



**Intra-operative Sentinel Lymph Node Evaluation:
Implications of Cytokeratin 19 expression for the adoption
of OSNA in Oral Squamous Cell Carcinoma**

Journal:	<i>Annals of Surgical Oncology</i>
Manuscript ID	ASO-2016-03-0564.R1
Manuscript Type:	Original Article
Date Submitted by the Author:	01-May-2016
Complete List of Authors:	<p>Shaw, Richard; University of Liverpool, Mersey Head & Neck Oncology Group, Dept Molecular Clinical Cancer Medicine</p> <p>Christensen, Anders; Copenhagen University Hospital, Rigshospitalet, Dept. of ORL, H&N Surgery and Audiology</p> <p>Java, Kapil; University of Liverpool, Mersey Head & Neck Oncology Group, Dept Molecular Clinical Cancer Medicine</p> <p>El Maddani, Rehab; University of Liverpool, Mersey Head & Neck Oncology Group, Dept Molecular Clinical Cancer Medicine</p> <p>Liloglou, Triantafillos; University of Liverpool, Molecular & Clinical Cancer Medicine</p> <p>Asterios, Triantafyllou; Aintree University Hospitals NHS Foundation Trust, Cellular Pathology</p> <p>von Buchwald, Christian; Rigshospitalet, Copenhagen University Hospital, Department of Otolaryngology, Head & Neck Surgery and Audiology</p> <p>Wessel, Irene; Copenhagen University Hospital, Rigshospitalet, Dept. of ORL, H&N Surgery and Audiology</p> <p>Kiss, Katalin; Rigshospitalet, Copenhagen University Hospital, Department of Pathology</p> <p>Kjaer, Andreas; Rigshospitalet, Copenhagen University Hospital, Department of Clinical Physiology, Nuclear Medicine & PET and Cluster for Molecular Imaging</p> <p>Lelkaitis, Giedrius; Rigshospitalet, Copenhagen University Hospital, Department of Pathology</p> <p>long, Anna; Newcastle upon Tyne Hospitals NHS Foundation Trust , Cellular Pathology</p> <p>Risk, Janet; University of Liverpool, Mersey Head & Neck Oncology Group, Dept Molecular Clinical Cancer Medicine</p> <p>Robinson, Max; Newcastle University, Centre for Oral Health Research</p>

SCHOLARONE™
Manuscripts

1
2
3 **Background** : Intra-operative analysis of sentinel lymph nodes would enhance the care of
4 early stage oral squamous cell carcinoma (OSCC). We aim to determine the frequency and
5 extent of cytokeratin 19 (CK19) expression in OSCC primary tumours and surrounding
6 tissues to explore the feasibility of a 'clinic-ready' intra-operative diagnostic test (One Step
7 Nucleic Acid Amplification - OSNA, Sysmex).
8

9
10 **Methods**: Two cohorts were assembled: cohort 1, OSCC with stage and site that closely
11 match cases suitable for sentinel lymph node biopsy (SLNB): cohort 2, HNSCC with
12 sufficient fresh tumour tissue available for the OSNA assay (>50mg). CK19 assays included
13 qRT-PCR, RNA in-situ hybridisation (ISH) and immunohistochemistry (IHC), as well as
14 OSNA.
15

16 **Results**: CK19 mRNA expression was detected with variable sensitivity, depending on
17 method, in 60-80% of primary OSCC tumours, while protein expression was observed in
18 only 50% of tumours. Discordance between different techniques indicated that OSNA was
19 more sensitive than qRT-PCR or RNA-ISH, which in turn were more sensitive than IHC.
20 OSNA results showed CK19 expression in 80% of primary cases, so if used for diagnosis of
21 lymph node metastasis would lead to a false negative result in 20% of patients with cervical
22 lymph node metastases.
23
24

25 **Conclusions**: OSNA in its current form is not suitable for use in OSCC SLNB owing to
26 inadequate expression of the CK19 target in all cases. However, the same assay technology
27 would likely be very promising if applied using a more ubiquitous squamous epithelial target.
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

1
2
3 **Synopsis:** The expression of cytokeratin 19 (CK19) expression in oral cancer (OSCC) was
4
5 60-80%. OSNA (One Step Nucleic Acid Amplification) was more sensitive than other RNA
6
7 assays or immunohistochemistry. CK19 OSNA would lead to unacceptable (20%) false
8
9 negative results for sentinel lymph node biopsy.
10

11 Introduction

12
13
14
15
16 Renewed interest in sentinel lymph node biopsy (SLNB) for early stage oral squamous cell
17
18 carcinoma (OSCC) has resulted from reassuring data with 95% negative predictive value
19
20 (NPV)^{1,2}, and also recent trials reinforcing the survival benefit of surgical neck staging³. A
21
22 significant drawback of SLNB is that, in the event of a positive lymph node, a costly (and
23
24 more morbid) second surgical episode is necessitated. This delay mandated by serial
25
26 examination of SLN, delays the commencement of adjuvant therapy and creates additional
27
28 patient distress. SLNB in OSCC would be facilitated by intra-operative staging however
29
30 frozen section analysis has been found to be somewhat insensitive^{4,5}, certainly highly
31
32 operator dependent, and has not found general acceptance⁶. PCR-based techniques have been
33
34 reported for head and neck squamous cell carcinoma (HNSCC)^{7,8} but lack a ‘clinic-ready’
35
36 platform.
37
38
39

40
41 One-step nucleic acid amplification (OSNA) uses loop-mediated isothermal amplification
42
43 (LAMP)⁹, amplifying RNA with high sensitivity, specificity, efficiency and rapidity under
44
45 isothermal conditions. OSNA employs six specially designed primers at eight sequences
46
47 within *CK19* mRNA subtending high sensitivity and specificity. In breast cancer, OSNA has
48
49 been validated to at least 96%¹⁰ concordance with histopathology, has been widely adopted
50
51 and approved in UK NICE guidelines¹¹. OSNA necessitates an additional 30-40 minutes
52
53 operative time, but avoids second surgeries and accelerates commencement of adjuvant
54
55 therapies from 8.4 to 6.2 weeks¹².
56
57
58
59
60

