutor Paulo José Campos Linhares Vieira

Trabalho organizado de acordo com as normas da revista: Journal
of Neuro-Oncology, Springer

MARÇO, 2022

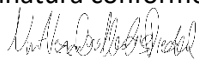
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Eu, Nuno Alexandre Mendes Piedade, abaixo assinado, nº mecanográfico 2016003618, estudante do 6º ano do Ciclo de Estudos Integrado em Medicina, na Faculdade de Medicina da Universidade do Porto, declaro ter atuado com absoluta integridade na elaboração deste projeto de opção.

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Faculdade de Medicina da Universidade do Porto, 05/03/2022

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DESIGNAÇÃO DA ÁREA DO PROJECTO

Neurocirurgia

TÍTULO DISSERTAÇÃO/MONOGRAFIA (riscar o que não interessa)

Sequential Evaluation of Hematology Values as a Prognostic Factor in Glioblastoma Patients

ORIENTADOR

Professor Doutor Rui Manuel Cardoso Vaz

COORIENTADOR (se aplicável)

Professor Doutor Paulo José Campos Linhares Vieira

ASSINALE APENAS UMA DAS OPÇÕES:

É AUTORIZADA A REPRODUÇÃO INTEGRAL DESTES TRABALHOS APENAS PARA EFEITOS DE INVESTIGAÇÃO, MEDIANTE DECLARAÇÃO ESCRITA DO INTERESSADO, QUE A TAL SE COMPROMETE.	X
É AUTORIZADA A REPRODUÇÃO PARCIAL DESTES TRABALHOS (INDICAR, CASO TAL SEJA NECESSÁRIO, Nº MÁXIMO DE PÁGINAS, ILUSTRAÇÕES, GRÁFICOS, ETC.) APENAS PARA EFEITOS DE INVESTIGAÇÃO, MEDIANTE DECLARAÇÃO ESCRITA DO INTERESSADO, QUE A TAL SE COMPROMETE.	
DE ACORDO COM A LEGISLAÇÃO EM VIGOR, (INDICAR, CASO TAL SEJA NECESSÁRIO, Nº MÁXIMO DE PÁGINAS, ILUSTRAÇÕES, GRÁFICOS, ETC.) NÃO É PERMITIDA A REPRODUÇÃO DE QUALQUER PARTE DESTES TRABALHOS.	

Faculdade de Medicina da Universidade do Porto, 05/03/2022

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Dedicatória

Um agradecimento ao professor Paulo Linhares pela oportunidade de realizar este trabalho sob a sua orientação e por toda a ajuda prestada. Agradeço também ao professor Manuel Ferreira-Pinto pela dedicação, paciência e tempo que sempre se ofereceu a disponibilizar na realização deste trabalho.

Agradeço aos meus grandes amigos do meu percurso universitário e não-universitário, pela amizade e alegrias partilhadas durante todos estes anos.

Um agradecimento muito especial a toda a minha família e incrível namorada, que sempre me apoiaram incondicionalmente e a quem tudo devo.

Finalmente, deixo um profundo agradecimento àqueles que já cá não estão, mas que me acompanharam e sempre acreditaram no meu sucesso pessoal e académico. Sempre foram uma fonte de coragem (*JP, LC, MM, FP, AC, FM*)!

De facto, o que eramos nós sem as pessoas?

Abstract

Purpose: Inflammatory cells are important promoters of tumour growth considered as prognostic factors. Glioblastoma (GBM) is no different. Hence, we intended to evaluate the inflammatory parameters, NLR, PLR, RDW-CV and RDW-SD in different phases of GBM treatment protocols, in order to understand whether there will be values that allow us to predict patient's prognosis in terms of progression free survival (PFS) and overall survival (OS).

Methods: The population of this study consists of a cohort of 124 patients followed in the Neurosurgery Department of a tertiary care hospital, between January/2014 and December/2018. We performed univariate and multivariate analysis correlating NLR, PLR, RDW-CV, RDW-SV with OS and PFS per treatment time-point.

Results: In our univariate analysis, several hematological parameters were related with OS and PFS. For those same parameters, we observed that pre-chemotherapy NLR value <4 had a better OS compared to values >4 ($p = 0.0007$) and NLR PreS-PosS (difference between pre-surgery and pos-surgery) differ significantly between patients with values < 5 and those with values > 5 ($p = 0.0261$). Additionally, pre-chemotherapy PLR values >9 and NLR values >4 were associated with a lower PFS ($p = 0.0008$; $p = 0.0003$). However, in multivariate analysis we did not show statistically significant values for these same parameters.

Conclusions: The results of the present study demonstrated that higher pre-chemotherapy NLR and PLR values were associated with worse prognosis and NLR PreS-PosS values are associated with better prognosis. However, none of these parameters could be considered independent prognostic factors for GBM.

Keywords: Glioblastoma; Neutrophil-Lymphocyte ratio; Platelet-Lymphocyte ratio; RDW; Overall Survival; Progression Free Survival.

Introduction

Glioblastoma (GBM) is the most aggressive primary brain tumor in adults with dismal prognosis. Current standard treatment is maximal safe surgical resection, plus concomitant radiotherapy and chemotherapy with temozolomide, followed by temozolomide in monotherapy (the Stupp Protocol). However, its efficacy remains poor, with a median survival of 14.6 months[1, 2]. Treatment developments focus on molecular therapies based on the malignancy phenotype, including signal transduction, angiogenesis and, more recently, immunotherapy[3].

It is known there are several biological characteristics that give malignant neoplasms advantages during their development. The existence of hallmarks of cancer has underpinning genomic instability and inflammation[4]. Inflammatory cells are important promoters of tumor growth, creating an environment conducive to angiogenesis and genomic instability[5].

Classic prognostic factors include tumor location, extent of resection, preoperative performance status and patient's age[6, 7]. Recently, genetic and inflammatory parameters were added to the list. In fact, the neutrophil-lymphocyte ratio (NLR) has been pointed as an independent risk factor for some malignancies[8, 9], with a relationship between disease progression and increased neutrophilic and macrophage leukocyte infiltrate[10, 11]. Additionally, it was found that the increase in the neutrophil-lymphocyte ratio (NLR) was a factor of poor prognosis on overall survival (OS) [12]. Platelet-lymphocyte ratio (PLR) was also related to the prognosis of GBM[13-16]. Pre-operative RDW was also linked with prognosis in GBM patients with the patients with higher RDW values having shorter OS[17, 18].

Therefore, the aim of this study is to evaluate the inflammatory parameters, NLR, PLR, RDW-CV and RDW-SD in the different phases of GBM treatment protocols, in order to understand whether there will be values of these same parameters that, throughout the course of the disease, allow us to predict the patient's prognosis in terms of recurrence, progression free survival (PFS) and OS. To our knowledge this is the first study to assess the progression of hematologic markers over the course of the disease.

Methods

Study Design and Settings

Retrospective cohort study with patients with GBM who were submitted to a surgical resection and initiated adjuvant treatment.

Clinical data collection

The study population consists of a cohort of 144 patients followed in the Neurosurgery Department, from January 1, 2014, to December 31, 2018, at Centro Hospitalar Universitário de São João, in Porto. The clinical registries of all patients were reviewed and for each patient, the following data were collected: date of diagnosis, age of diagnosis, date of death, time to recurrence and the type of first and second-line adjuvant treatments. In addition, neutrophil, lymphocyte, platelets, leukocytes, RDW-CV and RDW-SD values were recorded before and after surgery. Additionally, pre-radiochemotherapy and pre-chemotherapy analytical values were also recorded in patients who underwent chemoradiotherapy according the Stupp protocol. In patients under another type of treatment, the analytical values for the moment prior to their treatment were recorded.

The inclusion criteria were: 18 years of age and older; histologically confirmed GBM and tumor resection surgery; patients that have been followed for at least 18 months after tumor resection surgery, because the overall average survival is 15 months[1]. We excluded: all those who do not meet the inclusion criteria; patients that had no treatment performed; patients with no annual data and no tracking data. Regrowth tumors were also excluded.

Of the 144 patients, 14 were excluded because they did not have any treatment. 6 excluded because they did not have hematologic data (either by death or discontinuation of follow-up). There were 124 patients left for the analysis.

OS corresponded to the time between surgery and the date of death or the date of the last follow-up. PFS, corresponds to the time between surgery and the date of tumor progression documented by brain magnetic resonance imaging. In those patients that had no progression we considered that PFS is the time between the first tumor recession and death. To ensure that it is possible to assess OS and PFS in all cases of the study, we set the follow-up date limit to November 30, 2021.

For those patients with missing data in a certain time-point, we still considered their values in other time-points for our analysis. Patients that were loss from follow-up were only considered for the time they were in the study.

