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Visual versus quantitative assessment of intra-tumor ¹⁸F-FDG PET uptake heterogeneity: prognostic value in Non-Small Cell Lung Cancer

Florent Tixier^{1,2}, Mathieu Hatt², Clemence Valla¹, Vincent Fleury¹, Corinne Lamour³, Safaa Ezzouhri¹, Pierre Ingrand⁴, Remy Perdrisot¹, Dimitris Visvikis², Catherine Cheze Le Rest¹

¹ Nuclear Medicine, CHU Milétrie, Poitiers, France.

² INSERM, UMR 1101, LaTIM, Brest, France.

³ Department of Oncology, CHU Milétrie, Poitiers, France

⁴ Epidemiology & Biostatistics, CIC Inserm 1402, CHU Milétrie, Poitiers, France.

Running title: FDG PET heterogeneity in NSCLC

Corresponding author: M. Hatt, INSERM, UMR 1101, LaTIM CHRU Morvan 2 avenue Foch 29609, Brest, France Tel: +33(0)2.98.01.81.11 Fax: +33(0)2.98.01.81.24 e-mail: <u>hatt@univ-brest.fr</u>

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ABSTRACT

The goal of this study was to compare visual assessment of intra-tumor ¹⁸F-FDG PET uptake distribution with an automated quantification through textural features (TF) analysis and to establish their respective prognostic value in non-small cell lung cancer (NSCLC).

METHODS: One hundred and two consecutive patients with NSCLC were retrospectively included. Only primary tumors were considered. Intra-tumor heterogeneity was visually scored by two nuclear medicine physicians using a 3-level scale (H_{visu}). Metabolically active tumor volumes (MATV) were automatically delineated and heterogeneity was quantified through TF parameters. Mean and maximum SUV (SUV_{mean}, SUV_{max}) were also included. Inter-observer agreement in visual assessment was evaluated using the Kappa test. Correlations between quantitative and visual assessment were evaluated using Spearman rank (ρ) coefficient. Association with overall survival (OS) and recurrence-free survival (RFS) was investigated using the Kaplan-Meier method and Cox regression models.

RESULTS: Moderate correlations ($0.4 < \rho < 0.6$) between TF parameters and H_{visu} were observed. Inter-observer agreement for H_{visu} was moderate (kappa=0.64), with discrepancies in 27% of the cases. High SUV, large metabolic volumes and high heterogeneity according to TF analysis was associated with poorer OS and RFS, and remained an independent prognostic factor of OS with respect to usual clinical variables.

CONCLUSIONS: Quantification of ¹⁸F-FDG uptake heterogeneity in NSCLC through TF analysis is correlated with visual assessment by experts. However, TF analysis is also associated with an objective heterogeneity quantification, reduced inter-observer

variability, and independent prognostic value potentially useful for patient stratification and management.

Keywords: ¹⁸FDG-PET/CT, heterogeneity, textural features, tumor delineation, prognosis, NSCLC.

¹⁸F-FDG Positron Emission Tomography/Computed Tomography (PET/CT) imaging is today a well-established tool for diagnostic oncology applications *(1)*. Its exploitation for gross tumor volume delineation in radiotherapy treatment planning *(2)* and/or monitoring response to therapy *(3,4)* is increasing. For non-small cell lung cancer (NSCLC), ¹⁸F-FDG PET/CT image quantification has been shown to provide prognostic information. PET image-derived features, including metabolically active tumor volume (MATV), mean standardized uptake value (SUV_{mean}) and total lesion glycolysis (TLG, defined as MATV×SUV_{mean}) have been shown to provide an accurate assessment of tumor burden with potentially higher prognostic value than standard maximum SUV (SUV_{max}), for both surgical and non-surgical patients *(5–9)*.

Intra-tumor ¹⁸F-FDG uptake heterogeneity has been associated with treatment failure (*10*) and its quantification has recently generated interest (*11–14*), including in lung cancer (*15*). Several methodologies have been proposed to assess intra-tumor heterogeneity, including visual evaluation (*16*), SUV coefficient of variation (SUV_{COV}) (*17*), area under the curve of the cumulative histogram (CH_{AUC}) (*18*), and textural features (TF) analysis (*17,19*).

TF analysis generates a large number of features quantifying heterogeneity within a delineated MATV. Recent studies have identified few of these features that are robust to the clinical range of reconstruction algorithms and acquisitions protocols *(20)*, the delineation step or partial volume effects (PVE) *(21)*, reaching similar or better physiological reproducibility than SUV *(22)*.