1
2
3 In HNSCC the clinical potential of OSNA is unproven, and careful validation is required.
4
5 Although gene signatures for OSCC or epithelial tissue have been developed with sensitive
6
7 RT-PCR using other target cytokeratins⁸, or PVA/EPCAM⁷, the opportunity around *CK19* is
8
9 the availability of a 'clinic-ready' diagnostic test with stringent quality assurance. Several
10
11 reports have shown that CK19 is a component of the cytoskeleton of HNSCC^{13,14} and qRT-
12
13 PCR for cytokeratins appear sensitive and specific in detecting cervical lymph node
14
15 metastasis in HNSCC^{8,15}. *CK19* OSNA has recently been validated for lymph node staging in
16
17 colorectal^{16,17} and stomach^{18,19} adenocarcinoma. The extent of CK19 expression in HNSCC,
18
19 and therefore whether OSNA could have clinical utility, remains unproven.
20
21
22

23
24 Goda et al²⁰ analysed 213 HNSCC lymph nodes with CK19 OSNA, suggested an overall
25
26 accuracy of 94% per node and 94% per patient. Matsuzuka et al²¹ found a NPV of 95.9% in
27
28 HNSCC. Suzuki examined CK19 expression in HSNCC, finding a lower rate of expression
29
30 and suggesting that clinical use of OSNA only in a selected subset of HNSCC known to be
31
32 CK19 positive²². All three studies were undertaken in a Japanese population with a variety of
33
34 stages and sites of HNSCC, for example Goda et al²⁰ report on cT1-4 and N0-3 OSCC and
35
36 Matsuaka et al.²¹ report on a combination of HNSCC sites and also include advanced stages.
37
38 As SLNB is routinely offered only to cT1-2N0 OSCC, these reports do not ideally reflect the
39
40 target clinical population in question. It remains uncertain if the expression of CK19 is
41
42 sufficiently high and uniform to make the CK19 OSNA suitable for use in OSCC SLNB.
43
44
45

46
47 The aim of this study is to establish the frequency and extent of CK19 expression in primary
48
49 OSCC and surrounding, potentially contaminating, tissues. We aim to establish expression of
50
51 *CK19* mRNA using both OSNA and other techniques, as well as protein expression. In the
52
53 event that CK19 expression is <95% we will pilot assays to be used on diagnostic biopsies of
54
55 primary tumours in order to stratify them as suitable, or not, for OSNA analysis of SLNB.
56
57
58
59
60

1
2
3 Lastly we aim to test the concordance between matched primary tumour and metastatic
4
5 lymph node in CK19 expression.
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

For Peer Review

Methods

Tissue

A clinical cohort was assembled from the tissue banks of the Universities of Liverpool and Copenhagen with appropriate ethical approvals and consent. Clinicopathological characteristics and results are summarised in Supplemental table S1.

Cohort 1 (43 cases from Liverpool) met the criteria: OSCC, clinical stage cT1N0 and cT2N0, formalin-fixed paraffin-embedded (FFPE) and fresh frozen tumour tissue available. The OSNA assay interrogates fresh (or frozen) sentinel lymph nodes >50mg, preferably in their entirety. This presented an ethical and logistic barrier as the lymph nodes are required for histopathological staging, and banked primary tumour samples were exclusively <50mg in T1/T2 OSCC. We therefore elected to analyse primary tumour in order to establish CK19 expression using a number of assays, *excluding* OSNA. 34/43 had available matched FFPE lymph nodes.

Cohort 2 (87 cases, 44 Liverpool and 43 Copenhagen) met the criteria: OSCC, >50mg snap frozen primary tumour tissue, most of these were cT3/4 cases.

Tissue preparation & handling:

Cohort 1: Immunohistochemistry (**IHC**): 4µm sections were stained for CK19 protein by two methods: a mouse monoclonal antibody (clone b170, Leica Biosystems) on a Ventana Benchmark Ultra Autostainer (Ventana Medical Systems Inc.) at a dilution of 1:100 using standard retrieval conditions (MMC1) and the detection polymer Ultraview (Ventana Medical Systems Inc): a mouse monoclonal antibody (clone RCK 108, Dako) diluted 1:100 and the EnVision FLEX system on an Autostainer Link 48 instrument (Dako) using high pH antigen retrieval. Negative controls omitted addition of the primary antibody.

1
2
3 ***in situ* hybridization (ISH):** *CK19* RNA ISH was carried out on 4µm FFPE sections using
4 proprietary reagents (RNAscope, Advanced Cell Diagnostics Inc.). Sections were
5
6 deparaffinised and pre-treated with heat and protease before hybridisation with target-specific
7
8 probes: *CK19*, *PPIB* (constitutively expressed endogenous gene; positive control) and *dapB*
9
10 (bacterial mRNA; negative control) in a dedicated hybridization oven (HybEZ oven,
11
12 Advanced Cell Diagnostics Inc.). Probe hybridization was detected using the chromogen
13
14 3,3'-diaminobenzidine (DAB).
15
16

17
18 Both IHC and ISH techniques were optimized using known positive (breast ductal
19
20 carcinoma) and negative tissue (lymph node). Tissue cores from controls constituted a
21
22 'control block', sections of which were mounted on each test slide to quality assure the
23
24 staining methods. The tests were scored by two pathologists (MR & AT). Staining was
25
26 assessed by assigning an intensity score (0, no staining; 1, weak; 2, moderate; 3, strong) and
27
28 percentage of malignant cells stained. These were used to calculate an H score (product of
29
30 intensity and percentage), but also classified in a binary fashion (positive vs. negative).
31
32
33
34

35
36 **RNA** was prepared from fresh frozen tissue of primary tumours using an miRNeasy kit
37
38 (Qiagen), and following reverse transcription (cDNA kit, Applied Biosystems), a *CK19* qRT-
39
40 PCR assay was performed with the following primers/probe; Fwd:
41
42 5'CACTACTACACGACCATCCAGGAC 3', Rev: 5' CGGAAGTCATCTGCAGCCA 3',
43
44 Probe: 5' TAMRA-ACGGGCATTGTCGATCTGCAGGAC-BHQ2. The qPCR reaction
45
46 utilised the Universal Master Mix II (Applied Biosystems) , the thermal profile: 50°C for 2
47
48 min, 95 °C for 10 min, 45 cycles of 95 °C for 15sec and 60 °C for 1 min, using a 7500 FAST
49
50 instrument (Applied Biosystems). The relative quantification (RQ) value was calculated as:
51
52 $RQ = 2^{-\Delta\Delta C_t}$, where C_t is the cycle threshold for each target.
53
54
55
56
57
58
59
60