Data analysis

In order to probe a possible association between the NLR, PLR, RDW-CV and RDW-SV values in five different timepoints (pre-surgery, post-surgery, pre-radiotherapy and chemotherapy, pre-chemotherapy and progression) with OS and PFS, we first performed a univariate linear regression analysis. Additionally, we calculated the difference between pre-surgery NLR values and the NLR in the other time-points and the difference between pre-chemotherapy NLR and progression NLR in order to evaluate if there is any statistical alteration in these hematologic parameters that could suggest the prognosis. The same was performed for PLR values and we correlated those differences with OS and PFS.

For those who had a statistically significant result we performed a multivariate linear regression analysis correlating each hematologic parameter with OS and PFS, including also relevant population characteristics (gender, age, tumour extension, focality, type of surgery and ECOG Performance Status, second-line adjuvant systemic therapy). We also developed cut-offs for those statistically significant parameters using the median in order to evaluate any relationship in the multivariate analysis. Those same categorical variables were compared with the other clinical and demographic parameters and will be shown at the same table as the continuous hematologic values in the Results section. In the multivariate analysis we didn't consider first-line adjuvant systemic therapy as a cofounder variable because only 3 patients in a group of 124 didn't do Stupp treatment protocol. Finally, we estimated the survival differences between groups using Kaplan-Meier and log rank test.

NRL was calculated as absolute neutrophil count divided by absolute lymphocyte count and PLR was calculated as absolute platelet count divided by absolute lymphocyte count.

We considered as statistically significant a p value < 0.05 . The software used for statistical analysis was Stata/SE 17.0.

Results

We included 124 patients. Demographic and clinical characteristics of our cohort are detailed in **Table 1**. The mean age at diagnosis was 60.27 ± 11.18 years. 63.71% were male. The mean OS was 20.252 ± 15.869 and mean PFS was 9.429 ± 10.038 .

A supratentorial location were present in 98.39% of patients and 80.65% are unifocal tumors. Sixty-nine patients (55.65%) had only one lobe involved. Gross total resection was achieved in almost half of the patients (46.77%). The first-line adjuvant systemic therapy was chemoradiotherapy according Stupp (77.42% of cases), and TMZ + hypofractionated RT in 20.16%. Regarding to the second-line adjuvant systemic therapy, the most used was Bevacizumab + Lomustine (43.97%). A considerable number of patients did not receive any second-line adjuvant systemic therapy (38.71%).

In the univariate analysis, we were able to relate pre-chemotherapy NLR values with a decrease in OS ($P = 0.040$). Increases in the progression NLR ($P = 0.027$) and RDW-CV ($P = 0.042$) values are also related with a decrease in OS, in the univariate analysis. We also found that a greater difference between pre-surgery NLR and pos-surgery NLR (NLR PreS-PosS) was related with an increase in OS [$p = 0.036$; coef = 0.265 (0.018; 0.512)] (**Table 2**).

We evaluate these same parameters in a multivariate analysis (**Table 3**). To simplify our analysis, we considered the second-line adjuvant systemic therapy as a dichotomic variable. The type first-line adjuvant systemic therapy was not considered in our multivariate analysis, because 97,58% of patients initiated the stupp protocol. Measured as continues variables, we realize that there was no correlation of pre-chemotherapy NLR ($p = 0.914$), progression NLR ($p = 0.105$), progression RDW-CV ($p = 0.581$) and NLR PreS-PosS with OS. When measured as categorical variables there was also no correlation with OS ($p = 0.347$; $p = 0.175$; $p = 0.622$; $p = 0.066$, respectively).

Patients with a pre-chemotherapy NLR value <4 had a better OS compared to values >4 (mean OS = 25.575 vs 18.401 months). We performed a log-rank test showing that this difference is statistically significant ($p = 0.0007$). For Progression NLR values, patients with a ratio >6 did not show a worse prognosis compared with values <6 (log rank, $p = 0.0606$). Progression RDW-CV values <14 seemed to be correlated with worse OS, however the difference was not significant (log rank, $p = 0.3109$). In other hand, the variable NLR PreS-PosS differ significantly between patients with values < 5 and those with values > 5 (log rank, $p = 0.0261$) (mean OS 16.817 vs 23.472 months).

On univariate analysis, PFS differ significantly with pre-radiochemotherapy NLR ($p = 0.016$), pre-chemotherapy NLR ($p = 0.021$) and pre-chemotherapy PLR ($p = 0.043$) values. When we compared pre-surgery NLR values with pre-chemoradiotherapy NLR values, we found that a greater difference between them is associated with a higher PFS [$p = 0.039$; coef = 0.175 (0.009; 0.341)] (**Table 4**).

To simplify multivariate analysis, we considered again the second-line adjuvant systemic therapy as a dichotomic variable and we did not consider the first-line adjuvant systemic therapy in our multivariate analysis for the same reason mentioned before.

On multivariate analysis we did not find any independent prognostic indicator for continuous or categorical variables (**Table 3 and 5**).

Kaplan-Meier analysis (**Fig.1** and **2**) showed that pre-radiochemotherapy NLR values >5 were not significantly different from values <5 in terms of survival (log-rank, $p = 0.5827$). However, greater pre-chemotherapy PLR values (>9) were associated with a lower PFS (log-rank, $p = 0.0008$) (mean PFS 7.448 vs 11.999 months). Pre-chemotherapy NLR > 4 was also associated with shorter PFS (log rank, $p = 0.0003$) (mean PFS 7.381 vs 12.564 months). At last, the variable NLR PreS-PreRTQT (difference between pre-surgery and pre-radiochemotherapy) did not differ significantly between patients with values < -2 and those with values > -2 (log rank $p = 0.5846$).

Discussion

Significant changes in hematologic values seem to play a significant role in giving accurate information about patient's prognosis in several cancers, including brain tumors.

A prognostic relationship between NLR and GBM has already been described in several studies showing that higher NLR values are associated with worse prognosis[14, 16]. Han et al. related the NLR and the pre-treatment PLR with the prognosis in the GBM, demonstrating greater relevance of the NLR versus the PLR for this purpose[16]. However, it should be noted that some studies did not find a relationship between the NLR and the poor prognosis of GBM [13, 19].

In the univariate analysis we didn't find any relationship between NLR and OS in preoperative patients ($p = 0.933$). On the other hand, we realized that pre-chemotherapy NLR values were linked with worse OS and PFS ($P = 0.040$; $P = 0.021$). However, in the multivariate analysis we found no statistically significant relation with OS ($P = 0.914$) and PFS ($p = 0.169$). Higher progression and pre-radiochemotherapy NLR were associated with worse OS ($p = 0.027$) and better PFS ($p = 0.016$), respectively. Then we performed a multivariate analysis for these same variables, which showed us no statistically significant relation, considering confounders.

In order to evaluate the effect of NLR in different treatment time-points, we decided to create a variable that corresponds to the difference between the NLR value at the start of the follow-up (pre-surgery NLR value) and the NLR value at other treatment time-point. This simple difference might be relevant to understand if an increase or decrease of certain degree could predict our patient's prognosis. We only developed this variable for NLR, because it is the most extensively studied parameter in literature. In the univariate analysis, a greater difference between pre-surgery NLR and pos-surgery NLR is associated with better prognosis, reflecting an increase in OS ($p = 0.036$). Meanwhile, a greater PreS-PreRTQT NLR is associated higher PFS ($p = 0.039$). When we performed a multivariate analysis there was no statistically significant relation with OS or PLR ($p = 0.197$; $p = 0.984$).

With these values, and differently from other studies findings[16, 20, 21], we did not find NLR to be an independent prognostic biomarker for patient outcomes.

PLR has been described as a prognostic factor in different cancer types. Wang, et al. demonstrated that PLR is associated with a worse prognosis as an independent prognostic factor[15]. Even though, there are other studies that did not demonstrate this same prognostic relationship[13, 19].

In our study we found that pre-chemotherapy PLR value had a negative effect in PFS in the univariate analysis ($P = 0.043$) (table 4). However, the multivariate analysis there is no statistically significant relation with PFS ($p = 0.656$) (table 5).

RDW is another inflammatory parameter associated with cancer progression and prognosis [17, 22-24]. The univariate analysis showed that progression RDW-CV values are correlated with a worse OS ($p = 0.042$). In a multivariate analysis, progression RDW-CV values were also related with lower survival, but it was not an independent prognostic factor (coef = -0.729 [-3.351; 1.892], $p = 0.581$).

