FACILITATING DIAGNOSIS OF COLORECTAL CANCER WITH COMPUTED TOMOGRAPHIC COLONOGRAPHY

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SUBMITTED FOR THE DEGREE OF DOCTOR OF MEDICINE (RESEARCH)
I, DARREN JOHN BOONE, CONFIRM THAT THE WORK PRESENTED IN THIS THESIS IS MY OWN. WHERE INFORMATION HAS BEEN DERIVED FROM OTHER SOURCES, I CONFIRM THAT THIS HAS BEEN INDICATED IN THE THESIS.
FOR MY WIFE AND CHILDREN:

WENDY, DANIEL, JOSEPH, ALANNAH AND MALACHI

DEDICATED TO MY FATHER:

GRAHAM SYDNEY BOONE; 1942-2013
ABSTRACT

Computed tomographic colonography (CTC) is a diagnostic technique involving helical volume acquisition of the cleansed, distended colorectum to detect colorectal cancer or potentially premalignant polyps. This Thesis summarises the evidence base, identifies areas in need of further research, quantifies sources of bias and presents novel techniques to facilitate colorectal cancer diagnosis using CTC.

CTC literature is reviewed to justify the rationale for current implementation and to identify fruitful areas for research. This confirms excellent diagnostic performance can be attained providing CTC is interpreted by trained, experienced observers employing state-of-the-art implementation. The technique is superior to barium enema and consequently, it has been embraced by radiologists, clinicians and health policy-makers. Factors influencing generalisability of CTC research are investigated, firstly with a survey of European educational workshop participants which revealed limited CTC experience and training, followed by a systematic review exploring bias in research studies of diagnostic test accuracy which established that studies focussing on these aspects were lacking. Experiments to address these sources of bias are presented, using novel methodology: Conjoint analysis is used to ascertain patients’ and clinicians’ attitudes to false-positive screening diagnoses, showing that both groups overwhelmingly value sensitivity over specificity. The results inform a weighted statistical analysis for CAD which is applied to the results of two previous studies showing the incremental benefit is significantly higher for novices than experienced readers. We have employed eye-tracking technology to establish the visual search patterns of observers reading CTC, demonstrated feasibility and developed metrics for analysis. We also describe development and validation of computer software to register prone and supine endoluminal surface locations demonstrating accurate matching of corresponding points when applied to a phantom and a generalisable, publically available, CTC database. Finally, areas in need of future development are suggested.
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PREFACE

This Thesis represents original work by the author and has not been submitted in any form to any other University. Where use has been made of the work of others it has been duly acknowledged in the text.

The research described in this Thesis was carried out at the Centre for Medical Imaging, University College London (UCL) and University College Hospital (UCLH) with additional data collection from European educational workshops organised by the European Society of Gastrointestinal and Abdominal Radiology (ESGAR).

Research described in this Thesis was carried out under the supervision of Professor Steve Halligan and Professor Stuart Taylor, Centre for Medical Imaging, University College London.

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ETHICAL APPROVAL STATEMENT

Research Ethics Committee approval was sought and obtained for all research detailed in this Thesis. All patients contributing data to this Thesis gave written informed consent unless a waiver was in place. Specifically, full permission for data-sharing was obtained where anonymised CTC data were analysed across different centres.
<table>
<thead>
<tr>
<th>Term</th>
<th>Description</th>
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<tbody>
<tr>
<td>ACR</td>
<td>American College of Radiology</td>
</tr>
<tr>
<td>ACRIN</td>
<td>American College of Radiology Imaging Network</td>
</tr>
<tr>
<td>AGA</td>
<td>American Gastroenterological Association</td>
</tr>
<tr>
<td>CAD</td>
<td>Computer Aided Detection</td>
</tr>
<tr>
<td>CASPR</td>
<td>Computer Aided Supine-Prone Registration</td>
</tr>
<tr>
<td>CI</td>
<td>Confidence Interval</td>
</tr>
<tr>
<td>CMS</td>
<td>Centers for Medicare and Medicaid Services</td>
</tr>
<tr>
<td>CRADS</td>
<td>CTC reporting and data system</td>
</tr>
<tr>
<td>CRC</td>
<td>Colorectal Cancer</td>
</tr>
<tr>
<td>CT</td>
<td>Computed Tomography</td>
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<tr>
<td>CTC</td>
<td>Computed tomographic colonography</td>
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<tr>
<td>DCE</td>
<td>Discrete Choice Experiment</td>
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<tr>
<td>DoD</td>
<td>Department of Defence (US)</td>
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<tr>
<td>ESGAR</td>
<td>European Society of Gastrointestinal and Abdominal Radiology</td>
</tr>
<tr>
<td>FOBT</td>
<td>Faecal occult blood test</td>
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<tr>
<td>FN</td>
<td>False Negative (detection)</td>
</tr>
<tr>
<td>FP</td>
<td>False Positive (detection)</td>
</tr>
<tr>
<td>HIPAA</td>
<td>Health Insurance Portability and Accountability Act</td>
</tr>
<tr>
<td>LREC</td>
<td>Local Research Ethics Committee</td>
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<tr>
<td>MRF</td>
<td>Markov Random Field</td>
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<tr>
<td>NDACC</td>
<td>Normalised distance along the colonic centreline</td>
</tr>
<tr>
<td>p</td>
<td>Probability value</td>
</tr>
<tr>
<td>RCT</td>
<td>Randomized controlled trial</td>
</tr>
<tr>
<td>ROC</td>
<td>Receiver Operating Characteristic</td>
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<tr>
<td>ROC AUC</td>
<td>Area under the ROC curve</td>
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<tr>
<td>ROI</td>
<td>Region of interest</td>
</tr>
<tr>
<td>SIGGAR</td>
<td>Special Interest Group in Gastrointestinal and Abdominal Radiology</td>
</tr>
<tr>
<td>SD</td>
<td>Standard deviation</td>
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THESIS OVERVIEW:
BACKGROUND, HYPOTHESES AND STRATEGY

BACKGROUND

Timely and efficient colorectal cancer diagnosis is an international healthcare priority; the disease is responsible for over 600,000 deaths worldwide each year (1). Diagnosis and removal of potentially premalignant adenomatous polyps has been shown to reduce the lifetime risk of colorectal cancer death by over 25% (2) yet, uptake of colorectal cancer screening remains poor (3). The gold-standard whole-colon examination, optical colonoscopy, is expensive, time-consuming and invasive, carrying a small, but well recognised mortality (4). Therefore, it has been suggested that a safer, less invasive investigation could increase screening uptake and hence, reduce missed cancer diagnosis. However, for many years, the radiological colorectal examination of choice has been the double contrast barium enema (BaE) which has been shown to be insufficiently sensitive for screening (5) and, despite being relatively safe, is disliked by many patients (6). Consequently, there has been considerable interest in developing an alternative radiological technique that could serve as a viable substitute for colonoscopy.

Computed tomographic colonography (CTC) is a relatively novel diagnostic technology used to examine the large bowel. The technique combines helical CT scanning and three-dimensional (3D) image rendering of the cleansed, distended colorectum mimicking the view of the conventional colonoscopist, hence the alternative title ‘virtual colonoscopy’ (7). Studies have shown CTC to be safe (8) and acceptable to patients (9). Moreover, CTC is more accurate than BaE and preferred by patients (10). Furthermore, multicentre comparative studies from the USA have suggested that CTC could rival the sensitivity and specificity of colonoscopy for the detection of polyps and cancer in populations with a high incidence of colorectal cancer (11, 12) and asymptomatic subjects (13, 14); meta-analysis also suggests diagnostic performance is comparable to colonoscopy in certain circumstances (15). While these data are encouraging,
the results of large trials in academic institutions may not be generalisable to daily practice: Several sources of bias that influence the transferability of diagnostic test performance studies from the ‘laboratory’ setting to the ‘field’ are recognised but their impact remains unquantified presently. For example, observers involved in CTC validation studies have usually undergone extensive training and, in some cases, stringent examinations prior to trial participation (16). Conversely, the level of training and experience of those interpreting CTC in European clinical practice is unknown and, at present, there is no requirement for formal accreditation. Moreover, while it is recognised that experienced, trained observers outperform novice readers, the mechanism behind this remains poorly understood (17) and a coherent strategy for CTC training remains elusive. Other branches of diagnostic imaging such as mammography have medical image perception literature to inform implementation (18) yet, to date, this has not been applied to complex 3D interpretation tasks such as CTC.

Reacting to the need to improve diagnostic sensitivity, particularly among less experienced readers, research groups have developed and validated computer aided detection (CAD) technology (19, 20). However, the largest multicase, multireader trials have also utilised experienced observers from large academic centres (20, 21). While studies have suggested CAD can narrow the gap between novice and experienced readers, sufficiently powered research remains awaited (22). Moreover, where CAD increases sensitivity, there is usually an accompanying reduction in specificity (23) yet the potential clinical implications of this trade-off are poorly understood. While the consequences of a false negative diagnosis (e.g. missed polyp or cancer) usually outweigh a false positive detection (e.g. unnecessary colonoscopy) standard statistical analyses may not account for this and, hence, underestimate the clinical benefit of such technology. For example, regulatory approval often requires comparison of the area under the receiver operating characteristic curve (ROC AUC) to approve new diagnostic technology, yet this method inherently combines sensitivity and specificity with equal weighting and, consequently, may not be appropriate where the clinical consequences of reductions and gains in sensitivity and specificity are not equivalent (24). Collaborators have devised a novel statistical method (19) to incorporate a weighting based upon the clinical consequences of changes in sensitivity vs. specificity but at present, the relative value clinicians and patients ascribe to these test attributes remains speculative.
Finally, despite correct annotation by CAD, even experienced readers incorrectly disregard true positive pathology (25). This reinforces the interpretative challenge and suggests there remains a need for further developments in human-computer interaction to maximise reader performance. By way of example, the importance of matching endoluminal locations between prone and supine CT acquisitions to differentiate mobile colonic residue from fixed mural pathology is well recognised (26). However, this task is complicated by considerable colonic deformation which takes place when the patient changes position (27). Therefore, development of computer software which can accurately match endoluminal surface loci between prone and supine datasets has the potential to facilitate interpretation.

In summary, extensive research has brought CTC from an experimental technique in specialised academic units to everyday radiological practice yet there remains considerable scope to improve training, interpretation, CAD and to develop novel computer technologies to improve diagnostic accuracy using CTC.
RESEARCH QUESTIONS, RATIONALE, HYPOTHESES AND AIMS

WHAT IS THE RATIONALE FOR CURRENT CTC IMPLEMENTATION?

AIM:

i) Summarise the history and development of CTC from its inception to present day. In particular, to review landmark evidence that has shaped current practice.

ii) Review CTC literature published between 1st April 2010 and 31st March 2011 to describe present status, limitations and areas requiring further research.

WHAT IS THE LEVEL OF CTC EXPERIENCE AND TRAINING AMONG EUROPEAN RADIOLOGISTS?