1
2
3 Cohort 2: **OSNA**: OSCC biopsies from cohort 2 with mass between 50 and 600 mg were
4 snap frozen and stored at -80°C until shipment to Sysmex on dry ice. Samples were
5 processed according to manufacturer's instructions (Sysmex, Kobe, Japan) using a designated
6 instrument (RD-100i) and reagent system (LYNOAMP & LYNORHAG). Individual tumour
7 samples were placed in 4 ml of homogenizing buffer LYNORHAG (0.2 M glycine-HCl pH
8 3.5, 5% Brij35 and 20% DMSO), and homogenised for 60 s at 10 000 rpm with a Polytron
9 System PT1300D (Kinematica AG, Switzerland) and LYNOPREP blades to prepare a
10 homogeneous lysate. 1 ml of lysate was centrifuged to remove cell debris and then further
11 diluted 1:10 and 1:100 with LYNORHAG. The diluted lysates were used directly for
12 amplification without RNA extraction or purification. Isothermal amplification reactions
13 were performed at 65°C. The rise time required for precipitation of magnesium
14 pyrophosphate to reach a turbidity of 0.1 OD at 465 nm was obtained for each sample and the
15 number of *CK19* mRNA copies determined using a calibration curve. OSNA was classified
16 as following: (-) = < 250 copies; (-L) = < 250 copies; (+) = > 250 & < 5000 copies, (++) = >
17 5000 copies; (++) or (+) were positive results, while (-) or (-L) were negative
18 RNA quality was analysed for negative (- or -L) samples in order to exclude false negatives.
19 OSNA lysates were processed with the Qiagen RNeasy kit (Qiagen, Venlo, Netherlands).
20 Total RNA was quantified spectrophotometrically (260/280 nm ratio). RNA integrity was
21 assessed using RNA Integrity Number (RIN) with a Bioanalyser (Agilent, Santa Clara, CA,
22 USA).

23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49 **RNA** was prepared from unused OSNA lysates and from a separate aliquot of fresh frozen
50 tissue from the same tumours, reverse transcribed and subject to *CK19* qRT-PCR assay as
51 described above.
52
53
54
55
56
57
58
59
60

1
2
3 Inter-plate qRT-PCR variation was reduced by using the $\Delta\Delta\text{Ct}$ method to normalise
4
5 expression with respect to two tumours that had previously been shown to highly express
6
7 CK19. A technical threshold of $0.005 \times$ the mean ΔCt of the reference tumours was observed
8
9 in two experiments and was adopted to distinguish positive from negative *CK19* expression
10
11 in all qRT-PCR experiments.
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

For Peer Review

Results

Cohort 1. Of 43 primary cT1/T2N0 tumours tested with CK19 IHC, 21 (48.8%) were positive. 29 of 39 primary tumours evaluable in *CK19* RNA ISH tests were *CK19* positive (74.4%), 4 failed quality assurance checks. CK19 IHC was concordant with the *CK19* RNA ISH in 26 of 39 cases (66.7%). For both tests, the staining was generally weak and heterogeneous (Figures 1 & 2) with positive cases having H scores between 5 to 200. Discordant cases (n=13) had lower H scores (Mean 42.7, Range 5-160). Of the 13 discordant results, 9 were positive in RNA ISH and negative in IHC, reflecting higher sensitivity of RNA ISH. Stage I/II OSCC was less likely to be positive by IHC than stage III/IV ($P<0.01$). No such discrepancy was observed for RNA ISH.

CK19 IHC and *CK19* RNA ISH were concordant in 6 of 8 cases with corresponding lymph node metastases, omitting two failed tests (Table 1). In one case, the primary tumour was positive for both tests, but the corresponding lymph node metastasis was negative (patient 3392: Figure 2, Table 1). Lymph nodes with no evidence of metastatic carcinoma (n=26) did not contain any CK19 positive cells. There were no epithelial lymph node inclusions (salivary or thyroid), however, in one case CK19 positive perinodal salivary gland tissue was included in the section, but this might have been dissected free prior to analysis in an SLNB protocol.

18 of 26 (69%) primary cT1/T2N0 tumour tissues were positive for *CK19* mRNA by qRT-PCR. *CK19* qRT-PCR was concordant with IHC in 16 of 26 cases (62%) and with *CK19* RNA ISH in 13 of 22 cases (59%)(Table 2). Discordant IHC cases tended to be positive by qRT-PCR (7/10). By contrast, discordant ISH cases were equally likely to be positive or negative (4/9 positive by qRT-PCR), however, the ISH positives had lower H scores (mean 33.0, range 5-160).

1
2
3 **Cohort 2.** Of 87 primary tumour samples analysed by OSNA, 7 were excluded owing to
4 compromised RNA integrity (low RIN). Examination of representative, H&E stained sections
5 from the 43 Danish samples identified 5 that did not contain tumour tissue by pathological
6 examination, one with compromised RNA integrity. The remaining 4 were OSNA positive: 2
7 contained oral epithelium and 2 contained salivary tissue. Of 76 tumour samples, 61 (80%)
8 were *CK19* mRNA positive by OSNA, with no correlation for either tumour stage or site
9 (Supplementary table S2).
10
11

12
13
14
15
16
17
18
19 39 of the tumours from Liverpool had sufficient tissue to allow extraction of mRNA from a
20 separate portion of the tumour. Of these, 23 (59%) were *CK19* positive. qRT-PCR data was
21 concordant with OSNA data in 29/37 (78%) of cases, with OSNA proving the most sensitive
22 test in all 8 discordant cases. In order to investigate this more fully, RNA from the OSNA
23 tissue lysates from all 87 samples was subject to qRT-PCR. 4 samples were excluded based
24 on the low RNA levels (GAPDH amplification). 56/83 (67%) of these samples were positive
25 for *CK19* expression, showing concordance with OSNA data in 70/81 (85%) of cases. All
26 discordant cases demonstrated positivity by OSNA but were negative by qRT-PCR.
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Conclusions

CK19 expression is detectable in between 50 and 80% of OSCC, depending upon the assay used. RNA-ISH and qRT-PCR are more sensitive than IHC, while OSNA appears to be the most sensitive method. The prevalence of *CK19* expression by OSNA is still, at 80%, insufficient to suggest that OSNA could be used without prior screening of biopsy tissue for CK19, as it could result in 20% of positive lymph nodes being called as false negative. CK19 expression in OSCC has been previously reported to range between 53% and 91%^{13,14} and our results confirm that CK19 can be detected only in a subset of primary tumours. In this regard, OSCC differs from breast, colorectal & stomach sites, all adenocarcinomas, where CK19 OSNA has been clinically validated. **Although the chemistry and platform available through OSNA appear to be well suited to clinical use in being highly reliable, sensitive and specific, the gene target CK19 appears to offer insufficient expression in OSCC for clinical application. Should a more appropriate gene target (perhaps CK5 or 14) be available, it may be that this would be suitable, subject to the appropriate and necessary clinical validations.**

Although, theoretically, OSNA might be used on a fresh biopsy sample to select CK19 positive tumours suitable for OSNA assay in SLNB, concern remains that surrounding oral mucosa or salivary gland could be included leading to a false positive. *CK19* mRNA ISH carried out on an existing FFPE diagnostic biopsy, might be more convenient and provide histological context, avoiding false positives. However, our results show that *CK19* mRNA ISH expression was usually low and heterogeneous, limiting diagnostic confidence and making the assay vulnerable to inter-observer variability. Consequently, we could not suggest a reliable assay to stratify which tumours are suitable for OSNA assay in SLNB.

