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Prognostic Value and Reproducibility of Pretreatment CT Texture Features in Stage III Non-Small Cell Lung Cancer

David V. Fried, BS^{1,2}, Susan L. Tucker, PhD³, Shouhao Zhou, PhD³, Zhongxing Liao, MD⁴, Osama Mawlawi, PhD^{1,5}, Geoffrey Ibbott, PhD^{1,2}, and Laurence E. Court, PhD^{1,2}

¹Department of Radiation Physics, The University of Texas MD Anderson Cancer Center, Houston, Texas

²Graduate School of Biomedical Sciences, The University of Texas Health Science Center at Houston, Houston, Texas

³Department of Bioinformatics and Computational Biology, Division of Quantitative Sciences, The University of Texas MD Anderson Cancer Center, Houston, TX

⁴Department of Radiation Oncology, The University of Texas MD Anderson Cancer Center, Houston, Texas

⁵Department of Imaging Physics, The University of Texas MD Anderson Cancer Center, Houston, Texas

Abstract

Purpose—To determine whether pretreatment CT texture features can improve patient risk stratification beyond conventional prognostic factors (CPFs) in stage III non-small cell lung cancer (NSCLC).

Methods and Materials—We retrospectively reviewed 91 patients with stage III NSCLC treated with definitive chemoradiation. All patients underwent a pretreatment diagnostic contrast enhanced CT (CE-CT) followed by a 4D-CT for treatment simulation. We used the average (average-CT) and expiratory (T50-CT) images from the 4D-CT along with the CE-CT for texture extraction. Histogram, gradient, co-occurrence, gray-tone difference, and filtration-based techniques were used for texture feature extraction. Penalized Cox regression implementing cross-validation was used for covariate selection and modeling. Models incorporating texture features from the 3 image types and CPFs were compared to models incorporating CPFs alone for overall survival (OS), local-regional control (LRC), and freedom from distant metastases (FFDM). Predictive Kaplan-Meier curves were generated using leave-one-out cross-validation. Patients were stratified based on their predicted outcome being above/below the median. Reproducibility

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Corresponding Author: Laurence E. Court, PhD, **Address:** 1515 Holcombe Blvd, Houston, TX 77030, LECourt@mdanderson.org, **Phone:** 713-563-2546.

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Conflict of interest: None

of texture features was evaluated using test-retest scans from independent patients and quantified using concordance correlation coefficients (CCC). We compared models incorporating the reproducibility seen on test-retest scans to our original models and determined the classification reproducibility.

Results—Models incorporating both texture features and CPFs demonstrated a significant improvement in risk stratification compared to models using CPFs alone for OS ($p=0.046$), LRC ($p=0.01$), and FFDM ($p=0.005$). The average CCC was 0.89, 0.91, and 0.67 for texture features extracted from the average-CT, T50-CT, and CE-CT, respectively. Incorporating reproducibility within our models yielded 80.4 (SD=3.7), 78.3 (SD=4.0), and 78.8 (SD=3.9) percent classification reproducibility in terms of OS, LRC, and FFDM, respectively.

Conclusions—Pretreatment tumor texture may provide prognostic information beyond what is obtained from CPFs. Models incorporating feature reproducibility achieved classification rates of ~80%. External validation would be required to establish texture as a prognostic factor.

Introduction

Lung cancer is currently the most common cause of death from cancer in the United States.¹ Frequently, patients present with Stage III disease and are not amenable to surgical resection. For these patients, standard of care consists of definitive chemoradiotherapy. Even when treated aggressively, patient 3-year survival is approximately 27%.² Inoperable non-small-cell lung cancer (NSCLC) patients are a very heterogeneous population with varying degrees tumor extent, comorbidity, etc. This presents a significant challenge to clinicians when attempting to provide optimal treatment. Traditional TNM staging is not ideal for stratifying patients and there is a tremendous need to develop better tools for assessing prognosis.

Efforts have been made to address this issue by identifying prognostic genetic expression signatures and using functional imaging techniques such as FDG-PET.^{3–5} Recently, tumor heterogeneity as assessed by computed tomography (CT) has yielded promising preliminary results in a variety of cancers.^{6–8} These techniques assess the spatial variation of tumor density within a patient's tumor. Since CT is routinely obtained for all patients undergoing radiation therapy, prognostic markers generated in this manner would be less costly and less time consuming than genetic or functional imaging based techniques.

