

1 A clinicopathological study of perineural invasion and vascular invasion in oral tongue
2 squamous cell carcinoma

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23 Short title: Perineural/vascular invasions in OTSCC

24

1 **ABSTRACT**

2 The risk factors for the recurrence of head and neck cancer are classified as high or
3 intermediate risk. Intermediate risks include multiple positive nodes without
4 extracapsular nodal spread, perineural/vascular invasions, pT3/T4 primary tumors, and
5 positive level IV/V nodes. However, little evidence is available to validate intermediate
6 risk factors. We analyzed perineural/vascular invasions in 89 patients who underwent
7 radical surgery for oral tongue squamous cell carcinoma, whose records were reviewed
8 retrospectively. Perineural and vascular invasions were found in 27.0 and 23.6% of
9 cases, respectively, and both had a strong relationship with histopathological nodal
10 status ($P = 0.005$). The 5-year disease specific survival and overall survival rates of
11 patients with perineural invasion were significantly lower than those of patients without
12 perineural invasion ($P < 0.001$ and $P = 0.002$, respectively). The 5-year disease specific
13 survival of UICC stage I and II cases with perineural/vascular invasion was
14 significantly lower than those without ($P < 0.001$ and $P = 0.008$, respectively).
15 Perineural/vascular invasions are risk factors for regional metastasis and poor prognosis.
16 We recommend elective neck dissection when perineural/vascular invasions are found
17 in clinical stage I and II cases. The accumulation of further evidence to consider
18 intermediate risks is required.

19

1 INTRODUCTION

2 Extracapsular nodal spread and the presence of positive margins are major adverse
3 prognostic factors for survival in head and neck cancer. Patients with these prognostic
4 factors are considered to be at high risk of recurrence and have a survival benefit of
5 postoperative adjuvant chemoradiotherapy in head and neck squamous cell carcinoma¹⁻³.
6 Moreover, intermediate risk factors (multiple positive nodes without extracapsular
7 nodal spread, perineural/vascular invasions, pT3 or pT4 primary tumors, and oral cavity
8 or oropharyngeal primary cancers with positive level IV/V nodes) are established as
9 indications that patients should undergo postoperative radiation therapy (RT) and that
10 adjuvant chemoradiotherapy should be considered¹⁻³. The postoperative management of
11 high-risk disease has been clarified by two multicenter randomized trials: The Radiation
12 Therapy Oncology Group (RTOG) trial #9501², and The European Organization for
13 Research and Treatment of Cancer (EORTC) trial #22931³. These two trials revealed
14 common risk factors for the recurrence of oral cancer such as extracapsular nodal spread,
15 positive surgical margins, and multiple positive nodes without extracapsular nodal
16 spread⁴. However, the RTOG recently demonstrated that patients with two or more
17 positive lymph nodes did not benefit from adding chemotherapy to RT⁵. Therefore, the
18 criteria for high or intermediate risk factors that suggest postoperative adjuvant therapy
19 are controversial and need to be studied further. In particular, not many studies have
20 discussed the intermediate risk factors: only the RTOG trial #9501 and EORTC trial
21 #22931¹⁻³. Nevertheless, several studies have reported adverse effects associated with
22 chemoradiotherapy^{6,7}. Therefore, it is necessary to accumulate evidence regarding the
23 truly effective treatments for patients with oral cancer in order to perform the correct
24 postoperative adjuvant treatments. Perineural and vascular invasions are defined as

1 intermediate risk factors. Some reports revealed a relationship between
2 perineural/vascular invasions and prognosis in oral tongue squamous cell carcinoma
3 (OTSCC) patients⁸⁻²². However, the contribution of perineural and vascular invasions to
4 prognosis remains unclear because of contradictory reports.

5 In this study, we reconsidered the high and intermediate risk factors for the recurrence
6 of oral cancer, and particularly analyzed the relationship between perineural/vascular
7 invasions and prognosis.

