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# Surgical Resection of High-Grade Gliomas

Thesis for the degree of Philosophiae Doctor

Trondheim, April 2012

Norwegian University of Science and Technology

Faculty of Medicine

Department of Laboratory Medicine,

Children's and Women's Health



**NTNU – Trondheim**  
Norwegian University of  
Science and Technology

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ISBN 978-82-471-3488-7 (printed ver.)  
ISBN 978-82-471-3489-4 (electronic ver.)  
ISSN 1503-8181

Doctoral theses at NTNU, 2012:105

Printed by NTNU-trykk

## Reseksjon av høygradige gliomer

Høygradige gliomer er den vanligste formen for primær hjernesvulst. Glioblastomer (Verdens Helseorganisasjon grad IV) og anaplastiske astrocytomer (Verdens Helseorganisasjon grad III) utgjør mellom 70 og 85 % av høygradige gliomer. Høygradige gliomer er assosiert med både høy morbiditet og mortalitet. Nærmest alle pasienter med høygradige gliomer opplever tilbakefall og dør som følge av sykdommen. Til tross for kirurgi, strålebehandling og cellegift, er median overlevelse for pasienter med glioblastom fremdeles under 12 måneder. For pasienter med anaplastisk astrocytom er median overlevelse 2 til 3 år.

Høygradige gliomer infiltrerer omkringliggende hjernevev, og hensikten med kirurgi er, foruten å histopatologisk verifisere diagnosen, å fjerne så mye av svulsten som mulig uten å påføre pasienten nye eller økte nevrologiske utfall. I vår avdeling benytter vi et navigasjonssystem under operasjonene som nyttiggjør tredimensjonale preoperative MR-bilder og tredimensjonal ultralydavgivning under operasjonen. Dette navigasjonssystemet gjør at kirurgen til en hver tid kan se posisjonen til sine instrumenter i forhold til hjernen og svulsten. Ved hjelp av funksjonell MR (eller mer presist *blood-oxygenation-level-dependent functional magnetic resonance imaging*) og diffusjon tensor traktografi (DTT) kan en henholdsvis kartlegge viktige områder i hjernens grå og hvite substans før operasjonen. Disse undersøkelsene utføres som regel når svulster ligger i nær relasjon til ekstra følsomme områder av hjernen (for eksempel språkområder og viktige områder for bevegelse). Informasjon fra disse undersøkelsene kan også importeres i navigasjonssystemet som benyttes under operasjonen.

I de to første studiene i denne avhandlingen ønsket vi å undersøke hvordan funksjonell MR og DTT ble brukt i preoperative vurderinger. Vi evaluerte om funksjonell MR og DTT i kombinasjon med tredimensjonal ultralydavgivning under operasjonen la forholdene til rette for skånsom fjerning av høygradige gliomer beliggende i ekstra følsomme områder av hjernen. I den tredje studien undersøkte vi konsekvensene av kirurgiske komplikasjoner og nevrologiske utfall som følge av kirurgi på

glioblastompasienters funksjonsnivå og overlevelse. Videre gjorde vi volumetriske analyser for å beregne hvor mye svulstvev vi klarte å fjerne hos pasienter med primære glioblastomer behandlet i vår avdeling. I den fjerde studien undersøkte vi om det var noen sammenheng mellom overlevelse og fall i selvrapportert livskvalitet kort tid etter kirurgi hos pasienter med glioblastomer. Den femte studien var basert på data fra Kreftregisteret og undersøkte overlevelse og behandling blant eldre pasienter ( $\geq 66$  år) med glioblastomer over en tyve års periode.

Hovedfunnene i denne avhandlingen er:

- Kombinasjonen av funksjonell MR, DTT og tredimensjonal ultralydabildning kan være nyttig når en utfører kirurgisk reseksjon av høygradige gliomer beliggende i ekstra følsomme områder av hjernen.
- Pasienter som opplevde komplikasjoner og nevrologiske utfall som følge av kirurgi hadde lavere sannsynlighet for å motta strålebehandling og kjemoterapi.
- Tidlig fall i helse relatert livskvalitet etter kirurgi synes å være en sterk og uavhengig negativ prognostisk faktor for pasienter med glioblastom.
- Økende alder er en sterk og uavhengig negativ prognostisk faktor for pasienter med glioblastom. Selv om det har vært en intensivering av behandling over tid, har gevinsten i den eldste aldersgruppen vært begrenset. Prognosen for de eldste er fremdeles svært dårlig til tross for multimodal behandling.

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## **Surgical Resection of High-Grade Gliomas**

High-grade gliomas are the most common primary brain tumour. Glioblastomas (World Health Organization Grade IV) and anaplastic astrocytomas (World Health Organization Grade III) account for 70-85% of high-grade gliomas. High-grade gliomas are associated with high morbidity and mortality. Virtually all patients with high-grade glioma will experience recurrence and will eventually die from progressing disease. Despite surgery, radiotherapy, and chemotherapy, median survival in patients with glioblastoma still does not exceed 12 months. The median survival for patients with anaplastic astrocytoma (AA) has been reported to be between 2 and 3 years. According to current guidelines, surgery is warranted to establish a histopathologic diagnosis and to achieve safe, maximal, and feasible resection. However, these aggressive tumours cannot be cured and overly aggressive resection is not recommended due to the risk of new neurological deficits. High-grade glioma surgery is a delicate balance between achieving maximal tumour resection and inducing new deficits.

In our department a neuronavigation system based on preoperative 3D magnetic resonance imaging (MRI) and intraoperative 3D ultrasound is utilised when resecting high-grade gliomas. Blood-oxygenation-level-dependent functional magnetic resonance imaging (BOLD fMRI) and diffusion tensor tractography (DTT) are specialized MRI techniques for imaging eloquent cortices and neural tracts in grey and white matter, respectively. The neuronavigation system allows the integration of BOLD fMRI and DTT data if the tumours are located in eloquent regions.

In the two first studies of this thesis we sought to investigate the use of BOLD fMRI and DTT for preoperative assessments and determine whether using these data together with 3D intraoperative ultrasound enabled safe resection of high-grade gliomas situated in eloquent regions. In the third study we wanted to explore the impact of surgical morbidity on functional outcome and survival in GBM patients. Further, we sought to determine extent of tumour resection achieved in a consecutive sample of primary GBM from our own department. In the fourth study we wanted to determine if changes in

health related quality of life early after surgery could be a predictor for survival in patients with glioblastoma. The aims of the fifth study were to explore survival and the treatment provided to elderly patients ( $\geq 66$  years) diagnosed with glioblastoma during a 20-year time period in a population-based cohort using the Norwegian Cancer Registry.

This thesis investigated the role of surgical resection in the treatment of high-grade gliomas and the following conclusions can be drawn:

- The combination of BOLD fMRI, DTT, and 3D intraoperative ultrasound may facilitate resection of high-grade gliomas harboured in eloquent areas while preserving motor and language function.
- Functional neuronavigation combined with intraoperative 3D ultrasound can, in most patients, enable resection of brain lesions with general anaesthesia without jeopardizing neurological function.
- Patients with perioperative complications and surgically acquired deficits were less likely to receive adjuvant therapy.
- Early deterioration in HRQL after surgery was independently and markedly associated with impaired survival in patients with glioblastoma.
- Advancing age remains a very strong and independent negative prognostic factor in glioblastoma. Although there has been an increase in the aggressiveness of treatment provided to elderly with glioblastoma, the gain for the oldest age group seems at best very modest. The prognosis of the oldest age group remains very poor, despite multimodal treatment.

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## Acknowledgements

The research presented in this thesis was performed while I was working full time as a resident at the Department of Neurosurgery, St. Olavs Hospital in the period 2007-2011. Financial support was provided by Sparebanken Møre, The Blix Family Fund for Medical Research, and the Liaison Committee between the Central Norway Regional Health Authority and the Norwegian University of Science and Technology. I am indebted to my supervisor, Professor Sverre H. Torp, for his continuous support and advice that made this work possible. I am very thankful to my second supervisor, Dr. Ole Solheim, for his expertise in the field of neurosurgery and ability to propose original hypotheses in combination with feasible methodological approaches.

Many other colleagues have contributed to this thesis in different ways, particularly: Professor Geirmund Unsgård, for always encouraging and facilitating scientific work, Dr. Johan Cappelen, for giving and keeping me in my job, Dr. Asgeir S. Jakola, for his enthusiasm and constructive feedback, and Dr. Erik M. Berntsen, for his knowledge and experience of functional neuroimaging. I am thankful to my co-authors Ulf S. Nerland, Clemens Weber, Asta Håberg, Tom B. Johannesen, Tormod Selbekk, and Kjell A. Kvistad. I would like to express my gratitude to everyone at the Department of Neurosurgery for providing such a positive working environment.

I would like to thank my parents, Anjali and Gurcharan, and my brother, Michel, for their unconditional support. Above all, I am deeply grateful to my wife Agnete for her patience. She has pushed and encouraged my research and talked me through my uncertainties and confusions about it. And she made writing this thesis possible alongside everything else in our life. Our son, Mateo, is the sunshine of my life.

Trondheim, January 2012

Sasha Gulati

## List of Publications

1. Surgical resection of high-grade gliomas in eloquent regions guided by blood oxygenation level dependent functional magnetic resonance imaging, diffusion tensor tractography, and intraoperative navigated 3D ultrasound **Gulati S, Berntsen EM, Solheim O, Kvistad KA, Håberg A, Selbekk T, Torp SH, Unsgård G; *Minimally Invasive Neurosurgery 2009***
2. Functional magnetic resonance imaging and diffusion tensor tractography incorporated into an intraoperative 3-dimensional ultrasound-based neuronavigation system: impact on therapeutic strategies, extent of resection, and clinical outcome **Berntsen EM, Gulati S, Solheim O, Kvistad KA, Torp SH, Selbekk T, Unsgård G, Håberg AK; *Neurosurgery 2010***
3. The risk of getting worse: Surgically acquired deficits, perioperative complications and functional outcomes after primary resection of glioblastoma **Gulati S, Jakola AS, Nerland US, Weber C, Solheim O; *World Neurosurgery 2011***
4. Postoperative deterioration in health related quality of life as predictor for survival in patients with glioblastoma: a prospective study **Jakola AS, Gulati S, Weber C, Unsgård G, Solheim O; *PLoS ONE 2011***
5. Survival and treatment patterns in elderly patients with glioblastoma – A population based study **Gulati S, Jakola AS, Johannesen TB, Solheim O; *World Neurosurgery 2012***

## **Abbreviations**

AA = Anaplastic astrocytoma  
5-ALA = 5-aminolevulinic acid  
BOLD = Blood Oxygenation Level Dependent  
CNS = Central nervous system  
CT = Computer-assisted tomography  
CUSA = Cavitron ultrasonic aspirator  
DTI = Diffusion Tensor Imaging  
DTT = Diffusion Tensor Tractography  
fMRI = Functional Magnetic Resonance Imaging  
GBM = Glioblastoma  
HRQL = Health related quality of life  
KPS = Karnofsky Performance Status  
LEAD = Lesion-to-Eloquent-Area Distance  
MRI = Magnetic Resonance Imaging  
mRS = Modified Rankin Scale  
PFS = Progression-free survival  
PRO = Patient reported outcome  
RCT = Randomized controlled trial



# **Introduction**

## **The Task at Hand**

High-grade gliomas are the most common primary brain tumours (139). Glioblastomas and anaplastic astrocytomas account for 70-85% of high-grade gliomas (134). The work presented in this thesis focuses on anaplastic astrocytomas and glioblastomas, collectively often referred to as high-grade astrocytomas. They are associated with tremendous morbidity and virtually all patients will experience recurrence and die of progressive disease despite maximal therapeutic efforts.

The median survival for patients with anaplastic astrocytoma (AA) has been reported to be between 2 and 3 years (69, 74). The majority of glioblastoma (GBM) patients, particularly the elderly, succumb to the disease within a year (69, 74). Even with maximal surgical resections using modern technical aids, and despite advances in radiotherapy and chemotherapy, the prognosis remains dismal.

## **Classification of High-Grade Astrocytomas**

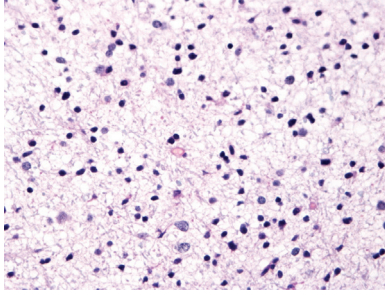
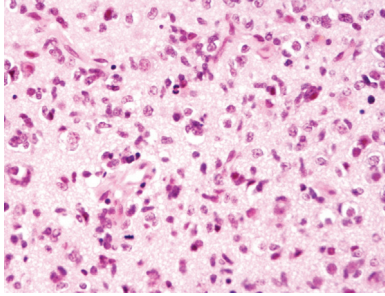
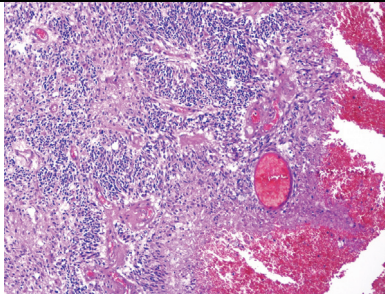
Gliomas arise from glial supportive tissue of the brain including astrocytes, oligodendrocytes, or ependymal cells (74). The astrocytic tumours represent the majority of the gliomas and show a wide range of differentiation and histopathological features. The World Health Organization (WHO) classifies astrocytomas on the basis of histologic features into four prognostic grades (74): grade I (pilocytic astrocytoma), grade II (diffuse astrocytoma), grade III (anaplastic astrocytoma), and grade IV (glioblastoma). Anaplastic astrocytoma and glioblastoma are commonly referred to as high-grade or malignant astrocytomas. Pilocytic astrocytomas are regarded as non-infiltrating and are distinguished from the other forms by their particular pathological appearance and benign behaviour. They occur in children and young adults and are

usually located in the midline in structures such as the cerebellum, brain stem, hypothalamus, and optic nerves. WHO grade II, III, and IV astrocytomas, collectively also termed diffuse infiltrating astrocytomas, have a high recurrence rate due to the high propensity of infiltrating adjacent brain tissue. In addition, they have an intrinsic tendency to become more malignant over time, so a recurrent tumour is frequently of a higher malignancy grade. Actually, these tumours can be viewed as a continuum along an axis of increasing malignancy.