In this study we examine the impact of CT texture features to enhance patient risk stratification beyond conventional prognostic factors (CPFs) for patients with Stage III NSCLC.

Methods and Materials

Patients

We retrospectively reviewed the medical records of patients with stage III NSCLC treated with definitive radiation therapy between July 2004 and January 2012. These dates were chosen in order to include patients receiving 4DCT, which our institution implemented in early 2004, and provide adequate follow-up time. We excluded all patients receiving

induction chemotherapy, proton based radiation therapy, <5 years post treatment for solid tumor, multiple primary lesions, non-platin based concurrent chemotherapy, and those not receiving a diagnostic contrast enhanced scan prior to 4DCT treatment planning. Additional patients were excluded for the following reasons: non-identifiable or small primary tumor (16), image restoration error (7), uncertainty in tumor extent (8), having a break from treatment longer than one week (2), and image artifacts (8). This yielded 91 out of the 132 patients for analysis. The median follow-up for all living patients at time of analysis was 59 months (range, 17 – 97 months). The primary endpoints of our analysis were overall survival (OS), local-regional control (LRC), and freedom from distant metastasis (FFDM). The endpoints were defined from first day of definitive radiation treatment until death, local-regional failure, or presentation of metastatic disease for OS, LRC, and FFDM, respectively. Patients not experiencing an event were censored for the corresponding endpoint at the date of death or last follow-up. The institutional review board approved this retrospective chart review study and waived the need for informed consent. We also complied with all Health Insurance Portability and Accountability Act (HIPAA) regulations.

Imaging

All patients received a diagnostic contrast enhanced CT (CE-CT) and a non-contrasted 4DCT scan prior to treatment. For contrast enhanced scans, patients were scanned using 120 kVp, 400–1160mA, and an exposure time of 265–570ms. All images were reconstructed using the standard reconstruction kernel. Axial images were 512×512 pixels with voxel dimensions of $0.059\text{--}0.090\text{cm} \times 0.059\text{--}0.090\text{cm} \times 0.25\text{cm}$.

For the 4D-CT scans, the average intensity projection (AVG-CT) and expiratory phase (T50-CT) images were used in this study. Patients were scanned using 120 kVp, 100–200mA, and an exposure time of 500–800ms. All images were reconstructed using the standard reconstruction kernel. Axial images were 512×512 pixels with voxel dimensions of $0.096\text{cm} \times 0.096\text{cm} \times 0.25\text{--}0.30\text{cm}$.

Conventional Prognostic Factors

The CPFs included in our analysis were T stage (T1/2 vs T3/4), N (N0/1 vs N2/3 Stage, Overall Stage (IIIA vs. IIIB), age (≥ 65 vs. <65), gender, histology (SCC vs. Other), Charlson Comorbidity Index (CCI) (>0 vs. 0), ECOG performance status (>0 vs 0), Karnofsky Performance Status (KPS) (≥ 80 vs. <80), smoking status (current vs. former/never), estimated pack years (continuous), and gross tumor volume (GTV) (continuous). These factors were included as they have all been suggested to be prognostic in stage III NSCLC.⁹ All TNM staging was performed according to the 7th edition American Joint Committee on Cancer staging manual.¹⁰ GTV was measured by the volume of the initial tumor contoured for patient treatment which included *both* the primary and nodal disease.

Texture Analysis

Tumor texture analysis was conducted using the gross tumor volume contour delineated by each patient's treating physician. The nodal tumor volumes were excluded from texture analysis. In some cases further contour modification was performed. The reason for further modification is due to the goal of analyzing tissue with an *extremely high* likelihood of

representing tumor whereas clinically physicians routinely include any and all tissue with a *reasonable* likelihood of representing tumor. Therefore, overly generous portions of the contour such as invasion into bone and other normal tissue structures such as the aorta were modified (DF). Contours were extracted and analyzed directly from our treatment planning system using in-house software built using a commercial software package (Matlab version 8.1.0. Natick, Massachusetts: The MathWorks Inc., 2013). For the AVG-CT and T50-CT, a lower and upper threshold of -100 to 200 Hounsfield units (HU) was implemented to exclude lung tissue, air, and/or bone in order to determine our final region of interest (ROI). A lower threshold of -100 HU was used for the contrast enhanced images with no upper threshold. Only voxels within the defined threshold bounds were included in the texture analysis. We extracted 66 texture features from the windowed tumor contours for each of the three image types (AVG-CT, T50-CT, and CE-CT) and these are shown below in Table 1 organized by method. The methods used were histogram (IHIST), absolute gradient (GRAD), nearest gray tone difference matrix (NGTDM)¹¹, co-occurrence matrix (COM)¹², Laplacian of Gaussian filtration (LoG)¹³. When reporting texture metrics, the notation convention of method_feature will be used. For instance, the NGTDM coarseness feature would be identified by NGTDM_coarseness.