8

9 **MATERIALS AND METHODS**

10 *Patients and pathological examinations*

11 The records of 89 patients who underwent radical surgery for OTSCC, which was
12 previously untreated, between January 2001 and December 2011 were reviewed
13 retrospectively. The study cohort included patients with histologically confirmed
14 OTSCC and a minimum follow-up of 12 months. All study patients underwent
15 extensive pretreatment evaluations, including blood chemistry, complete blood cell
16 count, chest X-ray, computed tomography (CT) and/or magnetic resonance imaging
17 (MRI) of the head and neck area, ultrasonic echo (US), thoracoabdominal CT, and
18 provided informed consent to participate in the study. In our institution, surgery alone
19 was preferred for the initial treatment of patients with oral cancer. However, patients
20 who hesitated to consent to surgical intervention or inoperable patients with
21 unresectable cancer and/or severe systemic illness were selected for chemotherapy,
22 radiation therapy and/or supportive palliation. All patients underwent glossectomy with
23 curative intent. Neck dissection was performed for the cN positive cases and cN
24 negative cases that need tongue reconstructive surgery because of the size of primary

1 tumor. No sentinel lymph node biopsy was performed. Postoperative adjuvant
2 chemo/radiotherapy or radiation therapy was undergone in accordance with current the
3 National Comprehensive Cancer Network (NCCN) guidelines¹. Patients who had
4 adverse features (high risk feature; extracapsular nodal spread and the presence of
5 positive margins, intermediate risk feature; multiple positive nodes without
6 extracapsular nodal spread, perineural/vascular invasions, pT3/T4 primary tumors, and
7 positive level IV/V nodes.) were treated depending on the degree of the risk. Clinical
8 staging was defined by palpation, inspection, CT, MRI, US, and so on according to the
9 International Union against Cancer (UICC) TNM classification system²³. Tumors were
10 classified histopathologically as well-, moderately-, or poorly-differentiated according
11 to their cellular differentiation, as defined by the World Health Organization criteria²³.
12 The pattern of invasion (POI) was examined at the host/tumor interface; POI types 1–4
13 were defined previously by Bryne et al.²⁴. The depth of invasion (DOI) was measured as
14 the infiltrative portion of the tumor that extended below the surface of the adjacent
15 mucosa. Previous studies demonstrated that a DOI ≥ 4 mm had predictive value for
16 cervical lymph node metastasis in patients with OTSCC²⁵⁻²⁷; therefore, DOI was
17 classified as ≥ 4 and < 4 mm in the current study. A previous large cohort study
18 demonstrated that a pathological margin distance ≤ 4 mm was significantly associated
19 with locoregional recurrence²⁸; therefore, surgical margin status was classified as
20 superficial (> 4 mm) and deep (≤ 4 mm) in this study. Perineural invasion was defined as
21 the presence of tumor cells within any of the three layers (the epineurium, perineurium,
22 and endoneurium) of the nerve sheath. Vascular invasion was defined as the clear
23 presence of tumor cells within a vascular space (lymphatic space or blood vessel), and
24 the tumor was required to be adhered to the vessel endothelium or attached to a

1 thrombus in the vessel. Expert pathologists who were unaware of the clinical outcomes
2 performed all pathological assessments. Disease-specific survival (DSS) was calculated
3 from the time of initial examination to the time of death related to local, regional, or
4 distant recurrence/metastasis of the disease or the time of last follow-up. Overall
5 survival (OS) was calculated from the time of initial examination to the time of death or
6 last follow-up.

7 *Statistical analysis*

8 Statistical analyses were performed using StatMate IV (Atms Co., Tokyo, Japan).
9 Categorical data were assessed using the chi-squared or Fisher's exact tests, as
10 appropriate. The clinicopathological information of perineural/vascular invasions were
11 compared using chi-squared or Fisher's exact tests, as appropriate. The
12 clinicopathological information included pT stages, histopathological nodal status,
13 UICC stages, POI, local recurrence, and treatment. DSS and OS were calculated using
14 the Kaplan–Meier method, and significance was evaluated using the log-rank test. A
15 value of $P < 0.05$ was considered to be significant.