The histological malignancy grading is based on the following features: cellularity, atypia, mitotic activity, necrosis, and microvascular proliferation. In Table 1 typical images and descriptions of diffuse astrocytomas grade II-IV are presented. Increasing malignancy is characterized by increasing cellularity, increasing number of mitoses, and cellular and nuclear atypia. Presence of microvascular proliferation and/or necrosis justifies the diagnosis of glioblastoma. Secondary glioblastomas develop from grade II or III astrocytomas, whereas primary or de novo glioblastomas occur without any previous history of a less malignant lesion. Amplification and overexpression of the epidermal growth factor receptor gene is the major genetic pathway in development of the secondary glioblastomas, whereas tumour protein 53 gene mutations are important in the development of primary glioblastomas (56). Typical routes of high-grade astrocytoma infiltration are the corpus callosum, internal capsule, fornix, anterior commissure, and optic radiation. On the other hand, glioblastomas tend not to grow into the leptomeninges and thus rarely metastasize via cerebrospinal fluid. Invasion of the dura, venous sinuses, and bone is also exceptional, and distant metastases are extremely rare (4, 8, 74).

The histopathological diagnostics of diffuse astrocytomas can be challenging, and despite histopathological criteria given by the WHO, considerable interobserver variability exists. While there is usually a good concordance in diagnosis for glioblastomas between pathologists, disagreement in more than 30% of samples is common for anaplastic astrocytomas (120).

Table 1. WHO classification system for diffuse astrocytomas WHO grade II-IV (Photos provided by Prof. S. H. Torp)

Grade II	<p>Moderate cell density                  Minor nuclear atypies                  Minor mitotic figures                  No necrotic areas</p>	
Grade III	<p>High cell density                  Moderate nuclear atypies                  High rate of mitotic figures                  No necrotic areas</p>	
Grade IV	<p>High cell density                  High rate of nuclear atypies                  High rate of mitotic figures                  High rate of necrotic areas                  Microvascular proliferations</p>	

## **Epidemiologic Features**

The incidence of WHO grade III and IV gliomas is approximately 5-7 cases per 100,000 people per year (134, 136). Annually, approximately 25 adult patients are operated for primary GBM in our department (paper 3). Improved and more readily available neuroimaging may have slightly increased the incidence of malignant glioma, especially in the elderly (35). The incidence of GBM increases with advancing age, peaking between the ages of 65 to 84 (139). In the age group 65-74 the incidence is 13 per 100,000 person-years and in the age group 75-84 it is 15 per 100,000 person-years (80). The mean age of primary GBM patients operated in our department between 2004 and 2009 was 62 years (paper 3). For secondary GBM, the mean age is about 45 years (1). The median age of patients at the time of diagnosis is 45 years in the case of anaplastic gliomas (134). Malignant gliomas are rare in childhood, comprising between 6-9% of all intracranial neoplastic disorders in the pediatric population (18, 32).

In most patients with malignant astrocytomas no underlying cause can be identified. Inherited syndromes such as neurofibromatosis types 1 and 2, tuberous sclerosis, Cowden's disease, Turcot's syndrome, and Li-Fraumeni syndrome, predispose to developing astrocytomas (120, 134, 138). Age at diagnosis and Karnofsky performance score (KPS) are important and established prognostic factors in high grade glioma patients (36, 63). The only proven environmental risk factor for gliomas is exposure to ionizing radiation (35). Evidence for an association with occupational risk factors, use of cellular phones, certain foods, and exposure to electromagnetic fields is inconclusive (35, 41, 64, 134). Interestingly, an inverse association between atopy and the risk of glioma has been observed (71).

## **Clinical features**

High-grade gliomas produce symptoms by a combination of focal neurologic deficits from compression and infiltration of the surrounding brain and raised intracranial pressure. Most patients with high-grade gliomas present with headaches, progressive



sensorimotor neurologic deficits, cognitive changes, or seizures (13). Corticosteroids are often administered before surgery to relieve tumour symptoms and improve neurological symptoms.

### **Neuroimaging**

Imaging with CT or MRI will show a localized expansive process with associated oedema (120). On CT, GBM frequently present as irregularly shaped lesions with a peripheral ring-like area of contrast enhancement around a hypodense central area of necrosis. On enhanced MR images, the contrast-enhancing ring structure in GBM represents the cellular and highly vascularized peripheral area of the neoplasm and the dark centre corresponds to necrosis. Anaplastic astrocytomas often present as ill-defined masses with partial contrast enhancement, although both intense enhancement and non-enhancement can be seen. Differential diagnoses for malignant gliomas include abscesses, metastases, primary central nervous system lymphomas, and other primary brain tumours (120). Proton MR spectroscopy is based on the measured intensity of several metabolites. This modality can be a useful supplement for differentiating gliosis or radiation necrosis from recurrent tumour in patients where repeated resection is considered (34).

High-grade astrocytomas are larger than seen by any modern imaging technology, and the actual extension of a tumour is typically beyond what is indicated by CT and MR imaging. The greatest numbers of tumour cells can be found within the MRI-defined abnormality. However, stereotactic serial biopsies have shown that isolated tumour cells coexist with intact parenchyma in the peritumoural oedema surrounding the contrast-enhancing area and as far as 7 cm from any MRI-defined abnormality (54). This means that tumour cells coexist with functional brain parenchyma, and that there usually is no defined border between infiltrated parenchyma and normal brain.

## **Treatment**

The first reported instance of surgery for cerebral glioma appears to have been performed by Godlee and Bennett in 1884 in London, England (9). Initially the patient did well, following what was considered to be a complete removal of a subcortical tumour, but succumbed to infectious complications on the 28th postoperative day. At this time there were no radiographic tests available. The preoperative localization of the tumour and the technical details of the procedure were graphically described by the authors since they felt that the localization of the tumour and its removal 'without any immediate injurious effects on the intelligence and general condition of the patient' were the main features of interest. In the following years, pioneers of neurosurgery such as Horsley, Cushing, Mackenzie, and Dandy presented a diversity of technical approaches and operative recommendations for gliomas (102). In the early twentieth century, meticulous hemostasis was introduced by Cushing with his development of the vascular clip and the electrocautery. This led to a progressive decline in operative mortality (68). The next major advance was the advent of radiographic imaging, first with ventriculography introduced by Dandy and then with the discovery of cerebral angiography by Moniz and Lima (102). Over the past 40-50 years we have seen the introduction of technological appliances such as the operating microscope, image-guided surgery, ultrasonic imaging, volumetric stereotaxy, intraoperative CT and MR imaging, and fluorescence guided surgery (53). These discoveries have further contributed to reduce perioperative morbidity and mortality rates (86).

Current treatments for patients with malignant glioma include surgery, radiation therapy, and chemotherapy. Surgery has become the cornerstone in the initial treatment of high-grade gliomas, and is the most efficient method for the reduction of tumour burden available. There is now level 2b data (Oxford Centre for Evidence-based Medicine) showing that gross total resection (resection of contrast enhancing tissue on T1 MRI) prolongs survival (116). According to current guidelines surgery is warranted to establish a histopathologic diagnosis and to achieve safe, maximal, and feasible resection (20, 27, 29, 36, 78, 106). However, these aggressive tumours are only rarely cured (24) and overly aggressive resection is not recommended due to the risk of new

neurological deficits. High-grade glioma surgery is a delicate balance between achieving maximal tumour resection and inducing new deficits.

Radiotherapy has been shown to add several months to survival (61, 133), and has become part of the standard of care. Postoperative fractionated external-beam radiotherapy is routine. It is usually administered as 60 Gy in 30 fractions over a period of about six weeks. Evidence supporting the use of radiotherapy in the elderly was provided by a randomized controlled trial (RCT) where patients who underwent surgery were allocated to radiotherapy or supportive care only (51). This study from 2007 showed that patients above 70 years with Karnofsky performance status score  $\geq 70$  undergoing radiotherapy may experience a modest survival benefit compared to supportive care (median 29.1 vs. 16.9 weeks). Less aggressive radiotherapy protocols have been advocated in older patients. An RCT in patients 60 years or older compared standard normofractionated radiotherapy (60 Gy in 30 fractions over 6 weeks) to a hypofractionated regimen (40 Gy in 15 fractions over 3 weeks) and found similar survival in the two groups (97). In a younger, fairly unselected population (<70 years), lower radiotherapy doses (45 Gy over 4 weeks vs. 60 Gy over 6 weeks) were associated with both inferior progression-free and overall survival (14).

In 2005 Stupp et al published an RCT comparing radiotherapy alone with radiotherapy plus the alkylating agent temozolomide (119). The addition of temozolomide to radiotherapy showed a survival benefit with little additional toxicity. Median survival was 14.6 months with radiotherapy and temozolomide, and 12.1 months with radiotherapy alone. This in turn resulted in a shift from the intravenously administered PCV treatment to the orally administered temozolomide.

Recurrent tumour is more difficult to treat. These patients may be considered for surgery again if they have a good performance status (43). Re-do radiotherapy may be an option in selected patients, although increased toxicity may be a problem. Many neuro-oncologists recommend re-do adjuvant temozolomide in patients who did not progress while on their first course of chemotherapy (1).

## **Surgical Procedures**

All craniotomies are performed in general anaesthesia without intraoperative electrocortical mapping. The patient's head rests in a Mayfield frame system (OMI, Inc., Cincinnati, OH, USA) attached to a reference frame for neuronavigation. In our department the Sonowand® neuronavigation system, based on preoperative 3D MRI data and intraoperative 3D ultrasound is utilised when resecting malignant gliomas (38, 126). The 3D ultrasound volume is reconstructed from 100-200 2D images, created by making a recording over the area of interest with a tracked ultrasound probe. The preoperative MRI data are imported into the navigation system and used for surgical planning and resection guidance. Intraoperative 3D ultrasound can be used alone for navigation, but we usually register preoperative 3D MR volumes to the patient's head before commencing surgery. The neuronavigation system also allows the integration of high-quality blood oxygenation-level-dependent functional magnetic resonance imaging (BOLD fMRI) and diffusion tensor tractography (DTT) data if the tumours are located in eloquent regions (95).

There is always some inaccuracy when the preoperative images are registered to the patient (registration inaccuracy). In addition, there may be inaccuracy in the navigation system itself (technical inaccuracy). Moreover, craniotomies lead to a displacement or shift of intracranial structures. The main reasons for brain shift are removal of cerebrospinal fluid and tumour tissue. The brain shift is usually most pronounced at the cortical surface, whereas it is smaller in deeper structures of the brain. For 3D ultrasound, the registration inaccuracy is eliminated as both ultrasound acquisition and navigation based on 3D ultrasound volumes are performed in the same system. Updated intraoperative ultrasound volumes can be acquired several times during surgery in order to minimise and detect possible errors of brain shift.

The first ultrasound volume is usually acquired after the craniotomy has been performed and before opening of the dura. The multimodal 3D data sets from intraoperative ultrasound and preoperative MRI, BOLD fMRI, and DTT are used for resection control and guidance. The Cavitron ultrasonic aspirator (CUSA) is applied to fragment and

aspirate the tumours. If desired, an attached tracking frame can be used for tracking of the CUSA in the image volumes. The position of the tip and the trajectory of the CUSA can be monitored in the MRI and updated ultrasound volumes for close to real-time resection guidance. The navigation system also allows visualization of vessels based on recordings of power Doppler signals from the blood stream, which also may be of use in tumour operations (100).

Biopsies are useful for histopathological classification, although there is a risk of sampling error. Gliomas are often heterogeneous, and it is a concern that small tissue samples through a biopsy may not be representative of the tumour as a whole. A prospective study of patients undergoing biopsy first and then resection a few weeks later, found that biopsy correctly guided therapy in 91% of the patients (137). Biopsies are also performed when there is considerable doubt concerning the etiology of a brain lesion (e.g. glioma vs. lymphoma). If necessary, patients can undergo subsequent tumour resection after a biopsy procedure. Biopsy is considered a low risk procedure, with a morbidity rate from retrospective series of around 3.5% and a mortality rate of less than 1% (40). Biopsy may be preferred over resection in patients with poor functional performance status, of older age, or when the tumour is in an anatomically prohibitive location for resection (e.g. in deep regions), although the biopsy rates can vary much from centre to centre.