However, to date there has been no study investigating whether or not the quantitative heterogeneity assessment of the intra-tumor activity distribution through TF represents an added value relative to a visual assessment by nuclear medicine physicians. This study was therefore designed to (i). compare a visual/qualitative tumor heterogeneity

assessment with a characterization through TF analysis, and (ii). assess their respective prognostic value in NSCLC.

MATERIALS AND METHODS

Patients & PET/CT Imaging

One hundred and eight consecutive non-metastatic patients with newly diagnosed NSCLC between 2008 and 2011 were retrospectively considered. The institutional review board approved this retrospective study and the requirement to obtain informed consent was waived. Only primary tumors with MATV larger than 3 cm³ were included due to the inability of PET to characterize tracer distribution within smaller tumors because of its limited spatial resolution. As a result, 102 patients (79 men, mean age 64) were included (table 1). There were 49 squamous cell carcinomas and 53 adenocarcinomas.

All patients underwent an ¹⁸F-FDG PET/CT scan before initiating treatment as part of the routine staging procedure within a maximum 2 weeks from diagnosis. Patients fasted for at least 6 hours before injection of 5 MBq/kg (425±95, range 223-690) of ¹⁸F-FDG, administered at 60±4 minutes before data acquisition on a Philips GEMINI PET/CT scanner (Philips Medical Systems, Cleveland, USA). CT data were acquired first (120kV and 100mAs, no contrast-enhancement). 3D PET data were subsequently acquired with 2 min per bed position, and images were reconstructed using CT based attenuation correction and a 3D row-action maximum likelihood algorithm (RAMLA) using a previously optimized protocol (2 iterations, relaxation parameter equal to 0.05, 5 mm full-width-at-half-maximum 3-D Gaussian post-filtering, 4×4×4 mm³ voxels grid sampling) *(23)*. SUVs were normalized using the patient body weight.

Treatment & Follow-up

Treatment consisted of surgery for 48 patients [surgery only (n=18), adjuvant chemotherapy (n=20), radiochemotherapy (n=9), or radiotherapy (n=1) followed by surgery], whereas 54 patients did not undergo surgery [chemotherapy (n=12) or concomitant chemo-radiotherapy (n=42)] (Supplemental Fig. 1). Chemotherapy consisted of 2 to 6 courses (median=4) of cisplatine/carboplatine in association with taxol, navelbine, gemcitabine or pemetrexed. The mean total radiotherapy dose was 59.4Gy.

Patients were followed with clinical examination and CT every 3-4 months. Overall survival (OS) and recurrence-free survival (RFS) were defined as the time between diagnosis and death (or last follow-up), and between the end of treatment and recurrence respectively.

Image Analysis

Only the primary tumors were analyzed. Intra-tumor heterogeneity was first scored by two observers (denoted H_{visu} from here onwards), and quantified through TF analysis after MATV automatic delineation.

Two experienced nuclear medicine physicians were asked to review all PET images, blinded to the survival information and heterogeneity quantification. They assigned to each primary tumor a score on a 3-point scale: 1 for homogeneous distribution, 2 for moderately heterogeneous and 3 for highly heterogeneous. An alternative scale was considered by adding two sub-levels, A for "diffuse" or B for "focalized" heterogeneity, in scores 2 and 3, hence resulting in a 5-score scale: 1, 2A, 2B, 3A, 3B. For instance, centrally necrotic tumours were scored as 3B (Fig. 1C).

In order to carry out the quantitative heterogeneity analysis, MATV were firstly delineated using the Fuzzy Locally Adaptive Bayesian (FLAB) algorithm (24,25). FLAB computes a probability of belonging to a given "class" (e.g. tumor with high or moderate uptake, and background) for each voxel within a 3D ROI containing the tumor and its surrounding physiological background. This probability is iteratively estimated by taking into account the voxel's intensity with respect to the statistical distributions (characterized by their mean and variance) within the ROI, and its spatial correlation with neighbouring voxels. This approach has been previously validated for accuracy, robustness and reproducibility using simulated and clinical datasets, including homogeneous and heterogeneous MATVs (26–28). FLAB was exploited in this work using 2 or 3 classes in order to adequately cover the entire MATV, including low uptake regions.