RATIONALE:

Comparative studies from the USA and Europe have suggested that CTC can achieve high sensitivity for the detection of polyps and cancer in at-risk populations (11, 12) and screening populations (13, 14). However, the data are heterogeneous and some trials have shown discrepant performance (28, 29). While the reasons for this are multifactorial, the level of reader training and experience are widely accepted as contributory. Each participating radiologist in the ACRIN National CTC trial (16) had experience of >500 CTC cases (or took part in 2 days’ focused individual training) and had to achieve a sensitivity of at least 0.90 for large polyps in a qualifying examination. Conversely, current European and UK consensus statements (30, 31) recommend a minimum experience of just 50 validated datasets and no formal process of accreditation exists.
HYPOTHESIS:

At present, the level of training and experience of European radiologists reporting CTC is insufficient; diagnostic accuracy suggested by research studies is likely non-generalisable to daily clinical practice.

AIM:

To survey European radiologists attending directed CTC training workshops with a view to establishing their level of experience, prior training, and CTC implementation.

TO WHAT EXTENT DOES RESEARCH METHODOLOGY BIAS STUDIES OF DIAGNOSTIC TEST ACCURACY?

RATIONALE:

Performing research in an artificial ‘laboratory’ environment, for example, by blinding observers to the a priori expectation of disease or by enriching the sample’s prevalence of abnormality, can introduce bias. Although essential for evidence-based application of CTC performance studies, these sources of bias are poorly researched. Conversely, attempts to minimise additional potential sources of bias such as ‘observer recall’ increase time, expense and complexity of CTC research but without compelling evidence to support the practice.

HYPOTHESIS:

Currently employed research methodology may introduce potential sources of bias into studies of diagnostic test accuracy but these are poorly researched and their impact, unquantified.

AIM:

To perform a systematic review to identify sources of bias in studies of diagnostic test accuracy. In particular, to quantify those influencing the generalisability of research performed in the ‘laboratory’ to the ‘field,’ via manipulating sample prevalence and reporting intensity.
WHAT IS THE RELATIVE VALUE OF TRUE VS. FALSE POSITIVE DIAGNOSIS WHEN SCREENING USING CTC?

RATIONALE:

Qualitative research confirms that patients and clinicians value gains in sensitivity far beyond losses in specificity; the clinical consequences of misclassification are profoundly different (32, 33). However, customary quantitative methods such as Likert scales are unable to determine the relative value of these two attributes as there is no requirement for the respondent to compromise when test attributes are inter-related. Conjoint analysis is a relatively novel technique that could be employed to ascertain the relative weightings clinicians and patients ascribe to false positive vs. false negative detection at CTC. This, in turn could be used to inform novel statistical methods.

HYPOTHESIS:

Conjoint analysis can be applied successfully to CTC research to determine the opinions of patients and clinicians to false positive and false negative diagnosis.

AIM:

To develop and perform a discrete choice experiment to determine the relative weighting clinicians and patients ascribe to diagnostic sensitivity vs. specificity in the context of colorectal cancer screening with CTC.

CAN A NOVEL WEIGHTED STATISTICAL ANALYSIS BE APPLIED TO STUDIES OF CAD FOR CTC?

RATIONALE:

CAD increases reader sensitivity, particularly among inexperienced observers, but often at the expense of reduced specificity (19, 34). CAD software alerts the reader to suspicious areas on the endoluminal surface that may represent genuine polyps or spurious residue. While this can
enable detection of pathology, otherwise overlooked, it also increases the likelihood of FP characterisation. If CAD increases sensitivity but with a corresponding reduction in specificity, contingent upon the statistical analysis used, these changes may ‘cancel each other out’ leading to non-significant results. However, the clinical consequences of FP and FN diagnoses differ markedly (i.e. unnecessary colonoscopy vs. missed cancer) and statistical analysis should be able to account for this.

**HYPOTHESIS:**

A weighted statistical measure that considers the discrepant clinical consequences of diagnostic misclassifications can be applied to CAD studies.

**AIM:**

To apply this novel analysis using the weighting determined by conjoint analysis to the results of two previous multireader, multicase CTC CAD studies (19, 34) and compare the incremental benefit of CAD when used by experienced readers and inexperienced readers.

**IS IT POSSIBLE TO MEASURE VISUAL SEARCH STRATEGY DURING CTC INTERPRETATION USING EYE-TRACKING?**

**RATIONALE:**

Radiological errors usually result from either failure to detect abnormalities (perceptive error) or incorrect characterisation of pathology (classification error). The majority of false negative diagnoses at CTC (i.e. missed polyps or cancers) have been shown to be perceptive errors, particularly among inexperienced readers (35). Therefore, training should focus on improving detection. However, CTC data display is complex and interpretation varies considerably between readers with little consensus existing regarding the optimum reading paradigm (30, 31, 36). Consequently, a coherent training strategy remains unclear. Medical image perception
research has been central to optimising the display of chest radiographs, orthopaedic films and mammograms(37-39). However, eye-tracking technology is currently limited to plain 2D static radiographic images. The need to develop state-of-the art eye-tracking methodology has been identified (18) but at present this is impossible for complex, moving 3D displays, such as CTC.

**HYPOTHESIS:**

Eye-tracking technology can be successfully applied to CTC; visual search patterns from readers with varying expertise can be recorded and compared.

**AIM**

To establish if eye-tracking technology can be applied to record visual search strategies during CTC interpretation.

**CAN AN AUTOMATED PRONE-SUPINE REGISTRATION ALGORITHM ACCURATELY MATCH CORRESPONDING ENDOLUMINAL SURFACE LOCATIONS?**

**RATIONALE:**

Matching corresponding endoluminal locations between prone and supine datasets is a cornerstone of competent CTC interpretation (26). However, considerable colonic deformation takes place during patient repositioning (27) which complicates the radiologist’s task, prolongs interpretation and may engender error. Current vendor platforms enable approximate prone-supine registration by comparing the distance along the computed colonic centreline(40) but this is inherently one-dimensional and therefore cannot provide a 3D endoluminal surface location. Moreover, centreline methods are prone to error in cases with luminal collapse (41-43). Development of a computer algorithm to automate endoluminal location matching would likely facilitate CTC interpretation and could improve existing CAD algorithms.
HYPOTHESIS:

A novel computer registration algorithm can establish accurate corresponding endoluminal locations between prone and supine CTC acquisitions.

AIM:

To develop, train and validate computer software that can accurately match 3D endoluminal locations between prone and supine CTC acquisitions while remaining resistant to regions of colonic collapse or suboptimal distension.
This Thesis comprises twelve Chapters grouped into five Sections as outlined below. Unless otherwise stated, all work is that of the author. Peer-reviewed publications linked to each Chapter are outlined in Appendix A.

**Section A** summarises the evidence base for CTC with a comprehensive review of published literature to date. In particular, this Section identifies limitations in existing research and areas requiring further development. This provides background to this Thesis and the motivation for the original research studies presented in the following Chapters. **Chapter 1** introduces CTC with a narrative précis of the landmark publications which have shaped the technique from its first description as an experimental procedure to becoming the radiological examination of choice for detecting colorectal neoplasia. **Chapter 2** discusses the current evidence for CTC implementation and performance with a review of the literature published during one year (1st April 2010 to 31st March 2011). This provides an overview of current CTC research and outlines the key themes providing the focus for future development.

Drawing upon recurring themes identified in Section A, **Section B** attempts to address sources of bias and factors limiting the generalisability of CTC research. **Chapter 3** aims to establish the level of CTC experience and training of European radiologists via a survey of participants attending a number of educational workshops. **Chapter 4** provides a broader perspective on the limitations affecting studies of diagnostic test accuracy via systematic review. Sources of bias related to an artificial ‘laboratory’ setting such as enriched disease prevalence, concealed clinical information and repeated interpretation of the same data are investigated and quantified. Recommendations from this Chapter inform the design of subsequent experiments within this Thesis.

**Section C** builds upon limitations identified thus far and introduces three experimental techniques not previously applied to CTC research: **Chapter 5** describes the use of ‘probability equivalence’ conjoint analysis (discrete choice experiment) to determine the relative value of sensitivity vs. specificity in the context of screening for colorectal neoplasia. **Chapter 6** employs
the results from chapter 5 to inform a novel statistical method; the results of the discrete choice experiment provide the ‘weighting’ required for the analysis. This statistical technique is applied to two previous multireader, multicase studies to determine the incremental benefit derived by novice and experienced observers when interpreting CTC with CAD. Chapter 6 also reinforces the marked discrepancy in polyp detection performance among observers of varying experience, despite the assistance of CAD. However, as identified in section A, the reasons for this disparity remain poorly researched. Therefore, Chapter 7 describes the technical development of eye-tracking methodology to enable assessment of observers’ visual search patterns during CTC.

The results of Section C suggest that even experienced radiologists can benefit from computer assistance. Therefore, Section D describes the development and validation of computer algorithms to match endoluminal locations in prone and supine colonography data despite colonic deformation and luminal collapse. Chapter 8 summarises development of a technique for applying non-rigid registration of cylindrical representations of the endoluminal surface to provide surface correspondence between prone and supine acquisitions. Despite promising performance on a carefully selected validation dataset, limitations exist in terms of automation and overcoming poor luminal distension. Therefore, Chapter 9 describes a separate algorithm to match haustral folds using a Markov Random Field technique. The result of combining these algorithms is presented in Chapter 10 using a porcine phantom and Chapter 11 describes the results of clinical validation using a well characterised, publicly available CTC database.

Section E concludes the Thesis; Chapter 12 summarises the key findings and suggests topics for future development.
SECTION A:
HISTORY, DEVELOPMENT, CURRENT STATUS AND FUTURE DIRECTIONS OF CT COLONOGRAPHY
CHAPTER 1

1. HISTORY AND DEVELOPMENT OF CT COLONOGRAPHY

AUTHOR DECLARATION

The review presented in this Chapter was compiled and written by the author under the supervision of Professor Steve Halligan and Professor Stuart Taylor. Related work was published in the book chapter: Boone D, Halligan S, Taylor SA (2013). CTC Background and Development in Cash, B. (Ed.), Colorectal Cancer Screening and Computerized Tomographic Colonography: A Comprehensive Overview (pp 41-58). New York, USA: Springer

1.1 INTRODUCTION

Colorectal imaging using CT coupled with full laxative bowel preparation and gaseous insufflation was first described in the early 1980s(44). However, the technique did not gain widespread recognition until 1994 when advances in computer processing technology enabled Vining and co-workers (45) to demonstrate the feasibility of using volumetric CT data to generate a 3D, endoluminal reconstruction, termed ‘virtual colonoscopy.’ Since then, research relating to CTC has continued to gather exponential momentum, developing implementation, interpretation and diagnostic performance. Consequently, CTC has grown from a novel technique practiced in a handful of specialist academic centres to one that has widely surpassed the barium enema (BaE) as the preferred colorectal imaging modality in radiological departments. This Chapter charts the evolution of CTC over the last two decades, focusing in particular on research that has shaped current practice.
1.2 THE DECLINE OF THE BARIUM ENEMA

Prior to the advent of CTC, the preferred radiologic investigation for suspected colorectal cancer (CRC) or adenomatous polyps was the double-contrast barium enema (BaE) (Figure 1). Compared to the gold-standard, colonoscopy, optimally performed BaE could achieve sensitivity for detecting cancer or large polyps in excess of 0.80 (46, 47). This was considered reasonable for a safe, relatively non-invasive examination. However, by the turn of the century, evidence was accumulating that enthusiasm for performing BaE was deteriorating (48) and consequently, so too was its interpretation; accuracy was considerably lower than believed previously (49). Confidence in the technique was diminished by the National Polyp Study (50), which found a sensitivity of 0.48 for large polyps (>1 cm) prompting an accompanying editorial to suggest that it was no longer appropriate to offer BaE for colorectal screening (51). Despite strong opposition (52), the radiological community was unable to provide sufficient evidence to refute these claims and interpretation has continued to decline.