The ROIs were scaled into 8-bit images and then filtered using a Wiener filter, a two dimensional adaptive noise-removal filter, in an attempt to reduce any Gaussian noise present within the ROI. This was done for all texture feature methods except the LoG based method as this employs its own blurring step within the filtration process. For metrics using a histogram for calculation (IHIST, LoG_Uniformity, and LoG_Entropy) 256 bins were utilized (i.e. $4096/256 = 16$ HU/bin). Calculation of the NGTDM and COM features were performed for three dimensions (i.e. each reference pixel has 26 neighbors [NGTDM] and 13 unique directions [COM]). The process is the same as described by Haralick and Amadasum, however averages over all neighbors (NGTDM) and directions (COM) were performed.^{11,12} This allowed for COM features to be non-directional and NGTDM features to use all adjacent pixel values in calculations and not only those within the same axial slice.

Reproducibility Analysis

We obtained test-retest scans from 10, 10, and 13 independent patients for the AVG-CT, T50-CT, and CE-CT, respectively. The test-retest scans of the AVG-CT and T50-CT images were taken at our institution and on average separated by 27 min (range: 16–47). We were unable to acquire CE-CT test-retest images from patients within a close time period. We therefore used contrast enhanced scans taken outside our institution prior to treatment and compared them to the diagnostic CE-CT taken within our institution. The average separation between these scans was 38 days (range: 17–72). The contours for the test-retest scans were performed by a single observer (DF) on separate occasions for the test and retest scans in order to incorporate intra-observer contour variability. We calculated the classification reproducibility of our models incorporating the reproducibility seen via the test-retest scans. The classification reproducibility is defined as what percent of patients were categorized into the same group as our original models when incorporating the test-retest variation into our texture parameters. This was done for the models incorporating texture and CPFs.

Statistical Analysis

All statistical analyses were conducted in R 3.0.2 with the following R packages: survival v(2.37–4), penalized (0.9–42), survcomp v(1.10.0), and risksetROC v(1.0.4). The 13 clinical factors and 66 texture features from each image type (198 total texture features) were entered into a penalized multivariate Cox proportional hazards model which simultaneously performs covariate selection in addition to model development. This process is governed by the L1 penalty parameter which governs the balance between model fit and model complexity. The L1 parameter was chosen since it results in many covariate coefficients being penalized down to zero yielding few covariates with non-zero coefficients. Covariates with non-zero coefficients can be seen as the only ones “included” in the model as covariates with coefficients of zero will not contribute. This penalty parameter is estimated based on the cross-validated likelihood to optimize the model performance from a predictive perspective for future observations. All covariates were standardized prior to penalization in order to disregard the different scales present between texture features. The resulting covariate coefficients are rescaled to their original values when reporting the final model.¹⁴

When determining the out-of-sample performance of our generated models, we predominantly used methodologies suggested by Simon et al.¹⁵ We used leave-one-out cross-validation when generating Kaplan-Meier curves rather than data refitting. Cross-validated Kaplan-Meier curves use a model prediction for a particular patient when they are not used during the model training. The patient which is left out is changed and the process repeated such that each observation in the sample has a prediction from when it was not involved in model development. These predictions are used to stratify patients into risk groups which removes the bias associated with testing a model on the same dataset from which it was generated. High risk patients were defined as having predicted outcomes less than the median. Low risk patients were defined as having predicted outcomes greater than or equal to the median. When no covariates were selected during model development, a random split was used for illustrative purposes to stratify into high and low risk.

To determine if models generated using both texture and CPFs out performed models using CPFs alone in terms of risk stratification, we took the difference of the log-rank statistic associated with their respective Kaplan-Meier curves to calculate the associated p-value. In order to calculate p-values of our cross-validated stratification, we randomly permuted the outcomes with respect to the texture features and CPFs and re-ran our original analysis. This process was repeated 200 times in order to determine what proportion of randomly permuted data achieved a log-rank score greater than our original models (i.e. the p-value). P-values less than 0.05 were considered to indicate statistical significance.