Intra-tumor uptake heterogeneity was quantified considering few textural features that have been previously shown as robust considering variability in image reconstruction and acquisition protocols (20), and physiological reproducibility based on test-retest acquisitions (22). Considered local heterogeneity parameters quantifying intensity variations between each voxel and its immediate neighbours only, averaged over the entire volume were entropy (E), homogeneity (H) and dissimilarity (D). Regional heterogeneity parameters calculated through analysis at the level of groups of voxels and areas of various sizes and intensities were high intensity emphasis (HIE), size-zone variability (SZV) and zone percentage (ZP). A 64 grey level resampling was used, and local features were computed over 13 directions (19,22).

Other global parameters such as skewness or kurtosis were excluded considering their previously demonstrated poor robustness *(20)* and/or physiological reproducibility *(22)*. CH_{AUC} and high intensity emphasis (HIE) were computed after applying edge-

preserving filtering (29) and PVE correction (30), as it has been previously shown that such pre-processing is necessary for these parameters (18,21).

Finally, SUV_{max}, SUV_{mean}, MATV and TLG were also included for comparison purposes as they have been previously shown to provide prognostic value in NSCLC (5-9).

Statistical Analysis

Statistical analyses were performed using MedcalcTM (MedCalc Software, Belgium). Inter-observer's agreement regarding H_{visu} was estimated using the weighted Kappa test with linear weights. Correlation between H_{visu} and quantitative features was assessed using Spearman's ρ rank correlation. Variables with non-normal distributions (e.g. MATV) were log-transformed.

The prognostic value of each feature for overall survival (OS) and recurrence-free survival (RFS) was assessed through univariate analysis using Kaplan-Meier curves and the log-rank test, with optimal cut-off values determined through receiver operating characteristic (ROC) analysis. Statistically significant differences were considered for p<0.05 after Bonferroni correction for multiple testing.

Multivariate analysis was performed with Cox regression by including clinical variables along with image-derived features as continuous variables. Since there were 62 deaths, no more than 6 uncorrelated variables were included in separate models for OS.

RESULTS

Inter-observer's Agreement

Figure 1 illustrates three tumors with H_{visu} values of 1, 2 and 3. About half of the tumors were scored as highly heterogeneous. Using the 3-point scale, inter-observer's

agreement reached a moderately satisfactory level with a weighted kappa value of 0.64 (95% CI 0.52 to 0.75). The two observers were in agreement on the visual score for 74/102 tumors (73%). All discrepancies occurred between consecutive scores (1 and 2 or 2 and 3, never 1 and 3) (Supplemental Table 1). Using the five-level scale, interobserver's agreement decreased to 0.58 (95% CI 0.47 to 0.70), the two observers agreeing on 62/102 (61%) (Supplemental Table 2). For the subsequent analysis, only the 3-point scale was considered, and only one value of H_{visu} obtained through consensus was used.

Correlation Between Visual Scoring and Quantitative Heterogeneity

Significant correlations were observed between H_{visu} and quantitative features (Supplemental Table 3). Highest correlations were observed for local and regional TF with ρ from 0.59 to 0.61 except ZP and HIE (ρ =0.44, p<0.0001 and ρ =0.20, p=0.04 respectively). CH_{AUC} was not correlated with H_{visu} (ρ =0.07, p=0.5), whereas SUV_{COV} showed similar correlation as HIE (ρ =0.22, p=0.027) (Supplemental Fig 2).

SUV_{max} and SUV_{mean} were not correlated with MATV (r<0.2). On the other hand, TF showed variable levels of correlation with MATV, with r=0.6, -0.7 and 0.7 for entropy, dissimilarity and homogeneity respectively, and r=-0.5, -0.6 and -0.3 for SZV, ZP and HIE respectively. These correlations show that although heterogeneity is correlated with volume, such heterogeneity measurements could provide complementary information.

Survival Analysis

Median follow-up was 36.6±11.8 months. After surgery, 32 patients had evidence of recurrence. At the time of last follow-up, 39 patients were alive. Median OS and RFS

were 18.4 (range 1-58, 95% CI 14.5-23.1), and 11.4 (range 1-58, 95% CI 6.8-18.4) months respectively.

In the univariate analysis (table 2), surgery (p=0.006), gender (p=0.02), age (p=0.03) and stage (p=0.001) were significantly associated with OS, as well as standard SUV or volume parameters (p from 0.009 for SUV_{max} to <0.0001 for MATV). For instance, patients with MATV>35 cm³ had a median survival of 10 months *vs.* 49 months for those with MATV<35 cm³. Patients who underwent surgery survived almost twice as long (median survival of 28 months) compared to those who did not (median survival of 15 months).