Figure 1: Single oblique, magnified projection from a double contrast, BaE examination. This optimally prepared examination demonstrates a 10mm pedunculated sigmoid polyp (arrow).

1.3 THE RISE OF MULTI-DETECTOR CT

Around this time, while BaE was falling out of favour, CT was enjoying a renaissance due to the development of helical, multi-detector scanners. The capability to acquire volumetric data within a single breath-hold stimulated research interest in abdominopelvic CT. For example, while seeking an alternative to BaE in frail, elderly patients, researchers from Cambridge, found CT could be used to demonstrate colorectal cancer, particularly after opacifying the colon by administering dilute oral contrast hours in advance of the study (53, 54). Therefore, it followed
naturally that established techniques to optimise BaE such as bowel catharsis, spasmolysis and gaseous insufflation were applied to CT (Figure 2); UK researchers named the resulting procedure, ‘CT pneumocolon’ - a term which remains in sporadic use today(55). Although related research continued in specialist academic centres (particularly University College, London), BaE was well established in daily practice and remained the cornerstone of radiological colorectal investigation for several years.

Figure 2: Axial CT following full bowel catharsis, spasmolysis and carbon dioxide insufflation. Note the use of oral ‘faecal tagging’ to opacify residual colonic content (arrow) and that intravenous contrast has been administered. Extensive research has taken place over recent years to optimise technical implementation (see below).

1.4 THE BIRTH OF ‘VIRTUAL COLONOSCOPY’

By 1994, the radiology community eagerly awaited a technique that could exploit the latest CT technology to provide a viable alternative to BaE. In the United States, in particular, there was an imperative to develop a radiological alternative to colonoscopic screening; in Europe, radiological investigation has historically been reserved for symptomatic patients. Therefore, the stage was set for a celebrated presentation at the 23rd Annual Meeting of the Society of Gastrointestinal Radiologists where Vining et al introduced ‘virtual colonoscopy’ presenting an endoluminal flythrough video accompanied by Wagner’s ‘Flight of the Valkyries’. The subsequent publication (45) is widely regarded as the earliest description of CTC (Figure 3).
Figure 3: Endoluminal CTC viewed from the caecum. Note the normal ileocaecal valve (arrow). Although ‘virtual colonoscopy’ initially required many hours of painstaking rendering, three-dimensional representations can be obtained almost immediately on most modern workstations.

1.5 OPTIMISING TECHNICAL IMPLEMENTATION

Following this dramatic introduction, ‘virtual colonoscopy’ subsequently gained international exposure. However, in reality, access to computer technology capable of endoluminal reconstruction was limited and where available, processing remained time-consuming. Therefore, initial research focused on 2D interpretation (55, 56) that could be carried out on a regular CT workstation directly after image acquisition. Moreover, it soon became apparent that further technical refinement was required to realise CTC’s full potential. Consequently, research groups formed and published the initial groundwork which is largely responsible for modern CTC. For example, initial research demonstrated that performing scans with the patient both prone and supine (Figure 4) could improve colonic distension overall (26) and that insufflation with CO₂ was superior to room air (57). Nevertheless, research was less conclusive regarding the use of intravenous contrast (58), spasmyltics (59, 60) and differing bowel preparations (61). Furthermore, early attempts at ‘tagging’ residual stool using oral barium or iodine gave conflicting results, with some groups finding it improved sensitivity (62) while others finding it less helpful (63). Nevertheless, these studies raised the possibility of ‘prepless’ CTC (64) which remains the goal for many researchers today.

Another consideration since the outset has been the anticipated increase in diagnostic radiation exposure compared to BaE, a factor that continues to raise concerns today. Initial
research employing phantom models (65-67) was instrumental in optimising acquisition parameters and low dose protocols exploiting the intrinsic contrast between soft tissue and gas were introduced with promising results (68). Once individual research groups had settled upon suitable preparation and scanning parameters, it was not long before they began to perform CTC on patients undergoing subsequent colonoscopy in order to compare appearances of various colorectal lesions (69, 70). Having demonstrated feasibility (71), exploratory reader studies rapidly followed to establish the diagnostic accuracy of this new technique.

Figure 4: Left: Supine, axial CTC. The lumen is collapsed around the rectal insufflation catheter (arrow). Right: The same patient was re-examined in the prone position. Note the improved rectal distension has revealed irregular mural thickening (arrow); colonoscopy confirmed a 35mm carcinoma.

1.6 EARLY OBSERVER STUDIES

Initial studies, predominantly conducted in the USA, used small retrospective samples of high-risk patients scheduled for colonoscopy. For example, Royster et al (72) studied 20 high-risk patients and found CTC detected all colonic masses (>2cm) and 12 of 15 polyps (>6mm). Similarly, Dachman et al performed CTC in 44 high-risk patients(73) achieving a per-polyp sensitivity of 0.83 and 1.00 for two observers compared to the colonoscopic reference standard. Ferrucci's group was also instrumental in providing these initial performance data from small, high prevalence cohorts (69, 72). However, while remarkable sensitivity was
demonstrated, a prospective trial was needed, preferably without such high disease prevalence. This was provided in 1997 by Hara et al (74) who compared 70 patients undergoing CTC to routine abdomino-pelvic CT and to colonoscopy. Two observers read the cases and each achieved 0.75 sensitivity and 0.90 specificity for polyps 10mm or larger. Furthermore, this was the first study to demonstrate superiority over standard CT, which obtained a sensitivity of 0.58 for polyps ≥10mm. Interestingly, patients were scanned only in the supine position, illustrating that consensus had not been reached regarding what is now established as a fundamental element of CTC practice. Indeed, it was seven years before convincing research by Yee et al closed the debate on the value of prone and supine acquisitions (75). Prone/supine matching is now considered pivotal to competent interpretation and is the focus of Section D of this Thesis.

1.7 NEW MEETING, NEW NAME

By the late 1990’s several research groups were pioneering this new technique independently, so in October 1998, key researchers arranged the first international meeting dedicated to CTC: The International Symposium on Virtual Colonoscopy (VC) (76) in Boston. It is also worthy of note that many opinion leaders in CTC research at this time were gastroenterologists. Later that year, the community settled on ‘CTC’ as the accepted scientific terminology (77). Although other descriptive terms such ‘CT colography,’ ‘CT pneumocolon,’ and ‘virtual endoscopy’ were subsequently abandoned, ‘virtual colonoscopy’ remains in widespread use, not least because it is readily understood by the public.

1.8 INTERNATIONAL INTEREST

The following year, CTC’s international profile was elevated considerably by research published in the New England Journal of Medicine led by Dr Helen Fenlon (11), an Irish radiologist undertaking a fellowship with Dr Joseph Ferrucci in Chicago. This prospective trial of 100 high-
risk patients (49 with endoscopically proven colorectal neoplasia, 51 with negative colonoscopy) was the largest to date and utilised ‘state-of-the-art’ technique. For example, interpretation used both 2D and 3D assessment in all patients - a factor some considered instrumental in achieving excellent performance. CTC achieved a sensitivity of 1.00 for cancer, 0.91 for polyps 10mm or larger and 0.82 for polyps 6–9 mm in diameter. On a per-patient basis, a 10mm threshold would have resulted in 0.96 sensitivity and 0.96 specificity. Publication of Fenlon’s work stimulated considerable worldwide interest; within a few months the British Medical Journal commissioned a review of the technique (7). Thereafter, several other European radiologists undertaking Fellowships in the USA returned home and introduced CTC to their practice. Subsequently, European research groups formed and began conducting their own studies.

1.9 EARLY EUROPEAN RESEARCH

In common with North American research described above, European studies initially focused on optimising technical aspects such as acquisition parameters (57, 67, 78, 79), bowel preparation (80-82), effect of spasmolytics, and insufflation (60, 83). European researchers were also early to recognise that ionising radiation exposure could hinder CTC uptake and developed low-dose techniques (84, 85). On the surface, repeating this groundwork may appear excessive, yet it was mandatory to account for Europe’s differing legislation, regulation and patient case-mix. For example, in the UK, hyoscine butylbromide is licensed for diagnostic spasmolysis and researchers soon showed it improved distension during CTC (83). In addition, European studies have paid particular attention to patient acceptability (9, 86-89), particularly by reducing or avoiding cathartic bowel preparation (64, 90). Around this time, European CTC researchers began to collaborate with their neighbours via the European Society of Gastrointestinal and Abdominal Radiology (ESGAR).

In 2003, opinion leaders from the UK (Halligan, Taylor, Frost, Breen), Italy (Laghi), Belgium (Lefere), and the Netherlands (Stoker), established the ESGAR CTC committee and initiated
training workshops. The committee has since expanded and has been instrumental in promoting pan-European academic collaboration and training. Subsequently, ESGAR has actively facilitated CTC research and has funded multicentre studies (91-93). Indeed, research outlined in Chapters 3 and 7 of this Thesis would not have been possible without the collaborative efforts of ESGAR CTC committee members.

As described above, the most striking international difference in CTC research has related to its potential clinical role; the focus in the USA has been to establish a viable screening tool while in Europe there has been an additional focus on symptomatic patients. Inevitably, studies specifically investigating patients at increased colorectal cancer risk soon followed (13, 94-96). However, European researchers also recognised that the vast majority of published studies from the USA had actually examined symptomatic patients even though the emphasis of interpretation was directed towards screening. ESGAR funded a systematic review and meta-analysis that established CTC had high sensitivity for diagnosis of symptomatic colorectal cancer (15) (Figure 5) and paved the way for CTC implementation in Europe.