The mechanism underlying RDW involvement in tumor prognosis is not totally understood but it is known that some inflammatory markers (for example, C-reactive protein) are increased and linked with higher RDW values [19, 25]. Patrick D Kelly et al. showed in a retrospective cohort that, preoperatively, this analytical parameter was not related to OS in GBM, although there was an increase its value throughout the course of the disease. This suggests some possible systemic inflammatory effect of GBM or treatment [18].

Cut-off values were developed for hematologic parameters that had statistical significance in the univariate analysis. Several studies showed that NLR values higher than 4.0 were associated with worse prognosis [14, 16]. Weng et al. demonstrated significant differences in preoperative NLR value in different gliomas groups, evidencing higher values in the GBM group, relating a lower OS of patients with NLR values ≥ 4.0 , compared to cases of NLR < 4.0 (mean 11.23 vs 18.56, $p < 0.05$). [26] Also Bambury et al. demonstrated that NLR > 4 would have an OS of 7.5 months versus 11.2 months in patients with NLR ≤ 4 [20].

In our work, patients with pre-chemotherapy NLR values < 4 had a better prognosis compared to values > 4 , showing a mean OS = 18.401 months and a mean PFS = 12.564 months). For Progression NLR values, patients with a ratio > 6 did not show a worse prognosis compared with values < 6 (log rank, $p = 0.0606$). In other hand, a NLR PreS-PosS > 5 was associated with more 6.5 months of OS, compared with patients with values < 5 . This interesting finding might be explained by the fact that inflammation is a critical component of tumour progression [5]. Pre radiochemotherapy NLR values > 5 did not show any significant difference in PFS compared with values < 5 , as we expected based in our univariate analysis. The same happened for our variable NLR PreS-PreRTQT considering the value < -2 or > -2 , with a log rank $p = 0.5846$. At last, we found that pre-chemotherapy PLR values > 9 were associated with a lower PFS compared with values < 9 (mean PFS 7.448 vs 11.999 months). Still, when performed a multivariate analysis considering these cut-offs and other demographic and clinical characteristics, we could not consider his cut-off as independent prognostic factors for OS and PFS.

Some studies demonstrated that pretreatment RDW was superior to mean cell volume (MCV) and mean corpuscular hemoglobin concentration (MCHC) as a prognostic predictor of clinical outcome in patients newly diagnosed with GBM [17, 27]. Kaisman-Elbaz showed that RDW $< 14\%$ was a significant favorable prognostic factor for GBM overall survival (particularly for patients under 70 and underwent tumor resection supplemented with oncological treatment) [28]. Also, in several other studies, higher RDW values were linked with gliomas prognosis [29-31]. Even though, we did not find a statistically significant difference in OS comparing progression RDW-CV values < 14 and > 14 , despite the current literature showing otherwise.

Our study has some limitations. We performed a retrospective, single-institution study with a small sample size, but similar to other studies in the area. The hematologic parameters evaluated were presumably collected before any treatment. Moreover, there are more physiological and pathophysiological factors (including diabetes,

inflammatory disease, previous history of recent infection, hypertension, renal and hepatic dysfunction) that may affect NLR, PLR and RDW values that we did not consider as confounders.

In conclusion, the results of the present study demonstrated that higher pre-chemotherapy NLR and PLR values were associated with worse prognosis and NLR PreS-PosS values are associated with better prognosis. However, none of these parameters could be considered independent prognostic factors for GBM.

Therefore, larger prospective studies are needed to verify our findings and clarify the mechanisms underlying the association between NLR, PLR and RDW values and GBM prognosis.

Statements & Declarations

Funding

The authors declare that no funds, grants, or other support were received during the preparation of this manuscript.

Competing Interests

The authors have no relevant financial or non-financial interests to disclose.

Ethics approval

This is a retrospective study. The Ethics committee of Centro Hospitalar Universitário de São João (CHUSJ) / Faculdade de Medicina da Universidade do Porto (FMUP) has confirmed that no ethical approval is required.

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Tables and Figures

Table 1 - Demographic and clinical characteristics of the included patients

Characteristics		N	Mean±SD or percentage
Age at diagnosis (years)		124	60.27 ± 11.17
OS (months)		124	20.252 ± 15.869
PFS (months)		124	9.429 ± 10.038
Gender	Male	79	63.71%
	Female	45	36.29%
Location	Supratentorial	122	98.39%
	Infratentorial	2	1.61%
Extension	1 lobe	69	55.65%
	2 or more lobes	55	44.35%
Focality	Unifocal	100	80.65%
	Multifocal	24	19.35%
Surgery resection extent	Total	58	46.77%
	Sub-total	25	20.16%
	Partial	11	8.87%
	Endoscopic	30	24.19%
First-line adjuvant systemic therapy	Stupp	96	77.42%
	Stupp + hipoRT	25	20.16%
	RT	1	0.81%
	Temozolamide	1	0.81%
	None	1	0.81%
Second-line adjuvant systemic therapy	Stupp	2	1.61%
	Bevacizumab + Lomustine	57	45.97%
	Bevacizumab + Irinotecan	2	1.61%
	Lomustina	6	4.84%
	RT	4	3.23%
	Radiosurgery	2	1.61%
	Temazolamina	1	0.81%
	Temazolamina Continua	2	1.61%
	None	48	38.71%
ECOG Pre-surgery	0	40	32.26%
	1	67	54.03%
	2	15	12.10%
	3	2	1.61%
Pre-surgery NLR		118	8.988± 6.736
Pre-surgery PLR		118	24.693±17.41
Pre-surgery RDW-CV		120	13.037±0.75
Pre-surgery RDW-SD		120	42.023±3.053
Post-surgery NLR		115	17.073±11.471
Post-surgery PLR		115	37.446±25.301
Post-surgery RDW-CV		116	13.356±0.89
Post-surgery RDW-SD		116	43.185±3.361
Pre-radiochemotherapy NLR		123	7.396±8.073
Pre-radiochemotherapy PLR		123	19.147±15.67
Pre-radiochemotherapy RDW-CV		123	14.07±1.171
Pre-radiochemotherapy RDW-SD		123	46.173±4.626
Pre-chemotherapy NLR		101	6.463±6.696
Pre-chemotherapy PLR		101	14.502±15.909
Pre-chemotherapy RDW-CV		101	13.774±1.261
Pre-chemotherapy RDW-SD		101	44.576±5.005
Progression NLR		111	9.088±9.018
Progression PLR		111	18.004±19.931
Progression RDW-CV		111	14.269±1.302
Progression RDW-SD		111	47.475±5.481
NLR PreS-PosS		121	7.226±11.485
NLR PreS-PreRTQT		122	-1.424±10.769
NLR PreS-PreQT		115	-3.177±8.498
NLR PreS-Prog		116	-0.081±10.421
NLR PreQT-Prog		112	-2.704±8.22
PLR PreS-PosS		121	11.129±24.913
PLR PreS-PreRTQT		122	-4.891±22.754
PLR PreS-PreQT		115	-11.836±22.754
PLR PreS-Prog		116	-6.885±25.019
PLR PreQT-Prog		112	4.216±16.847

SD, standard deviation; OS, overall survival; PFS, progression free survival; RT, radiotherapy; ECOG, Eastern Cooperative Oncology Group performance status; PreS-PosS, difference between pre-surgery and pos-surgery; PreS-PreRTQT, difference between pre-surgery and pre-radiochemotherapy; PreS-PreQT, difference between pre-surgery and pre-chemotherapy; PreS-Prog, difference between pre-surgery and progression; PreQT-Prog, difference between pre-chemotherapy and progression.

Table 2 - Univariate Linear Regression of Global Survival based on Analytical Parameters

Univariate OS Analyses				
Time-point	Parameter	Coefficient	Confidence interval	p value
Pre-surgery	NLR	-0.018	[-0.436; 0.400]	0.933
	PLR	0.560	[-0.105; 0.218]	0.490
	RDW-CV	0.721	[-3.061; 4.504]	0.706
	RDW-SD	0.068	[-0.862; 0.997]	0.886
Post-surgery	NLR	0.134	[-0.124; 0.393]	0.305
	PLR	0.062	[-0.055; 0.179]	0.294
	RDW-CV	-0.812	[-4.129; 2.505]	0.629
	RDW-SD	-0.135	[-1.014; 0.743]	0.761
Pre-radio and chemotherapy	NLR	0.167	[-0.186; 0.521]	0.350
	PLR	0.060	[-0.123; 0.242]	0.518
	RDW-CV	0.653	[-1.762; 3.068]	0.594
	RDW-SD	-0.300	[-0.310; 0.909]	0.333
Pre-chemotherapy	NLR	-0.489	[-0.956; -0.023]	0.040
	PLR	-0.175	[-0.373; 0.022]	0.081
	RDW-CV	-1.506	[-4.018; 1.007]	0.237
	RDW-SD	-0.242	[-0.877; 0.394]	0.453
Progression	NLR	-0.351	[-0.661; -0.04]	0.027
	PLR	-0.113	[-0.255; 0.029]	0.188
	RDW-CV	-2.243	[-4.4; -0.086]	0.042
	RDW-SD	-0.453	[-0.969; 0.062]	0.084
NLR PreS-PosS		0.265	[0.018; 0.512]	0.036
NLR PreS-PreRTQT		0.158	[-0.107; 0.423]	0.240
NLR PreS-PreQT		0.032	[-0.316; 0.380]	0.857
NLR PreS-Prog		-0.154	[-0.420; 0.112]	0.253
NLR PreQT-Prog		0.249	[-0.094; 0.593]	0.153
PLR PreS-PosS		0.098	[-0.017; 0.212]	0.093
PLR PreS-PreRTQT		0.025	[-0.101; 0.152]	0.692
PLR PreS-PreQT		-0.009	[-0.138; 0.121]	0.897
PLR PreS-Prog		-0.049	[-0.160; 0.062]	0.385
PLR PreQT-Prog		-0.091	[-0.259; 0.078]	0.289