Reproducibility of texture features was evaluated using concordance correlation coefficients (CCC).¹⁶ To analyze the influence of texture feature reproducibility on our model predictions, we determined the mean and standard deviation of the differences between each texture feature acquired from the test-retest images. We randomly sampled a normal distribution with the aforementioned mean and standard deviation for each texture feature and added this uncertainty to our features and re-predicted outcomes.

Results

CPFs and treatment characteristics of all patients are listed in Table 2.

Model Development and Analysis

Using L1 penalized Cox proportional hazards regression; models for OS, LRC, and FFDM were generated. Covariates with non-zero coefficients are shown in Table 3. To illustrate patient stratification using these models, cross-validated Kaplan-Meier curves for OS, LRC, and FFDM were developed along with their associated 95% confidence intervals (95% CI). Models with and without texture features are shown in Figure 1. Models using both texture features and CPFs demonstrated a statistically significant improvement in stratification compared to models using CPFs alone for OS ($p=0.046$), LRC ($p=0.01$), and FFDM ($p=0.005$).

To confirm our results were not due to overfitting and establish p-values for the model stratification, we randomly permuted the outcomes with respect to the CPFs and texture features and performed the same cross-validation/model fitting used during our original model development. This was done 200 times to test how often random data would yield a prognostic model with a log-rank statistic greater than that generated using the true outcomes. The log-rank statistic from the permuted outcomes was greater than the original log-rank statistic in 11/200 ($p = 0.055$), 0/200 ($p < 0.005$), and 1/200 ($p = 0.005$) for OS, LRC, and FFDM, respectively.

Reproducibility Analysis

Data from test-retest scans from 10, 10, and 13 independent patients for the AVG-CT, T50-CT, and CE-CT, respectively were used for our assessment of reproducibility. We found that 85(56/66), 75(50/66), and 23(15/66) percent of texture features had a CCC>0.9 for features generated from T50-CT, Average-CT, and CE-CT, respectively.

Incorporating reproducibility within our models yielded 80.4 (SD=3.7), 78.3 (SD=4.0), and 78.8 (SD=3.9) percent classification reproducibility in terms of OS, LRC, and FFDM, respectively. Figure 2 illustrates an example iteration where we compared the predicted outcome with reproducibility to the original predicted outcome in terms of FFDM and calculate the classification reproducibility.

Discussion

We have shown that models incorporating both texture features and CPFs demonstrated a statistically significant improvement in stratification compared to models using CPFs alone in cross-validated Kaplan-Meier curves in terms of OS ($p=0.046$), LRC ($p=0.01$), and FFDM ($p=0.005$). Furthermore, we have shown that even when incorporating the reproducibility of our metrics within our models, classification rates of approximately 80 percent are still achieved.

We utilized cross-validation for both model selection and model validation. Commonly, researchers split their data into test and validation sets in order to validate their findings.

This is problematic since both test and validation sets subsequently have reduced sample size and thus reduced statistical power when compared to the initial cohort. To overcome this, we used a cross validation approach which employs repeated data-splitting to prevent over fitting while simultaneously generating accurate estimates of the model coefficients. This process is equivalent to data splitting in terms of producing validated model coefficients, but its use of data is more efficient than a dichotomous split into test and validation sets.¹⁷ With the number of features tested, there remains a high risk of a false positive result due to multiplicity of testing. Our methods were designed to minimize this likelihood however this possibility certainly still exists.

Preliminary evidence has suggested that texture analysis has the capability to aid clinicians in cancer diagnosis, staging/prognostication, and response assessment. Table 4 summarizes the literature regarding the use of texture analysis in NSCLC patients.^{6–8, 18–22} It can be seen that significant heterogeneity exists in the literature in terms of study size, patient stage(s), imaging modality examined, and patient treatment. Prior work has established a relationship between tumor texture and patient outcomes post treatment; however, to the best of our knowledge this is the first study to examine this relationship in NSCLC patients of the same stage receiving chemoradiotherapy.