Figure 5: 2D coronal (Left) and 3D endoluminal CTC (right) at the level of the mid-rectum. Although the emphasis of early research focused upon polyp detection in screening populations, CTC can be used to detect polyps or invasive cancer in symptomatic patients. Here, a large annular carcinoma is clearly demonstrated (arrow)
1.10 THE FIRST LARGE MULTI-CENTRE TRIALS

While European research was still gaining momentum, in the USA further prospective trials continued to demonstrate good sensitivity for large polyp detection (12, 97). Moreover, 2003 saw the publication of the largest and most influential CTC study to date: Dr Perry Pickhardt’s Department of Defence (DoD) trial (14). This three-centre prospective study of 1233, asymptomatic, average-risk adults compared CTC against a new, enhanced reference standard: ‘unblinded colonoscopy.’ Prior to this, studies had been subject to potential verification bias due to an imperfect gold-standard (i.e. a polyp seen on CTC that is not subsequently verified at colonoscopy would be considered a CTC FP whereas, in reality, it could represent an OC FN).

The DoD study ‘unblinded’ the colonoscopist to CTC findings after their initial assessment, to allow re-evaluation of each colonic segment in the light of CTC findings. Primary 3D endoluminal reading was performed in all cases; most studies thus far had used 3D for problem-solving only. CTC achieved sensitivities of 0.94 and 0.89 for polyps at least 10 mm and 6 mm respectively. Using the same thresholds, colonoscopy’s sensitivity was 0.88 and 0.92. The impact of these results was moderated by the ensuing publication of preliminary findings from the American College of Radiology Imaging Network (ACRIN) National CTC trial (98) led by Dr Daniel Johnston: Johnson et al studied 703 higher-than-average risk, asymptomatic patients who underwent CTC followed by same-day colonoscopy. Results were disappointing with wide intra-observer variability and sensitivities for detecting large polyps of only 0.34, 0.32, 0.73, for three experienced readers. The following year, Cotton et al (29) published further disappointing results in a multicentre study which examined 615 patients undergoing CTC and same-day, unblinded colonoscopy. CTC achieved a sensitivity of 0.55 for polyps at least 10 mm, compared to 0.99 for colonoscopy. Furthermore, CTC missed 2 out of 8 cancers. Finally, in 2005 Rockey et al (28) obtained similar results to Cotton in a prospective evaluation of high risk patients: CTC achieved a sensitivity of only 0.59 for polyps of 10 mm or larger compared to 0.99 for colonoscopy. The reasons for these conflicting results were debated fiercely; overall the success of the DoD trial was attributed to well-trained, experienced observers using primary 3D interpretation of fluid-tagged cases. It is the author’s opinion that, unfortunately the DoD results do not reflect current performance in daily practice, which provides the rationale for Section B of this Thesis. In any event, these discrepant results prompted the development of clearly defined standards for both implementation and interpretation.
1.11 INTERNATIONAL CONSENSUS ON CTC

Discussion of these recent trials at the 2005 annual Boston VC symposium led to the development of the first international CTC standards document. Barish et al (36) surveyed 31 key opinion leaders’ attitudes to cathartic preparation, faecal tagging, prone and supine positioning, intravenous contrast, scanning parameters, spasmolytics, optimal reading paradigm and polyp size threshold for reporting. The results were collated, drafted, sent to respondents for approval, and a consensus statement published. At around the same time, Zalis et al published the CRADS system for CTC reporting (99) and shortly thereafter, ESGAR commissioned its own consensus statement to provide a European perspective (30). It is important to note at this juncture that in 2006, the American Gastroenterological Association (AGA) released a position statement (100), aimed primarily at gastroenterologists with an interest in reporting CTC. Disappointingly, the ensuing controversy provided clear evidence of an evolving ‘turf battle’ between specialties which has inevitably shaped the direction of research over recent years. Therefore, it is encouraging to note that the most recent guidelines from the International Collaboration for CTC Standards have been developed in direct collaboration between a radiologist, Dr David Burling and the UK National Lead for Endoscopy Services, Dr Roland Valori, supported by an extensive multidisciplinary team (31).

1.12 ONGOING RESEARCH THEMES

By 2005, comparative trials and meta-analysis had suggested that CTC could achieve a sensitivity approaching that of colonoscopy for large polyps and the technique was starting to disseminate outside academic environments (101). Furthermore, publication of consensus guidelines shifted research focus away from technical issues and towards several discrete themes: Training, reading technique, CAD, patient experience, and reducing bowel preparation. The current status of these topics is covered in greater detail in Chapter 2; important milestones are described briefly below.
1.12.1 TRAINING, VALIDATION AND AUDIT

It is unsurprising that the earliest CTC performance studies suggested a learning curve for this novel technique. Indeed, some authors experienced this first hand while collating their initial data. For example, Spinzi et al (102) studied a random selection of 96 patients undergoing CTC followed by colonoscopy and failed to detect five out of six polyps during review of the first 25 cases, with a resulting sensitivity of just 0.32. However, by the final 20 patients, they obtained a far more satisfactory sensitivity of 0.92. The authors openly attributed their poor initial performance to inexperience. In 2005 an editorial by Soto et al (103) reviewed the available evidence and concluded a variable learning curve exists for all readers and that many readers may never achieve satisfactory performance regardless of training. Nevertheless, the nature of the learning curve remains elusive, as does the optimal training programme: For example, an early study of 3 radiologists of differing general experience revealed interesting results; performance varied considerably and one observer actually deteriorated after training (17). The authors extended this work to a multi-centre European setting, funded by ESGAR, investigating the effect of administering a directed training schedule of 50 cases to novice readers and then comparing their performance to that of experienced observers. Again the authors found that there was considerable variation and that competence could not be assumed after training. Moreover, the performance of some experienced readers was far from ‘expert’ (104).

In allied radiological sub-specialties, such as mammography, medical image perception studies have provided valuable insight into the interpretation technique of readers with varying expertise (18). Despite extensive eye-tracking of plain radiographic interpretation, none exists currently for complex cross-Sectional imaging, least of all 3D modalities where the image is moving. The development of new eyetracking metrics for this scenario and a feasibility study provide the focus of Chapter 7 of this Thesis.

Guidelines from The American College of Radiology (105), the American Gastroenterological Association Institute (106) and the International Collaboration for CT Colonography Standards (31) have all recommended individual training with exposure to a range of endoscopically validated pathology. Hands-on training workshops are now well established to meet this need; ESGAR CTC courses have trained over 1000 radiologists worldwide (Chapter 3) while in the USA, the Society of Gastrointestinal Radiologists, American Roentgen Ray Society, and
American College of Radiology all offer hands on workshops. However, the level of prior experience and training of those attending workshops and details of their clinical practice are unknown. Therefore, while there is professional and political imperative for European radiologists to interpret CTC, it remains unclear how many have sufficient training or experience to do so at present. This is explored in Chapter 3 of this Thesis.

Once outside of a research environment, assessment of CTC performance becomes more challenging, not least because it is impossible in most cases to establish a reference standard. To address this, in 2009, the American College of Radiology recommended quality metrics including complication rates, the proportion of technically inadequate studies, and significant extracolonic findings (Figure 6) to establish benchmarks against which departments can audit their performance in the absence of same-day comparisons with colonoscopy (105). Given the heterogeneous response to training, it is likely that only ongoing performance review will enable readers to ascertain their fitness to practice the technique.

**Figure 6:** Coronal CTC. Note the calcified, ectatic abdominal aorta detected incidentally on this unenhanced CTC examination. The potential impact of these serendipitous extracolonic detections has become the subject of extensive debate.
1.12.2 Optimal Reading Paradigm

It is difficult to speculate about what would have become of CTC without the advent of 3D endoluminal reconstructions; it was the ‘virtual colonoscopy’ aspect that sparked medical and media interest in the technique. However, by necessity many researchers with neither the time nor resources to generate 3D reconstructions, initially published research using a 2D reading approach alone. Subsequently, computer hardware developed rapidly and it was not long before workstations capable of rapid endoluminal reconstruction were readily available (albeit at considerable expense) and debate surrounding the relative benefits of 2D and 3D reading has existed ever since. The explanation for this revolves primarily around reading time: Even once resource-intensive 3D reconstructions could be generated rapidly, studies soon confirmed what many researchers already suspected – primary 3D reading was considerably slower than 2D interpretation (107). Indeed, as early as 1998, Dachman et al had suggested using a compromise of 2D images for the primary read while reserving endoluminal views for ‘problem solving’ (73). Nevertheless, studies by Fenlon et al and Pickhardt et al (14) that used primary 3D interpretation prompted some authors to claim that their interpretation technique was responsible for the impressive sensitivity in these trials. Furthermore, perceived limitations of 2D reading provided a plausible explanation for the poor performance achieved by Johnson et al (98), Cotton et al (29) and Rockey et al (28) around the same time. Nonetheless, in 2005, the majority of key opinion leaders were familiar with 2D interpretation and, given the considerable differences which existed between software platforms (40), despite relatively compelling evidence, the International Consensus Statement recommended 2D reading (36). However, before long, most software platforms were considered 3D-ready and by the time the ACRIN II protocol was designed, readers were encouraged to read cases using the paradigm with which they were most familiar/comfortable. Subgroup analysis showed no significant difference in diagnostic performance between reading paradigms (16) and recent consensus guidelines do not favour one primary method over another (31). The debate subsequently subsided and the matter has largely become one of personal preference (108); all agree that a combination of 2D and 3D visualisation is optimal.
1.12.3 COMPUTER AIDED DETECTION

The time-consuming, laborious nature of interpretation, together with the well-documented problems of perceptive error, makes CTC an ideal candidate for computer-aided detection (CAD). Indeed, development and validation of CAD algorithms began in tandem with the early observer studies outlined above (Figure 7). In 2000, Summers et al reported one of the first documented CTC CAD systems by applying a prototype system developed for ‘virtual bronchoscopy’ to artificially generated polyps in CTC datasets (109). The following year, the same group published a preliminary validation study using 20 patients with 50 endoscopically proven polyps and achieved a sensitivity of 0.64 for polyps 10mm or larger (110). These cases were optimally prepared but nonetheless, the sensitivity was comparable with many human readers at that time. Within months, Yoshida and Nappi, validated a different CAD system with 43 endoscopically confirmed cases and achieved comparable results (111).

Figure 7: Endoluminal CTC with CAD. The CAD prompt (arrow) correctly alerts the reader to a 6 mm sessile polyp.

By now, CAD was well established for assisting mammographic interpretation yet research from this field suggested that unless a CAD system could achieve near-perfect sensitivity, its role would remain one of alerting the reader to potentially missed regions (i.e. ‘second-reader’ CAD) rather than acting autonomously (‘first-reader CAD’). The first study to explore potential ‘second-reader’ interaction also came from Summers’ group who applied CAD to the results of an observer study in which readers had relatively poor sensitivity (0.48 for polyps >10mm.)
CAD detected four large polyps out of 13 which had not been reported by human readers, allowing the authors to infer that CAD could potentially increase reader sensitivity by alerting them to polyps which they had missed during their unassisted read (112). Because observer studies to assess the direct effect of CAD on readers’ interpretations are time-consuming and expensive, algorithm ‘standalone’ performance is usually used as a surrogate to gauge its potential impact on interpretative accuracy. Consequently, several such studies have been published in recent years, their size reflecting the ever increasing availability of algorithms and endoscopically validated data. For example, a screening cohort of 1186 well-characterised datasets, all of which had undergone unblinded colonoscopy, was used to test standalone CAD performance (113), which achieved a sensitivity of 0.89 for polyps >1cm and, on average, 2.1 FP detections per patient.