PreS-PosS, difference between pre-surgery and pos-surgery; PreS-PreRTQT, , difference between pre-surgery and pre-radiochemotherapy; PreS-PreQT, difference between pre-surgery and pre-chemotherapy; PreS-Prog, difference between pre-surgery and progression; PreQT-Prog, difference between pre-chemotherapy and progression.

Table 3 - Multivariate Analysis based on demographic and clinical characteristics

Multivariate OS Analysis			
Parameter	Coefficient	Confidence interval	p-value
Gender	4.091	[-2.553; 10.735]	0.224
Age at diagnosis	0.025	[-0.284; 0.333]	0.875
Extension	0.996	[-6.582; 8.574]	0.794
Focality	-1.891	[-12.05; 8.268]	0.712
Surgery resection extent	0.307	[-2.617; 3.231]	0.835
Second-line adjuvant systemic therapy	11.277	[3.455; 19.099]	0.005
ECOG pre-surgery	0.528	[-5.199; 6.255]	0.855
NLR pre chemotherapy	-0.03	[-0.576; 0.517]	0.914
NLR Progression	-0.318	[-0.703; 0.067]	0.105
RDWCV progression	-0.729	[-3.351; 1.892]	0.581
NLR PreS-PosS	0.176	[-0.093; 0.446]	0.197
NLR pre chemotherapy cut-off (<4 v >4)	-3.22	[-9.978; 3.539]	0.347
NLR progression cut-off de (<6 v >6)	-4.06	[-9.952; 1.831]	0.175
RDWCV progression cut-off (<14 v >14)	1.478	[-4.441; 7.398]	0.622
NLR PreS-PosS cut-off (<5 v >5)	5.249	[-0.351; 10.848]	0.066

ECOG, Eastern Cooperative Oncology Group performance status; PreS-PosS, difference between pre-surgery and pos-surgery.

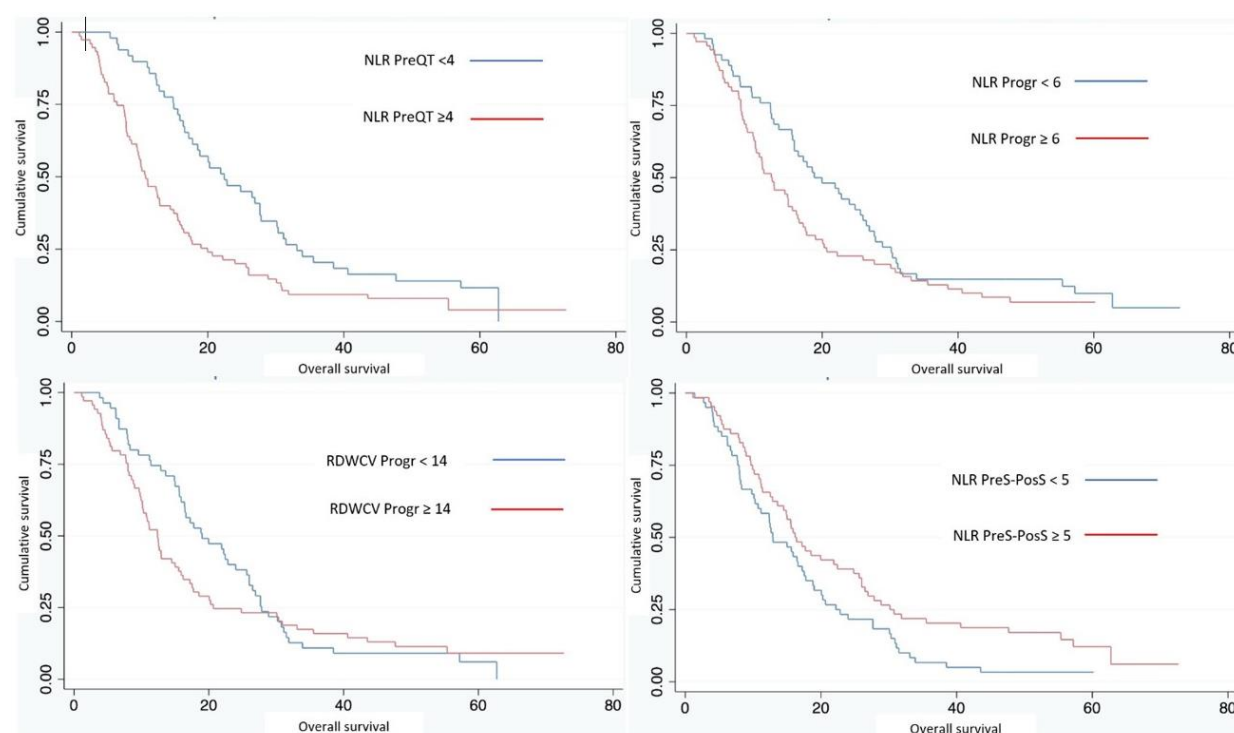


Fig. 1 – Kaplan-Meier plot of overall survival stratified by pre-chemotherapy NLR value (cut-off = 4), progression NLR value (cut-off = 6), progression RDW-CV value (cut-off = 14) and difference between pre-surgery and pos-surgery (cut-off = 5). NLR PreQT, pre-chemotherapy NLR; NLR Progr, progression NLR; RDWCV Progr, progression RDW-CV; NLR PreS-PosS, difference between pre-surgery and pos-surgery.

Table 4 - Univariate Linear Regression of PFS based on Analytical Parameters

Univariate PFS Analyses				
Time-point	Parameter	Coefficient	Confidence interval	P value
Pre-surgery	NLR	-0.670	[-0.347; 0.212]	0.636
	PLR	0.005	[-0.103; 0.114]	0.922
	RDW-CV	-0.087	[-2.558; 2.385]	0.945
	RDW-SD	-0.084	[-0.691; 0.523]	0.784
Post-surgery	NLR	0.003	[-0.164; 0.171]	0.967
	PLR	0.020	[-0.056; 0.096]	0.530
	RDW-CV	-0.250	[-2.391; 1.890]	0.817
	RDW-SD	0.053	[-0.514; 0.620]	0.853
Pre-radio and chemotherapy	NLR	0.269	[0.050; 0.488]	0.016
	PLR	0.019	[-0.096; 0.135]	0.744
	RDW-CV	-0.442	[-1.893; 1.009]	0.548
	RDW--SD	-0.115	[-0.482; 0.252]	0.537
Pre-chemotherapy	NLR	-0.342	[-0.632; -0.052]	0.021
	PLR	-0.127	[-0.249; -0.004]	0.043
	RDWCV	0.658	[-0.917; 2.233]	0.409
	RDW-SD	0.240	[-0.155; 0.636]	0.231
Progression	NLR	-0.079	[-0.220; 0.063]	0.272
	PLR	-0.024	[-0.088; 0.04]	0.456
	RDW-CV	-0.539	[-1.518; 0.440]	0.278
	RDW-SD	-0.070	[-0.304; 0.163]	0.553
NLR PreS-PosS		0.068	[-0.091; 0.228]	0.396
NLR PreS-PreRTQT		0.175	[0.009; 0.341]	0.039
NLR PreS-PreQT		-0.061	[-0.272; 0.149]	0.564
NLR PreS-Prog		-0.044	[-0.164; 0.076]	0.471
NLR PreQT-Prog		0.009	[-0.147; 0.166]	0.906
PLR PreS-PosS		0.035	[-0.038; 0.109]	0.344
PLR PreS-PreRTQT		0.001	[-0.079; 0.081]	0.974
PLR PreS-PreQT		-0.029	[-0.108; 0.049]	0.461
PLR PreS-Prog		-0.015	[-0.065; 0.035]	0.550
PLR PreQT-Prog		0.011	[-0.066; 0.087]	0.784

PreS-PosS, difference between pre-surgery and pos-surgery; PreS-PreRTQT, difference between pre-surgery and pre-radiochemotherapy; PreS-PreQT, difference between pre-surgery and pre-chemotherapy; PreS-Prog, difference between pre-surgery and progression; PreQT-Prog, difference between pre-chemotherapy and progression.