### **Functional Imaging and Mapping of Eloquent Brain Areas**

Eloquence can be defined as fluent, forcible, elegant or persuasive speaking. However in neurosurgery, the term has been adopted to describe regions of the brain that control speech, motor functions, and senses. Surgical resection of lesions surrounding the eloquent brain areas is often a challenge. In cases of high-grade astrocytomas located within or adjacent to the central sulcus, basal ganglia, and subcortical motor pathways, it is often hard to intraoperatively perceive the relationship between lesions and functional structures of the sensorimotor cortex and pyramidal tracts. Even in the normal brain there is variability between function and anatomy. In case of undistorted

anatomy, eloquent areas may be recognized using specific sulcal landmarks. As an example, hand-function can be located at the omega-shaped structure of the “hand region” in the precentral gyrus (143). Mass effect associated with high-grade gliomas can distort these common relations, making anatomy-based localization of functional areas more challenging. Functional regions may also be relocated to other brain areas, thereby changing the normal relationships between function and anatomy (130).

Intraoperative electrical motor cortex mapping and recording phase reversal of somatosensory evoked potentials have traditionally been considered as gold standard when performing surgery close to eloquent cortex. The classic procedure for language localization is intraoperative electrocortical mapping in awake and cooperative patients (90, 104). Motor mapping can be performed while the patient receives a general anaesthetic. These techniques do not assist in preoperative planning, and intraoperative mapping often requires a craniotomy larger than necessary with respect to the tumour to be resected (104, 130). In recent years the technique of preoperative mapping of functionally important brain areas has made advances. Positron emission tomography, functional magnetic resonance imaging (fMRI), and magnetoencephalography have been used as tools for the localization of sensorimotor cortex.

Blood oxygenation-level-dependent (BOLD) fMRI may be applied for mapping of eloquent cortices using colour-coded statistical parametric maps overlaid on the anatomical images of the brain. Diffusion tensor imaging (DTI) can be used for mapping of neural tracts in the white matter, which through an analysis called diffusion tensor tractography (DTT) can visualize the neural tracts as 3D fibre bundles. The information obtained through fMRI and DTT is matched and fused with high-resolution MR images. The integration of fMRI and DTI activation maps into neuronavigation is often referred to as “functional neuronavigation”.

The physical basis for the BOLD signal is provided by the properties of deoxyhemoglobin, which is paramagnetic and has the ability to influence the MRI signal (87). Changes in the level of deoxyhemoglobin compared to oxyhemoglobin will give rise to a variation in the measured MRI signal, known as the BOLD signal (88).

The physiological basis for the BOLD signal lies in changes of blood flow, volume, and level of oxygenation following neuronal activity, also referred to as the neurovascular coupling (16).

A BOLD fMRI investigation consists of several steps, starting with a patient inside an MRI-scanner performing particular tasks at given times while magnetic resonance images are acquired. These images then need to be pre-processed before statistical analyses are performed, in order to produce colour-coded statistical parametric activation maps. The activation maps are then co-registered to anatomical images. The process from image acquisition to interpreted functional maps consists of several steps each vulnerable to different sources of error (11, 17, 89, 130). Many stimulation paradigms have been used for preoperative mapping, the most commonly mapped functions being sensorimotor functions, language generation (often referred to as Broca's area), language perception (often referred to as Wernicke's area), and vision. It is important that the patient is able to lie still when solving the task, as movement of the head during scanning produces signal distortions. Motion is the most important reason for unsuccessful BOLD fMRI investigations (44, 59). The ability to correctly carry out the tasks may vary with patients' cognitive function and intracranial pathology. There are no standardized tasks, scanning procedures, administration of tasks, pre-processing or interpretation of activations for clinical applications of BOLD fMRI, which makes comparisons between publications difficult (121, 130).

The validity of fMRI in detecting sensorimotor activation has been evaluated in a number of studies (7, 98, 141, 144). One of the largest studies compared the results of fMRI motor areas co-registered into neuronavigation with electric cortical stimulation in 32 patients who underwent surgery for a brain tumour or for chronic pain (98). There was a good correlation between the two methods in 87% of the patients, and the authors found the fMRI data helpful in surgical planning and guiding intraoperative brain mapping. A similar study with 18 patients undergoing surgery for a brain tumour, found that the fMRI sensitivity for localizing the primary hand motor cortex detected by electrostimulation was 71% (7). The authors urge caution when using the results of fMRI in intraoperative navigation, and recommend that it is combined with electric

cortical stimulation. There are few studies focusing on validation of functional MR imaging in detecting language cortices, and results are conflicting (12, 98, 99). When it comes to resecting tumours in close proximity to language areas, the role of BOLD fMRI in detecting language cortices has not yet reached the status of full clinical acceptance. Although some believe that BOLD fMRI still cannot replace intraoperative electrocortical stimulation mapping, it has also been suggested that it can be used to speed up intraoperative electrocortical mapping procedures and to guide the extent of the craniotomy.

Some studies have shown that the BOLD response in the vicinity of tumours does not reflect the neuronal signal as precisely as in healthy brain tissue. Schreiber et al report that fMRI activation is reduced near glial tumours, whereas it is not affected by non-glial tumours (107). It is suggested that this might be due to the infiltrative growth of gliomas. In parietic brain tumour patients, studies have also shown a smaller BOLD response in the primary motor area (60, 94). The reasons for this may be altered cortical function or altered hemodynamic response, or both.

Diffusion tensor imaging (DTI) is developed from diffusion weighted MRI. DTI enables the measurement of the anisotropic diffusion of water in neural fibre bundles. It can give delineations of white matter tracts that do not show up on other forms of MRI scanning. The fractional anisotropy (FA) map is the principal form of DTI post-processing images. Another way of presenting the DTI images is through fibre tracking or diffusion tensor tractography (DTT). Fibre tracking algorithms can be used to track a fibre along its whole length (for example within the pyramidal tract) (11). Suggested tracts need to be manually and individually processed with a region-of-interest tool to virtually dissect plausible tracts of interest by choosing anatomical localization tracts are known to run within. For the pyramidal tract, potential region-of-interests are the cerebral peduncles, posterior limb of the internal capsule, and the superior part of the precentral gyrus. In this way the fibres can be tracked from the motor cortex to the spinal cord. Two studies have provided intraoperative electrophysiological verification of DTI-based functional neuronavigation (10, 31). Wu et al conducted an RCT to assess the contribution of functional neuronavigation with DTI in glioma surgery (140). They



used DTI to delineate the pyramidal tract in fractional anisotropy maps and registered these data with the navigation datasets for intraoperative guidance. Compared with the control group, in which the patients underwent operation with navigation guidance without visualization of the pyramidal tract, they achieved a significant reduction of postoperative neurological deficits, a higher number of gross total resections, improved Karnofsky Performance Scale score, and improved survival in high-grade gliomas.

Unlike BOLD fMRI, a DTI investigation does not require the patient to perform a task. The patient only needs to lie still while the images are acquired. The main reasons for reduced quality of DTI are related to pathological processes such as tumour oedema and compression of the white matter tracts. White matter regions where there are several fibre bundles with different orientations or where they “kiss”, cross, merge or diverge, are particularly troublesome for the tracking algorithms (28, 79).

It is important to remember that knowledge of the exact position of functional cortices and white matter tracts can not entirely prevent neurological deficits. Intraoperative or postoperative events such as damage to passing or adjacent vessels or postoperative hematomas may result in circulatory changes in functional areas, leading to neurological deficits.

### **Adverse Events**

Risk of adverse events related to treatment is considerably high in neurosurgery compared with many other medical specialties (49). Focus on adverse events has the potential to improve quality of care. At present there is no accepted, uniform way of reporting adverse events in neurosurgical series. Thus, comparisons between various publications are often not feasible. The list of adverse events that can occur during or after resection of malignant astrocytomas is exhaustive. Adequate planning may presumably decrease the risk of complications. This includes detailed study of the preoperative magnetic resonance imaging, neuronavigation, and surgical and interdisciplinary team discussion. Specific thought should be placed on the indication

for surgery and the surgical aim (i.e. gross total resection, subtotal resection, or biopsy). The patient's general physical status should be optimized including the management of increased intracranial pressure. Complete work-up and preparation by the anaesthesiologist and eventually other specialists is often performed in hope of limiting systemic complications.

## **Aims and Methodological Considerations**

The overall aim of this thesis was to study the role of surgical resection in the treatment of high-grade astrocytomas.

### **Paper 1**

**Surgical resection of high-grade gliomas in eloquent regions guided by blood oxygenation level dependent functional magnetic resonance imaging, diffusion tensor tractography, and intraoperative navigated 3D ultrasound**

We sought to determine clinical outcome, extent of tumour resection, and the practical usefulness of BOLD fMRI and DTT in patients with high-grade gliomas in eloquent regions.

### **Paper 2**

**Functional magnetic resonance imaging and diffusion tensor tractography incorporated into an intraoperative 3-dimensional ultrasound-based neuronavigation system: impact on therapeutic strategies, extent of resection, and clinical outcome**

We sought to assess the use of fMRI and DTT for preoperative assessments and determine whether using these data together with 3D ultrasound during surgery enabled safe lesion resection in eloquent locations.

### **Paper 3**

**The risk of getting worse: Surgically acquired deficits, perioperative complications and functional outcomes after primary resection of glioblastoma**

We sought to explore the impact of surgical morbidity on functional outcome and survival in GBM patients.

#### **Paper 4**

##### **Postoperative deterioration in health related quality of life as predictor for survival in patients with glioblastoma: a prospective study**

The aim was to determine if changes in health related quality of life could be a predictor for survival in patients with glioblastoma.

#### **Paper 5**

##### **Survival and treatment patterns in elderly patients with glioblastoma – A population based study**

The aims of this study were to explore survival and the treatment provided to elderly patients ( $\geq 66$  years) diagnosed with glioblastoma in a population-based cohort using data from the Norwegian Cancer Registry.

### **Patient Population**

All patients included in papers 1, 2, 3, and 4 were treated at the Department of Neurosurgery, St. Olavs University Hospital. The retrospective inclusion of patients in studies 1, 2 and 3 was done through systematic searches in hospital records. Prospective inclusion of patient data based on informed consent was used in study 4. Patients were otherwise selected according to the inclusion and exclusion criteria of each study.

Study data in paper 5 were provided by the Norwegian Cancer Registry. Reports to the Norwegian Cancer Registry have been compulsory by law since 1952. All neoplasms and certain precancerous lesions are to be registered. Cancer information comes from several independent sources, thus securing a high grade of completeness and quality of data. Since 1993 the Norwegian Cancer Registry has also included primary intracranial neoplasms that are solely based on a clinical diagnosis (i.e. neuroimaging) without histological verification. The completeness of patient registration has improved over the years, especially for non-operated cases. There is presumably no other systematic bias in missing data. A study from 2001-2005 demonstrated a 93.8% completeness of data in all central nervous system tumours, including cases without histological verification (67).

### **Ethical Approval**

All studies were approved by the Regional Committee for Medical Research Ethics in Health Region Mid-Norway. Storage of data was approved by the Norwegian Social Science Data Services. Study protocols adhered to guidelines of the Helsinki Declaration. Studies 1, 2, and 3 were also approved by the Norwegian Ministry of Health, which allowed for review of patient data without informed consent. Study 4 was prospective and based on informed consent.

## **Surgery**

Patients presented in studies 1, 2, 3, and 4 were operated at the Department of Neurosurgery, St. Olavs Hospital. The commercially available ultrasound-based neuronavigation system Sonowand was used in the operations. Patients underwent anatomical and functional MRI investigations within 72 hours prior to surgery. Preoperative functional MRI used in most eloquent lesions and aimed at identifying motor and/or language cortices and diffusion tensor tractography sought to identify the corticospinal tract, the optic radiation or the arcuate fasciculus. The preoperative data were imported into the Sonowand system and used for surgical planning and guidance. Intraoperative 2D and 3D ultrasound volumes were acquired when desired during surgery and the multimodal data were used for guidance and resection control. Brain shift and changes in structural anatomy during surgery were detected with intraoperative ultrasound.

## **Assessment of Tumour Resection and Eloquentness**

Patients in our department routinely undergo 1.5 T or 3.0 T contrast-enhanced MRI scans a few days before and within 72 hours of surgery. The assessment of tumour resection grades in all papers were based on these pre- and postoperative MRI investigations. To determine resection grades in paper 1 and paper 2, tumour borders were segmented manually in each slice of pre- and postoperative T1-weighted or T1-weighted contrast enhanced MRI images. Tumour volumes were calculated based on the voxel resolution and the total number of voxels segmented. In paper 3 and paper 4 tumour volumes were determined using an ellipsoid volume formula ( $\frac{4}{3} \cdot \pi r_1 r_2 r_3$ ) based on the maximum tumour diameters in the perpendicular dimensions (113, 115). In paper 2, lesion to eloquent area distance (LEAD) was used as a measurement of tumour location relative to functional areas. A more feasible grading system for intraparenchymal brain tumours according to functional location has been presented by Sawaya (106) and this was used in paper 4.