Higher visual heterogeneity (H_{visu}=3) was associated with poorer OS, although the trend was not statistically significant. Patients with H_{visu}=3 had a median survival of 17 months, whereas those with H_{visu}<3 had a median survival of 20 months. Higher heterogeneity assessed by TF was associated with poorer OS (p≤0.007 for local TF and <0.0001 for regional TF, except HIE). For example, entropy>0.75 was associated with a median survival of 11 months vs. 49 months for those with entropy≤0.75. SUV_{COV} and CHU_{AUC} were not associated with OS (p=0.4 and 0.9 respectively). Figure 3 provides examples of Kaplan-Meier curves for the different parameters considered. In the multivariate Cox models that included surgery, gender, stage, SUV_{max} (or SUV_{mean}) and either MATV, TLG or one heterogeneity parameter (since these latter are correlated with each other), stage remained an independent prognostic factor but not surgery, gender and SUV_{max} (or SUV_{mean}). MATV, as well as all heterogeneity quantification parameters obtained through TF, except HIE, remained independent prognostic factors with respect to stage (although not independent on each other). The addition of risk factors allowed a better differentiation of patients' outcome. Patients with large MATV combined with high local and regional tracer heterogeneity had a median survival of 9 months and a 3-year survival rate of 0%, whereas the other group had a median survival of 49 months and a 3-year survival rate of 50% (Fig. 5). The complementary value of TF heterogeneity to MATV can be shown by comparing the finer stratification of patients into 4 groups with statistically different outcomes (Fig. 6). MATV combined with entropy (Fig. 6B) led to different survival curves compared to the use of MATV alone (Fig. 6A). MATV>50 cm³ were associated with longer survival than MATVs between 35 and 50 cm³. However, among volumes above 35 cm³, those with entropy>0.95 had significantly shorter survival (Fig. 6B).

Concerning recurrence free survival none of the patients treated with chemoradiotherapy achieved complete response, therefore only patients who underwent surgery were included (table 3). None of the clinical variables were associated with RFS. MATV (p=0.001) and TLG (p=0.03) were significant prognostic factors of RFS, in contrast to SUV measurements. Hvisu=3 was associated with a median RFS of 7 months whereas median RFS was 25 months for those with Hvis<3, although this trend was not statistically significant (p=0.3). Higher heterogeneity as quantified through TF analysis was significantly associated with poorer RFS (p≤0.004), except when using HIE. For example, patients with a dissimilarity>0.57 had a median RFS of 6 months vs. 25 months for those with dissimilarity≤0.57. No multivariate analysis was performed for RFS due to the lack of uncorrelated variables statistically significant in the univariate analysis. Figure 4 provides examples of corresponding Kaplan-Meier curves.

DISCUSSION

There is currently an increasing interest in the use of PET image derived features allowing the quantification of intra-tumor heterogeneity *(11,12)*. Visual assessment

may be considered as a simple and valuable way of scoring intra-tumor tracer distribution. In the present study, visual/qualitative and quantitative assessment of heterogeneity were simultaneously considered in the same NSCLC patient cohort and compared in terms of prognostic value.

Firstly, our results suggest that quantitative parameters obtained through TF analysis are correlated with the visual assessment by nuclear medicine physicians. Our study also demonstrated an added value for TF analysis over visual assessment. The first advantage is that, as MATV and heterogeneity determination is fully automatic, the only inter- or intra-observer variability that might occur lies in the tumor location identification. Automated characterization is therefore likely to reduce inter-observer variability associated with visual assessment, which as shown in this study was an issue for 27% of the cases. This was even worse when considering a larger scale for visual scoring, with a substantial decrease of inter-observer agreement from 0.64 to 0.58 (from 73% to 61% of the 102 tumors). As a result this finer scale was not further exploited, clearly demonstrating the difficulty in reaching a fine visual characterization of intra-tumor tracer distribution.