16

17 **RESULTS**

18 *Patient characteristics*

19 The patient demographics are summarized in Table 1. The male-to-female ratio was
20 1.28, and 50 subjects were male. The mean age at diagnosis was 63.4 years (range, 28–
21 88 years). Perineural invasion was found in 24 of 89 (27.0%) patients, and vascular
22 invasion was found in 21 (23.6%) individuals. Histopathological lymph node metastasis
23 was found in 25 (28.1%) patients. Local recurrence developed in 11 patients (12.4%)
24 during the follow-up period. Postoperative distant metastasis was occurred in 3 (3.3%)

1 patients. The mean follow-up period of the whole series was 49.4 months (range, 3–125
2 months).

3 *Association of perineural invasion with clinicopathological factors and survival*

4 Perineural invasion was associated significantly with T-classification, histopathological
5 nodal status, POI, DOI, and distant metastasis, but not with local recurrence (Table 2).
6 Univariate analysis using the two-tailed Fisher's exact tests revealed that perineural
7 invasion had a strong relationship with T-classification ($P = 0.02$), histopathological
8 nodal status ($P = 0.005$), POI ($P < 0.001$), DOI ($P < 0.001$), and distantmetastasis ($P =$
9 0.02). Kaplan–Meier analyses followed by log-rank tests showed that perineural
10 invasion was significantly associated with 5-year DSS and OS (Figure 1A, B). The
11 5-year DSS and OS of patients with perineural invasion were significantly lower than
12 those of patients without perineural invasion ($P < 0.001$ and $P = 0.002$, respectively).
13 The 5-year DSS of individuals with perineural invasion was 60.9%, compared with
14 96.7% in those without. Similarly, the 5-year OS of patients with perineural invasion
15 was 60.9%, compared with 90.2% in those without perineural invasion.

16 *Association of vascular invasion with clinicopathological factors and survival*

17 Vascular invasion was significantly associated with histopathological nodal status and
18 DOI but not with local recurrence and distant metastasis (Table 2). Univariate analysis
19 revealed that vascular invasion was a risk factor for histopathological nodal status ($P =$
20 0.005) and had a strong relationship with DOI ($P = 0.01$). The Kaplan–Meier analysis
21 followed by log-rank tests revealed that vascular invasion was significantly associated
22 with 5-year DSS (Figure 1C). The 5-year DSS of patients with vascular invasion was
23 significantly lower than that of those without vascular invasion ($P = 0.03$). However,
24 there was no relationship between vascular invasion and 5-year OS ($P = 0.12$; Figure

1 1D). The 5-year DSS of patients with vascular invasion was 70.9%, compared with
2 89.4% in those without. Similarly, the 5-year OS of individuals with and without
3 vascular invasion was 70.9% and 89.2%, respectively.

4 *Correlation between perineural and vascular invasion and UICC stage-specific survival* 5 *rates*

6 We next analyzed the prognosis of patients with different UICC stage tumors. The
7 5-year DSS of individuals with UICC stage I and II tumors with perineural invasion was
8 significantly lower than those without perineural invasion ($P < 0.001$) (Figure 2A). In
9 contrast, there was no difference in the 5-year DSS of UICC stage III and IV tumors
10 with and without perineural invasion (Figure 2B). Similarly, the 5-year DSS of patients
11 UICC stage I and II tumors with vascular invasion was significantly lower than those
12 without vascular invasion ($P = 0.008$) (Figure 2C). In contrast, there was no difference
13 in the 5-year DSS of vascular invasion-positive and -negative cases among those with
14 UICC stage III and IV (Figure 2D). The 5-year DSS was 54.2% and 98.1% in stage I
15 and II cancers that were positive and negative for perineural invasion, respectively.
16 Similarly, the 5-year DSS was 64.7% in vascular invasion-positive cases compared with
17 92.9% in -negative cases among patients with stage I and II cancers. These TNM
18 classifications were clinically defined. Thirteen of 72 cTNM stage I and II cancers were
19 upstaged to stage III and IV after pathological findings because of occult positive lymph
20 nodes. Compared the upstaged cases with no changed cases, there was no significant
21 difference for DSS.