## Summary of Papers

### Paper 1

#### **Surgical resection of high-grade gliomas in eloquent regions guided by blood oxygenation level dependent functional magnetic resonance imaging, diffusion tensor tractography, and intraoperative navigated 3D ultrasound**

Gulati S, Berntsen EM, Solheim O, Kvistad KA, Håberg A, Selbekk T, Torp SH, Unsgård G

*Minimally Invasive Neurosurgery 2009*

The aims of this study of patients with high-grade gliomas in eloquent brain areas were 1) to assess the postoperative functional outcome, 2) to determine the extent of tumour resection in these difficult locations, 3) to evaluate the practical usefulness of navigated blood oxygenation level-dependent functional magnetic resonance imaging and diffusion tensor tractography.

In this study 25 consecutive patients were included. The patients' gross functional neurological status was determined using the 7-step mRS. The extent of tumour resection was determined using pre- and postoperative T(1)-weighted or T(1)-weighted, contrast-enhanced MRI images.

The average preoperative modified Rankin scale was 1.56+/-0.77, whereas the average postoperative modified Rankin scale was 1.08+/-1.29. There was a significant improvement in mean modified Rankin scale score after surgery. The mean percentage of residual tumour was calculated to 16+/-22% of the original tumour volume (median 8%). Blood oxygenation level-dependent functional magnetic resonance imaging and diffusion tensor tractography were performed in 23 and 18 patients, respectively. Blood oxygenation level-dependent functional magnetic resonance imaging and diffusion tensor tractography facilitated identification of probable functional regions in 91% and 94% of the respective investigations.

We believe that the combination of blood oxygenation level-dependent functional magnetic resonance imaging, diffusion tensor tractography, and 3D ultrasound facilitated maximal tumour resection with minimal deficits. The method permits an image-based functional monitoring of the brain during surgery that may aid the preservation of motor and language function.



## Paper 2

### **Functional magnetic resonance imaging and diffusion tensor tractography incorporated into an intraoperative 3-dimensional ultrasound-based neuronavigation system: impact on therapeutic strategies, extent of resection, and clinical outcome**

Berntsen EM, Gulati S, Solheim O, Kvistad KA, Torp SH, Selbekk T, Unsgård G, Håberg AK

*Neurosurgery 2010*

In this study, functional magnetic resonance imaging (fMRI) and diffusion tensor tractography (DTT) were used to map eloquent areas. We assessed the use of fMRI and DTT for preoperative assessments and determined whether using these data together with 3D ultrasound during surgery enabled safer lesion resection.

We reviewed 51 consecutive patients with intracranial lesions in whom fMRI with or without DTT was used to map eloquent areas. To assess a possible impact of fMRI/DTT, we reviewed and analyzed the quality of the fMRI/DTT data, any change in therapeutic strategies, lesion to eloquent area distance (LEAD), extent of resection, and clinical outcome.

As a result of the fMRI/DTT mapping, the therapeutic strategies were changed in 4 patients. The median tumour residue for glioma patients was 11% (n = 33). For gliomas, there was a significant correlation between decreasing LEAD and increasing tumour residue. Of the glioma patients, 42% underwent gross total resection ( $\geq 95\%$ ) and 12% suffered neurological worsening after surgery. Of glioma patients with an LEAD of  $\leq 5$  mm, 24% underwent gross total resection and 10% experienced neurological deterioration.

This study demonstrates that preoperative fMRI and DTT had direct consequences for therapeutic strategies and indicates their impact on intraoperative strategies to spare eloquent cortex and tracts. Functional neuronavigation combined with intraoperative 3D

ultrasound may, in most patients, enable resection of brain lesions with general anaesthesia without jeopardizing neurological function.

### Paper 3

#### **The risk of getting worse: Surgically acquired deficits, perioperative complications and functional outcomes after primary resection of glioblastoma**

Gulati S, Jakola AS, Nerland US, Weber C, Solheim O

*World Neurosurgery 2011*

Gross total resection (GTR) prolongs survival, but is unfortunately not achievable in the majority of patients with GBM. Cytoreductive debulkings may relieve symptoms of mass effect, but it is unknown how long such effects sustain and to what degree the potential benefits exceed risks. We explore the impact of surgical morbidity on functional outcome and survival in unselected GBM patients.

We retrospectively reviewed 144 consecutive adult patients operated for primary GBM at a single institution between 2004 and 2009. 141 (98%) operations were resections whilst 3 (2%) were biopsies. A decrease in Karnofsky performance status (KPS) scores was observed in 39% of patients after 6 weeks. On average, there was a significant decrease between pre- and postoperative KPS scores ( $p < 0.001$ ). 22 (15.3%) patients had new neurological deficits. Among patients who underwent surgical resection, those with new neurological deficits were less likely to receive radiotherapy ( $p < 0.001$ ), normofractionated radiotherapy ( $p = 0.010$ ), and chemotherapy ( $p = 0.003$ ). 28 (19.4%) patients had perioperative complications. Among patients who underwent surgical resection, those with perioperative complications were less likely to receive normofractionated radiotherapy ( $p = 0.010$ ) and chemotherapy ( $p = 0.009$ ). Age ( $p = 0.019$ ), new deficits ( $p < 0.001$ ), and surgical complications ( $p = 0.006$ ) were significant predictors for worsened functional outcome after 6 weeks. GTR ( $p = 0.035$ ), perioperative complications ( $p = 0.008$ ), radiotherapy ( $p < 0.001$ ), and chemotherapy ( $p = 0.045$ ) were independent factors associated with 12 month postoperative survival.

Patients with perioperative complications and surgically acquired deficits were less likely to receive adjuvant therapy. While cytoreductive debulking may not improve

survival in GBM, it may decrease the likelihood of patients receiving adjuvant therapy that does.

## Paper 4

### **Postoperative deterioration in health related quality of life as predictor for survival in patients with glioblastoma: a prospective study**

Jakola AS, Gulati S, Weber C, Unsgård G, Solheim O

*PLoS ONE 2011*

The aim of this study was to assess if changes in health related quality of life (HRQL) was a predictor for survival in patients with glioblastoma. Studies indicate that acquired deficits negatively affect patients' self-reported HRQL and survival, but the impact of HRQL deterioration after surgery on survival has not been explored.

Sixty-one patients with complete HRQL data were included. HRQL was assessed using EuroQol 5D (EQ-5D), a generic instrument. HRQL data were collected 1-3 days preoperatively and after 6 weeks. The mean change in EQ-5D index was -0.05 (95 % CI -0.15 – 0.05) 6 weeks after surgery ( $p=0.285$ ). There were 30 (49.2 %) patients reporting deterioration 6 weeks after surgery, forming the basis for the analysis concerning association between change in HRQL data and survival. In a Cox multivariate survival analysis we evaluated deterioration in HRQL after surgery together with established risk factors (age, preoperative condition, radiotherapy, temozolomide and extent of resection).

We found significant independent associations between survival and use of temozolomide (HR 0.30,  $p=0.019$ ), radiotherapy (HR 0.26,  $p=0.030$ ), and deterioration in HRQL after surgery (HR 2.02,  $p=0.045$ ). Inclusion of surgically acquired deficits in the model did not alter the conclusion and actually strengthened the association between deterioration in HRQL after surgery with overall survival (HR 2.4,  $p=0.022$ ).

Early deterioration in HRQL after surgery was independently and markedly associated with impaired survival in patients with GBM. Deterioration in patient reported HRQL after surgery is a meaningful outcome in surgical neuro-oncology, as HRQL reflects both the burden of symptoms and treatment hazards.

## **Paper 5**

### **Survival and treatment patterns in elderly patients with glioblastoma – A population based study**

Gulati S, Jakola AS, Johannesen TB, Solheim O

*World Neurosurgery 2012*

The aims of this study were to explore survival and the treatment provided to elderly patients ( $\geq 66$  years) diagnosed with GBM between September 1988 and September 2008 in a population-based cohort using the Norwegian Cancer Registry. From the Norwegian Cancer Registry, we included 2882 patients who were diagnosed with glioblastoma between September 1988 and September 2008.

The proportion of patients  $\geq 66$  years was 42.5 % (n =1224), and 15.9% of patients (n = 459) were  $\geq 75$  years at diagnosis. We found that treatment patterns varied significantly between age groups. Elderly patients were more likely to receive supportive care only and resection only and less likely to receive multimodal treatment with resection combined with radiation and/or chemotherapy. In addition, elderly patients were more likely to receive a diagnosis of GBM without histopathological verification. Among patients receiving multimodal treatment with resection, radiation, and chemotherapy, there was statistically significant shorter survival in the age groups 66-74 years and  $\geq 75$  years. Belonging to the age group  $\geq 75$  years was identified as the strongest predictor of decreased survival. Increasing age, no tumour resection, no radiation, and no chemotherapy were identified as independent predictors of reduced survival. There was a statistically significant survival advantage for patients diagnosed in the last five years of the study.

There is still a need for clinical studies to clarify the role of treatment modalities in all patients with GBM. The evaluation of surgical resection, radiotherapy and chemotherapy must involve patients with demographic characteristics that are representative of the majority of patients with glioblastoma, and elderly patients can therefore no longer be excluded. Providing guidelines on GBM resection to the elderly

on the basis of trial information obtained mainly from younger patients is not recommended as age remains a very strong and independent prognostic factor.





## **Discussion**

The vast amount of medical technical publications indicates that there are very sincere efforts going on to improve safety and quality in high-grade glioma surgery. However, defining, measuring, and reporting outcomes in this field of research are difficult challenges. In the research presented in this thesis, we have used several different outcome parameters including overall survival, resection grades, functional outcomes, adverse events, and patient reported health related quality of life. We have experienced that defining quality in high-grade glioma surgery remains an elusive task.

### **Extent of resection and its impact on survival**

In papers 1 and 2, one of the aims was to determine the extent of tumour resection in patients with malignant astrocytomas located in eloquent regions. Pre- and postoperative tumour volumes were also provided for the patients in paper 3. A central question in neuro-oncology is whether more extensive resections of malignant gliomas are beneficial to patients. In the last decade numerous studies investigating the impact of resection on survival have been published. There are both studies which advocate more extensive resections (22, 23, 63, 65, 84, 105, 114, 117, 127) and those in which the statistical analyses did not favour any resection group (52, 70, 92, 93, 125). Most are retrospective series where direct comparisons are compounded by differences in patient characteristics, surgical technique, and outcome assessment and reporting.

As for patient characteristics, factors such as age, time of enrolment, preoperative functional status, eligibility for GTR, tumour location, and tumour size may be associated with outcome. Biopsy or limited resections may more often be preferred in patients with poor performance status, of older age, or when the tumour is in an anatomically prohibitive location for gross total resection. Survival comparisons in retrospective studies are often made between patients who have merely been biopsied

and those who have undergone resection (103). This selection bias makes it difficult to assess the impact of resection on postoperative survival.

The manner in which the extent of resection is calculated is also of importance. Many studies rely on the surgeons' reports or two-dimensional analysis based on postoperative MRI scans. Surgeons' estimates of resection grades are often inaccurate and they have a tendency to estimate a more radical resection than calculated from postoperative MRI imaging (113). Most studies divide resections qualitatively into gross total, subtotal, and partial or biopsy categories. However, the definition of gross total resection may vary between studies. Volumetric MRI analysis is now regarded as the accepted standard (103), but is only provided in a few studies (52, 63, 92, 105, 117).

Some studies recruit patients from previously conducted prospective trials (103). As a histological verification of the diagnosis is mandatory, nearly all these trials enrol patients after recovery from surgery. However, there are often predefined lower bounds of functional performance status at the time of inclusion. This means that patients who suffered significant morbidity or died perioperatively were excluded due to the study design. This can result in a selective loss of patients injured by the treatment which is assessed.

Even though maximal safe surgical resection is advocated (20, 134), the role of incomplete tumour resection in prolonging survival is controversial (58, 77, 131). If resection is performed it seems like it needs to be extensive to affect survival. In a frequently cited retrospective study, 416 consecutive patients with GBM who underwent tumour resection were analysed. A statistically significant survival advantage was associated with resection of 98% or more of the tumour volume (63). Some limitations have been pointed out in the methodology of this paper (82, 105). Most importantly the study included both newly diagnosed and recurrent GBM, and the timing of postoperative imaging acquisition was inconsistent. The statistical methods used in an article can greatly influence results. In a recently published retrospective study with 500 patients by Sanai et al (105), it is claimed that subtotal resections as low as 78% correspond to a survival benefit. However, the 78% cut-off seems to be found in

univariate analyses only, apparently through an explorative approach with serial dichotomizations in Kaplan Meier curves. In search of the resection threshold, serial Kaplan-Meier survival curves were generated at 2% extent of resection intervals. This method did not account for confounding or effect modification by other covariates. Achieved resection grades and overall survival are affected by several patient and tumour characteristics, making this an important flaw of the study (111). Moreover, multiple pair-wise comparisons are known to produce cumulative type I errors increasing the risk of false positive findings.

A post-hoc analysis of 243 patients involved in a trial of 5-ALA showed that extent of resection has a positive correlation with survival (117), but only so-called complete resection (i.e. GTR) had an impact on survival. All patients in the ALA-study were eligible for complete resection. Patients in this study were randomised to resection of a primary high-grade glioma by either white light or fluorescence guided resection (with orally administered 5-ALA). However, external validity is low in this study since patients were very highly selected, not reflecting those in routine clinical practice.