A recent study comparing visual heterogeneity scoring, SUV_{COV} and CH_{AUC} found high correlations (0.72&0.87 for SUV_{COV}&CH_{AUC} respectively) *(31)*. In our study, lower correlations were found between H_{visu} and TF, whereas SUV_{COV} and CH_{AUC} were not correlated with H_{visu}. Several factors may explain this difference. This previous study included only 9 gastrointestinal stromal tumors (GIST) and 12 malignant lymphomas (ML), manually delineated within a single 2D slice. A four-value scale was used for visual scoring and inter-observer variability was not reported. The authors did not take into account the difference in volumes between GIST and ML. These volumes were also much larger (119±102 cm³) than in our study (48±58 cm³), suggesting that CH_{AUC}

and SUV_{COV} might be appropriate to characterize high heterogeneity levels as found in very large GIST and ML lesions, but may not be sufficient to quantify finer heterogeneity differences found in smaller NSCLC tumors. This is also supported by the distributions of CH_{AUC} values with a small range (SD=0.05) in our study (0.32±0.05) compared to those found in Watabe et al (0.41±0.14 for GIST and 0.64±0.08 for ML) *(31).*

The second advantage of TF analysis is that it leads to additional prognostic value that may be useful for patient management. A stronger differentiation between groups of patients with different outcome was highlighted by combining parameters, albeit being correlated with each other. As an example, patients with MATV>35 cm³ combined with entropy>0.74 and zone percentage≤0.32 had a median survival of 9 months and a 3-year survival of 0%, whereas the others had a median survival of 60 months and a 3-year survival of 50% (Fig. 5). As shown in figure 6, despite the correlation between TF parameters and MATV, patient outcome could not be fully described using the MATV alone (Fig. 6A). This is illustrated in figure 6B, showing that smaller but more heterogeneous lesions were associated with poorer OS than larger and more homogeneous ones.

A recent study suggested that entropy is unable to predict tracer uptake heterogeneity for tumors with MATV<45 cm³ (*32*). In our cohort, volumes were 48 ± 58 cm³ (range 3-415, median=34). Our results only partly confirm this, since entropy provided additional information with respect to MATV in larger volumes (Fig. 6). MATV between 30 and 45 cm³ exhibited an entropy between 0.55 and 0.81 (Supplemental Fig. 3A), with a weak correlation of r=0.57. For tumours with volumes <30 cm³ this correlation was equal to 0.95, suggesting that for MATV<30 cm³ the information provided by entropy was indeed similar to that of volume. Finally, the proposed threshold value of 45 cm³ may

not be applicable for other heterogeneity measurements, since in our study different values of homogeneity or zone percentage were observed for similar volumes down to the lower limit of 3 cm³ (Supplemental Fig. 3B, 3C).

Regarding the prognostic value of PET parameters in NSCLC, including SUV, MATV and derived TLG (5–9) and TF (15), our findings are in line with previous results. The only study that investigated the prognostic value of ¹⁸F-FDG PET heterogeneity in NSCLC was conducted on 53 patients with stage 3 and above, exclusively treated with combined chemoradiotherapy (non-surgical patients) (15). Their results regarding MATV and TLG, showing no significant association with outcome might be confounded by the fact that all their patients were stage 3 and 4 combined with the use of a fixedthresholding delineation approach. However, considering tracer distribution they found that heterogeneity quantified through busyness, coarseness, contrast and complexity was significantly associated with RFS and OS. None of these parameters were included in our study because we have previously demonstrated their lower reproducibility (22). However, although our parameters were different and extracted from MATVs delineated using a more robust segmentation method, we also found that intra-tumor ¹⁸F-FDG heterogeneity was significantly associated with outcome, for nonsurgical patients but also for surgical ones, which have not been evaluated in previous studies. In the present study, the heterogeneity parameters obtained through TF analysis remained independent prognostic factors of OS with respect to standard clinical variables such as gender, age, stage and surgery, in contrast to visual heterogeneity assessment.

Our study is limited by its retrospective nature. It included a mixture of different treatments (with or without surgery, radiotherapy, chemotherapy), leading to a heterogeneous cohort. However, the relatively large number of patients and events

allowed taking into account surgery in the survival analysis. The large number of squamous cell carcinomas in our cohort was due to the exclusion of metastatic disease (mostly adenocarcinomas), since related patient management and prognosis greatly differ. We considered more interesting to assess new parameters to refine patient stratification beyond the well-established TNM classification.