In one case, the primary tumour was positive and the matched lymph node metastasis was negative by both CK19 ISH and IHC. Contamination in the neck structures with ectopic

1
2
3 salivary (0.9%)²³ or thyroid tissue (1.5%)²⁴ have been reported either within or immediately
4
5 surrounding lymph nodes and could produce false positives in any methodology that uses
6
7 solid specimens. It may be that careful dissection of single SLNB would eliminate this, but
8
9 again a validation study would be helpful.
10

11
12 Our data successfully incorporated a new assay (*CK19* mRNA ISH) and shows potential
13
14 clinical avenues in OSCC for molecular diagnostics. We have *CK19* data on 123 OSCC
15
16 which effectively rules out the need for potentially burdensome, and clinically risky,
17
18 validation studies. The international collaboration between two academic head and neck
19
20 cancer centres and industry augers well should a more suitable assay become available. Such
21
22 an assay might additionally be applicable to cutaneous SCC and anogenital SCC which
23
24 would increase the test's commercial viability. It is encouraging that OSNA assays with
25
26 differing gene targets, most recently with *MMP7*²⁵ (matrix-metalloproteinase 7) are available.
27
28
29
30
31
32
33

34 The concept of intra-operative diagnostics in OSCC remains attractive, but awaits a suitable
35
36 assay. At present SLNB analysis is based on evaluation of stepped serial sections from only a
37
38 proportion of the sentinel node, thus a rapid technique examining the entire sentinel node for
39
40 tumour deposits may provide more accurate staging. An automated intra-operative method
41
42 would also avoid the substantial additional workload for the pathology team performing serial
43
44 SLNB examination. In head & neck oncology, intra-operative diagnostics appear even more
45
46 attractive than in melanoma and breast, as OSCC remains largely a surgically treated disease
47
48 and completing all surgery in one operation would facilitate the wider acceptance of SLNB.
49
50
51
52
53
54
55
56
57
58
59
60

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Acknowledgements: Monika Zaenkert, Gabriele Ebling and Franziska Duerigen, Sysmex Europe GmbH, Germany.

For Peer Review

1
2
3
4
5
6 **Supplemental Table S1** Summary of characteristics of tumours and tabulated results for
7
8 cohort 1 and 2
9

10
11 **Supplemental Table S2.** Distribution of *CK19* expression by OSNA and stage
12
13

14
15
16
17 **Table 1** Test results for primary tumours with corresponding lymph node metastases.
18

19
20 **Table 2** qRT-PCR concordance with IHC and ISH staining
21

22
23 **Table 3** Distribution of *CK19* mRNA expression by OSNA
24
25

26
27
28
29 **Figure 1** A primary tumour that shows weak, heterogeneous CK19 positivity and a
30
31 corresponding sub-capsular lymph node metastasis with stronger CK19 staining. **This case**
32
33 **illustrates the difficulty, with either IHC or ISH, to offer a confident diagnostic test to**
34
35 **identify cases from diagnostic biopsy suitable for CK19 OSNA.**
36
37

38
39 **Figure 2** A primary tumour that shows weak, heterogeneous CK19 positivity and a
40
41 corresponding lymph node metastasis with no CK19 staining. **If this case had undergone**
42
43 **SLNB analysis using CK19 OSNA, even with the apparent security of a 'positive' primary**
44
45 **tumour, it is likely that a false negative result would be returned with consequent under-**
46
47 **treatment and neck recurrence.**
48
49

References

1. Pedersen NJ, Jensen DH, Hedback N, et al. Staging of early lymph node metastases with the sentinel lymph node technique and predictive factors in T1/T2 oral cavity cancer: A retrospective single-center study. *Head & neck*. Jun 3 2015.
2. Schilling C, Stoeckli SJ, Haerle SK, et al. Sentinel European Node Trial (SENT): 3-year results of sentinel node biopsy in oral cancer. *European journal of cancer*. Dec 2015;51(18):2777-2784.
3. D'Cruz AK, Vaish R, Kapre N, et al. Elective versus Therapeutic Neck Dissection in Node-Negative Oral Cancer. *The New England journal of medicine*. Aug 6 2015;373(6):521-529.
4. Civantos FJ, Moffat FL, Goodwin WJ. Lymphatic mapping and sentinel lymphadenectomy for 106 head and neck lesions: contrasts between oral cavity and cutaneous malignancy. *The Laryngoscope*. Mar 2006;112(3 Pt 2 Suppl 109):1-15.
5. Tschopp L, Nuyens M, Stauffer E, Krause T, Zbaren P. The value of frozen section analysis of the sentinel lymph node in clinically N0 squamous cell carcinoma of the oral cavity and oropharynx. *Otolaryngology--head and neck surgery : official journal of American Academy of Otolaryngology-Head and Neck Surgery*. Jan 2005;132(1):99-102.
6. Alkureishi LW, Burak Z, Alvarez JA, et al. Joint practice guidelines for radionuclide lymphoscintigraphy for sentinel node localization in oral/oropharyngeal squamous cell carcinoma. *Annals of surgical oncology*. Nov 2009;16(11):3190-3210.
7. Ferris RL, Xi L, Seethala RR, et al. Intraoperative qRT-PCR for detection of lymph node metastasis in head and neck cancer. *Clinical cancer research : an official journal of the American Association for Cancer Research*. Apr 1 2011;17(7):1858-1866.
8. Garrel R, Dromard M, Costes V, et al. The diagnostic accuracy of reverse transcription-PCR quantification of cytokeratin mRNA in the detection of sentinel lymph node invasion in oral and oropharyngeal squamous cell carcinoma: a comparison with immunohistochemistry.