Table 5 - Multivariate Analysis based on demographic and clinical characteristics

Multivariate PFS Analysis			
Parameter	Coefficient	Confidence interval	p-value
Gender	1.785	[-2.547; 6.117]	0.415
Age at diagnosis	-0.042	[-0.246; 0.163]	0.687
Extension	-2.075	[-6.857; 2.708]	0.391
Focality	-0.348	[-6.905; 6.209]	0.916
Surgery resection extent	-0.377	[2.251; 1.497]	0.690
Second-line adjuvant systemic therapy	-4.12	[-8.961; 0.721]	0.094
ECOG Pre-surgery	2.655	[-0.716; 6.026]	0.121
NLR Pre-chemoradiotherapy	0.085	[-0.370; 0.540]	0.710
NLR pre-chemotherapy	-0.61	[-1.484; 0.264]	0.169
PLR pre-chemotherapy	0.081	[-0.280; 0.443]	0.656
NLR PreS-PreRTQT	-0.003	[-0.305; 0.299]	0.984
NLR Pre-chemoradiotherapy cut off (<5 v >5)	2.052	[-2.098; 6.203]	0.329
PLR_pre-chemotherapy cutoff (<9 v >9)	-2.449	[-8.254; 3.355]	0.405
NLR pre-chemotherapy cutoff (<4 v >4)	-3.885	[-9.946; 2.176]	0.207
NLR PreS-PreRTQT cutoff (<-2 v >-2)	0.600	[-3.332; 4.533]	0.763

ECOG, Eastern Cooperative Oncology Group performance status; PreS-PreRTQT, difference between pre-surgery and pre-radiochemotherapy

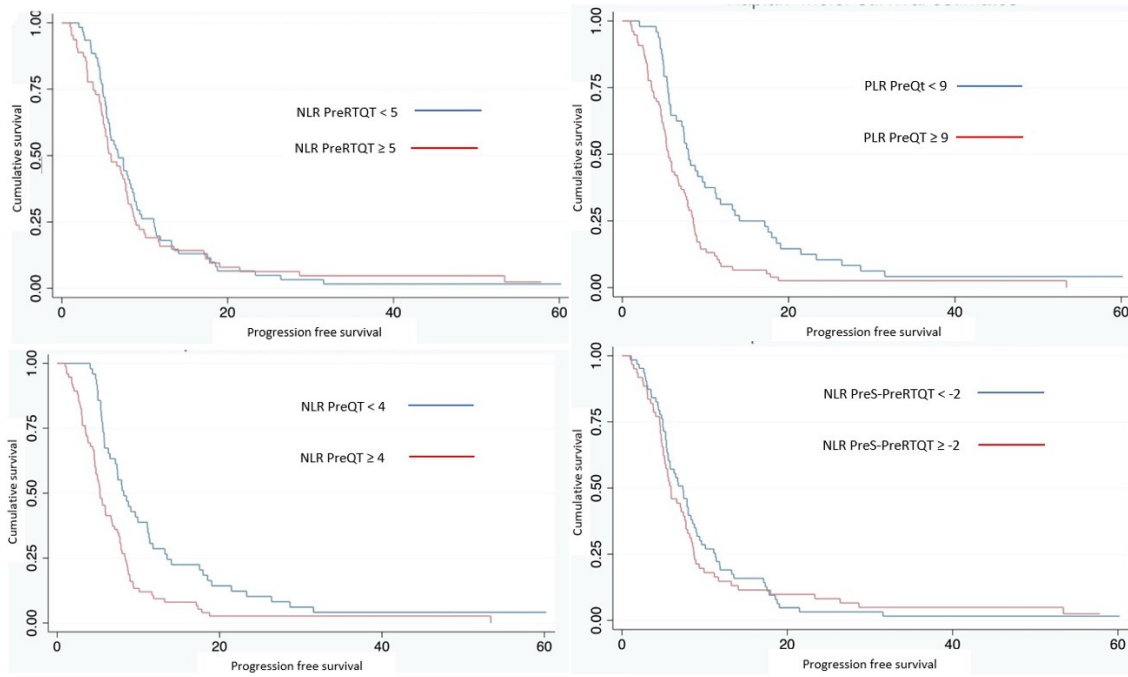


Fig. 2 - Kaplan-Meier plot of progression free survival stratified by pre-radiochemotherapy NLR value (cut-off = 5), pre-chemotherapy PLR value (cut-off = 9), pre-chemotherapy NLR value (cut-off = 4) and difference between pre-surgery and pre-radiochemotherapy (cut-off = -2). NLR PreRTQT, pre-radiochemotherapy NLR; PLR PreQT, pre-chemotherapy PLR; NLR PreQT, pre-chemotherapy NLR; NLR PreS-PreRTQT, difference between pre-surgery and pre-radiochemotherapy.

Reporting Guidelines

STROBE Statement—Checklist of items that should be included in reports of *cohort studies*

	Item No	Recommendation	Page No
Title and abstract	1	(a) Indicate the study's design with a commonly used term in the title or the abstract (b) Provide in the abstract an informative and balanced summary of what was done and what was found	(a) Page 6 - "The population of this study consists of a cohort of 124 patients followed in the Neurosurgery Department of a tertiary care hospital, between January/2014 and December/2018." (b) Page 6 - "in our univariate analysis..."; "the results of the present study..."
Introduction			
Background/rationale	2	Explain the scientific background and rationale for the investigation being reported	Page 7 - "Glioblastoma (GBM) is the most aggressive primary brain tumor in..."
Objectives	3	State specific objectives, including any prespecified hypotheses	Page 7 - "Therefore, the aim of this study is to evaluate the inflammatory parameters, NLR, PLR, RDW-CV and RDW-SD in the different phases...allow us to predict the patient's prognosis in terms of recurrence, progression free survival (PFS) and OS."
Methods			
Study design	4	Present key elements of study design early in the paper	Page 7 - "Retrospective cohort study with patients with GBM who were submitted to a surgical recession and initiated adjuvant treatment."
Setting	5	Describe the setting, locations, and relevant dates, including periods of recruitment, exposure, follow-up, and data collection	Page 7 - "The study population consists of a cohort of 144 patients followed in the Neurosurgery Department, from January 1, 2014, to December 31, 2018, at..."

Participants	6	(a) Give the eligibility criteria, and the sources and methods of selection of participants. Describe methods of follow-up (b) For matched studies, give matching criteria and number of exposed and unexposed	Page 8 – (a) “The inclusion criteria were: 18 years of age and...”; “To ensure that it is possible to assess OS and PFS in all cases of the study, we set the follow-up date limit to November 30, 2021.” (b) not applicable
Variables	7	Clearly define all outcomes, exposures, predictors, potential confounders, and effect modifiers. Give diagnostic criteria, if applicable	Page 9 - “OS corresponded to the time between surgery and the date of death or the date of the last follow-up. PFS, corresponds to ...”
Data sources/ measurement	8*	For each variable of interest, give sources of data and details of methods of assessment (measurement). Describe comparability of assessment methods if there is more than one group	Page 8 - “The clinical registries of all patients were reviewed and for each patient, the following data were collected...”; “OS corresponded to the time between...”
Bias	9	Describe any efforts to address potential sources of bias	Page 8 - “For those who had a statistically significant result we performed a multivariate linear regression analysis correlating each hematologic parameter with OS and PFS, including also relevant population characteristics...”
Study size	10	Explain how the study size was arrived at	The study size calculation was not performed since the scarce availability of suitable patients for this study.
Quantitative variables	11	Explain how quantitative variables were handled in the analyses. If applicable, describe which groupings were chosen and why	Page 8 - “In our study we decided to initially make a univariate analysis for NLR, PLR, RDW-CV, RDW-SV correlating...”