22 *Correlation between perineural and vascular invasion and DOI-specific survival rates*

23 Perineural and vascular invasion had strong relation with DOI, respectively. Because
24 perineural/vascular invasion were possible to just be a surrogate marker for DOI, we

1 evaluated the relationship between perineural/vascular invasion and DSS in condition
2 that each DOI groups ($<4\text{mm}$; $n=55$, $\geq 4\text{mm}$; $n=34$) eliminating influence of DOI. In
3 DOI $<4\text{mm}$ group, only 2 patients were dead. It was difficult to dissert the tendency.
4 Then, the relations were evaluated in DOI $\geq 4\text{mm}$ group. The results were shown in
5 Table 3. Perineural invasion had significant relationship with DSS in DOI $\geq 4\text{mm}$ group
6 ($P = 0.04$). On the other hand, vascular invasion had no relationship.

7

8 **DISCUSSION**

9 Perineural invasion is a well-known predictor of poor outcome in colorectal, pancreatic,
10 and salivary gland cancers^{8,9}. Although the perineural invasion of head and neck cancer
11 was reported first by Liebig et al.¹⁰, there are no unified perineural invasion
12 classifications in oral cancer. The frequency of perineural invasion in oral squamous
13 cell carcinoma was reported to be 2–82%^{11,12}. In addition, some studies revealed a
14 correlation between perineural invasion and prognostic factors¹¹⁻¹⁶. Some reports
15 suggested that perineural invasion had no effect on 5-year local control and OS^{13,14}. In
16 contrast, other studies demonstrated that perineural invasion was significantly related to
17 local recurrence, regional metastasis, and survival^{11,15}. In the present study, perineural
18 invasion was unrelated to local recurrence, but had a strong relationship with regional
19 metastasis and survival. Chatzistefanou et al.¹⁶ also concluded that perineural invasion
20 found to be an independent prognosticator for neck metastasis and regional recurrence.
21 Consistent with this, some previous studies revealed that vascular invasion increased the
22 risk of regional metastasis and poor prognosis¹². In contrast, other reports demonstrated
23 that vascular invasion was not related to any prognostic factors⁸⁻¹⁹. In the current study,
24 vascular invasion-positive status was related to the occurrence of nodal metastasis and

1 had a strong relationship with 5-year DSS, but did not affect local recurrence and OS.
2 Distant metastasis had a relation with perineural invasion and no relation with vascular
3 invasion in present study. However, It is difficult to discuss about this point because
4 distant metastasis were occurred only 3 cases in the current study. These results suggest
5 that perineural/vascular invasions are effective predictors of regional metastasis. In
6 addition, perineural invasion may be a clinical predictor of survival.

7 The current study also compared the relationship between perineural/vascular invasion
8 and prognosis according to UICC stage. Perineural invasion-negative and vascular
9 invasion-negative cases had a better prognosis than did perineural invasion-positive and
10 vascular invasion-positive cases in UICC stage I and II patients. In contrast, there were
11 no significant relationship between perineural/vascular invasions and prognosis in
12 UICC stage III and IV patients. These results suggest that perineural and vascular
13 invasion are important factors for predicting prognosis during the early stages of
14 OTSCC. Thirteen cases of stage I and II cancers were upstaged to stage III and IV for a
15 reason of occult lymph node metastasis. However, these upstaged 13 cases didn't show
16 worse prognosis. These results suggest that perineural invasion and vascular invasion
17 are acceptable for prognosticator for clinically defined early stage OTSCC.