- 1
2
3 *Clinical cancer research : an official journal of the American Association for Cancer*
4
5 *Research*. Apr 15 2006;12(8):2498-2505.
6
- 7 9. Notomi T, Okayama H, Masubuchi H, et al. Loop-mediated isothermal amplification of DNA.
8
9 *Nucleic acids research*. Jun 15 2000;28(12):E63.
10
- 11 10. Snook KL, Layer GT, Jackson PA, et al. Multicentre evaluation of intraoperative molecular
12
13 analysis of sentinel lymph nodes in breast carcinoma. *The British journal of surgery*. Apr
14
15 2011;98(4):527-535.
16
- 17 11. NICE. *Intraoperative tests (RD 100i OSNA system and Metasin test) for detecting sentinel*
18
19 *lymph node metastases in breast cancer*. 2013.
20
- 21 12. Klingler S, Marchal F, Rauch P, et al. Using one-step nucleic acid amplification (OSNA) for
22
23 intraoperative detection of lymph node metastasis in breast cancer patients avoids second
24
25 surgery and accelerates initiation of adjuvant therapy. *Annals of oncology : official journal of*
26
27 *the European Society for Medical Oncology / ESMO*. Sep 2013;24(9):2305-2309.
28
- 29 13. Yamauchi K, Fujioka Y, Kogashiwa Y, Kohno N. Quantitative expression study of four
30
31 cytokeratins and p63 in squamous cell carcinoma of the tongue: suitability for sentinel node
32
33 navigation surgery using one-step nucleic acid amplification. *Journal of clinical pathology*.
34
35 Oct 2011;64(10):875-879.
36
- 37 14. Zhong LP, Chen WT, Zhang CP, Zhang ZY. Increased CK19 expression correlated with
38
39 pathologic differentiation grade and prognosis in oral squamous cell carcinoma patients. *Oral*
40
41 *surgery, oral medicine, oral pathology, oral radiology, and endodontics*. Sep
42
43 2007;104(3):377-384.
44
- 45 15. Shores CG, Yin X, Funkhouser W, Yarbrough W. Clinical evaluation of a new molecular
46
47 method for detection of micrometastases in head and neck squamous cell carcinoma. *Archives*
48
49 *of otolaryngology--head & neck surgery*. Aug 2004;130(8):937-942.
50
- 51 16. Croner RS, Schellerer V, Demund H, et al. One step nucleic acid amplification (OSNA) - a
52
53 new method for lymph node staging in colorectal carcinomas. *Journal of translational*
54
55 *medicine*. 2010;8:83.
56
57
58
59
60

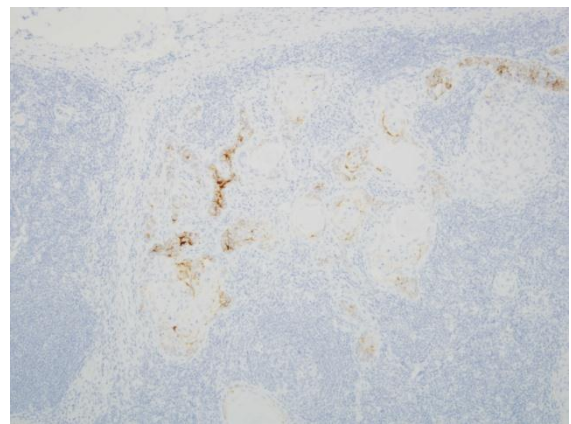
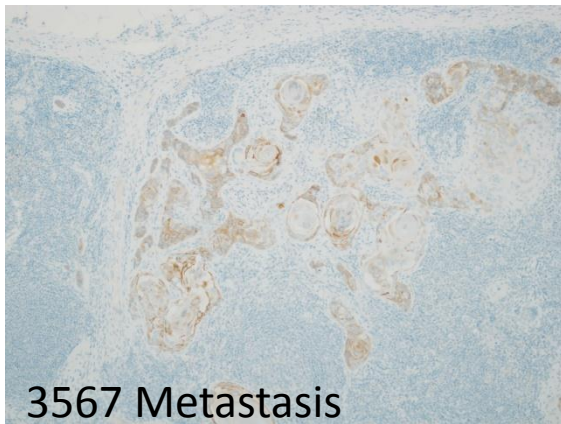
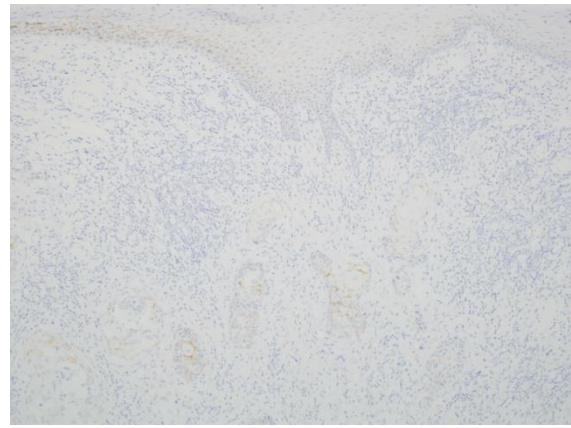
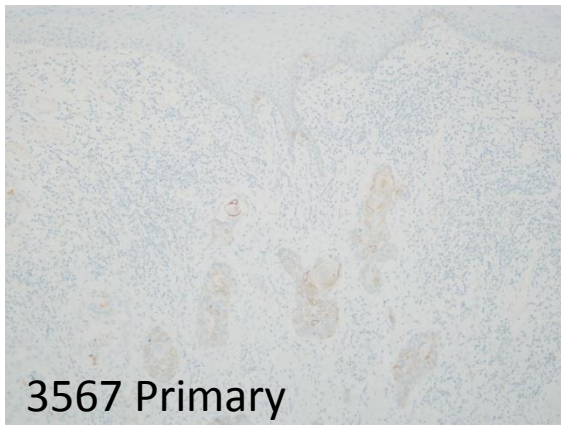
- 1
2
3 17. Yamamoto H, Sekimoto M, Oya M, et al. OSNA-based novel molecular testing for lymph
4 node metastases in colorectal cancer patients: results from a multicenter clinical performance
5 study in Japan. *Annals of surgical oncology*. Jul 2011;18(7):1891-1898.
6
7
- 8
9 18. Kumagai K, Yamamoto N, Miyashiro I, et al. Multicenter study evaluating the clinical
10 performance of the OSNA assay for the molecular detection of lymph node metastases in
11 gastric cancer patients. *Gastric cancer : official journal of the International Gastric Cancer*
12 *Association and the Japanese Gastric Cancer Association*. Apr 2014;17(2):273-280.
13
14
- 15
16 19. Yaguchi Y, Sugasawa H, Tsujimoto H, et al. One-step nucleic acid amplification (OSNA) for
17 the application of sentinel node concept in gastric cancer. *Annals of surgical oncology*. Aug
18 2011;18(8):2289-2296.
19
20
- 21
22 20. Goda H, Nakashiro K, Oka R, et al. One-step nucleic acid amplification for detecting lymph
23 node metastasis of head and neck squamous cell carcinoma. *Oral oncology*. Oct
24 2012;48(10):958-963.
25
26
- 27
28 21. Matsuzuka T, Takahashi K, Kawakita D, et al. Intraoperative molecular assessment for lymph
29 node metastasis in head and neck squamous cell carcinoma using one-step nucleic acid
30 amplification (OSNA) assay. *Annals of surgical oncology*. Nov 2012;19(12):3865-3870.
31
32
- 33
34 22. Suzuki M, Matsuzuka T, Hashimoto Y, Ikeda M, Saijo S, Omori K. Diagnostic potential of 1-
35 step nucleic acid amplification assay in patients with head and neck squamous cell carcinoma
36 based on CK19 expression in a primary lesion. *Head & neck*. Dec 24 2014.
37
38
- 39
40 23. Shinohara M, Harada T, Nakamura S, Oka M, Tashiro H. Heterotopic salivary gland tissue in
41 lymph nodes of the cervical region. *International journal of oral and maxillofacial surgery*.
42 Jun 1992;21(3):166-171.
43
44
- 45
46 24. Leon X, Sancho FJ, Garcia J, Sanudo JR, Orus C, Quer M. Incidence and significance of
47 clinically unsuspected thyroid tissue in lymph nodes found during neck dissection in head and
48 neck carcinoma patients. *The Laryngoscope*. Mar 2005;115(3):470-474.
49
50
- 51
52 25. Takahashi K, Nakajima K, Shino M, Toyoda M, Takayasu Y, Chikamatsu K. [Prediction of
53 Post-operative Lymph Node Metastasis with a Molecular Biological Test in Head and Neck
54 Cancer]. *Nihon Jibiinkoka Gakkai kaiho*. Feb 2015;118(2):135-139.
55
56
57
58
59
60