Texture analysis has the potential to develop into a clinically useful tool using medical images that are already obtained during routine patient staging. Therefore, implementation would require little to no added cost and would not require additional time, discomfort, or radiation dose to patients. The ability to stratify patients in ways shown to be superior to current staging methods might allow physicians to deliver more optimized, patient-specific, treatment. Some may argue that for those with a poor prognosis this knowledge is usually not beneficial since patients are already receiving the maximum tolerable treatment. We would argue that treatment optimization does not necessarily equate to treatment escalation. In some instances, perhaps de-escalation of treatment and initiation of early palliative care may provide the best care for the patient. An accurate prognosis would also be beneficial to patients and their caregivers. Those identified as having a poor prognosis may be better equipped to make decisions regarding palliative versus definitive treatment and the role of hospice care.²³ A study conducted by Huskamp et al. reported that half of all patients with metastatic lung cancer are not approached about hospice care until 2 months before their death.²⁴ It is important to keep in mind that our analysis was only able to moderately separate patient overall survival. While our models appeared more efficacious in terms of LRC and FFDM, ultimately stratifying patients in terms of OS is would generate the most benefit to physicians and patients alike.

In addition to impacting treatment decisions, accurate, validated models may be used in the future to develop more efficient clinical trials. Models could be integrated into the inclusion and exclusion criteria. For instance, trials examining the role of local therapies such as surgery and radiation may benefit from a prior knowledge regarding a patient's probability of tumor metastasis. This would allow better selection of patients who would be more likely to address the underlying question of the trial. Furthermore, previously conducted trials could be reanalyzed in order to determine if a particular therapy is only beneficial to those with a poor/favorable prognosis.

While the addition of tumor texture analysis into survival models has shown significant potential, various downsides certainly exist. Data is still only available from preliminary studies which require external validation and appropriate assessment of predictive power/accuracy. Careful consideration needs to be taken in deciding which texture/analysis methods are appropriate for particular tasks. This includes consideration of values for parameters involved with each methodology as well as whatever preprocessing steps are applied. Differing quantification methods and their associated parameters have the potential to greatly impact study results. Texture analysis is also not applicable to all patients. Those with a small primary tumors or severe imaging artifacts are not appropriate to undergo analysis. Advances in robust, auto segmentation methods would also be exceedingly useful in this field in order to standardize tumor contouring. Using physician generated contours is most commonly used in these types of analyses but is far from perfect. Thresholding is a useful strategy to enhance contour reproducibility, particularly in lung tumors. Other factors that would influence reproducibility which were not included in our analysis are the stability of the CPFs between institutions/physicians such as staging, performance status, tumor volume, etc. Additionally, in this study the imaging protocols were well controlled. The impact of changing image parameters (tube voltage, reconstruction algorithm, pixel size, manufacturer, etc.) should be considered when evaluating data from multiple institutions.²⁵

In the future, we hope to conduct additional studies examining the use of texture analysis in other imaging modalities. Contrast CT, PET, and MRI could potentially all yield complementary information which would facilitate the creation of more accurate models. A variety of future studies are needed in order to better assess the applicability of texture analysis and its ultimate potential. Prospective trials are needed in order to determine if these techniques could one day be used in the clinic.

Patient outcome modeling has significant implications in many fields of medicine and particularly in oncology. Our study found that the combination of CT texture and CPFs can be used to generate superior outcome models when compared to CPFs alone in terms of OS, LRC, and FFDM. This additional information could be of use to physicians, patients, and caregivers. Further work needs to be done in order to generate widely applicable, accurate risk prediction tools capable of being implemented clinically.

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Figure 1.
Cross-validated Kaplan-Meier Curves for Models Using Texture Features and CPFs (A–C)
versus Models using CPFs alone (D–F)

Figure 2.
Impact of Texture Feature Reproducibility on FFDM Estimates

Table 1

Extracted Texture Features

Intensity Histogram (IHIST)	Absolute Gradient (Grad)	Nearest Gray Tone Difference Matrix (NGTDM)	Co-Occurrence Matrix (COM)	Laplacian of Gaussian Filtration Metrics (LoG)*
Mean Variance Skewness Kurtosis Entropy Uniformity	Mean Variance Skewness Kurtosis % non-zero	Coarseness Contrast Busyness	Angular 2nd Moment Contrast Correlation Sum of Squares Inv. Diff. Moment Sum Average Sum Variance Sum Entropy Entropy Diff. Entropy Infomc1 Infomc2	Mean Uniformity Standard Deviation Entropy

* These features were calculated for sigma values used for the Laplacian of Gaussian Filter of: 1.0, 1.5, 1.8, 2.0, and 2.5 for the largest axial (LA) slice and for the entire tumor