18 Previous studies revealed that patients with high-risk factors (extracapsular nodal spread
19 and/or positive surgical margin) require adjuvant chemoradiotherapy¹⁻³. However, the
20 amplifying effect of chemotherapy to RT is not elucidate for the cases of presence of
21 intermediate risk factors (multiple positive nodes without extracapsular nodal spread,
22 perineural/vascular invasions, pT3 or pT4 primary tumors, and oral cavity or
23 oropharyngeal primary cancers with positive level IV or V nodes). The criteria for the
24 use of adjuvant therapy in intermediate risk patients are unclear. Moreover, it remains

1 unclear which intermediate risk factor has the strongest relationship with prognosis. In
2 the current study, the relationship between the intermediate risk factors of perineural
3 and vascular invasion and prognosis was evaluated. Although both were related to
4 regional metastasis and DSS, only a perineural invasion-positive status decreased OS.
5 These results suggest that various intermediate risk factors have different relationships
6 with prognosis.

7 Generally, risk factors are given scores or rankings²⁹, and the diagnosis and treatment
8 strategies of various diseases are decided according to these scores. Evaluating the
9 priority of each intermediate risk is needed. Finally, criteria need to be defined to
10 determine the optimal postoperative treatment of patients with OTSCC. Therefore it is
11 important that more studies are performed that consider intermediate risks, similar to the
12 present study.

13 DOI is currently the best predictor of occult metastasis; therefore, it should be used as a
14 guide for elective neck dissection. For tumors with a depth >4 mm, elective neck
15 dissection should be considered if RT is not planned. For those with a depth <2 mm,
16 elective neck dissection is only considered in highly selective situations. For those with
17 a depth of 2–4 mm, clinical judgment (regarding the reliability of follow-up, clinical
18 suspicions, and other factors) must be used to determine the suitability of elective
19 dissection^{1,25-27}. The present study demonstrated the strong relation between
20 perineural/vascular invasion and DOI. There was capability that perineural/vascular
21 invasion was just a surrogate marker for DOI. Evaluating the independent role of
22 perineural/vascular invasion eliminating the influence of DOI, perineural invasion was
23 suggested the strong prognosticator. The current study suggested that perineural and
24 vascular invasions are related to neck metastasis and survival in patients with early

1 stage OTSCC. It is possible that cases of OTSCC with perineural/vascular invasion may
2 have already metastasized regionally. Some previous reports suggested that perineural
3 invasion should be considered when making the decision whether to perform elective
4 neck dissection and which postoperative treatment to use^{16,20-22}. The results of the
5 current study suggest that elective neck dissection should be considered if perineural or
6 vascular invasion is observed. Until recent years, the effectiveness of sentinel lymph
7 node biopsy had been obscure. Therefore, our institution had not performed sentinel
8 lymph node biopsy. Actually in this study, we didn't undergo sentinel lymph node
9 biopsy. However, recent review concluded the high detection rate of sentinel lymph
10 node and the high sensitivity of the test justify an important role of sentinel lymph node
11 biopsy in the diagnostic pathway of cT1/T2 oral cavity squamous cell carcinoma
12 patients³¹. Latest NCCN guidelines also added sentinel lymph node biopsy in treatment
13 algorithm about T1-2N0 oral cavity cancer. We should consider performing sentinel
14 lymph node biopsy in the future. It is important to decide the neck dissection
15 comprehensively by perineural/vascular invasion, DOI, sentinel lymph node biopsy, and
16 so on.

17 On the other hand, the present study did not evaluate the effect of preventive
18 chemoradiotherapy and RT (with irradiation extending to the neck region) because of
19 our no experiences. The appropriate extension of the irradiating range for OTSCC cases
20 with perineural/vascular invasion should be analyzed further.