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

For Peer Review

CK19 IHC

CK19 ISH



29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Figure 1. A primary tumour that shows weak, heterogeneous CK19 positivity and a corresponding sub-capsular lymph node metastasis with stronger CK19 staining.

CK19 IHC

CK19 ISH

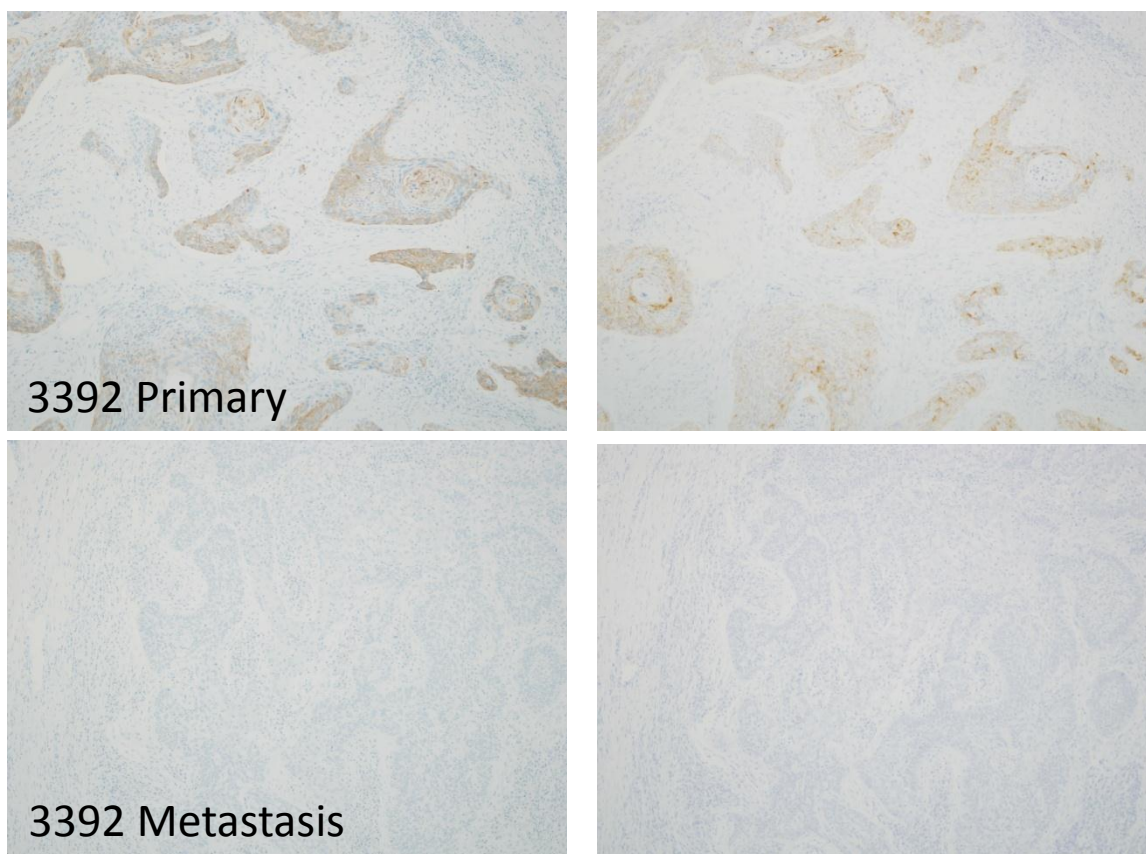


Figure 2. A primary tumour that shows weak, heterogeneous CK19 positivity and a corresponding lymph node metastasis with no CK19 staining

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Table 1. Test results for primary tumours with corresponding lymph node metastases.

	CK19 IHC		CK19 ISH	
	Primary	Metastasis	Primary	Metastasis
3123	Red	Red	Red	Red
3211	Red	Red	Red	Red
3352	Red	Red	Red	Red
3567	Red	Red	Red	Red
3392	Red	Blue	Red	Blue
3549	Blue	Blue	Red	Red
3464	Red	Red	Yellow	Blue
3289	Blue	Blue	Yellow	Blue

Red = positive

Blue = negative

Yellow = not available, test failed quality assurance checks.