However, excellent standalone performance does not necessarily translate into equivalent levels of diagnostic accuracy when integrated with radiologist interpretation in clinical practice. There are likely two main reasons for this: readers may be misled by FP CAD prompts, reducing their specificity, or they may incorrectly classify a true positive CAD prompt as false-negative, reducing potential gains in sensitivity. Taylor et al examined 111 polyps that had been incorrectly dismissed by radiologists despite appropriate CAD prompting (25) and found, surprisingly, that large polyps were often disregarded incorrectly when atypical. Also, the optimal reading paradigm for integrating CAD into workflow is yet to be established (114, 115).

Therefore, realistic estimates of CAD utility in clinical practice require that large numbers of observers interpret cases with and without CAD assistance. Recently, two groups have published multi-reader, multi-case studies (19, 20) and these are described in greater detail in Chapter 2. However, common to large trials involving unassisted observers, these studies recruited experienced readers who are unlikely to reflect those interpreting CTC in daily practice. While one could reasonably speculate that novice readers with low baseline performance may benefit more from CAD than those with extensive CTC experience (who may already be performing optimally) as yet, no published study has sufficient statistical power to confirm this (22). This is the subject of Chapter 6 of this Thesis.
1.12.4 Patient Experience

Although early diagnosis and removal of adenomatous polyps can reduce colorectal cancer mortality significantly (116), fewer than 50% of eligible patients attend colorectal screening (117). The reasons for this are poorly understood but inconvenience, embarrassment, discomfort and safety concerns are all likely to contribute. Given that patients may expect ‘virtual colonoscopy’ to be less invasive than other whole-colon tests, high hopes exist that a CTC screening program could increase compliance. Consequently, recent years have seen considerable efforts to compare patient preferences for CTC, colonoscopy, and BaE. Early questionnaire surveys (86, 89) comparing the attitudes of patients who had undergone both CTC and colonoscopy found the majority favoured CTC. Subsequently, more elaborate studies also suggested patients would prefer subsequent investigation with CTC rather than colonoscopy (118) or BaE (9). However, in common with diagnostic performance studies conducted at the time, research relating to patient preference was rapidly evolving from small, high-risk cohorts to large screening populations. In 2003, Glueker et al published a large prospective study of asymptomatic individuals (88); 696 patients scheduled to undergo colonoscopy and 617 patients due to have BaE were offered additional CTC. Patients completed questionnaires exploring their attitudes to inconvenience, discomfort, preparation, willingness to repeat examinations and examination preference. Overall, patients preferred CTC to colonoscopy (72% vs 5%) and to BaE (97% vs 0.4%). Moreover, regardless of the modality, the majority of patients found bowel preparation the most uncomfortable and inconvenient aspect.

Most patient preference surveys thus far had been led by a radiologist with an interest in CTC (often without gastroenterologist co-authors) which prompted accusations of bias; studies led by gastroenterologists found that CTC failed to offer any advantage over colonoscopy (29). Consequently, multidisciplinary research has been considered essential for ensuring the modality is presented fairly and patients’ views are represented correctly. For example, in 2005, a study by van Gelder (119), working with health psychologists and gastroenterologists, obtained interesting results: While patients initially preferred CTC to colonoscopy, this was no longer the case after a five week interval. The authors suggested that once short-term concerns such as pain and inconvenience had subsided, long-term considerations such as test accuracy
became more influential. Moreover, a recent qualitative study has suggested that patients may be willing to trade considerable discomfort for very modest increases in sensitivity (32) yet no quantitative preference survey to date has provided patients with crucial diagnostic performance information.

In any event, the rationale for comparing CTC to colonoscopy is questionable; patients with positive or equivocal CTC findings will continue to need therapeutic colonoscopy regardless. Therefore, stimulated by cost-effectiveness debate, research focus has returned to the germane consideration: Can CTC increase screening uptake? Recent research addressing this question is presented in Chapter 2.

1.12.5 OPTIMISING BOWEL PREPARATION

Although a certain degree of overlap exists with patient acceptability research, studies investigating reduced bowel preparation have a somewhat different emphasis: Although reducing the laxative burden during CTC preparation may improve the experience, ensuring comparable sensitivity with full laxative preparation is the primary concern. Initially, bowel preparation prior to CTC reflected that used for BaE or colonoscopy. Although this varied from one institution to the next, as a general rule, laxative ‘wet’ preparations involving two or more litres of polyethylene glycol (PEG) were favoured in the USA while ‘dry’ preparations based around sodium picosulfate were preferred in Europe. However, it soon became apparent that residual faecal fluid and residue represented a barrier to accurate diagnosis and researchers began to investigate alternative preparations. An early study confirmed picosulfate resulted in less residue than PEG (61) while others found drinking large volumes of PEG was disliked by some patients more than the ensuing diarrhoea (120). Subsequently dryer preparations replaced PEG in many centres.

While studies continued to compare the quality of various laxative regimens (82), a small number of researchers directed their efforts on avoiding catharsis altogether. The first study suggesting adequate performance could be achieved by non-laxative CTC was published in 2001 (64) and since then a limited number of studies have continued to produce impressive
results (90, 121, 122). Despite the obvious attraction of non-laxative CTC, it remains unpopular with readers who favour primary endoluminal interpretation (which necessitates a clean colon). Nevertheless, it is likely that early research into laxative-free preparation was responsible for the introduction of positive oral contrast faecal tagging during full-preparation CTC (123), which is considered routine practice today. From experience with BaE, colonoscopy was considered unsatisfactory in the presence of colonic barium, so to enable same-day colonoscopy, oral iodine solutions were included in the DoD(14) and ACRIN(16) study protocols instead of barium. Given the performance demonstrated by these studies, full colonic cleansing coupled with iodine solutions is generally regarded as the ‘gold standard’ (31) (Figure 8).

Figure 8: Axial CTC following oral contrast. Homogenous fluid ‘tagging’ enables confident diagnosis of a 10mm pedunculated polyp (arrow) despite being partially submerged in colonic residue. Note the fat attenuation in this endoscopically proven lipoma.

However, it is important to note that some oral iodinated contrast (e.g. melgumine diatrizoate) acts as a strong osmotic laxative in its own right, and in combination with full catharsis may give a rather harsh preparation. Nevertheless, these additional laxative properties have been used to advantage by several groups for designing new regimens: These so-called ‘reduced preparation’ techniques have proved particularly popular in Europe where CTC is generally used to investigate symptomatic patients (87, 124-126). However, in common with non-laxative preparations, the main obstacle to reduced preparation is the difficulty in reading 3D endoluminal CTC in the presence of residual fluid. The development of ‘digital cleansing’ (62, 121) aims to make reduced preparation CTC a realistic compromise between diagnostic
performance and tolerability. Nagata et al (127) published convincing claims that full purgation is no longer required: One-hundred and one consecutive high-risk patients scheduled to undergo CTC were alternately assigned to either full (2l PEG) or ‘minimal’ preparation (45ml sodium diatrizoate for 3 days and 10ml sodium picosulfate solution the night before CTC). ‘Minimal’ preparation CTC achieved a comparable, high sensitivity for detecting polyps 6 mm or larger (0.88 compared to 0.97 for full laxative CTC). While the regimen could not be described as ‘non-laxative,’ a questionnaire survey indicated a strong preference for the reduced preparation. However, as previously demonstrated, retaining high sensitivity comes at a cost: Specificity was markedly reduced from 0.92 to 0.68. Intriguingly, the authors concluded that patients should be offered the reduced laxative CTC if they were willing to accept the decrease in specificity – very little is known about patients’ understanding of specificity, least of all how they might trade-off against side-effects. The complex relationship between patients’ attitudes to sensitivity and specificity is the focus of Chapter 5 of this Thesis.

1.13 MULTICENTRE PERFORMANCE STUDIES; EVIDENCE BASED TECHNIQUE

While research described above was instrumental in shaping current practice, three recent studies have been central to validating CTC performance when conducted using evidence-based technique in asymptomatic populations. In particular, the ACRIN II(16), IMPACT (128) and Munich(129) study groups, all performed prospective trials comparing CTC against an enhanced reference standard comprising same-day colonoscopy with segmental unblinding (p.38) (Table 1): The ACRIN National CTC Trial (16) recruited 2600 average risk, screeners from 15 centres. The primary end point was detection of endoscopically proven large adenoma or adenocarcinoma (≥10mm). The trial employed meticulous technique and highly experienced observers achieving a mean per-patient sensitivity of 0.90 (SD 0.03) and specificity of 0.86 (SD 0.02). However, despite either completing a 1.5 day training course or reading over 500 cases, more than half of would-be observers in the ACRIN II study(16) failed to meet the basic entry requirements for the trial (0.90 sensitivity for polyps >1cm over 50 cases) leading to concerns regarding the generalisability of these results into daily practice.
The IMPACT study recruited patients at increased risk of colonic neoplasia such as those with a personal history of adenomatous polyps, a family history of advanced colorectal neoplasia, or a positive faecal occult blood test (FOBT). Overall, 1103 patients were recruited from 11 Italian sites and one in Belgium. CTC detected 151 of 177 participants with advanced neoplasia (≥ 6 mm) resulting in a sensitivity of 0.85 (95% CI, 0.79 to 0.90) and a specificity of 0.88; (95% CI, 0.85 to 0.90). Considering larger polyps (≥10mm), CTC had sensitivity of 0.91 (95% CI, 0.84 to 0.95) with positive and negative predictive values of 0.62 and 0.96, respectively. Subgroup analysis of the FOBT-positive group found a significantly lower negative predictive value (0.85; 95% CI, 0.76 to 0.91; p < 0.001), which is of concern given the high prevalence of important colonic abnormalities in these patients.

Table 1: Diagnostic performance of CTC compared to same-day, unblinded colonoscopy; Comparison of three recent trials.