For the majority of patients with GBM, GTR cannot be achieved. GTR is usually achieved in less than 20% in more or less unselected patient series with postoperative imaging (2, 6, 57, 109, 129). In a pooled analysis of 893 patients from several phase II GBM studies, resection of >90% of the tumour volume (NTR or better) was only seen in 17% (25). In paper 3 we achieved GTR in one third of the patients, which is good compared to other unselected series in the literature.

In paper 3, only GTR (defined as  $\geq 98\%$  tumour removal) was associated with prolonged survival in a multivariate analysis ( $p=0.035$ ). The statistical method used in this paper can be criticized as we used a minimum probability value method (3). Unfortunately, this strategy is associated with an increase in the false-positive rate. This strategy attempts to define a statistical cut-off by categorizing the data set into two groups on the basis of a single variable, in our case extent of resection. Further, inclusion of a cut-off determined in such a manner as a binary variable in the Cox multiple regression analysis can lead to an inflated effect at the expense of other variables.

There are clear limitations in the data examining the effect of subtotal resection on postoperative survival. Due to the lack of evidence it is difficult to establish convincing guidelines for extent of resection of malignant gliomas. Each institution has to determine if the quality of evidence is sufficient to influence their practice standards. There is still a need for clinical studies to clarify the role of resection in patients with malignant gliomas, but careful thought needs to be placed regarding study designs. Possible trial designs include true randomized trials of surgery (such as biopsy versus maximal safe resection in patients ineligible for gross total resection), randomized trials of surgical techniques designed to improve resection grades (117), or prospective community-based registration of all patients who undergo surgery (142). The latter provides high external validity, but difficulties establishing certain causality.

### **Reporting of functional outcomes**

Functional and neurologic outcomes related to GBM surgery have been presented in numerous studies. However, it is difficult to compare functional outcomes as there is a considerable variation in inclusion criteria, classification of outcomes, and time of follow-up between different studies. Many published surgical series exclude biopsies or include only patients in whom gross tumour resection was attempted, complicating comparisons of results between studies and lowering external validity of the findings. Data from the Glioma Outcomes Project report of a potential selection bias as image guided resections tend to be carried out in patients with a more favourable prognosis (72). The better functional outcomes reported in papers 1 and 2 compared to paper 3, can probably be explained by a stricter patient selection. Even though specific scales exist for a number of neurologic conditions, there is no uniform method to define significant neurologic change for malignant glioma trials. Malignant glioma trials have yet to identify the functional outcome scale of choice for consistent use across studies.

In papers 1 and 2 patients' functional status was determined using the 7-step mRS. The mRS is primarily intended for measuring the degree of disability or dependence in the

daily activities of patients who have suffered a stroke, and it has become the most widely used clinical outcome measure for stroke clinical trials. It has been shown that the mRS has good interobserver agreement for the assessment of handicap in stroke patients (128). Patients' functional status was not provided in paper 5 as this information is unfortunately unavailable in the Norwegian Cancer Registry. In papers 3 and 4 patients' functional status was described using the Karnofsky Performance Status (KPS). This is a widely evaluated metric across many oncology trials, and is an established prognostic factor for overall survival in high-grade gliomas. The KPS score was registered in a prospective fashion in paper 4. As the clinical presentation is highly dependent on the location of the tumour, the KPS and mRS scores might not adequately reflect the extent of disease or disease burden in all patients. As an example, a patient with a very small tumour in the motor cortex may have much lower scores on these metrics of functional status than a patient with a large tumour in one of the frontal lobes.

One concern regarding our use of the mRS and KPS is that they were utilized in a retrospective manner in papers 1, 2 and 3. It is also difficult to distinguish reductions in mRS and KPS scores due to adverse effects of surgery from tumour progression, comorbid events, and concurrent adjuvant therapy. In papers 1, 2 and 3 we therefore also included information about specific neurologic deficits before and after surgery.

## **Evaluating adverse events**

We attempted to report adverse events in concurrence with Good Clinical Practice Guidelines in paper 3 (<http://www.ema.europa.eu>: Clinical Safety Data Management: Definitions and Standards for Expedited Reporting), a system most often used in clinical drug trials. Adverse events are defined as any unexpected medical occurrence in a patient undergoing surgical treatment, which does not necessarily have a causal relationship with this treatment. An adverse event can therefore be any unfavourable and unintended sign, symptom, or disease temporarily associated with surgical treatment. Serious adverse events are defined as any unexpected medical occurrence in the operative period, which resulted in death, was life-threatening, required inpatient hospitalization or prolongation of existing hospitalization, or resulted in persistent or significant disability/incapacity. The subjectiveness of reporting is reduced since all events are reported, even though there may not always be a causal relationship between the treatment and the event. The potential advantage of this classification is the ability to compare surgical results among different centres and time periods, as well as providing an opportunity to perform future meta-analyses. The Good Clinical Practice Guidelines provided a simple, practical, and reproducible way to report adverse events, comparable to interventional drug trials. Information from such a classification system of adverse events could provide valuable insight for neurosurgeons regarding how to manage and avoid surgical complications. It could also provide patients with more complete information about the risks of surgical complications.

There are a few publications that attempt to classify complications associated with general neurosurgical and spinal interventions (15, 45). A recent study by Ibanez et al, which has received enthusiastic appraisal, introduces a new classification system for complications in neurosurgery (46). Their classification is based on a system from general surgery but modified to fit neurosurgical procedures (30). The authors suggest using a four-grade scale based on the therapy used to treat the complication. Adverse events are further divided into surgical or medical complications. This proposed classification system of complications has many of the same advantages and challenges as the Good Clinical Practice guidelines. Whereas the Good Clinical Practice guidelines

are applicable to almost any medical specialty, the classification system suggested by Ibanez has been tailored to better fit neurosurgical procedures. However, none of the two classification systems take preoperative morbidity into account and both rely on surgeon self-reporting.

The main strength of paper 3 is the unselected, practically population-based inclusion, ensuring high external validity of results. However, due to the retrospective study design it is fair to assume that some adverse effects of surgery may have gone unnoticed. In paper 3 a comparison with other relevant studies with regards to adverse events is provided. For now, a systematic or unsystematic review of the incidence of adverse events in malignant glioma surgery remains difficult because such events are not always well defined, and assessments are often subjective, arbitrary, and probably under-reported. The numbers of adverse events vary considerably between studies, and this can probably be explained by differences in reporting and patient selection.

### **Survival as an outcome parameter**

#### *Overall survival*

In papers 2, 4, and 5 we presented data on overall survival for patients with high-grade glioma, whereas one-year and two-year survival were presented in paper 3 as follow-up time was limited for the patients operated in the last part of the study period. As overall survival reflects a clinically meaningful benefit that can be objectively and unambiguously assessed, it is generally considered the definitive primary end point for patients with malignant glioma. However, the use of overall survival as a primary end point has its drawbacks. A major challenge using overall survival as an end point is that many patients undergo multiple therapies, making it difficult to determine the attributable effect of a single treatment modality. In studies based on overall survival a longer follow-up time might be desired as compared to the other outcome parameters. As exemplified in the famous 5-ALA study (115), the impact of the intervention on overall survival may be less pronounced than its impact on resection grades and progression-free survival, resulting in the need for larger sample sizes. These factors

may increase required study duration, sample size, and cost. Factors such as age and preoperative performance status also affect survival time and may introduce greater variability in outcome. It is also important to keep in mind that start times may vary across studies and this can impact the presented overall survival.

#### *Progression-free survival*

Progression-free survival (PFS) measures time from treatment initiation to progression. There is evidence that PFS correlates with overall survival (5, 66). One of the main advantages using PFS as an end point is that studies can be completed in a shorter time frame. In addition, PFS-based studies require smaller sample sizes because a treatment effect is often greater on PFS than overall survival. Finally, PFS end points may be less affected by subsequent therapies or 2<sup>nd</sup> line treatments (e.g. re-do surgeries, 2<sup>nd</sup> line chemotherapy, repeated radiotherapy) compared to overall survival. The main reason for not using PFS as an end point in our studies is evaluation time bias due to non-uniform patient assessment and follow-up. Studies on growth dynamics or progression free survival require standardized MRI protocols at predefined intervals. Another disadvantage of PFS end points are the non-uniform definitions of tumour progression used. Determination of PFS is dependent on a standardized method to define tumour progression. Current radiographic methods to define progression are problematic due to confounding factors such as pseudoprogression and pseudoresponse (96). Recently the Response Assessment in Neuro-Oncology (RANO) Working Group established new criteria to determine tumour progression in a more reliable and objective manner (135).

#### *Perioperative mortality*

Perioperative mortality or surgical mortality is usually defined as death occurring during the 30 first days after an operation. However, definitions such as death within 2 or 4 weeks are also used. In publications based on administrative databases, in-house-mortality is often used as this measure is more readily available. Surgery related mortality has historically been a highly relevant outcome measure in neurosurgery, allowing a comparison of outcome between surgeons and different surgical techniques. By 1910 Harvey Cushing had performed 250 brain tumour operations with a surgical mortality of 13%. In comparison, operative mortalities of contemporary surgeons were



approximately 50% (73). Still today, surgical mortality is a frequently studied and published outcome parameter. Surgical mortality has been endorsed as an Inpatient Quality Indicator by the US Agency for Healthcare Research and Quality for eight surgical procedures in adults, including craniotomies. Surgical mortality rates are also increasingly publicly reported as an indicator of hospital quality, despite often considerable limitations in data concerning differences in referral and case mix (37).

While the pioneers in brain tumour surgery dealt with perioperative deaths quite frequently, early postoperative deaths now occur very seldom. The overall risk of perioperative death after first time surgery for primary intracranial tumours is currently around 2.2% (110). This low incidence greatly limits the power in comparative analyses, such as between patient series or between centers, and certainly between surgeons. Although, by consensus considered surgically related if occurring within the 30 first days of surgery, most early postoperative deaths after brain tumour surgery may occur independent of the handwork of the operating surgeon. The overall prognosis of the tumour disease seems to be a strong predictor (110), perhaps to no surprise since the 30-day mortality rate is merely the intonation of the Kaplan Meier curve. Both referral and treatment policies at a neurosurgical centre will therefore affect such early outcomes markedly. Further, the correlation between a hospital's perioperative mortality rates and long term survival rates seems weak (110). The value of perioperative mortality rates as a quality indicator in modern neurosurgical tumour operations may therefore be questionable.

### **Health related quality of life**

Whereas functional outcomes (e.g., KPS and mRS) and resection grades are measured by health care workers, health related quality of life (HRQL) is a patient reported outcome (PRO). Differences probably exist between the doctor and cancer patients' assessment of their health. With a range of therapeutic options for patients with malignant glioma and with various risks of adverse effects, PROs can be used to evaluate different treatments (76). For patients with brain tumours, there are several

HRQL questionnaires available that can be used to assess the physical, psychological, and social impact of the disease and its treatment (96). HRQL is established as an outcome parameter for treatment comparisons in many malignant diseases, particularly in palliative settings (19). The most common cancer-specific HRQL tool is the European Organization for Research and Treatment of Cancer (EORTC) quality of life questionnaire (QLQ-C30) which also has an extensively validated supplement for patients with brain tumours (QLQ-BN-20) (122).

In paper 4 we used the EuroQol 5D (EQ-5D) questionnaire to assess HRQL. This is a generic questionnaire (not developed for any specific patient group) that has been applied to a wide range of health conditions and treatments. The EQ-5D has also been validated in a Norwegian population (85). A recent study showed that EQ-5D correlated well with KPS in patients with glioma and was responsive to surgically induced neurological deficits (48).

The usefulness of baseline HRQL data for patients with brain tumours remains a debated topic (76). There are conflicting data regarding the prognostic significance of baseline HRQL for patients with malignant gliomas and whether it may have additional value over other well known prognostic factors (21, 75). One study has shown that baseline HRQL was predictive of quality of life over time, and that gross total resection was associated with longer survival and improved quality over time for patients with high-grade gliomas (22). In previous studies baseline HRQL data were generally obtained after surgery. In paper 4, where baseline HRQL data were collected preoperatively, we found a negative effect on survival if HRQL deteriorated early after surgery in patients with GBM. Evaluation early after surgery most likely represents treatment related factors compared to later assessments that would be more likely to represent disease related factors. Thus, in 6 weeks we believe it is less likely that the majority of patients with deterioration in HRQL have experienced significant progression or adverse effects of adjuvant therapies.

Susceptibility to response shift over time is one of the drawbacks of using HRQL to assess clinical benefit or deterioration in clinical trials. Another concern is selection bias

as patients in poor clinical condition are less likely to respond. Missing data are also a concern for the interpretation of patients' HRQL, potentially introducing bias to the statistical analyses. Administrative failure is a common cause of missing data (132). The perception that the severity of the disease will affect the patient's ability to fill out the questionnaire may also hinder the use of HRQL assessments. Patients who rapidly deteriorate are less likely to fill out the questionnaires than the fitter ones, and this may lead to an overestimation of patients' HRQL (132).