21 In conclusion, perineural and vascular invasion are risk factors for regional metastasis
22 and adverse prognosis. In particular, perineural invasion has a strong relationship with
23 prognosis. We recommend that elective neck dissection should be considered when

- 1 perineural or vascular invasion is found in tumor samples obtained during preoperative
- 2 incisional biopsy in clinical stage I and II cases.
- 3

1 **Competing interests**

2 None declared.

3

4 **Funding**

5 None.

6

7 **Ethics approval**

8 This study was approved by the ethics committees of the Nagasaki University Hospital.

9

10 **Patient consent**

11 Consent obtained.

12

13 **Statement to confirm**

14 All authors have viewed and agreed to the submission

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1 CAPTIONS TO ILLUSTRATIONS

2 Figure 1. Comparison of the Kaplan–Meier curves for 5-year disease-specific survival
3 (DSS) and overall survival (OS) in cases with different perineural and vascular invasion
4 statuses. A, DSS according to perineural invasion status; B, OS according to perineural
5 invasion status; C, DSS according to vascular invasion status; D, OS according to
6 vascular invasion status.

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8 Figure 2. Comparison of Kaplan–Meier curves for 5-year disease-specific survival
9 (DSS) according to UICC stage-specific perineural and vascular invasion. A, DSS
10 according to perineural invasion status in UICC stage I and II cases; B, DSS according
11 to perineural invasion status in UICC stage II and IV cases; C, DSS according to
12 vascular invasion status in UICC stage I and II cases; D, DSS according to perineural
13 invasion status in UICC stage III and IV cases.

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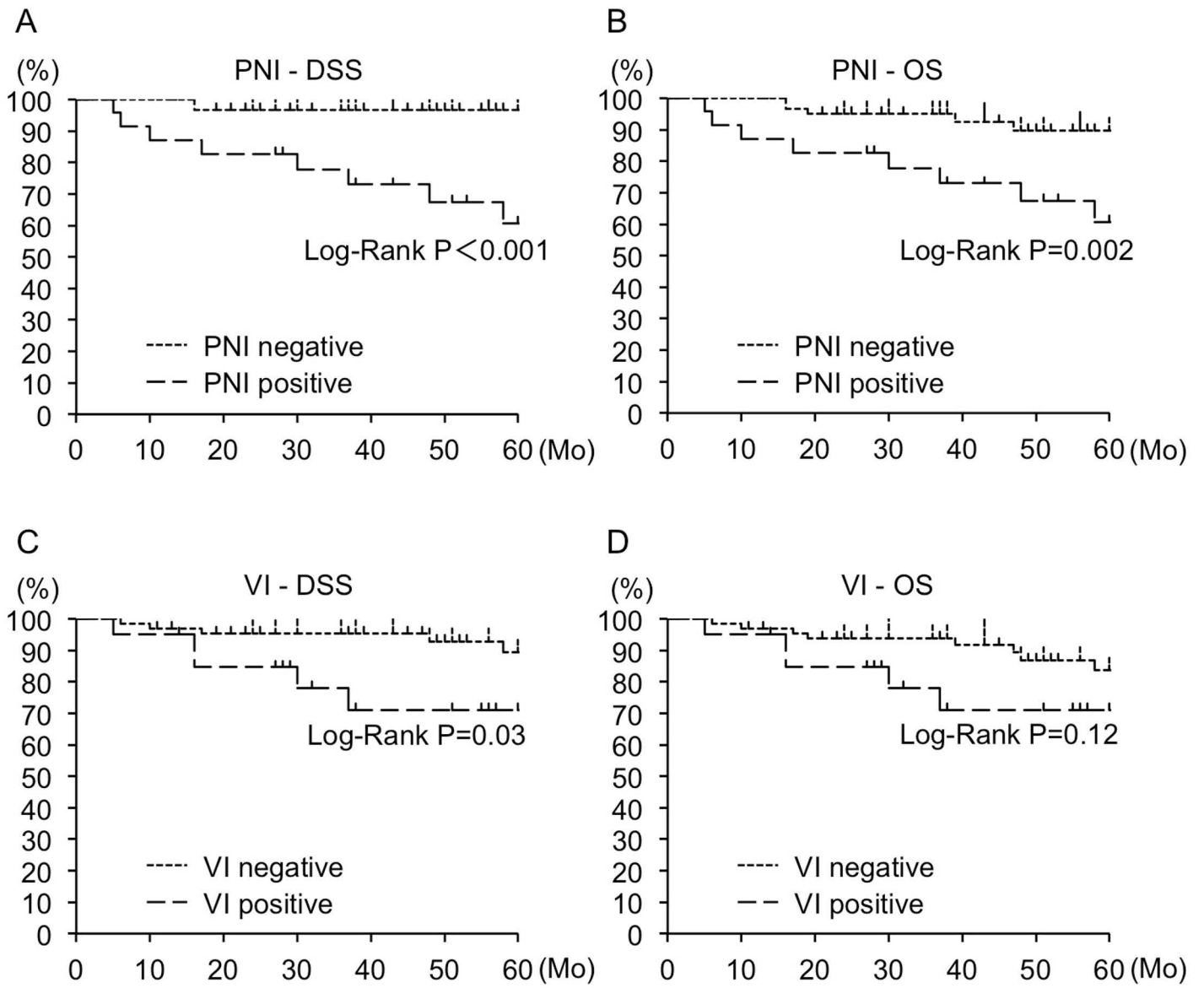