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<thead>
<tr>
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<tbody>
<tr>
<td>Risk of neoplasia</td>
<td>Predominantly average risk (89%)</td>
<td>All considered at increased risk (see text)</td>
<td>All considered average risk</td>
</tr>
<tr>
<td>Mean age (years)</td>
<td>58</td>
<td>60</td>
<td>61</td>
</tr>
<tr>
<td><strong>Per patient sensitivity</strong></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Cancer</td>
<td>86%</td>
<td>95%</td>
<td>100%</td>
</tr>
<tr>
<td><strong>Per patient specificity</strong></td>
<td></td>
<td></td>
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<tr>
<td>Adenoma ≥6 mm*</td>
<td>88%</td>
<td>88%</td>
<td>93%</td>
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<tr>
<td>Adenoma ≥10 mm*</td>
<td>86%</td>
<td>85%</td>
<td>98%</td>
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*Munich trial(129) used >5 and >9mm thresholds

The Munich Colorectal Cancer Prevention Trial (129) examined asymptomatic patients with an average colorectal cancer risk. 307 patients with 511 endoscopically detected adenomas underwent five different screening tests in parallel: CTC, colonoscopy, flexible sigmoidoscopy,
and guaiac-based FOBT and immunochemical stool tests. Akin to the IMPACT study, performance was compared to same-day colonoscopy as the reference standard. CTC detected 94% of adenomas larger than 9mm and although sensitivity for sub-centimetre adenomas (including those less than 5mm) was lower at 0.66, only one missed adenoma showed advanced histology, enabling the authors to report a sensitivity of 0.94 for ‘advanced neoplasia.’ Encouragingly, per-patient specificity for polyps larger than 5 mm was 0.93.

1.14 SO WHAT EVER HAPPENED TO THE BARIUM ENEMA?

By now, the reader would be forgiven for assuming the appetite and justification for BaE among radiologists and referring clinicians has all but disappeared; the evidence is compelling that CTC is far superior (130) and more acceptable (88). However, barium examinations have been, by no means, consigned to the pages of history. Indeed, it is estimated that 3.7 million procedures were performed worldwide in 2008 (pers. comm. Bracco Diagnostics Inc.) The reasons for this are beyond the scope of this Thesis, but it is important to note that the examination is often performed by radiographic technicians using fully depreciated fluoroscopic equipment with minimal impact on valuable radiologist resources or CT capacity. Given the economic climate at the time of writing, even convincing evidence is not always sufficient to ensure policymakers endorse a potentially expensive, resource-intensive technique. Moreover, in the USA, BaE remains approved for colorectal cancer detection while the recent landmark decision by the Centers for Medicare and Medicaid Services (CMS) has declined approval of CTC for screening (131). The main criticism levelled at CTC was the absence of ‘level 1’ evidence in the form of a randomised controlled trial (RCT). However, as no RCT supports BaE, some authors have claimed new health technologies are being subjected to tougher standards than existing techniques, provoking international debate (132).

The UK Department of Health, via the Health Technology Assessment programme (HTA), commissioned a RCT to determine the likely future role of CTC within the NHS, via comparison with BaE or colonoscopy. The resulting SIGGAR trial(10), (named after the UK Special Interest Group in Gastrointestinal and Abdominal Radiology) was led by the supervisor of this Thesis,
Professor Steve Halligan and Professor Wendy Atkin with the first patient randomised in April 2004 and accrual completed by November 2007: The primary end point was detection rates for colorectal cancer or polyps ≥1cm in symptomatic adults (133). The results of this trial (10, 133-136) are described in detail in Chapter 2 but suffice it to say that as a result of these data, the DH has deleted BaE from its colorectal cancer national screening program and recommends CTC in its place. The repercussions are expected to have worldwide impact on CTC implementation.

1.15 THE END OF THE BEGINNING

Advances in both CT and computer technology have allowed techniques established for BaE to be successfully transferred to CTC. Since then, developments in the USA and later worldwide, have seen CTC grow from feasibility studies in academic units to international daily practice (Table 2). Recent research has established excellent comparative performance with colonoscopy and accuracy which supersedes BaE but concerns exist regarding generalisability of these results to daily practice. This is explored in greater detail in Section B of this Thesis. Research continues apace to refine technical implementation, particularly reduced preparation methods which may increase adherence with screening programs and to ensure that readers, potentially with the assistance of CAD, achieve the same diagnostic performance as those from successful multicentre trials.
Table 2: Milestones in the history of CTC

<table>
<thead>
<tr>
<th>Year</th>
<th>Milestone in the history of CT Colonography development</th>
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<tbody>
<tr>
<td>1983</td>
<td>First report of CT imaging of the cleansed, distended colorectum (44)</td>
</tr>
<tr>
<td>1994</td>
<td>Vining et al present ‘virtual colonoscopy’ (45)</td>
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<td>1997</td>
<td>First exploratory observer study of CTC performance (74)</td>
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<td>1998</td>
<td>Feasibility demonstrated in patients with endoscopically proven findings (69)</td>
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<tr>
<td>1998</td>
<td>Boston International Symposium on Virtual Colonoscopy introduced (76)</td>
</tr>
<tr>
<td>1998</td>
<td>‘CTC’ becomes preferred terminology (77)</td>
</tr>
<tr>
<td>1999</td>
<td>Landmark study shows very favourable performance for CTC and initiates international interest (11)</td>
</tr>
<tr>
<td>2000</td>
<td>The National Polyp Study published; poor performance brings BaE use into question (50)</td>
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<tr>
<td>2000</td>
<td>First CAD systems developed for CTC (109)</td>
</tr>
<tr>
<td>2001</td>
<td>Iodine tagging of liquid stool shown to benefit (62, 121)</td>
</tr>
<tr>
<td>2001</td>
<td>First attempts at non-laxative CTC reported (64)</td>
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<tr>
<td>2001</td>
<td>CAD undergoes preliminary clinical validation (110)</td>
</tr>
<tr>
<td>2003</td>
<td>Prospective patient attitude survey finds CTC preferable colonoscopy and to BaE (88)</td>
</tr>
<tr>
<td>2003</td>
<td>ESGAR form CTC working group</td>
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<tr>
<td>2003</td>
<td>DoD trial published (14)</td>
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<tr>
<td>2003</td>
<td>ACRIN trial published (98)</td>
</tr>
<tr>
<td>2004</td>
<td>Comparative study shows CTC superior to Barium enema (130)</td>
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<tr>
<td>2005</td>
<td>Metaanalysis of CTC performance for cancer detection published (15)</td>
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<tr>
<td>2005</td>
<td>First International CTC standards document published (36)</td>
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<tr>
<td>2007</td>
<td>AGA release own guidelines (106)</td>
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<tr>
<td>2007</td>
<td>ESGAR publish consensus statement (30)</td>
</tr>
<tr>
<td>2008</td>
<td>ACRIN II study published (16)</td>
</tr>
<tr>
<td>2009</td>
<td>CMS declines coverage of CTC for screening (131)</td>
</tr>
<tr>
<td>2010</td>
<td>Studies provide convincing evidence for ‘second reader’ CAD (19, 20)</td>
</tr>
<tr>
<td>2010</td>
<td>Preliminary results of first RCT of CTC presented (SIGGAR trial) (133)</td>
</tr>
<tr>
<td>2010</td>
<td>UK Department of Health discontinues Barium enema in favour of CTC for CRC screening program</td>
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</table>
CHAPTER 2

2. CTC: CURRENT STATUS AND FUTURE DIRECTIONS

AUTHOR DECLARATION

Work presented in this Chapter was led by the author; literature searching, compilation and manuscript writing was completed under the supervision of Professor Steve Halligan and Professor Stuart Taylor. A proportion of this Chapter forms the basis of: Boone D, Halligan S, Taylor SA. Evidence review and status update on computed tomography colonography. Curr Gastroenterol Rep. 2011; 13(5):486-94. (Appendix A)

2.1 INTRODUCTION

Chapter 1 summarised the key milestones which have shaped current CTC practice; inevitably, for an emerging technique, early studies concentrated on optimising technical implementation and providing sufficient evidence to ‘validate’ CTC for routine clinical use. Subsequently, the landscape of CTC research has changed considerably: The focus has moved towards generalisability of CTC into daily practice (the focus of Section B), cost effectiveness and the impact of extra-colonic findings (137). Furthermore, the debate over who is should interpret CTC (radiologists, gastroenterologists, radiographic technicians or even computer algorithms) continues to intensify. The focus of this Chapter is to present the current status of CTC research with review of literature published between 1st April 2010 and 31st March 2011.

2.2 DIAGNOSTIC PERFORMANCE

As outlined in Chapter 1, excellent sensitivity for detecting advanced colorectal neoplasia has been reported in several large comparative studies. However, until recently, randomised
controlled trail data have been unavailable to support this evidence base. Therefore, presentation of preliminary results from the UK Special Interest Group in Gastrointestinal and Abdominal Radiology (SIGGAR) trial (133) was one of the most significant developments during the period under review.

2.2.1 Diagnostic Performance in Symptomatic Patients: The SIGGAR Trial

The SIGGAR multi-centre study comprised two parallel randomised controlled trials (RCT) comparing CTC to BaE and CTC to colonoscopy(10); a total of 5,448 patients were randomised. The primary end point was the detection rate for colorectal cancer or polyps ≥ 1cm in symptomatic adults. In the BaE subtrial, patients aged 55 or over with symptoms suggestive of colorectal cancer who were referred by their clinician for BaE were randomised (in a 2:1 ratio) to either BaE (2,541) or CTC (1,280). In an intent-to-treat analysis, colorectal cancer or polyps ≥ 10mm were diagnosed significantly more frequently in patients assigned to CTC than to BaE (7.4% vs. 5.6%, p=0.0312). Using national registry data to capture cancer miss rates (diagnosed within 2-years of randomisation), BaE had twice the miss rate of CTC (14% vs. 7%).

Additional colonic investigations occurred significantly more frequently following CTC than BaE (23% vs. 18%), mainly due to higher polyp detection rates. 1,338 previously unknown extra-colonic findings were reported in the 1,206 patients who underwent CTC as their randomised procedure. Eighty-six patients were referred for further tests as a result of their extra-colonic findings, leading to diagnosis of a malignant tumour in 12 patients (13).