For many patients with high-grade gliomas, surgical resection is thought to relieve symptoms. Increased extent of tumour resection should be weighed against clinical performance and quality of life. It has even been suggested that in the palliative care setting, which is relevant for many patients with malignant glioma, clinical trials should be designed also with softer endpoints, such as HRQL, perhaps even with extended survival reported as a secondary end-point (55). The benefits of extended survival or progression delay have to be balanced alongside adverse effects of surgery. We therefore believe that HRQL assessments provide a meaningful end point in surgical trials of high-grade gliomas.

### **Neurosurgical tools in high-grade glioma resection**

The main rationale for the use of intraoperative imaging is to correct for brain shift during tumour resection. In addition to intraoperative ultrasound, intraoperative visualization tools that can be applied when resecting of high-grade gliomas include fluorescence-guided surgery with 5-aminolevulinic acid (5-ALA) and intraoperative MRI. When performing surgery close to eloquent regions, intraoperative electrical motor cortex mapping and recording phase reversal of somatosensory evoked potentials are considered the gold standard. The classic procedure for language localization is intraoperative electrocortical mapping in awake patients, although seldom reported as routine procedure in suspected high-grade gliomas.

Papers 1, 2, and 3 are limited by their retrospective nature and the absence of control groups. Papers 1 and 2 are feasibility studies of technical applications presenting clinical data related to the use of this technology. We believe the external validity is fairly high in paper 3. Based on the research presented in this thesis, it is difficult to assess how surgery guided by 3D intraoperative ultrasound and preoperative BOLD fMRI and DTT compares to other surgical techniques with regards to resection grades, functional outcome, HRQL, and survival. To answer these questions a randomized trial or at least a pseudo-randomised population based registration with validated end points seem necessary. Using 3D intraoperative ultrasound also has some challenges and limitations. Whereas most neurosurgeons are used to interpreting CT and MR images, 3D intraoperative ultrasound images may be unfamiliar to many and require some time to fully understand. Another disadvantage is that the acquired volume only covers the region of interest. This can be compensated by either displaying corresponding preoperative MR and ultrasound images, or superimposing the ultrasound volumes on the preoperative MR images. Further, there may be a decline in ultrasound image quality during the operation (101). The quality of ultrasound acquisitions in patients undergoing repeated glioma surgery with previously administered radiotherapy can be variable. The image quality also depends on a clean resection cavity without blood clots and cottonoids. Some thought also needs to be placed on patient positioning as the head should be positioned such that a vertical access to the lesion can be obtained. This allows air bubbles to rise to the surface when the operation cavity is filled with saline for ultrasound recordings.

Recently, 5-aminolevulinic acid (5-ALA) has emerged as a drug with usefulness as a metabolic marker of malignant glioma cells that can be used intraoperatively to detect tumour tissue (118). This technique is based on the synthesis and accumulation of fluorescent and photosensitizing endogenous porphyrins after excess administration of 5-ALA, a naturally occurring metabolite in the heme biosynthesis pathway. Patients receive orally administered 5-ALA three hours before surgery. Intraoperatively, fluorescence is observed through an operating microscope equipped with a fluorescent ultraviolet light and filters. An RCT by Stummer et al showed how 5-ALA guided surgery enabled more complete resections of contrast-enhancing tumour, leading to

improved PFS in patients with malignant glioma (115). The study demonstrated early postoperative MRI to be devoid of contrast-enhancing tumour in 65% of patients with GBM in the 5-ALA group compared with 36% in a conventional microsurgical control group. Fluorescence-guided surgery can be combined with neuronavigation, intraoperative ultrasound, and awake surgery. There are some challenges associated with fluorescence-guided surgery (124). Timing of the oral administration of 5-ALA is important. Blood in the resection cavity reduces the fluorescence signal. There is also an exponential decline of excitation light intensity with growing distance; thus distance between the microscope and resection cavity should be kept small. Further, small corticotomies shade illumination light and also result in low fluorescence intensities. Ambient light within the operating room will interfere with the fluorescence signal, and care must be taken to reduce this. Due to the transient sensitization of the skin associated with the administration of 5-ALA, one should try to prevent excessive illumination of the patient's skin.

There are numerous publications on the added value of both low-field-strength ( $\leq 0.5$  Tesla) and high-field-strength ( $\geq 1.5$  Tesla) intraoperative MRI-guided resection of brain tumours compared with conventional neuronavigation. Fibre tracking using diffusion tensor imaging has been reported on high-field strength MRI systems (83). In a thorough review by Kubben et al, several limitations and sources of bias which may lead to an overestimation of the attributable value of intraoperative MRI-guided surgery for resection of GBM are pointed out (62). One source of bias is attribution bias as intraoperative imaging may lead to a more conservative resection before the first intraoperative control scan is performed. This might lead to the conclusion that extent of resection is increased after intraoperative scanning. Attribution bias is also relevant for intraoperative 3D ultrasound recordings. Other concerns regarding research on intraoperative MRI-guided surgery are the various definitions of tumour volume and GTR. In addition, control groups may not be equivalent to study groups, mainly with regard to tumour location. Few studies provide explicit data on patients' clinical performance and data on quality of life seems to be lacking. The review points out the need for randomized trials to show the added value of intraoperative MRI-guided surgery. In a recent study by Senft et al, 58 patients with suspected gliomas were

randomly assigned to undergo intraoperative low-field-strength (0.15 Tesla) MRI-guided surgery or conventional microsurgery (without intraoperative ultrasound or 5-ALA) (108). Higher resection grades and improved PFS were found in patients who underwent intraoperative MRI-guided surgery. There are some practical challenges with intraoperative MRI systems. For example, intraoperative MRI is an expensive technique. In addition, a longer preparation time before incision and longer preparation times before and immediately after image acquisition need to be taken into account (62, 108).

Several studies have reported the feasibility of intraoperative brain mapping and its possibly positive influence on clinical outcomes (33, 81, 91, 123). Patients with a high-grade glioma close to an eloquent area such as the motor strip or sites possibly related to language function are potential candidates for brain mapping. Brain mapping is achieved by direct cortical stimulation with bipolar stimulation forceps, bipolar stimulation electrode or electrodes in form of stripes or grids. When applying stimulation, a function can be either elicited (such as motor response) or suppressed (such as execution of language). Positive cortical stimulation identifies cortical sites associated with and sites not associated with motor, somatosensory, or language function, whereas negative cortical stimulation typically identifies only sites not associated with such function. Thus, functionally relevant areas can be identified. The same can be achieved by stimulating white matter tracts. In a study published in 2008, Sanai et al advocate negative mapping through intraoperative cortical stimulation (negative cortical stimulation) instead of traditional positive cortical stimulation to preserve language function during glioma resection in or near language areas (104). Monitoring of language function requires the patient to be awake, oriented, and cooperative during the procedure of testing. This means that not all patients are eligible for brain mapping of language areas. Other challenges associated with awake surgery include epileptic convulsions due to cortical mapping and patient positioning on the OR-table. Patients who undergo brain mapping for identification of cortical motor function do not necessarily need to be awake during surgery. Motor evoked potentials can be recorded from muscles following direct stimulation of exposed motor cortex, and

somatosensory evoked potentials phase reversal can help identify the central sulcus. Interestingly, an RCT comparing resection under general versus local anesthesia awake surgery for tumours in eloquent areas showed that operative time and blood loss were less in the general anesthesia group. Better neurological outcome and a higher degree of resection were also achieved in the general anesthesia group (39).

### **High-grade gliomas in the elderly**

The lack of sufficient evidence makes it difficult to establish recommendations for surgical treatment of GBM in the elderly. Each department has to determine if the quality of evidence is sufficient to influence their practice standards. There is still a need for clinical studies to clarify the role of resection in all patients with GBM, but careful thought needs to be placed regarding study designs. Possible trial designs include true randomized trials of surgery (such as biopsy versus maximal safe resection in patients ineligible for gross total resection), randomized trials of surgical techniques designed to improve resection grades (117), or more extensive prospective population based registrations (including performance status, quality of life registrations, volumetric tumour data, functional outcomes, and adverse events related to surgery) of all patients who undergo surgery. The evaluation of surgical resection must involve patients with demographic characteristics that are representative of the majority of patients with GBM, and elderly patients should not routinely be excluded. Providing guidelines on GBM resection to the elderly on the basis of trial information obtained mainly from younger patients does not necessarily constitute good clinical practice. One study tried to estimate how surgical resection affected postoperative survival compared to biopsy in patients over 65 years old with a suspected diagnosis of malignant glioma (131). In total, 30 patients were included in this study. The authors reported their findings as being in favour of resection. Due to methodological limitations, described in detail in a Cochrane review, the findings in this study are tainted by a high chance of being affected by bias (42). The findings of this trial are of insufficient reliability to be used to influence treatment decisions. However, the study should be viewed as evidence that randomised controlled trials in elderly patients with GBM are possible.

### **Recommendations for future research**

Based on the discussion in this thesis and the results presented in papers 1-5, a few recommendations for future studies on high-grade glioma resection can be made. First, if extent of tumour resection is to be used as an end point, a clear definition of postoperative tumour volume and a valid method to measure volume is of paramount importance. Second, more population-based prospective studies with high external validity and also randomized studies, such as the ones by Stummer (115) and Senft (108), are needed when comparing different types of surgical techniques. Third, outcome data should be more detailed and not only present functional outcome as judged by the surgeon, but also include PROs (i.e. HRQL). HRQL should be evaluated together with resection grades and survival to find a balance that can be used to benchmark treatment results in patients with high-grade gliomas. Fourth, adverse events should be recorded and presented in a uniform way. This will help evaluating different surgical techniques and provide valuable insight for neurosurgeons regarding how to manage and avoid complications. Studies should not solely focus on survival as there are several ways to improve patient care in patients with high grade glioma. In addition, standardized reporting of surgically based neuro-oncology trials should be encouraged (26).

The Norwegian Cancer Registry is a valuable source of information, and has formed the basis of several neuro-oncology publications (50, 112). However, the quality of future research might be improved if more details regarding patient and tumour characteristics along with additional outcome parameters are sampled in the registry. Information about HRQL, pre- and postoperative functional levels, adverse events, tumour size and localization, surgical complexity (e.g., eloquence), operative technique, and resection grades could help further clarify the role of surgical resection of high-grade gliomas. Prognostic models have been constructed for patients with cerebral metastases (47), and the concept of constructing and investigating similar scales for high-grade gliomas based on population based registry data is intriguing.



## Conclusions

This thesis has investigated the role of surgical resection in the treatment of malignant astrocytomas and the following conclusions can be drawn:

- The combination of blood oxygenation level-dependent functional magnetic resonance imaging, diffusion tensor tractography, and 3D ultrasound may facilitate resection of malignant astrocytomas harboured in eloquent areas while preserving motor and language function.
- Functional neuronavigation combined with intraoperative 3D ultrasound can, in selected patients, enable resection of brain lesions with general anaesthesia without jeopardizing neurological function.
- Patients with perioperative complications and surgically acquired deficits were less likely to receive adjuvant therapy.
- Early deterioration in HRQL after surgery was independently and markedly associated with impaired survival in patients with glioblastoma.
- Advancing age remains a very strong and independent negative prognostic factor in glioblastoma. Although there has been an increase in the aggressiveness of treatment provided to elderly with glioblastoma, the gain for the oldest age group seems at best very modest. The prognosis of the oldest age group remains very poor, despite multimodal treatment.



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## Papers







# Paper I

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## Paper II

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# Paper III

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# Paper IV



# Postoperative Deterioration in Health Related Quality of Life as Predictor for Survival in Patients with Glioblastoma: A Prospective Study

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## Abstract

**Background:** Studies indicate that acquired deficits negatively affect patients' self-reported health related quality of life (HRQOL) and survival, but the impact of HRQOL deterioration after surgery on survival has not been explored.

**Objective:** Assess if change in HRQOL after surgery is a predictor for survival in patients with glioblastoma.

**Methods:** Sixty-one patients with glioblastoma were included. The majority of patients (n = 56, 91.8%) were operated using a neuronavigation system which utilizes 3D preoperative MRI and updated intraoperative 3D ultrasound volumes to guide resection. HRQOL was assessed using EuroQol 5D (EQ-5D), a generic instrument. HRQOL data were collected 1–3 days preoperatively and after 6 weeks. The mean change in EQ-5D index was  $-0.05$  (95% CI  $-0.15$ – $0.05$ ) 6 weeks after surgery (p = 0.285). There were 30 patients (49.2%) reporting deterioration 6 weeks after surgery. In a Cox multivariate survival analysis we evaluated deterioration in HRQOL after surgery together with established risk factors (age, preoperative condition, radiotherapy, temozolomide and extent of resection).

**Results:** There were significant independent associations between survival and use of temozolomide (HR 0.30, p = 0.019), radiotherapy (HR 0.26, p = 0.030), and deterioration in HRQOL after surgery (HR 2.02, p = 0.045). Inclusion of surgically acquired deficits in the model did not alter the conclusion.

**Conclusion:** Early deterioration in HRQOL after surgery is independently and markedly associated with impaired survival in patients with glioblastoma. Deterioration in patient reported HRQOL after surgery is a meaningful outcome in surgical neuro-oncology, as the measure reflects both the burden of symptoms and treatment hazards and is linked to overall survival.