Table 2

Clinical and Treatment Characteristics

Conventional Prognostic Factors	N	%	Treatment Characteristics	N	%
No. Patients	91	NA	Radiation Dose		
Median Age (years)	65	NA	60 Gy @ 2 Gy/fx	6	7
Mean GTV (cc)	132.2	NA	63 Gy @ 1.8 Gy/fx	42	46
Gender			66 Gy @ 2 Gy/fx	7	8
Male	55	60	70Gy @ 2 Gy/fx	20	22
Female	36	40	74 Gy @ 2 Gy/fx	4	4
T Stage			Other	12	13
T1	10	11	Radiation Type		
T2	33	36	3DCRT	5	6
T3	23	25	IMRT	86	94
T4	25	28	Concurrent Chemotherapy		
N Stage			Carboplatin Based	78	86
N0/N1	11	12	Cisplatin Based	13	14
N2/N3	80	88	Adjuvant Chemotherapy		
Overall Stage			Yes	37	41
IIla	45	50	No	54	59
IIlb	46	50			
Histology					
Squamous Cell Carcinoma	46	50			
Adenocarcinoma/Other	45	50			
Smoking Status					
Never	5	6			
Former	65	71			
Current	21	23			
Pack Years					
0-24	13	14			

Conventional Prognostic Factors	N	%	Treatment Characteristics	N	%
25-49	37	41			
50-74	22	24			
75+	19	21			
CCI					
0-1	80	88			
2-3	9	10			
4	2	2			
Performance Status (ECOG)					
0-1	89	98			
2	2	2			
Performance Status (KPS)					
100-90	37	41			
80-70	53	58			
<70	1	1			

Table 3

Full Models for OS, LRC, and FFDM

	Coefficient in OS Model	Coefficient in LRC Model	Coefficient in FFDM Model
Conventional Prognostic Factors:			
Age (65> vs 65)	0.089	NI	NI
ECOG (0/1 vs 2)	0.34	NI	NI
Histology (SCC vs Other)	6.5×10^{-4}	NI	NI
Gender (Male vs Female)	-0.05	NI	-0.44
GTV	0.0024	NI	0.0011
Texture Features:			
CE-CT			
LoG_LA_Average _{$\sigma=1$}	0.14	NI	0.14
LoG_Average _{$\sigma=1$}	NI	0.29	NI
IHIST_kurtosis	-0.022	NI	-0.019
NGTDM_busyness	NI	NI	26.0
COM_infomc1	2.5	NI	
AVG-CT			
LoG_SD _{$\sigma=1$}	0.024	NI	0.065
LoG_LA_Uniformity _{$\sigma=1$}	0.43	NI	6.2×10^{-4}
LoG_LA_Uniformity _{$\sigma=2,5$}	0.55	NI	NI
T50-CT			
GRAD_kurtosis	NI	NI	0.038
LoG_LA_Average _{$\sigma=1,5$}	-0.080	NI	NI
COM_sosvariance	0.0011	NI	NI
LoG_LA_Uniformity _{$\sigma=1,5$}	NI	-0.48	NI

Abbreviations: NI-not included in model, SCC-squamous cell carcinoma, GTV-gross tumor volume, SD-standard deviation, LA-largest axial slice

Table 4

Applications of Texture Analysis in Lung Cancer Outcomes or Prognostic Factors

Author	N	Tumor Stage(s)	Treatment Type	Imaging Type	Factor(s) Associated with Tumor Texture
Al Kadi et al. ⁶	15	I–IV	NA	CE-CT	1 Tumor Stage 2 Tumor Metabolism
Cook et al. ¹⁸	53	I–IV	CRT	PET	1 Tumor Response 2 Overall Survival
Ganeshan et al. ²⁰	54	I–IV	Unknown	NCE-CT	1 Overall Survival
Ganeshan et al. ⁷	17	Unknown	NA	NCE-CT	1 Tumor Stage 2 Tumor Metabolism
Ganeshan et al. ²¹	18	I–IV	NA	CE-CT	1 Tumor Hypoxia
Gevaert et al. ¹⁹	26	I–IV	PORT	NCE-CT	1 Tumor Meta-genes 2 Overall Survival
Mattonen et al. ²²	22	Stage I & recurrences	NA	NCE-CT	1 Tumor recurrence compared to radiation injury
Win et al. ⁸	66	I–IV	Unknown	NCE-CT	1 Overall Survival
Current Study	91	III	CRT	NCE-CT & CE-CT	1 Overall Survival 2 Local-Regional Control 3 Freedom from Distant Metastases

Abbreviations: CRT, chemoradiotherapy; PORT, post-operative radiation therapy; CE-CT, contrast enhanced computed tomography; NCE-CT, non-contrast enhanced computed tomography; PET, positron emission tomography