A last limitation of our study is that we focused on the primary tumor. Including lymph nodes in the analysis could be of importance due to their impact on prognosis (33), but was outside the scope of the present study focusing on tracer distribution heterogeneity, which is meaningless to assess on small structures such as lymph nodes, considering the limited spatial resolution in PET imaging. The main objective of this study was to determine whether or not automated quantification through TF analysis could relate to visual assessment of PET images, and primary tumor analysis was sufficient within this context.

CONCLUSIONS

Automated quantification of intra-tumor ¹⁸F-FDG uptake heterogeneity in NSCLC through textural feature analysis provides parameters that are correlated with visual analysis by experts. Nevertheless, our results also highlight several advantages of using automated quantification, including objective heterogeneity evaluation with reduced inter-observer variability, and more clinically pertinent stratification through independent prognostic factors in NSCLC.

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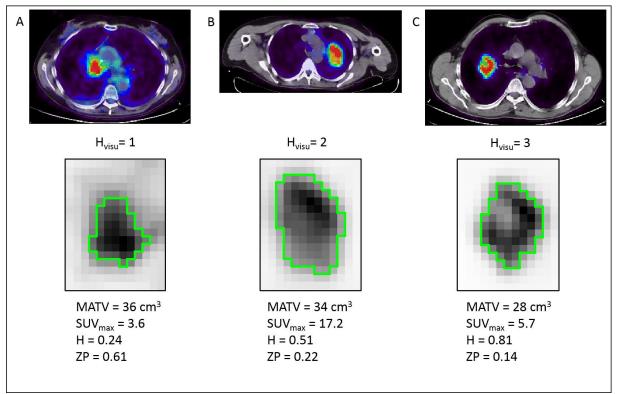