Peer Review

1
2
3
4
5
6
7 Table 2 qRT-PCR concordance with IHC and ISH staining
8
9
10

		IHC		ISH	
		+	-	+	-
qRT-PCR	+	11	7	11	4
qRT-PCR	-	3	5	5	2

11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Table 3 Distribution of *CK19* mRNA expression by OSNA

OSNA	Number of samples (%)	
(++)	45 (56%)	65
(+)	20 (25%)	(81%)
(-)	12 (15%)	15
(-L)	3 (4%)	(19%)
Total	80 (100%)	

pt no	Primary vs Met	Tumour presence	CK19 IHC					CK19 mRNA ISH						CK19 qRT-PCR	Clinicopathological data		
			tumour score	node score	Intensity	%	H score	tumour score.	node score.	Intensity.	%.	H score.	Comments		pos/neg	site	stage
3123	Primary	SCC	1		1	10	10	1		1	10	10			tongue (ventral)	4	pT2N2c
3123	LN	SCC		1	1	10	10		1	1	50	50					
3149	Primary	SCC	0		0	0	0	0		0	0	0			tongue (lateral)	1	pT1N1
3153	Primary	SCC	0		0	0	0	1		2	70	140			FOM	2	pT2N0
3165	Primary	SCC	1		1	50	50	1		1	20	20		1	tongue (lateral)	2	pT2N0
3165	LN	No tumour															
3172	Primary	SCC	0		0	0	0	0		0	0	0		1	FOM	2	pT2N0
3172	LN	No tumour															
3188	Primary	SCC	0		0	0	0	0		0	0	0		0	FOM	2	pT2N0
3188	LN	No tumour															
3211	Primary	SCC	1		1	50	50	1		1	20	20		1	buccal	4	pT2N2b
3211	LN	SCC		1	1	70	70		1	2	25	50					
3212	Primary	SCC	0		0	0	0	1		1	20	20			FOM	1	pT1N0
3212	LN	No tumour															
3229	Primary	SCC	0		0	0	0	1		1	50	50		1	tongue (anterior)	2	pT2N0
3232	Primary	SCC	1		2	20	40	1		1	10	10		1	FOM	1	pT1N0
3232	LN	No tumour											CK19 ISH background				
3258	Primary	SCC	1		1	70	70	1		1	50	50		1	FOM	2	pT2N0
3258	LN	No tumour															
3274	LN	No tumour															
3274	Primary	SCC	1		1	90	90	1		1	20	20		0	tongue (ventral)	3	pT2N1
3288	LN	No tumour															
3288	Primary	SCC	1		1	20	20	1		2	50	100		1	tongue (ventral)	1	pT1N0
3289	Primary	SCC	0		0	0	0						CK19 ISH internal control negative	1	FOM	3	pT2N1
3289	LN	SCC		0	0	0	0		0	0	0	0					
3333	Primary	SCC	0		0	0	0	0		0	0	0	CK19 ISH internal control weak		tongue (ventral)	2	pT2N0
3333	LN	No tumour							0	0	0	0	CK19 ISH internal control weak				
3340	Primary	SCC	1		1	100	100	1		1	5	5			tongue (ventral)	2	pT2N0
3340	LN	No tumour															
3341	Primary	SCC	0		0	0	0	1		2	10	20			tongue (ventral)	2	pT2N0
3352	LN	SCC		1	2	100	200		1	2	70	140					
3352	Primary	Adenosq. ca.	1		2	100	200	1		2	100	200			FOM	4	pT2N2b
3355	Primary	SCC	0		0	0	0	1		1	50	50			tongue	1	pT1N0
3355	LN	No tumour															
3364	Primary	SCC	0		0	0	0	1		2	50	100			tongue	2	pT2N0
3361	Primary	SCC	1		1	20	20	0		0	0	0			tongue	2	pT2N0
3361	LN	No tumour															
3379	Primary	SCC	1		1	5	5	1		1	60	60			buccal	2	pT2N0
3379	LN	No tumour															
3392	Primary	SCC	1		2	70	140	1		2	80	160		0	FOM	3	pT2N1
3392	LN	SCC		0	0	0	0		0	0	0	0					
3395	Primary	SCC	1		1	80	160	0		0	0	0			FOM	2	pT2N0
3395	LN	No tumour															
3394	Primary	SCC	0		0	0	0	0		0	0	0	CK19 ISH internal control weak	1	tongue	1	pT1N0

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49

3394	LN	No tumour															
3399	Primary	SCC	0		0	0	0	1		1	50	50			tongue	2	pT2N0
3399	LN	No tumour															
3401	Primary	SCC	1		1	20	20	1		2	70	140		1	tongue (ventral)	1	pT1N0
3401	LN	No tumour															
3408	Primary	SCC	0		0	0	0	0		0	0	0		0	tongue (ventral)	2	pT2N0
3423	Primary	SCC	1		2	80	160	1		2	60	120		1	FOM	2	pT2N0
3423	LN	No tumour															
3441	Primary	SCC	1		1	10	10	1		2	60	120		1	tongue (lateral)	2	pT2N0
3441	LN	No tumour															
3458	Primary	SCC	1		2	80	160	1		2	90	180		1	FOM	2	pT2N0
3460	Primary	SCC	1		1	10	10	1		1	10	10		0	tongue	1	pT1N0
3460	LN	No tumour															
3462	Primary	SCC	0		0	0	0						CK19 ISH tumour cut out	1	FOM	2	pT2N0
3464	Primary	SCC	1		1	60	60						CK19 ISH internal control negative	1	tongue	4	pT2N2b
3464	LN	SCC		1	2	60	120		0	0	0	0					
3549	Primary	SCC	0		0	0	0	1		1	<5	<5	Focal minimal	0	tongue	3	pT2N1
3549	LN	SCC		0	0	0	0		1	1	<5	<5	Focal minimal				
3496	Primary	SCC	0		0	0	0	1		1	10	10			hard palate	2	pT2N0
3496	LN	No tumour															
3500	Primary	SCC	0		0	0	0						CK19 ISH external negative control posi	0	tongue	2	pT2N0
3500	LN	No tumour															
3449	Primary	SCC	0		0	0	0	0		0	0	0		1	tongue (lateral)	1	pT1N0
3449	LN	No tumour															
3545	Primary	SCC	0		0	0	0	1		2	50	100		0	tongue	2	pT2N0
3545	LN	No tumour															
3551	Primary	SCC	1		2	100	200	1		2	50	100		NR	FOM	2	pT2N0
3551	LN	No tumour															
3556	Primary	SCC	0		0	0	0	1		1	10	10		NR	tongue (ventral)	2	pT2N0
3556	LN	No tumour															
3567	Primary	SCC	1		1	20	20	1		1	70	70		1	tongue	4	pT2N2b
3567	LN	SCC		1	2	70	140		1	1	70	140					
3571	Primary	SCC	0		0	0	0	0		0	0	0		1	buccal		pT2N0
3571	LN	No tumour															
			21	5				29	5					18			
			43	8				39	9					26			