**Citation:** Jakola AS, Gulati S, Weber C, Unsgård G, Solheim O (2011) Postoperative Deterioration in Health Related Quality of Life as Predictor for Survival in Patients with Glioblastoma: A Prospective Study. PLoS ONE 6(12): e28592. doi:10.1371/journal.pone.0028592

**Editor:** Zheng Su, Genentech Inc., United States of America

**Received:** July 16, 2011; **Accepted:** November 11, 2011; **Published:** December 9, 2011

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**Funding:** These authors have no support or funding to report.

**Competing Interests:** Prof. Unsgård has approximately 0.1% of the stocks in SonoWand, the company making the neuronavigation system. All operations were performed under general anesthesia. The SonoWand® neuronavigation system was available if requested by the surgeon and was used in 56 (91.8%) of the operations. There are no patents, products in development, or marketed products to declare. This does not alter the authors' adherence to all the PLoS ONE policies on sharing data and materials, as detailed online in the guide for authors.

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## Introduction

Surgical studies in patients with glioblastoma have focused much on resection grades and maximal safe resection is usually advocated. However, measurements of both extents of resection and safety vary between studies and there are few controlled trials. Due to non-uniform inclusion criteria and assessments of outcomes, direct comparison of results and techniques are difficult, if not impossible [1]. Nevertheless, it seems like resections need to be extensive to improve survival, but the resection grade threshold for a probable clinical benefit remains debated [2–4]. Safety is less often assessed and there is no uniform and accepted method for reporting of adverse events in surgical trials [5]. Often clinicians or operating surgeons report clinical outcomes in gross functional scales with a potential of assessment and interest bias.

The combination of this ultimately fatal disease with the delicate balance between potential effect and hazards of surgery makes patients' perioperative HRQOL of particular interest. However, the impact of glioblastoma surgery on patient reported outcomes has not been explored much [6]. We have earlier described possible predictors of HRQOL in patients undergoing glioma surgery. The study clearly demonstrated the devastating effect of acquired deficits on patient reported HRQOL [7]. A recent paper found that surgical acquired deficits may be associated with decreased survival as well [8], but the possible impact of postoperative loss of HRQOL on survival has not been explored.

In the present prospective study we aimed to assess if changes in HRQOL after surgery added any prognostic information to the already established risk factors.

## Materials and Methods

### Ethics statement

All patients included have given their written and informed consent. The Data Inspectorate in Norway approved registration and management of data. The study was approved by the Regional Ethical Committee for Health Region Mid-Norway.

### Methods

Study subjects were recruited from patients aged  $\geq 18$  years admitted to our department for scheduled brain tumor surgery, in the period from January 2007 through December 2010. Patients were followed until death or until May 15<sup>th</sup>, 2011. Survival was calculated from the date of surgery. Only patients with histopathological confirmed glioblastoma according to the WHO classification were included in this study. Patients provided written informed consent and filled out the EuroQol 5D (EQ-5D) questionnaire 1–3 days before surgery. A study nurse scored preoperative Karnofsky Performance Status (KPS) on admission. Patient follow-up by a study nurse was scheduled at 6 weeks (median time to follow up: 47 days) after surgery. We decided to use 6 weeks to allow for some recovery from transient surgically induced deficits. In addition, few patients experience significant tumor progression in this time frame. At this time point some patients may have started adjuvant therapy and this could influence the HRQOL, however this is expected to be the same between the groups and therefore unlikely to influence the results. Adverse effects are also quite rare during the initiating phase of adjuvant radiotherapy and/or concomitant temozolomide treatment. Structured interviews were used to assess HRQOL (EQ-5D) using the same questionnaire as preoperatively. The patients were also interviewed about possible complications, acquired and/or worsened deficits (motor, language, vision, unsteadiness and other) and altered mental functions (memory, personality and other) experienced after the procedure. Only patients with complete HRQOL data were included in the analyses. Tumor volumes and resection grades were determined from preoperative and early postoperative MRI volumes using an ellipsoid model ( $4\pi \times r^3/3$ ), as described by others [9]. Gross total resection (GTR) was defined as no visible contrast enhancing tumor tissue on the early (<72 hours) postoperative 1.5 T or 3.0 T MRI scans.

### Study population

Sixty-seven patients with glioblastoma were included from baseline, but 6 (9.0%) patients did not complete the EQ-5D questionnaire after surgery. All patients who did not respond were dead at last follow-up. Three were lost to follow-up as they were already dead or in a terminal condition at 6 weeks, whereas the other three patients who were lost to follow-up lived for a median 30 weeks. The only in-hospital registered complication among these six patients was seizures in one patient who had no seizures preoperatively. Median preoperative HRQOL for these six patients was 0.59 (range 0.27–0.74).

Sixty-one patients had complete EQ-5D forms before and after surgery and were included in the analyses. Clinical characteristics are presented in Table 1. The mean age of included patients was 58 years (range 26–81) and 29 (47.5%) were female. The median preoperative KPS was 80 and 84.7% were functionally independent (KPS 70–100). Thirty eight (62.3%) of the operations were primary and 23 (37.7%) were reoperations.

### Surgical procedure

All operations were performed under general anesthesia. The SonoWand<sup>®</sup> neuronavigation system was available if requested by

**Table 1.** Clinical characteristics of the patient population.

Clinical characteristics	No. (%)
Age (mean, range)	58 years (28–81)
Female	29 (47.5)
Preoperative KPS <sup>a</sup> (median, range)	80 (50–100)
Assumed eloquent <sup>b</sup>	33 (54.1)
Primary operation	38 (62.3)
Tumor volume (median, range)	18.4 cm <sup>3</sup> (1.1–233.5)
Gross total resection	24 (39.3)
Radiotherapy (now or prior)	56 (91.8)
Temozolomide (now or prior)	46 (75.4)
Acquired neurological deficits	23 (37.7)
Complications	15 (24.6)
Complications leading to reoperation	2 (3.3)

<sup>a</sup>KPS, Karnofsky Performance Status.

<sup>b</sup>Eloquence is here defined as grade II and grade III according to the definition by Sawaya et al. [37].

doi:10.1371/journal.pone.0028592.t001

the surgeon and was used in 56 (91.8%) of the operations. The system utilizes 3D preoperative MRI and updated intraoperative 3D ultrasound volumes to guide resection [10]. In eloquent lesions functional neuronavigation was incorporated utilizing a method described in detail earlier [11,12]. Functional MRI and diffusion tensor imaging data was incorporated into the system in 19 (31.1%) and 23 (37.7%) of the operations respectively. Sixty (98.4%) of the 61 included patients underwent craniotomy and tumor resection. One patient underwent biopsy only. The median preoperative tumor volume was 18.4 cm<sup>3</sup> and the median resection grade was 96.3% with GTR achieved in 24 (39.3%) of the patients.

### The EuroQol 5D

EQ-5D is a generic (not developed for any specific patient group) and preference-weighted measure of HRQOL [13]. The questionnaire has been applied to a wide range of health conditions and treatments as well as population based health surveys [14,15]. There are many different instruments available for researchers interested in assessing HRQOL. We chose to use EQ-5D due to the simplicity of the instrument, to enhance patient perception and perhaps also compliance. Generic instruments such as EQ-5D lack disease specific questions that may be relevant to the patient group (e.g. cognitive functions). Generic instruments may therefore lack sensitivity to measure small benefits or negative consequences of surgery. However, we have earlier demonstrated that EQ-5D shows good correlation to KPS in patients with gliomas and is responsive to new neurological deficit which is highly relevant in this patient group. Also, compared to KPS it offers a more nuanced picture with respect to change after surgery. Since KPS only measures one physical dimension of HRQOL it is insensitive to changes in other dimensions [7]. Another important difference between EQ-5D and KPS is that the latter most often is reported by the physician whereas the former is a patient reported outcome. The EQ-5D has been validated in a Norwegian normal population [16], but so far not in glioma patients. In EQ-5D, five dimensions of HRQOL are scored; mobility, self-care, usual activities, pain/discomfort and anxiety/depression with 3 possible answers to each dimension, i.e. 'no problem', 'slight problem' or 'major problem'. This results in the 243 different possible health

states which are transformed into a single index value based on a large survey in the UK population [17]. EQ-5D index value is from  $-0.594$  to  $1$ , where  $1$  corresponds to perfect health, and  $0$  to death. Negative values are considered to be worse than death. To provide examples a patient scoring  $2, 1, 1, 1,$  and  $2$  receives a score of  $0.78$ , while a patient scoring  $2, 3, 3, 2$  and  $2$  receives a score of  $0.08$ . A visual analogue scale where patients rate their current health state on a line ranging from  $0-100$  (worst to best imaginable health) forms the second part of the EuroQol questionnaire. In this study only the index value was assessed.

### Statistics

All analyses were done with the PASW statistics, version 18.0. Statistical significance level was set to  $P < 0.05$ . Q-Q plots were used to test for normal distribution of data. Central tendencies are presented as means if data is normally distributed and as medians when skewed. When analyzing changes in EQ-5D (e.g. before and after surgery) paired sample t-test was used. For comparison of groups with skewed distribution we utilized Mann-Whitney U test. For binominal data we used Pearson's chi square test.

In the Cox multivariate survival analysis the variables were chosen on the basis of current evidence. The most consistent factors affecting survival in patients with glioblastoma are age [18] and preoperative functional status, usually evaluated with Karnofsky Performance Status (KPS) [19,20]. High quality evidence for the efficacy for adjuvant treatment with radiotherapy and temozolomide in selected patients is now available [21,22]. There is also growing evidence suggesting that achieving gross total resection improves survival [2,23]. We performed univariate analyses for each risk factor and included all in the multivariate model. The Cox multivariate model included the following variables: Age (linear), extent of resection (linear), radiation (yes, no), temozolomide (yes, no), preoperative Karnofsky (linear) and deterioration in patient reported HRQOL (yes/no). We are aware that use of linear data is preferable for statistical reasons (no loss of information), but dichotomizing variables makes clinical interpretation easier, especially when scores consist of several summarized variables, making the immediate interpretation of a number less intuitive. For radiation and temozolomide "yes" indicates that the treatment has been provided at any time during the course of the disease.

### Results

#### HRQOL evaluated with EQ-5D

The mean preoperative EQ-5D index was  $0.67$  compared to  $0.62$  postoperatively. The mean decline of  $-0.05$  (95% CI  $-0.15-0.05$ ) is a non-significant change ( $p = 0.285$ ). There was a wide range in the difference ( $-0.96$  to  $0.87$ ) after surgery. There were 30 patients (49.2%) who reported a deterioration 6 weeks after surgery while 9 (14.8%) were unchanged and 22 (36.1%) reported improved HRQOL. Treatment and outcome characteristics comparing the patients with deterioration in HRQOL with the others are presented in Table 2. Patients who reported deterioration in HRQOL had EQ-5D index  $0.41$  postoperatively as compared to  $0.81$  in their counterparts ( $p < 0.001$ ). The group of patients who experienced a deterioration in HRQOL after surgery ( $n = 30$ ) more often had acquired deficits ( $p = 0.017$ ). There was also a trend for better HRQOL preoperatively ( $p = 0.051$ ), although not statistically significant.

#### Survival

At the end of follow up 22 patients (36%) were still alive. Median survival was 64 weeks (95% CI 44–84) and a survival curve is presented in Figure 1.

In a Cox multivariate survival analysis we evaluated the impact of the established risk factors together with deterioration in HRQOL. The results are presented in Table 3 and Figure 2A, 2B and 2C. There were independent associations between survival and use of temozolomide (HR  $0.30$ ,  $p = 0.019$ , Figure 2A), radiation therapy (HR  $0.26$ ,  $p = 0.030$ , Figure 2B), and deterioration in HRQOL after surgery (HR  $2.02$ ,  $p = 0.045$ , Figure 2C). Patients with deterioration in HRQOL more often died during the first six months following surgery (Table 2,  $p = 0.017$ ). Preoperative KPS or surgical extent of resection did not reach statistical significance. Using KPS as a dichotomous variable ( $KPS \geq 70$ ) or categorical values for extent of resection (gross total, subtotal and biopsy) did not change the conclusion. Inclusion of surgically acquired deficits in the model did not alter the conclusion either, and actually strengthened the association between deterioration in HRQOL after surgery with overall survival (HR  $2.4$ ,  $p = 0.022$ ). Since requested in the review process, primary and redo operations were analyzed separately. Ad-hoc testing verified that temozolomide and radiation therapy were statistically significant predictors ( $p < 0.05$ ) when the 38 primary operations were analyzed separately. Deterioration in HRQOL did not reach statistical significance (HR  $2.9$ ,  $p = 0.05$ ). No statistically significant predictor was found when analyzing the 23 reoperations separately.

### Discussion

In this prospective follow-up study of 61 glioblastoma patients we found that deterioration in HRQOL early after surgery seems to be an independent negative prognostic factor for survival. Deterioration in HRQOL occurs in about half of the patients despite the use of modern image guided surgery. The effect of deteriorating HRQOL was independent of the established risk factors, such as age, extent of resection, preoperative functional status (KPS), and adjuvant treatment. The difference in survival appears to be due to a difference in early mortality. A decline in HRQOL in the early postoperative phase may be suggestive a rapidly growing lesion or perhaps negative effects from surgery. It has been reported that acquired deficits can be associated with both suboptimal adjuvant therapy [5] and reduced survival [8]. Still, we found that the negative impact of lost HRQOL remained significant after adjustment for reported acquired neurologic deficits. Our findings indicate that evaluation of the patients' perception of own health may be of high prognostic value. If so, this may allow for new and interesting outcome measures in glioblastoma surgery that reflect the biology of the disease, the tolls and the benefits from surgery, while maintaining the relevance for overall survival. HRQOL measures allow for comparisons across studies and techniques while avoiding the potential bias associated with surgeons' evaluation of own results.