Figure 1

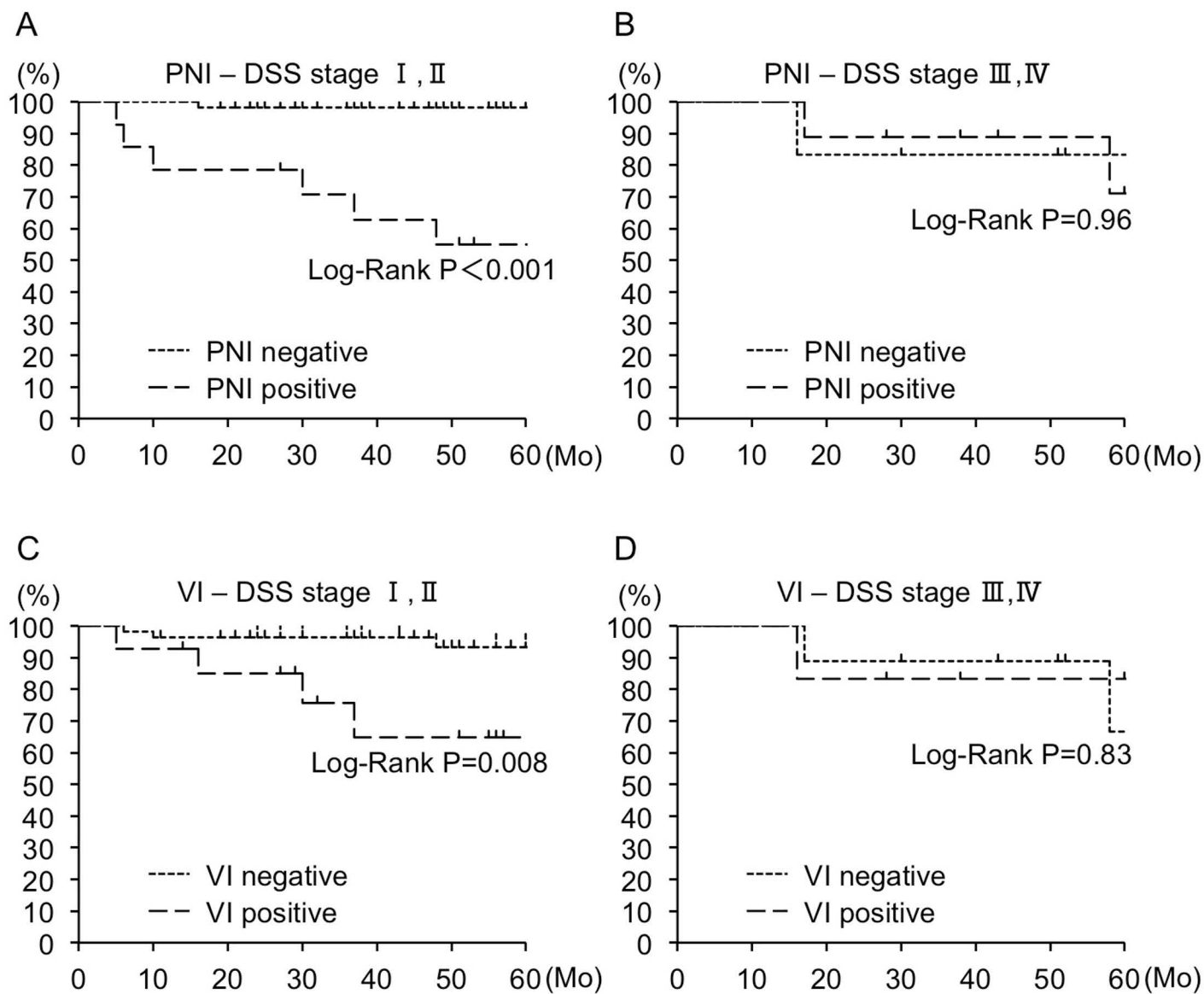


Figure 2

Table 1. Demographic characteristics of 89 patients.

Characteristics	No. of cases (%)
Gender	
Male	50 (56.2)
Female	39 (43.8)
Age	
≥ 64	48 (53.9)
≤ 63	41 (46.1)
Disease stage	
I	37 (41.6)
II	35 (39.3)
III	9 (10.1)
IV	8 (9.0)
Histological grade	
Well	82 (92.1)
Moderately	5 (5.6)
Poorly	2 (2.3)
Pattern of invasion	
1	6 (6.7)
2	25 (28.2)
3	40 (44.9)
4	18 (20.2)
Depth of invasion	
$< 4\text{mm}$	55 (61.8)
$\geq 4\text{mm}$	34 (38.2)
Surgical margin	
$> 4\text{mm}$	68 (76.4)
$\leq 4\text{mm}$	21 (23.6)
Perineural invasion	
No	65 (73.0)
Yes	24 (27.0)
Vascular invasion	
No	68 (71.9)
Yes	21 (23.6)
Nodal status	
No metastasis	64 (71.9)
Metastasis	25 (28.1)
Local recurrence	
No	78 (87.6)
Yes	11 (12.4)

Distant metastasis

No 86 (96.7)

Yes 3 (3.3)

Table 2. Association of perineural/vascular invasions with clinicopathological factors.

	PNI +	PNI -	P value	VI +	VI -	P value
Gender						
Male	12	38	NS	13	37	NS
Female	12	27		8	31	