Figure 1

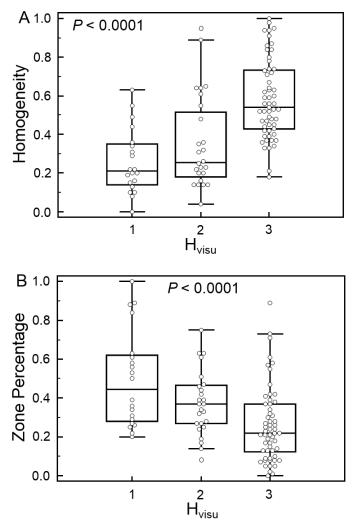


Figure 2

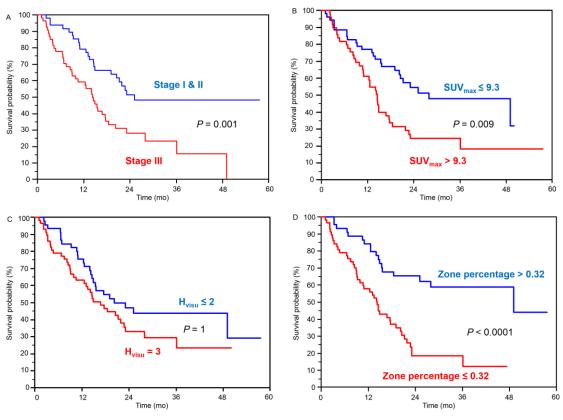


Figure 3

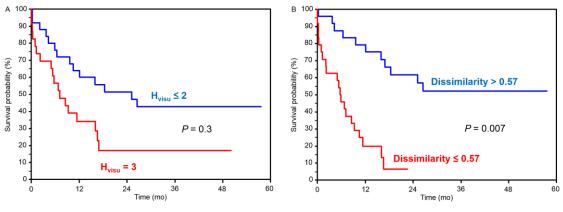


Figure 4

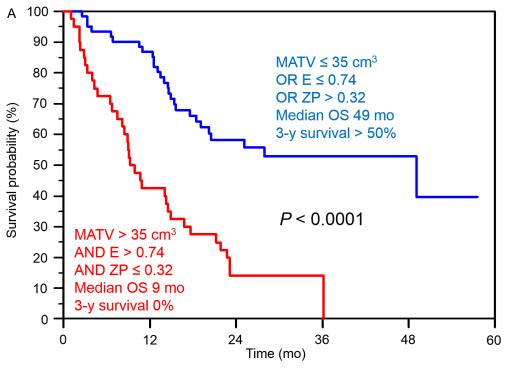


Figure 5

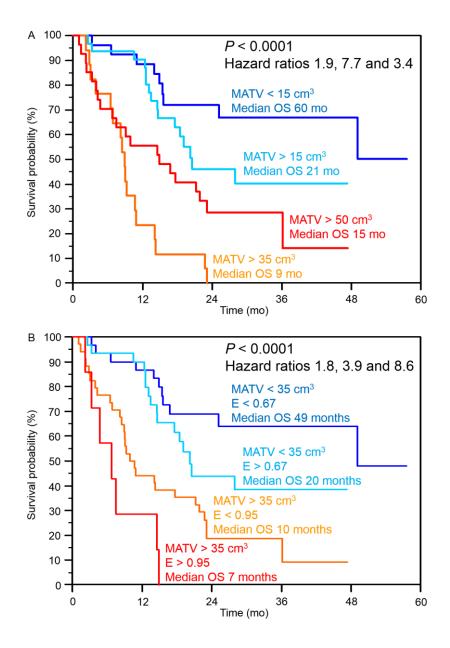


Figure 6

Figure captions

Figure 1. Illustration primary lung tumors with H_{visu} values of 1, 2 and 3 (A, B and C respectively). Green contours are the FLAB delineations and examples of features are provided (values normalized between 0 and 1).

Figure 2. Illustration of the distributions of A) homogeneity and B) zone percentage according to the three levels of H_{visu}.

Figure 3. Examples of survival curves for OS (n=102) according to A) Stage, B) SUV_{max}, C) H_{visu}, D) zone percentage.

Figure 4. Examples of survival curves for RFS (n=48) according to A) H_{visu}, B) dissimilarity.

Figure 5. Survival curves for OS (n=102) with the stratification obtained according to the combination of MATV, entropy and zone percentage.

Figure 6. Differentiation of four different overall survival groups using A) MATV alone or B) MATV and sub-stratification with entropy.

	Characteristic	No. of patients in % (n=102)
Sex	Male Female	79 (78) 23 (22)
Age (y)	Range Median ± SD	48-84 64 ± 8.9
Smoker	No Yes	16 (16) 86 (84)
Treatment	Surgery only Chemotherapy only Radiotherapy only Surgery + chemotherapy Surgery + radiotherapy Chemotherapy + radiotherapy Chemotherapy + radiotherapy + surgery	18 (18) 12 (12) 0 (0) 20 (19) 1 (1) 42 (41) 9 (9)
TNM stage	T1 T2 T3 T4 N0 N1 N2 N3 M0 M1	13 (13) 55 (53) 21 (21) 13 (13) 32 (31) 23 (23) 29 (28) 18 (18) 102 (100) 0 (0)
Clinical stage	 V	18 (18) 30 (29) 54 (53) 0 (0)
Histology	Adenocarcinoma Squamous cell carcinoma	53 (52) 49 (48)

Table 1. Patient Characteristics

Doromo	toro	p-value	
Parame	ters	Univariate	Multivariate
	Surgery	0.006	-
	Age	0.03	-
Clinical	Sex	0.02	-
Olinical	Smoker	0.9	-
	Histology	0.3	-
	Stage	0.001	<0.03
	${\sf SUV}_{\sf max}$	0.009	-
SUV and	${\sf SUV}_{\sf mean}$	0.008	-
volumetric	MATV	<0.0001	0.0001
	TLG	0.001	0.006
Global	SUV _{COV}	0.4	-
heterogeneity	CH_{AUC}	0.9	-
Visual	H _{visu} ≥2	1	-
heterogeneity	H _{visu} =3	1	-
Local	E	<0.0001	0.0001
heterogeneity	Н	0.008	0.03
(TF)	D	0.007	0.01
Regional	HIE	0.9	-
heterogeneity	SZV	<0.0001	0.0002
(TF)	ZP	<0.0001	0.0001

Table 2: OS analysis (n=102)

Parameter	Univariate p-value	
	Age	0.9
	Sex	0.2
Clinical	Smoker	0.1
	Histology	0.7
	Stage	0.1
	${\sf SUV}_{\sf max}$	1
SUV and volumetric	${\sf SUV}_{\sf mean}$	0.6
	MATV	0.001
	TLG	0.03
Visual heterogeneity	H _{visu} ≥2	1
	H _{visu} =3	0.3
Global heterogeneity	${\sf SUV}_{\sf cov}$	1
Global helelogeneity		0.8
Local botorogonaity	Е	0.004
Local heterogeneity (TF)	Н	0.005
(''')	D	0.001
Pagional	HIE	0.7
Regional heterogeneity (TF)	SZV	0.004
	ZP	0.004

Table 3: RFS analysis (n=48)