Overall survival is considered the gold standard when evaluating treatment of glioblastoma and its role is indisputable. However as survival benefits from surgery can be modest, survival as study end-point may require multicentre inclusion and years of recruitment to avoid a statistical power shortage, as experienced in the 5-ALA study [9]. Further, this measure can be quite unspecific in a surgical setting as it reflects the results from non-surgical interventions as well. Progression free survival (PFS) may be used instead as in the 5-ALA-study [9], but the definitions vary and interpretation is problematic [24]. Pseudoprogression occurs in approximately 20% and this makes a pure imaging based outcome unreliable [25]. There may be contrast enhancement due to the treatment itself which can be impossible to distinguish from recurrent disease [24]. Another problem is pseudoresponses, seen

**Table 2.** Comparisons of treatment related factors and outcome among patients experiencing deterioration in HRQOL after surgery with patients with equal or better HRQOL after surgery.<sup>a</sup>

	Deterioration in HRQOL (n = 30)	Equal or improved HRQOL (n = 31)	P-value
Primary operation <sup>b</sup>	17 (56.6%)	21 (67.7%)	0.375
KPS (median) preop <sup>c</sup>	80	90	0.586
Tumor volume (median) <sup>c</sup>	24.1 cm <sup>3</sup>	15.9 cm <sup>3</sup>	0.322
Extent of resection (median) <sup>c</sup>	95.1%	96.5%	0.715
Gross total resection <sup>b</sup>	11 (36.7%)	13 (41.2%)	0.532
Complication <sup>b</sup>	8 (26.7%)	7 (22.6%)	0.401
New/worse deficit <sup>b</sup>	16 (53.3%)	7 (22.6%)	0.017
EQ-5D index (mean) preop <sup>d</sup>	0.75	0.59	0.051
EQ-5D index (mean) postop <sup>d</sup>	0.41	0.81	<0.001
Deaths in month 0–6 <sup>b</sup>	11 (36.7%)	3 (9.7%)	0.012
Deaths in month 7–12 <sup>b</sup>	6 (20.0%)	5 (16.1%)	0.694
Deaths >12 months <sup>b</sup>	6 (20.0%)	8 (25.8%)	0.590
Total deaths in follow up <sup>b</sup>	23 (76.7%)	16 (51.6%)	0.042

<sup>a</sup>HRQOL, health related quality of life; KPS, Karnofsky Performance Status; p<0.05 is considered significant.

<sup>b</sup>Pearson chi-square.

<sup>c</sup>Mann-Whitney U test.

<sup>d</sup>Independent sample t-test.

doi:10.1371/journal.pone.0028592.t002

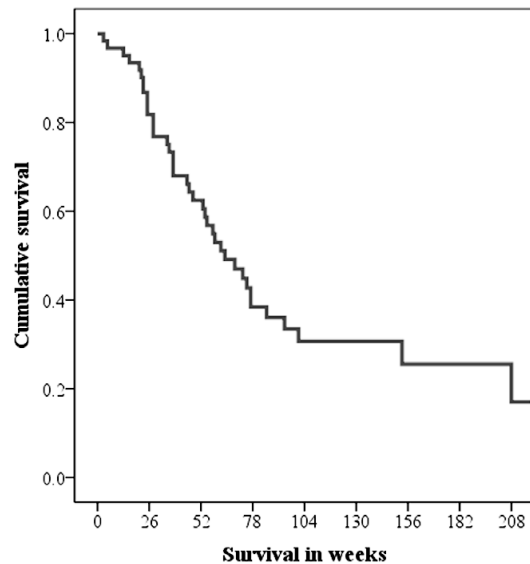
with antiangiogenic agents where the disappearance of contrast enhancement is not necessarily related a clinical response [24,26]. However, the dynamics of tumor progression, the speed of growth, and patterns of growth may be of prognostic importance if a reliable measure becomes available.

Extensive resections are advocated by numerous studies due to the association with improved survival. The association seems

logical, but it is difficult to differentiate the efficacy of treatments from treatment selection as most studies are neither randomized, controlled nor prospective [4,23,27]. As mentioned earlier, differences in patient selection are obstacles for meaningful comparisons between institutions and techniques. Lastly, with the exception of the 5-ALA study [9] most studies are not even designed to evaluate the efficacy of surgical treatment. The present study does not indicate that extensive resection negatively affects HRQOL in itself, but it indicates that there is serious potential for harm in surgical treatment of glioblastomas. We believe careful therapeutic considerations should be made in cases where safe gross total resection seems unlikely as the risk might outweigh the benefit.

These common end-points all have drawbacks which can be problematic for meaningful clinical interpretation. Since the prognosis with respect to survival remains unfavorable despite maximal therapeutic efforts, measuring patients' quality of survival is an important supplement [6]. We believe HRQOL adds useful information both for clinical use and research. Met with the individual patients, neurosurgeons should take into account the potential hazards of surgery on patients' HRQOL and carefully weigh this up against the likelihood of a survival benefit. Perhaps the patients' subjective HRQOL reflects the dynamics of their disease of prognostic importance, although difficult to quantify even in serial MRI scans. HRQOL reflects both the burden of treatment and the severity of the disease and together with the association to overall we believe that deterioration in HRQOL, or deterioration free survival after surgery, can be a meaningful endpoint in surgical trials in neuro-oncology.

In demonstrating prognostic potential of self reported HRQOL we are in line with earlier studies [28–31]. However, we are not aware of any other study assessing the prognostic effect of HRQOL where baseline scores are collected preoperatively. Other neuro-oncological studies evaluating HRQOL and survival are usually in the setting of medical clinical trials using initiation of chemotherapy or radiotherapy as baseline [29–32]. This neglects



**Figure 1.** Overall survival in the cohort (n=61) presented in a survival plot.

doi:10.1371/journal.pone.0028592.g001

**Table 3.** Cox multivariate regression.<sup>a</sup>

	HR univariate	P-value	HR Multivariate	P-value	95% CI for multivariate HR	
					Lower	Upper
Age	1.04	0.023	1.00	0.990	0.97	1.03
EOR	0.99	0.176	0.99	0.403	0.97	1.00
Radiotherapy	0.12	<0.001	0.26	0.030	0.08	0.88
Temozolomide	0.20	<0.001	0.30	0.019	0.11	0.82
KPS preoperative	0.98	0.083	0.99	0.325	0.96	1.01
HRQOL deterioration	2.11	0.022	2.02	0.045	1.02	4.00

All variables included in the model are presented both for univariate and multivariate analyses. Radiotherapy, use of temozolomide and deterioration in quality of life 6 weeks after surgery were independently associated with overall survival.

<sup>a</sup>EOR, extent of resection; KPS, Karnofsky Performance Status; HRQOL, health related quality of life; HR, hazard ratio; CI, confidence interval; p<0.05 is considered significant.

doi:10.1371/journal.pone.0028592.t003

the potential effect and hazards of surgery which undoubtedly is the most invasive form of treatment in patients with glioblastoma.

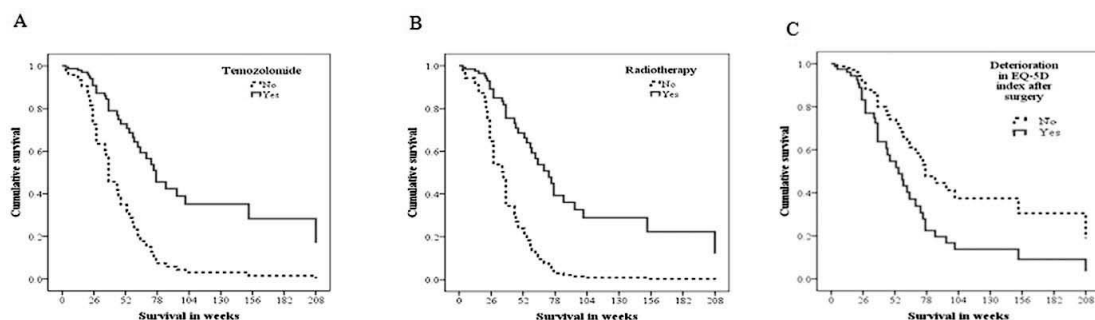
Patients may perceive their health and HRQOL differently with regards to sex, tumor location and histopathology [6,7]. Therefore it is difficult to find an optimal cut-off-value with clinical significance, and searching for a so called “best cut-off” may be somewhat dubious and increase the risk for false positive findings [33]. Utilizing changes instead of absolute values seems clinically more useful in individual patients. This approach takes individual differences into consideration as patients are their own controls. This approach may reduce the problems mentioned above. However, interpreting changes in HRQOL is not necessarily straightforward. Changes should be evaluated as clinically meaningful rather than simply statistically significant. This can be achieved by anchoring HRQOL to therapy, changes with disease progression or life events [34].

EQ-5D, a generic HRQOL measure, shows good correlation with traditional outcome measures [7], and in this study it also demonstrates an association with hard clinical end-points. Thus it is seemingly a valuable tool in assessing HRQOL in patients with glioblastoma. Despite potential shortcomings of generic instruments, we are convinced that patient related outcomes with a validated questionnaire are interesting, valuable, and perhaps less biased adjuncts to traditional physician rated outcome measures. The use of EQ-5D for the entire glioblastoma patient population should be subject of further studies i.e. defining minimal important

change or measuring HRQOL at multiple time points to better understand the HRQOL throughout the course of the disease. However, we would insist on using a preoperative evaluation as baseline to avoid loss of important information.

The relative high number of complications and acquired deficits in our patients are most likely explained by the assessment method used. All adverse events were patient reported, including uncommon outcome parameters used in the neurosurgical literature, namely memory difficulties, unsteadiness and personality changes. When using a more common method of assessment we have reported complications in 21% and deteriorated functional outcome in 13% in a consecutive, unselected series in patients with high grade gliomas [1]. Comparing adverse events between studies is difficult due to different inclusion criteria and the lack of a standardized way of reporting [5]. With this in mind we believe these findings are comparable to a large study where 34% of patients experienced perioperative complications and 9.9% displayed worsened neurological status within 3 weeks after primary craniotomy for malignant glioma [35]. For the future we would encourage researchers to use one standard way of reporting since this would facilitate meaningful comparisons, i.e. using the system for neurosurgical patients recently described [36].

Our study has several limitations. The patients included represent an unsystematic selection that may not be representative for the entire population of patients with glioblastoma. We believe the lost-to follow-up rate of 9% is low. How these lost-to-follow-



**Figure 2.** Survival curves for the independent predictors presented in Table 3.

doi:10.1371/journal.pone.0028592.g002



ups would have affected the results remains speculative, but as three were dead or in a terminal condition, it is reasonable to believe their HRQOL had deteriorated as well and further strengthened the association. Adjuvant treatment (yes/no) was included in the Cox regression model in spite of the risk of survivorship effect overestimating the actual effect of the intervention. A case-mix with 37.7% reoperated patients where most had already received adjuvant treatment could possibly lead to underestimation of the effect of adjuvant treatment. Although the effect of lost HRQOL seems independent of given adjuvant treatment, details of treatment protocols were not studied. We therefore advise to interpret the effects of adjuvant therapy in this study with some caution. Results from the ad-hoc analyses for primary operations and reoperations separately, as requested in the review process, may likely be due to type II errors and should not alter the interpretation of the study. They suggest that the findings in this study may be more representative for primary operations than for reoperations, but this finding needs to be verified in a larger study. Finally, the statistical method used in creating a dichotomous variable (worse HRQOL: yes/no) from a single variable is associated with an increase in false positive findings [33]. However the cut-off chosen is not created on the basis of finding the “optimal” cut-off, but out of logic and what we

thought would be of clinical relevance. Another important statistical culprit is the floor-ceiling effect since patients in a good preoperative condition can only become worse and vice versa.

## Conclusion

Balancing risks with potential survival benefit and clinical improvement is the key in surgical treatment of patients with glioblastoma. Resection grades, overall survival, and PFS are much used outcome parameters in surgical research, but they offer no information on quality of survival. In this study we have demonstrated that early deterioration in HRQOL after surgery is independently and markedly associated with impaired survival. Deterioration in patient reported HRQOL after surgery is a meaningful outcome in surgical neuro-oncology as HRQOL reflects the burden of symptoms, the treatment hazards and is linked to survival.

## Author Contributions

Conceived and designed the experiments: ASJ SG GU OS. Analyzed the data: ASJ SG CW OS. Contributed reagents/materials/analysis tools: ASJ SG CW GU OS. Wrote the paper: ASJ SG CW GU OS.

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**Dissertations at the Faculty of Medicine, NTNU**







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#### 2000

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204. Sylvester Moyo: STUDIES ON STREPTOCOCCUS AGALACTIAE (GROUP B STREPTOCOCCUS) SURFACE-ANCHORED MARKERS WITH EMPHASIS ON STRAINS AND HUMAN SERA FROM ZIMBABWE.
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