Age						
≥64	12	36	NS	11	37	NS
≤63	12	29		10	31	
pT stage						
T1+T2	19	63	0.02	18	64	NS
T3+T4	5	2		3	4	
Histopathological nodal status						
No metastasis	12	52	0.005	10	54	0.005
Metastasis	12	13		11	14	
UICC stage						
I, II	14	59	NS	14	58	NS
III, IV	5	6		7	10	
Pattern of invasion						
1+2+3	12	59	<0.001	14	57	NS
4	12	6		7	11	
Depth of invasion						
<4mm	4	51	<0.001	8	47	0.01
≥4mm	20	14		13	21	
Local recurrence						
No	19	59	NS	18	60	NS
Yes	5	6		3	8	
Distant metastasis						
No	21	65	0.02	21	65	NS
Yes	3	0		0	3	
Disease specific survival						
Alive	17	62	0.004	16	62	NS
Dead	7	3		5	6	
Overall survival						

Alive	16	60	0.007	16	59	NS
Dead	8	5		5	9	

PNI: perineural invasion VI: vascular invasion NS: Not significant

Table 3. Association of perineural/vascular invasions with DSS in DOI \geq 4mm group.

	PNI +	PNI -	P value	VI +	VI -	P value
Disease specific survival						
Alive	12	13	0.04	10	15	NS
Dead	8	1		3	6	

PNI: perineural invasion VI: vascular invasion NS: Not significant