The colonoscopy subtrial (12) found a much higher prevalence of endpoints amongst those randomised (11% vs 4% for the BaE subtrial). In an intent to treat analysis, there was no significant difference in the detection rate of significant colorectal neoplasia between the two arms (11.6% for colonoscopy vs. 10.7% for CTC, p=0.61) but the referral rate for a subsequent confirmatory procedure was much higher after CTC (31.4% for CTC vs. 7.2% for colonoscopy), raising important questions regarding cost efficiency and the need for well-defined, evidence-based criteria for referral following CTC in symptomatic patients. As stated in Chapter 1, consequent upon these data, the UK Department of Health no longer endorses BaE for screening but recommends CTC instead in those patients in whom colonoscopy is contraindicated or cannot be performed.
### Diminutive Lesions

Few authors, if any, would disagree that the sensitivity and specificity of CTC is relatively poor for diminutive polyps and the focus has therefore been on detecting polyps larger than 5mm, ideally those with high-grade dysplasia (i.e. advanced adenomas). Benson et al compared 1700 average-risk screening patients undergoing colonoscopy and 1,307 having CTC (138) finding nearly five times more non-advanced adenomas were removed in the colonoscopy group. However, while all referrals were made from the same patient population, groups were not randomised. Moreover, no significant difference was observed for detection of advanced adenomas. Furthermore, while much is known about the natural history of colorectal cancer, it remains unclear whether detection and excision of small adenomas is clinically desirable. For example, a meta-analysis of four studies comprising 20562 screening patients by Hassan et al (139) found that advanced adenomas were detected in 1155 (5.6%) subjects, with the overall incidence of advanced histological characteristics in polyps <6mm, 6-9mm and ≥10mm of 4.6%, 7.9% and 87.5% respectively. They concluded that a 10-mm threshold for colonoscopy referral would identify 88% of advanced neoplasia while a 6-mm polyp size threshold would identify over 95%. Additional complexity results from the well-documented systematic differences in polyp measurement between radiological and endoscopic techniques. De Vries et al assessed endoscopic and colonographic measurement of 51 polyps (140) and found CTC judged polyps to be between 0.7 to 2.3 mm larger than equivalent endoscopic estimates. Debate also continues as to how endoscopic and colonographic definitions of flat neoplasia can be reconciled to allow meaningful comparisons. Ignjatovic et al performed a comprehensive review of the subject (141), and suggested the most appropriate radiological definition was that based upon a well-established pathological description (i.e. the Paris classification) and that flat neoplasia should be defined on CTC as lesions with a vertical height of 3mm or less above the surrounding mucosa. In support, a single centre study of 5107 consecutive CTC screening patients found that 125 (93.2%) lesions characterised as flat at endoscopy measured less than 3mm at CTC (142). Interestingly, the study also noted that flat lesions between 6 and 30 mm in size were less likely to be neoplastic than similar sized sessile polyps (25.0% vs. 60.3%).
2.3 COST-EFFECTIVENESS OF CTC FOR PRIMARY SCREENING

Although CTC has proven efficacy for advanced adenoma detection, whether it represents a cost-effective primary screening tool remains under scrutiny. Just prior to the period reviewed, conflicting recommendations were published by two North American consensus guideline groups: A joint statement by the American Cancer Society, the Multi-Society Task Force on Colorectal Cancer and the American College of Radiology, recommended CTC as a first-line preventive screening test in patients at average risk of developing colorectal cancer (143). Conversely, the US Preventive Services Task Force considered the existing evidence insufficient (144) and CTC has been rejected for coverage by the Centers for Medicare and Medicaid Services(131). Although full discussion of this debate is beyond the scope of this Thesis, excellent commentaries are provided by Cash (145) Schoen (146) and Burke (147).

Although these developments primarily concern North American practice, their impact on CTC implementation and future research has international ramifications. In particular, recent research has focussed extensively upon addressing uncertainties in baseline assumptions used to drive cost-effectiveness modelling analyses, notably the impact of low specificity, extracolonic findings, management of diminutive polyps and the potential to increase patient compliance with colorectal cancer screening. These topics are considered separately throughout this Chapter.

2.4 TRAINING, STANDARDS, AND VALIDATION

A consistent theme in the CTC literature, even amongst the larger successful studies, has been notable variation in diagnostic accuracy for individual radiologists. It is therefore surprising that recent research has contributed relatively little to our understanding of the effects of reader experience and training on interpretative accuracy. Fletcher et al compared the performance of ten radiologists during a one-day educational workshop with their subsequent diagnostic accuracy in a prospective multi-centre screening study (148) and found a 1.5-fold increase in the odds of making a true positive diagnosis for every additional 50 validated cases studied.
The latest CTC standards document, developed by the International CT Colonography Standards Collaboration(31), has reinforced the need for adequate training and has suggested formal accreditation. Furthermore, the American college of Radiology has recently published guidance on recommended quality metrics(105) including rates of complications, inadequate studies and significant extracolonic findings. Where patients undergo subsequent colonoscopy they advise registering sensitivity and per-patient specificity for polyps ≥1cm. The aim is to establish benchmarks against which departments can audit their performance.

2.5 PATIENT ACCEPTABILITY AND BOWEL PREPARATION

Early research regarding patient acceptability was described in Chapter 1. While these initial studies remain widely cited, methodology has improved considerably over recent years, in particular, minimising bias through multidisciplinary collaboration. Moreover, there has been a change in focus from establishing patients’ post-procedural experience to gauging the potential for CTC to increase screening uptake. For example, analysis by Knudsen et al (149) concluded that a substantial increase in screening attendance (>25%) would be required for CTC to be cost effective in comparison to colonoscopy. In response, Pickhardt et al argued that CTC screening would increase compliance comfortably, notably amongst patients who currently refuse colonoscopic screening (150). They cite a survey by Moawad et al, which found 40% of patients attending CTC screening would have foregone investigation altogether had the examination not been available (151) and a survey of colonoscopy non-attendees, of whom over 80% stated that they would have attended CTC if offered (152). However, caution must be applied to both surveys - the first was prone to selection bias as all respondents had already chosen to attend CTC and the second had a response rate of only 39% raising concerns about the generalisability of results. Moreover, patient preference for CTC is by no means universal or consistent in the indexed literature.

It is worth noting at this juncture that qualitative patient preference studies are particularly susceptible to framing bias. For example, the sensitivity quoted for CTC varies considerably but the value presented to participants (and the manner in which they are presented) will have
considerable impact on their attitudes and responses. The methodological challenge involved in minimising bias when designing quantitative research is explored in Chapter 5.

Recent abstracted data (153) (subsequently published in 2012 by Stoop et al (154)) provide the most convincing evidence to date that CTC can enhance screening adherence. A recent RCT recruited 2920 asymptomatic screenees to reduced-preparation CTC and 5924 to colonoscopy, completing accrual in August 2010. Significantly fewer invitees attended screening with colonoscopy compared to CTC (22% vs 34%; p<0.0001) (34%). However, detection rate for advanced neoplasia was significantly higher for colonoscopy than CTC (8.7 vs 6.1 per 100 examinations; p=0.02). Consequently, overall diagnostic yield per 100 invitees did not differ significantly (1.9 vs 2.1 detections for CTC and colonoscopy respectively; p=0.56) suggesting primary screening with reduced preparation CTC would be effective, in part due to improved uptake.

2.6 SAFETY

While it is widely accepted that CTC is safe, with a perforation rate considerably lower than that of colonoscopy, risks do exist, both related to bowel preparation and colonic insufflation, and knowledge of these continues to inform best practice. A meta-analysis by Atalla et al, supplemented by a retrospective multicentre study (155), identified only two cases of perforation from 3458 CTC procedures resulting in an incidence of 0.06%. Risk factors common to both cases were older age, manual colonic insufflation, diverticulosis, recent colonoscopy and biopsy. The potential relationship to prior colonoscopic biopsy is of interest, but given the low rates of CTC-related perforations in the literature, there remains insufficient evidence on which to base clear guidelines for the timing of CTC following endoscopic biopsy. This issue will likely become of increasing importance as many institutions attempt to offer same-day CTC following incomplete colonoscopy. Likewise, CTC has been shown to be safe following metallic stent placement for obstructive colorectal cancer (156). It is well established that aggressive bowel purgation carries a risk of biochemical disturbance, particularly in frail elderly patients. However, a retrospective study of patients aged over 70 years demonstrated no significant
changes in serum urea, sodium, potassium or estimated glomerular filtration rate when using sodium picosulphate-magnesium citrate catharsis prior to CTC (157). Finally, although it has been suggested that bacteria introduced during insufflation could risk infection of prosthetic vascular grafts, a study of 100 consecutive patients subject to serial blood cultures following CTC failed to showed significant bacteraemia and suggested antibiotic prophylaxis is not required (158).

### 2.7 WHO SHOULD REPORT CTC?

Due to pressure of work, European radiologists have studied the feasibility of delegating CTC interpretation to radiographers, albeit with the assistance of computer aided detection (CAD) software (159). Radiographers performed the primary interpretation in 303 consecutive symptomatic patients detecting 100% cancers, 72% of large polyps and 70% medium (6-9mm) sized polyps. However, observer specificity was poor and would have resulted in inappropriate referral for colonoscopy in 37% of the patients studied. Overall, the authors concluded that CTC interpretation by radiographers may be useful for rapid patient triage post-procedure, but ultimately not for independent reporting.

### 2.8 EXTRACOLONIC FINDINGS

One factor which cannot be ignored when considering who should report CTC is the high prevalence of incidental extra-colonic findings. The additional cost and patient morbidity from the work-up of extra-colonic findings is likely to be considerable; a recent study of 2777 screening patients identified extra colonic findings in 46%, and ‘significant’ findings in 11%(160). Further evaluation resulted in 280 radiological examinations and 19 surgical operations. Conversely, the incidence of unexpected extracolonic malignancy is relatively low: A retrospective review of 10,286 outpatient adults undergoing screening CTC (137) reported 36 unexpected extra-colonic malignancies (0.35%) including 11 renal cell carcinomas, eight lung
cancers and six cases of non-Hodgkin’s lymphoma. In addition, Pickhardt et al assessed incidental indeterminate adnexal masses in 2869 asymptomatic women undergoing colonography screening (161) and found that while ovarian lesions were common (4.1%), subsequent work-up revealed no ovarian cancers. Moreover, a normal CTC did not exclude subsequent development of ovarian cancer.

Intuitively, the serendipitous discovery of incidental extra-colonic malignancy should be of benefit to patients yet long term data on improved patient outcomes are currently lacking and the financial implications are complex.

### 2.9 COMPUTER AIDED DETECTION (CAD)

As described briefly in Chapter 1, CAD has been applied to CTC for over 12 years (109) but akin to research relating to CTC diagnostic performance, sufficiently powered observer studies have only emerged relatively recently due to the resource requirement for such studies. Therefore, for several years, standalone CAD detection characteristics were utilised by extrapolation as a surrogate measure for diagnostic performance when used by radiologists, often with striking results. For example, a recent retrospective study of a cohort of 3042 screening patients, 373 of whom had medium or large polyps, found standalone per-patient sensitivities for CAD of 93.8% and 96.5% at 6 and 10mm thresholds respectively (162). Moreover, the median FP rate was only 3 per CTC series. Similar high levels of CAD performance were obtained in a much smaller study of 29 patients at high-risk of colorectal neoplasia (with 86 polyps) (163). However, as discussed in Chapter 1 (p43) standalone performance does not necessarily translate into diagnostic accuracy when CAD is used by a radiologist in daily clinical practice: Readers may be misled by FP CAD prompts, reducing their specificity, or they may incorrectly classify a TP CAD prompt as false-negative, reducing potential gains in sensitivity. Therefore, realistic assessment of CAD’s impact on reader performance requires studies where observers read cases both with and without CAD assistance.
Two groups have recently published multi-reader, multi-case studies using CAD as a ‘second reader’, i.e. the CAD prompts are only interrogated by the reader only after a thorough unassisted review has been performed first. Dachman et al (20) used a cohort of 100 endoscopically-validated cases, 48 of which were normal and 52 of which contained 74 polyps. 19 readers interpreted each case unassisted and with CAD as a second-reader. Readers' per-segment, per-patient, and per-polyp sensitivity were significantly higher (p < 0.011, 0.007, 0.005, respectively) with CAD compared to unassisted readings when using a ROC AUC analysis. However CAD reduced readers' specificity by 0.025 (p =0.05). Halligan et al found similar results (19): Sixteen experienced radiologists interpreted CTC from 112 patients (132 polyps in 56 patients) on three separate occasions either unassisted, using CAD concurrently, or with CAD as a second-reader (Please see Chapter 6 for a more detailed explanation). CAD significantly increased mean per-patient sensitivity both when used as a second-reader (mean increase, 0.07; 95% confidence interval (CI): 0.04 to 0.098) or when used concurrently (mean increase, 0.045; 95% CI: 0.008 to 0.082). Furthermore, CAD resulted in no significant decrease in per-patient specificity for these readers. These are the largest reader studies of CAD to date and argue strongly that CAD would be beneficial if used in clinical practice by experienced radiologists.