sample no	CK19 qRT-PCR (sample A)	CK19 OSNA (sample B)		CK19 qRT-PCR (sample B)		Clinicopathological data			
	present/ absent	present/ absent.	semi- quantitation	present/ absent,	qRT comments	site	stage	pathology	pathology comment
L1	0	NR		1		tongue (ventral)	4	pT2N2b	
L2	0	0	(-)	0		maxilla	2	pT2N0	
L3	0	1	`+	0		tongue	3	pT3N0	
L4	1	1	`++	1					
L5	1	1	`++	1		maxilla	4a	pT4N0	
L6	0	1	`+	0		FOM	4a	pT4N0	
L8	1	1	`++	1		FOM	4a	pT4N2c	
L9	ND	1	`+	0		buccal	2	pT2N0	
L10	1	1	`++	1		FOM	4a	pT4No	
L11	1	1	`++	1		tongue	3	pT3N1	
L12	1	1	`++	1		tongue	4a	pT4N1	
L13	0	1	`+	0		tongue (lateral)	4	pT2N2C	
L14	1	1	`++	1		tongue (ventral)/FOM	4a	pT4N0	
L15	0	0	(-)	0		mandibular alveolus	4a	pT4N0	
L17	1	1	`++	1		FOM	4a	pT4N0	
L18	0	0	(-)	0		gingiva	4a	T4aN0	verrucous carcinoma carcinoma
L19	1	1	`++	1		tonsil/BOT	4a	pT3N2b	
L20	0	0	(-)	0		FOM	4	pT2N2b	
L21	ND	1	`+	1		Mandible	4a	pT4N0	
L22	1	1	`++	1		alveolus	2	pT2N0	
L23	1	1	`++	1		tongue (lateral)	4a	pT4N1	
L24	ND	0	(-)	0		tongue (lateral)	3	pT3N0	
L25	0	0	(-)	0		mandible	4a	pT4N0	
L26	ND	0	(-)	0		tongue (lateral)	4a	pT3N2b	
L27	0	0	(-)	0		maxilla	4a	pT4aN0	adenoid cystic carcinoma
L28	1	ND		ND		tongue (lateral)	4a	pT2N2b	
L30	1	1	`++	1		retromolar	4a	pT2N2b	
L31	0	1	`++	0		retromolar	3	pT3N0	
L32	1	1	`++	1		RFOM	3	pT3N0	
L34	ND	1	`+	1		mandible	4a	pT4N1	
L35	0	1	`+	0		tongue	4a	pT3N2c	
L36	1	1	`++	1		maxilla	4a	pT4aN0	trnsitional type SCC
L38	1	1	`+	1		tongue (lateral)	4a	pT2N2b	
L40	1	1	`++	1		tongue	4a	pT3N2b	
L41	0	0	(-)	0		maxilla	4b	pT4bN2b	

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49

L42	0	1	`++	0		retromolar	3	pT3N1	
L43	0	1	`+	0		maxilla	4a	pT4aN2b	
L44	1	1	`++	1		tonsil	3	pT1N1	baslaoid SCC IS negative
L45	1	1	`++	1		tonsil	4a	pT2N3	ISH positive
L46	1	1	`++	1		maxilla	4a	pT4aNX	
L47	0	1	`++	1		tongue	3	pT2N1	
L48	1	1	`++	1		tonsil	3	pT2N1	ISH negative
L49	1	1	`++	1		tonsil	3	pT3N0	ISH negative
L50	ND	1	`+	1		tongue	3	pT3N1	
L51	1	1	`+	1		mandible	4a	pT4aN0	
`+ve n=	23	34		27					
n=	39	43		44					

C1		1	(++)	1		Gingiva	4		Salivary tissue - no tumor
C2		1	(++)	1		Tongue	2		
C3		0	(-)L	0		Tongue	3		
C4		0	(-)	0		Tongue/floor of mouth	3		
C5		1	(+)	1		Gingiva	4		
C6		1	(++)	1		Tongue	3		Normal tissue
C7		NR		NR	low GAPDH	Floor of mouth	4		Normal tissue
C8		1	(++)	1		Tongue	3		Salivary tissue - no tumor
C9		NR		NR	low GAPDH	Gingiva + buccal	3		
C10		1	(++)	1		Gingiva	3		
C11		1	(++)	1		FOM	3		no tumor or salivary tissue
C12		NR		NR	low GAPDH	Tongue	3		
C13		1	(++)	1		Cheek/gingiva	4		
C14		1	(++)	1		Tongue	3		
C15		1	(+)	1		Tongue	3		
C16		1	(+)	1		Tongue	3		
C17		1	(+)	1		Gingiva	4		
C18		1	(++)	1		Gingiva	4		
C19		1	(++)	1		Cheek	3		
C20		NR		0	low GAPDH	Regio maxillars	3		Veruccous carcinoma
C21		1	(++)	1		Tongue	3		
C22		1	(++)	1		Gingiva	4		
C23		1	(++)	1		Tongue	2		
C24		0	(-)	0		gingiva	4		
C25		0	(-)	0		Tongue	3		
C26		1	(+)	1		Gingiva	3		
C27		1	(++)	1		Floor of mouth/gingiva	4		Sparce tumor tissue

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49

C28		1	(+)	0		Tongue/ganebue	3		
C29		1	(++)	1		Tongue	3		
C30		1	(+) I	0		FOM	3		
C31		1	(++)	1		Tongue	3		
C32		1	(++)	1		Tongue	3		
C33		1	(++)	1		Tongue/floor of mouth	3		
C35		1	(++)	1		Tongue	3		
C36		0	(-)	0		Gingiva	3		
C37		NR		NR	low GAPDH	Tongue	2		Tumor and necrosis
C39		1	(++)	1		Floor of mouth	3		
C40		1	(+)	1		Gingiva	4		
C41		1	(+)	1		Tongue	3		
C42		1	(++)	1		Hard palate	4		
C43		1	(++)	1		Tongue	3		
C44		0	(-)	0		Hard palate	3		
C45		NR		0		Tongue	3		

+ve n= 31
n= 37

29
39

Peer Review

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Supplementary Table 2. Distribution of *CK19* expression by OSNA and stage

	OSNA	
	+	-
Stage II	4	1
Stage III	30	6
Stage IV	30	6

For Peer Review