Statistical methods	12	(a) Describe all statistical methods, including those used to control for confounding (b) Describe any methods used to examine subgroups and interactions (c) Explain how missing data were addressed (d) If applicable, explain how loss to follow-up was addressed (e) Describe any sensitivity analyses	(a) Page 8 - “In our study we decided to initially...”; “For those who had a statistically significant result...” (b) Page 8 - “For those who had a statistically significant result we performed a multivariate analysis correlating each hematologic parameter with OS and PFS considering ...”; “We also developed cut-offs for those statistically significant parameters...”; “Those same categorical variables were compared with the other clinical and demographic parameters and ...” (c) Page 8 - “For those patients with missing data in a certain time-point, we still considered their values in other time-points for our analysis.” (d) Page 8 - “Patients that were loss from follow-up were only considered for the time they were in the study.” (e) not applicable
Results			
Participants	13*	(a) Report numbers of individuals at each stage of study—eg numbers potentially eligible, examined for eligibility, confirmed eligible, included in the study, completing follow-up, and analysed (b) Give reasons for non-participation at each stage	(a) Information included in Table 1 (Page 15); (b) and (c) not applicable.

		(c) Consider use of a flow diagram	
Descriptive data	14*	(a) Give characteristics of study participants (eg demographic, clinical, social) and information on exposures and potential confounders (b) Indicate number of participants with missing data for each variable of interest (c) Summarise follow-up time (eg, average and total amount)	(a) Table 1 (Page 15) Page 8 - “We included 124 patients. Demographic and clinical characteristics of our cohort are detailed in Table 1 and 2. The mean age at diagnosis was...” (b) Information included in Table 1 (Page 15) and in the paragraph: “Of the 144 patients, 14 were...” (Page 8) (c) Page 8 - “patients that have been followed for at least 18 months after tumour resection surgery, because the overall average survival is 15 months”; “To ensure that it is possible to assess OS and PFS in all cases of the study, we set the follow-up date limit to November 30, 2021.”
Outcome data	15*	Report numbers of outcome events or summary measures over time	Page 9 - “In the univariate analysis, we were able to relate pre-chemotherapy NLR values with...” “On univariate analysis, PFS differ...”
Main results	16	(a) Give unadjusted estimates and, if applicable, confounder-adjusted estimates and their precision (eg, 95% confidence interval). Make clear which confounders were adjusted for and why they were included (b) Report category boundaries when continuous variables were categorized (c) If relevant, consider translating estimates of relative risk into	(a) Page 9 - “We evaluate these same parameters in a multivariate analysis (table 3). To simplify our analysis, we considered the second-line adjuvant systemic therapy as a dichotomic variable. The type first-line adjuvant systemic therapy was not considered in our multivariate analysis, because 97,58% of patients initiated the stupp protocol. (...)” (b) and (c) not applicable

		absolute risk for a meaningful time period	
Other analyses	17	Report other analyses done—eg analyses of subgroups and interactions, and sensitivity analyses	Page 9 - “Patients with a pre-chemotherapy NLR value <4 had a better OS compared to...”
Discussion			
Key results	18	Summarise key results with reference to study objectives	Page 12 - “...the results of the present study demonstrated that higher pre-chemotherapy NLR and PLR values were associated with worse prognosis and NLR PreS-PosS values are associated with better prognosis. However, none of these parameters could be considered independent prognostic factors for GBM.”
Limitations	19	Discuss limitations of the study, taking into account sources of potential bias or imprecision. Discuss both direction and magnitude of any potential bias	Page 11 - “Our study has some limitations. We performed a retrospective, single-institution study with ...”
Interpretation	20	Give a cautious overall interpretation of results considering objectives, limitations, multiplicity of analyses, results from similar studies, and other relevant evidence	Page 11 - “Still, when performed a multivariate analysis considering these cut-offs and other demographic and clinical characteristics, we could not consider these cut-off as independent prognostic factors for OS and PFS.” “Some studies demonstrated that pretreatment RDW was superior...”
Generalisability	21	Discuss the generalisability (external validity) of the study results	Page 12 - “In conclusion, the results of the present study...”
Other information			
Funding	22	Give the source of funding and the role of the funders for the present study and, if applicable, for the original study on which the present article is based	Page 12 - Included in “Statements & Declarations”

*Give information separately for exposed and unexposed groups.

Note: An Explanation and Elaboration article discusses each checklist item and gives methodological background and published examples of transparent reporting. The STROBE checklist is best used in conjunction with this article (freely available on the Web sites of PLoS Medicine at <http://www.plosmedicine.org/>, Annals of Internal Medicine at <http://www.annals.org/>, and Epidemiology at <http://www.epidem.com/>). Information on the STROBE Initiative is available at <http://www.strobe-statement.org>.

Submission guidelines according to Journal Of Neuro-Oncology, Springer

Types of papers

The Journal welcomes original reports dealing with both Laboratory Investigations and Clinical Studies related to tumors of the nervous system. Although we do not accept Case Reports, Letters to the Editor may be considered. Occasionally, the journal will also publish Review articles on selected topics. Original Laboratory Investigations and Clinical Studies of unusually high impact and timely findings in the field may be submitted as a "Priority Report" for expedited review and publication. Please contact the Editorial Office if you feel your paper warrants that treatment.

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Scientific reports of the results of original clinical research. Manuscript body text is limited to 3000 words. Abstract text is limited to 250 words and should be in a structured format (see specifics below). There may be a maximum of 5 tables and figures (total), and up to 50 references.

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The following abstract format applies to all submissions except for invited editorials and letters to the editor:

Introduction: Provide a background or rationale for the study. Also state the objective of the study.

Methods: Describe the study design, procedures, and materials for the study.

Results: Detail the pertinent data and the significant findings or observations made.

Conclusions: Provide an interpretation of the study findings, summarize their implications, and provide possible next steps for future investigation.

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A graphical abstract is a single, concise, pictorial and visual summary of the main findings of the article. This could be a figure that is specially designed to capture the content of the article for readers at a single glance or a streaming video.

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Manuscript Submission

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- Methods
- Results
- Conclusion

For life science journals only (when applicable)

- Trial registration number and date of registration for prospectively registered trials
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Keywords

Please provide 4 to 6 keywords which can be used for indexing purposes.

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Manuscripts should be submitted in Word.

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- Use italics for emphasis.
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- Save your file in docx format (Word 2007 or higher) or doc format (older Word versions).

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Please use no more than three levels of displayed headings.

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Always use footnotes instead of endnotes.

Acknowledgments

Acknowledgments of people, grants, funds, etc. should be placed in a separate section on the title page. The names of funding organizations should be written in full.

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Citation

Reference citations in the text should be identified by numbers in square brackets. Some examples:

1. Negotiation research spans many disciplines [3].
2. This result was later contradicted by Becker and Seligman [5].
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- Book

South J, Blass B (2001) *The future of modern genomics*. Blackwell, London

- Book chapter

Brown B, Aaron M (2001) The politics of nature. In: Smith J (ed) The rise of modern genomics, 3rd edn. Wiley, New York, pp 230-257

- Online document

Cartwright J (2007) Big stars have weather too. IOP Publishing PhysicsWeb. <http://physicsweb.org/articles/news/11/6/16/1>. Accessed 26 June 2007

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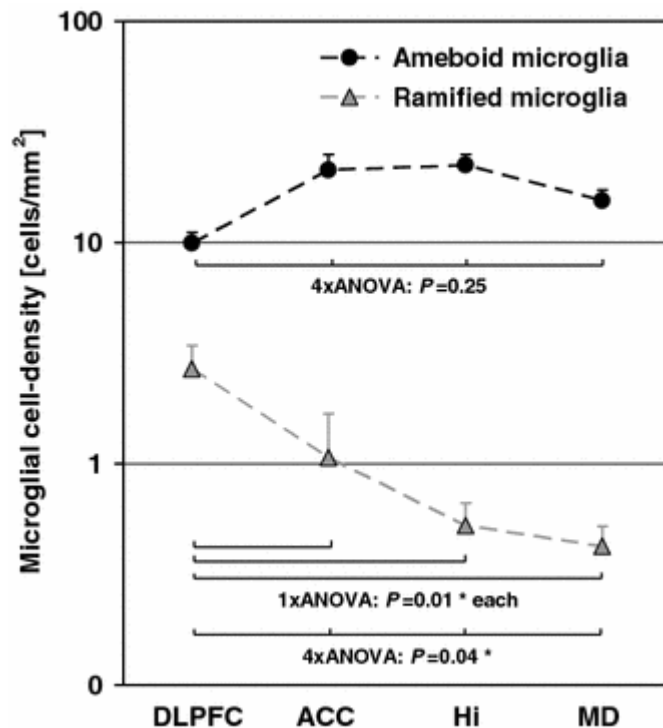
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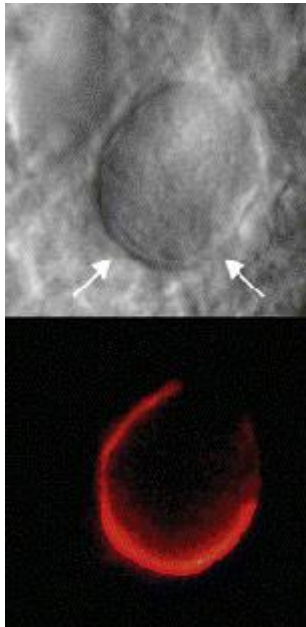
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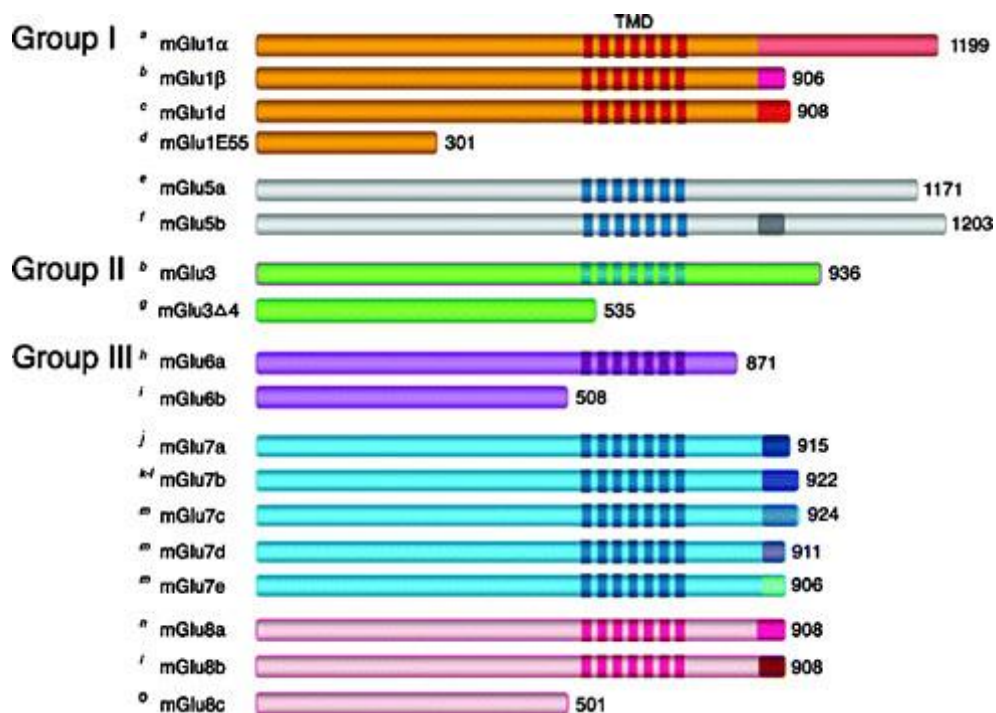
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Authors are responsible for correctness of the statements provided in the manuscript. See also Authorship Principles. The Editor-in-Chief reserves the right to reject submissions that do not meet the guidelines described in this section.

Research involving human participants, their data or biological material

Ethics approval

When reporting a study that involved human participants, their data or biological material, authors should include a statement that confirms that the study was approved (or granted exemption) by the appropriate institutional and/or national research ethics committee (including the name of the ethics committee) and certify that the study was performed in accordance with the ethical standards as laid down in the 1964 Declaration of Helsinki and its later amendments or comparable ethical standards. If doubt exists whether the research was conducted in accordance with the 1964 Helsinki Declaration or comparable standards, the authors must explain the reasons for their approach, and demonstrate that an independent ethics committee or institutional review board explicitly approved the doubtful aspects of the study. If a study was

granted exemption from requiring ethics approval, this should also be detailed in the manuscript (including the reasons for the exemption).

Retrospective ethics approval

If a study has not been granted ethics committee approval prior to commencing, retrospective ethics approval usually cannot be obtained and it may not be possible to consider the manuscript for peer review. The decision on whether to proceed to peer review in such cases is at the Editor's discretion.

Ethics approval for retrospective studies

Although retrospective studies are conducted on already available data or biological material (for which formal consent may not be needed or is difficult to obtain) ethics approval may be required dependent on the law and the national ethical guidelines of a country. Authors should check with their institution to make sure they are complying with the specific requirements of their country.

Ethics approval for case studies

Case reports require ethics approval. Most institutions will have specific policies on this subject. Authors should check with their institution to make sure they are complying with the specific requirements of their institution and seek ethics approval where needed. Authors should be aware to secure informed consent from the individual (or parent or guardian if the participant is a minor or incapable) See also section on **Informed Consent**.

Cell lines

If human cells are used, authors must declare in the manuscript: what cell lines were used by describing the source of the cell line, including when and from where it was obtained, whether the cell line has recently been authenticated and by what method. If cells were bought from a life science company the following need to be given in the manuscript: name of company (that provided the cells), cell type, number of cell line, and batch of cells.

It is recommended that authors check the [NCBI database](#) for misidentification and contamination of human cell lines. This step will alert authors to possible problems with the cell line and may save considerable time and effort.

Further information is available from the [International Cell Line Authentication Committee](#) (ICLAC).

Authors should include a statement that confirms that an institutional or independent ethics committee (including the name of the ethics committee) approved the study and that informed consent was obtained from the donor or next of kin.

Research Resource Identifiers (RRID)

Research Resource Identifiers (RRID) are persistent unique identifiers (effectively similar to a DOI) for research resources. This journal encourages authors to adopt RRIDs when reporting key biological resources (antibodies, cell lines, model organisms and tools) in their manuscripts.

Examples:

Organism: *Filip1^{tm1a(KOMP)Wtsi}* **RRID:MMRRC_055641-UCD**

Cell Line: RST307 cell line **RRID:CVCL_C321**

Antibody: Luciferase antibody DSHB Cat# LUC-3, **RRID:AB_2722109**

Plasmid: mRuby3 plasmid **RRID:Addgene_104005**

Software: ImageJ Version 1.2.4 **RRID:SCR_003070**

RRIDs are provided by the [Resource Identification Portal](#). Many commonly used research resources already have designated RRIDs. The portal also provides authors links so that they can quickly [register a new resource](#) and obtain an RRID.

Clinical Trial Registration

The World Health Organization (WHO) definition of a clinical trial is "any research study that prospectively assigns human participants or groups of humans to one or more health-related interventions to evaluate the effects on health outcomes". The WHO defines health interventions as "A health intervention is an act performed for, with or on behalf of a person or population whose purpose is to assess, improve, maintain, promote or modify health, functioning or health conditions" and a health-related outcome is generally defined as a change in the health of a person or population as a result of an intervention.

To ensure the integrity of the reporting of patient-centered trials, authors must register prospective clinical trials (phase II to IV trials) in suitable publicly available repositories. For example www.clinicaltrials.gov or any of the primary registries that participate in the [WHO International Clinical Trials Registry Platform](#).

The trial registration number (TRN) and date of registration should be included as the last line of the manuscript abstract.

For clinical trials that have not been registered prospectively, authors are encouraged to register retrospectively to ensure the complete publication of all results. The trial registration number (TRN), date of registration and the words 'retrospectively registered' should be included as the last line of the manuscript abstract.

Standards of reporting

Springer Nature advocates complete and transparent reporting of biomedical and biological research and research with biological applications. Authors are recommended to adhere to the minimum reporting guidelines hosted by the [EQUATOR Network](#) when preparing their manuscript.

Exact requirements may vary depending on the journal; please refer to the journal's Instructions for Authors.

Checklists are available for a number of study designs, including:

Randomised trials ([CONSORT](#)) and Study protocols ([SPIRIT](#))

Observational studies ([STROBE](#))

Systematic reviews and meta-analyses ([PRISMA](#)) and protocols ([Prisma-P](#))

Diagnostic/prognostic studies ([STARD](#)) and ([TRIPOD](#))

Case reports ([CARE](#))

Clinical practice guidelines ([AGREE](#)) and ([RIGHT](#))

Qualitative research ([SRQR](#)) and ([COREQ](#))

Animal pre-clinical studies ([ARRIVE](#))

Quality improvement studies ([SQUIRE](#))

Economic evaluations ([CHEERS](#))

Summary of requirements

The above should be summarized in a statement and placed in a 'Declarations' section before the reference list under a heading of 'Ethics approval'.

Examples of statements to be used when ethics approval has been obtained:

- All procedures performed in studies involving human participants were in accordance with the ethical standards of the institutional and/or national research committee and with the 1964 Helsinki Declaration and its later amendments or comparable ethical standards. The study was approved by the Bioethics Committee of the Medical University of A (No. ...).
- This study was performed in line with the principles of the Declaration of Helsinki. Approval was granted by the Ethics Committee of University B (Date.../No. ...).

- Approval was obtained from the ethics committee of University C. The procedures used in this study adhere to the tenets of the Declaration of Helsinki.
- The questionnaire and methodology for this study was approved by the Human Research Ethics committee of the University of D (Ethics approval number: ...).

Examples of statements to be used for a retrospective study:

- Ethical approval was waived by the local Ethics Committee of University A in view of the retrospective nature of the study and all the procedures being performed were part of the routine care.
- This research study was conducted retrospectively from data obtained for clinical purposes. We consulted extensively with the IRB of XYZ who determined that our study did not need ethical approval. An IRB official waiver of ethical approval was granted from the IRB of XYZ.
- This retrospective chart review study involving human participants was in accordance with the ethical standards of the institutional and national research committee and with the 1964 Helsinki Declaration and its later amendments or comparable ethical standards. The Human Investigation Committee (IRB) of University B approved this study.

Examples of statements to be used when no ethical approval is required/exemption granted:

- This is an observational study. The XYZ Research Ethics Committee has confirmed that no ethical approval is required.
- The data reproduced from Article X utilized human tissue that was procured via our Biobank AB, which provides de-identified samples. This study was reviewed and deemed exempt by our XYZ Institutional Review Board. The BioBank protocols are in accordance with the ethical standards of our institution and with the 1964 Helsinki declaration and its later amendments or comparable ethical standards.

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the right to reject submissions that do not meet the guidelines described in this section.

Informed consent

All individuals have individual rights that are not to be infringed. Individual participants in studies have, for example, the right to decide what happens to the (identifiable) personal data gathered, to what they have said during a study or an interview, as well as to any photograph that was taken. This is especially true concerning images of vulnerable people (e.g. minors, patients, refugees, etc) or the use of images in sensitive contexts. In many instances authors will need to secure written consent before including images.

Identifying details (names, dates of birth, identity numbers, biometrical characteristics (such as facial features, fingerprint, writing style, voice pattern, DNA or other distinguishing characteristic) and other information) of the participants that were studied should not be published in written descriptions, photographs, and genetic profiles unless the information is essential for scholarly purposes and the participant (or parent/guardian if the participant is a minor or incapable or legal representative) gave written informed consent for publication. Complete anonymity is difficult to achieve in some cases. Detailed descriptions of individual participants, whether of their whole bodies or of body sections, may lead to disclosure of their identity. Under certain circumstances consent is not required as long as information is anonymized and the submission does not include images that may identify the person.

Informed consent for publication should be obtained if there is any doubt. For example, masking the eye region in photographs of participants is inadequate protection of anonymity. If identifying characteristics are altered to protect anonymity, such as in genetic profiles, authors should provide assurance that alterations do not distort meaning.

Exceptions where it is not necessary to obtain consent:

- Images such as x rays, laparoscopic images, ultrasound images, brain scans, pathology slides unless there is a concern about identifying information in which case, authors should ensure that consent is obtained.

- Reuse of images: If images are being reused from prior publications, the Publisher will assume that the prior publication obtained the relevant information regarding consent. Authors should provide the appropriate attribution for republished images.

Consent and already available data and/or biologic material

Regardless of whether material is collected from living or dead patients, they (family or guardian if the deceased has not made a pre-mortem decision) must have given prior written consent. The aspect of confidentiality as well as any wishes from the deceased should be respected.

Data protection, confidentiality and privacy

When biological material is donated for or data is generated as part of a research project authors should ensure, as part of the informed consent procedure, that the participants are made aware what kind of (personal) data will be processed, how it will be used and for what purpose. In case of data acquired via a biobank/biorepository, it is possible they apply a broad consent which allows research participants to consent to a broad range of uses of their data and samples which is regarded by research ethics committees as specific enough to be considered "informed". However, authors should always check the specific biobank/biorepository policies or any other type of data provider policies (in case of non-bio research) to be sure that this is the case.

Consent to Participate

For all research involving human subjects, freely-given, informed consent to participate in the study must be obtained from participants (or their parent or legal guardian in the case of children under 16) and a statement to this effect should appear in the manuscript. In the case of articles describing human transplantation studies, authors must include a statement declaring that no organs/tissues were obtained from prisoners and must also name the institution(s)/clinic(s)/department(s) via which organs/tissues were obtained. For manuscripts reporting studies involving vulnerable groups where there is the potential for coercion or where consent may not have been fully informed, extra care will be taken by the

editor and may be referred to the Springer Nature Research Integrity Group.

Consent to Publish

Individuals may consent to participate in a study, but object to having their data published in a journal article. Authors should make sure to also seek consent from individuals to publish their data prior to submitting their paper to a journal. This is in particular applicable to case studies. A consent to publish form can be found

[here. \(Download docx, 36 kB\)](#)

Summary of requirements

The above should be summarized in a statement and placed in a 'Declarations' section before the reference list under a heading of 'Consent to participate' and/or 'Consent to publish'. Other declarations include Funding, Competing interests, Ethics approval, Consent, Data and/or Code availability and Authors' contribution statements.

Please see the various examples of wording below and revise/customize the sample statements according to your own needs.

Sample statements for "**Consent to participate**":

Informed consent was obtained from all individual participants included in the study.

Informed consent was obtained from legal guardians.

Written informed consent was obtained from the parents.

Verbal informed consent was obtained prior to the interview.

Sample statements for "**Consent to publish**":

The authors affirm that human research participants provided informed consent for publication of the images in Figure(s) 1a, 1b and 1c.

The participant has consented to the submission of the case report to the journal.

Patients signed informed consent regarding publishing their data and photographs.

Sample statements if identifying information about participants is available in the article:

Additional informed consent was obtained from all individual participants for whom identifying information is included in this article.

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Images will be removed from publication if authors have not obtained informed consent or the paper may be removed and replaced with a notice explaining the reason for removal.

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Research Data Policy and Data Availability Statements

This journal operates a [type 2 research data policy](#) (life sciences). A submission to the journal implies that materials described in the manuscript, including all relevant raw data, will be freely available to any researcher wishing to use them for non-commercial purposes, without breaching participant confidentiality.

The journal strongly encourages that all datasets on which the conclusions of the paper rely should be available to readers. We encourage authors to ensure that their datasets are either deposited in publicly available repositories (where available and appropriate) or presented in the main manuscript or additional supporting files whenever possible. Please see Springer Nature's information on recommended repositories.

[List of Repositories](#)

Research Data Policy

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DataCite

Where a widely established research community expectation for data archiving in public repositories exists, submission to a community-endorsed, public repository is mandatory. Persistent identifiers (such as DOIs and accession numbers) for relevant datasets must be provided in the paper.

If the journal that you're submitting to uses double-blind peer review and you are providing reviewers with access to your data (for example via a repository link, supplementary information or data on request), it is strongly suggested that the authorship in the data is also blinded. There are [data repositories that can assist with this](#) and/or will create a link to mask the authorship of your data.

For the following types of data set, submission to a community-endorsed, public repository is mandatory:

Mandatory deposition	Suitable repositories
Protein sequences	Uniprot
DNA and RNA sequences	Genbank DNA DataBank of Japan (DDBJ) EMBL Nucleotide Sequence Database (ENA)
DNA and RNA sequencing data	NCBI Trace Archive NCBI Sequence Read Archive (SRA)
Genetic polymorphisms	dbSNP dbVar European Variation Archive (EVA)
Linked genotype and phenotype data	dbGAP The European Genome-phenome Archive (EGA)
Macromolecular structure	Worldwide Protein Data Bank (wwPDB) Biological Magnetic Resonance Data Bank (BMRB) Electron Microscopy Data Bank (EMDB)
Microarray data (must be MIAME compliant)	Gene Expression Omnibus (GEO) ArrayExpress
Crystallographic data for small molecules	Cambridge Structural Database

Data availability

The journal encourages authors to provide a statement of Data availability in their article. Data availability statements should include information on where data supporting the results reported in the article can be found, including, where applicable, hyperlinks to publicly archived datasets analysed or generated during the study. Data availability statements can also indicate whether data are available on request from the authors and where no data are available, if appropriate.

Data Availability statements can take one of the following forms (or a combination of more than one if required for multiple datasets):

- 1. The datasets generated during and/or analysed during the current study are available in the [NAME] repository, [PERSISTENT WEB LINK TO DATASETS]
- 2. The datasets generated during and/or analysed during the current study are not publicly available due [REASON WHY DATA

ARE NOT PUBLIC] but are available from the corresponding author on reasonable request.

- 3. The datasets generated during and/or analysed during the current study are available from the corresponding author on reasonable request.
- 4. Data sharing not applicable to this article as no datasets were generated or analysed during the current study.
- 5. All data generated or analysed during this study are included in this published article [and its supplementary information files].

More examples of template data availability statements, which include examples of openly available and restricted access datasets, are available:

[Data availability statements](#)

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