Nevertheless, there remains considerable scope for research into how CAD should best integrate into radiologists’ workflow (115). Furthermore, a recent pilot study by Summers’ group found that TP CAD prompts were more likely to be correctly classified by readers when prompts were present on both the prone and corresponding supine acquisitions (164). Therefore, there is growing interest in automating the registration task between prone and supine acquisitions(165) and this forms the focus of Section D of this Thesis.
2.10 CONCLUSION

Recent research has continued to demonstrate that CTC has excellent sensitivity compared to colonoscopy and is significantly more accurate than BaE, which should be abandoned. Adverse events are uncommon and patient acceptability is good. Reduced bowel preparation regimens continue to show considerable promise. Evidence is mounting that the impressive stand-alone detection rates of CAD translate into improved radiologist accuracy. Controversy continues regarding the impact of incidental extra-colonic detections, who should interpret CTC, whether compliance with screening programmes is genuinely enhanced by CTC, and whether the technique is ultimately cost effective. Moreover, doubt remains whether results from those trials cited as exemplars by the radiology community can be generalisable to daily practice. This is explored in further detail in Section B. An additional recurring theme is the trade-off between sensitivity and specificity for CTC, particularly when assessing adjuncts to interpretation such as CAD. This forms the main focus of Section C.

Finally, alongside the high-profile multicentre studies described in this Section, there is a wealth of published literature that occupies the periphery of the CTC research field. Doubtless, some of this research which will evolve into the mainstream over the upcoming years. For example, over 30 papers were published over the 1-year period reviewed detailing algorithms designed to improve digital cleansing, 3D data display, and other complex computer applications. Therefore, while on the surface, the rate of progress may appear to have slowed, it has simply taken new directions. The development of novel computer algorithms to improve colonographic interpretation is explored in Section D of this Thesis.
SECTION B: IDENTIFYING AND QUANTIFYING LIMITATIONS IN CTC RESEARCH

OVERVIEW

As outlined in Section A, it is now widely accepted that CTC has undergone sufficient validation for widespread clinical implementation. However, most multicentre trials, upon which these assumptions are based, have been carried out on healthy screening populations using highly experienced observers in North American academic centres. It is unlikely that either the observers or patient sample reflect European daily practice. However, this remains speculative as practically nothing is known about the level of training and experience of those interpreting CTC in Europe. Likewise, while historically, radiological investigation in Europe has been reserved for symptomatic patients, there are no recent data to confirm this remains the case.

In addition to factors influencing the generalisability of CTC research, studies of diagnostic test accuracy must make pragmatic compromises (such as repeat reading of the same cases or enriching sample prevalence to ensure adequate statistical power) to reduce the complexity and resource demands of the study. This may introduce further sources of bias, yet their impact remains unquantified.

Thus, Section B consists of two Chapters exploring generalisability of research data and sources of bias in CTC research: Chapter 3 describes the level of training, experience and pattern of clinical practice across Europe via a survey of participants at educational CTC workshops. Chapter 4 encompasses a broad investigation into bias affecting studies of diagnostic test accuracy by means of a systematic review.
CHAPTER 3

3. WHO ATTENDS CTC TRAINING? A SURVEY OF PARTICIPANTS AT EUROPEAN EDUCATIONAL WORKSHOPS

AUTHOR DECLARATION

Work presented in this Chapter was led by the author with the guidance of the ESGAR CTC committee (including both Supervisors). The online survey was distributed by ESGAR administrators; data collection, analysis and presentation were performed by the author. The manuscript was compiled under the supervision of Professor Steve Halligan and Professor Stuart Taylor. This research has been published in: Boone D, Halligan S, Frost R, et al. CT Colonography: Who attends training? A survey of participants at educational workshops. Clin Radiol. 2011;66(6):510-6.(166)

3.1 INTRODUCTION

As described in Section A of this Thesis, the last two decades have seen sustained CTC research with several clinical trials confirming that the technique can detect colorectal polyps and cancers with high accuracy (14, 16, 167). Consequently, CTC is currently disseminating widely into clinical practice, both in Europe(101, 168) and the USA(169). Furthermore, recently released data from the SIGGAR trial (10, 133) have prompted the UK Department of Health to delete BaE from its FOBT-based, colorectal cancer screening programme, instead endorsing CTC. It is expected that other European states will follow suit. Increased public awareness and saturation of endoscopy services has placed clinical and political imperatives on radiology departments to provide a CTC service: In comparison to a 2006 study where just over one third of UK NHS hospitals were performing the technique (101), preliminary data from a recent UK
survey suggest over 80% of departments are now providing a service (170). However, it is well recognised that CTC is difficult and time-consuming to interpret, has a defined learning curve and that reader accuracy is closely related to experience (17, 102, 171). As a result, international expert consensus statements from both Europe (30) and the USA (36) agree that specific training is essential for competent interpretation. In particular, hands-on educational workshops, where participants receive face-to-face training using real case data, have been shown to measurably improve reader accuracy (172). However, at present there is no formal requirement for training, validation or accreditation to interpret CTC in Europe, raising concerns about the standard to which the technique is being performed in daily practice. Moreover, despite clinicians, policy makers and well-motivated patients expecting CTC performance to reflect that seen in the North American literature, this is unlikely unless the local radiologist has equivalent expertise.

While much is known about the opinions of key leaders in the field (30, 36), relatively little is known regarding those who interpret CTC in daily practice. In particular, data are lacking regarding the professional background of workshop attendees, their prior expertise and experience of CTC interpretation, their motivation for attending, and their future intentions. In order to obtain these data, the author surveyed participants attending hands-on educational CTC workshops.

### 3.2 METHODS

A waiver to publish an analysis of demographic data obtained anonymously from workshop attendees was obtained from the author’s local Research Ethics Committee; no patients were involved in this study. The author surveyed participants at five CTC workshops conducted in Edinburgh (UK), Malmo (Sweden), Amsterdam (Netherlands), Pisa and Stresa (Italy) between February 2007 and April 2010. Workshops were organised by ESGAR and advertised on their website several months in advance (www.esgar.org). Participants registering for the workshops were contacted by the course organisers via email one week prior to the event. The invitation contained a hyperlink that directed the recipient to an anonymous, online questionnaire (Appendix B). The most recent workshop (Amsterdam) was cancelled due to the volcanic
environmental crisis of April 2010, but data from participants registered in advance are
included below.

The questionnaire was designed by members of the ESGAR CTC Workshop Committee, who are
radiologists of consultant grade experienced in interpretation of CTC in day-to-day clinical
practice. A multiple-choice format meant that the questionnaire could be completed in less
than five minutes since minimal free text was required. The questionnaire was broadly divided
into four sections relevant to this Thesis:

- The professional background of the participant and their prior experience of CTC
  (including numbers of cases and preferred interpretation display if relevant).
- The personal intentions for subsequent clinical practice of the technique.
- Current CTC practice in the host institution(s) including details of how the examination
  was performed and subsequently interpreted.
- Respondents’ opinions on the potential clinical role of CTC in their future practice.

Responses were collated and raw frequencies calculated by the author.

3.3 RESULTS

Overall, 476 participants were registered for the five workshops and 348 of these completed
the survey; a response rate of 73%. The workshops attracted a wide geographical variation
(Figure 9) with a mean of 64% attendees working outside the host country (range 26% to 84%).
Indeed, the two most recent workshops (Stresa, Italy; September 2009 and Amsterdam,
Netherlands; April 2010) attracted registrants from 20 European member-states and seven
countries outside Europe, namely North America (4 participants), Australia (5 participants),
Brazil, Israel, United Arab Emirates, Singapore and Thailand (1 each).

The courses were attended almost exclusively by radiologists (97%), with radiographic
technologists and gastroenterologists representing only 3% and 0.6% respectively during the
period studied (Table 3). Overall, 20% of the radiologists were trainees. The remainder where
staff radiologists of whom 40% considered themselves subspecialists in gastrointestinal
radiology. The remainder was approximately equally divided between general radiologists and
radiologists with a subspecialty interest in cross-sectional imaging (Table 3).
Three-quarters (63%–85%) of respondents were already providing a CTC service in their own hospital (Table 4) and practically all remaining participants (99%) intended to practice CTC in the near future.

Practice setting, split by workshop, is shown in Figure 10. Overall 69% reported CTC exclusively in the public sector; 23% were restricted to private practice; 8% reported in both settings. Of those reporting in the private sector, 45% were carrying out screening investigations only.

Prior to the course, 86% of respondents had been reporting CTC. Amongst these, there was a broad range of prior experience; 76% had interpreted less than 50 cases, and of those, 63% had reported less than 10. In contrast 6% of respondents stated they had already personally interpreted over 300 cases).
Figure 10: Participants’ CTC practice

Table 3: Occupation of workshop participants

<table>
<thead>
<tr>
<th>Occupation</th>
<th>Edinburgh (Feb 07)</th>
<th>Pisa (Sep 07)</th>
<th>Malmo (Sep 08)</th>
<th>Stresa (Sep 09)</th>
<th>Amsterdam (Apr 10)</th>
<th>Total</th>
<th>Mean</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trainee radiologist</td>
<td>19(20)</td>
<td>12(16)</td>
<td>19(23)</td>
<td>7(15)</td>
<td>12(27)</td>
<td>69</td>
<td>20</td>
</tr>
<tr>
<td>Staff radiologist with interest in GI imaging</td>
<td>29(31)</td>
<td>28(36)</td>
<td>24(29)</td>
<td>14(29)</td>
<td>13(29)</td>
<td>108</td>
<td>31</td>
</tr>
<tr>
<td>Staff radiologist with general interest</td>
<td>28(30)</td>
<td>9(12)</td>
<td>12(14)</td>
<td>11(23)</td>
<td>5(11)</td>
<td>65</td>
<td>18</td>
</tr>
<tr>
<td>Non-radiologist physician</td>
<td>0(0)</td>
<td>0(0)</td>
<td>1(1)</td>
<td>1(2)</td>
<td>0(0)</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Radiographic technician</td>
<td>2(2)</td>
<td>4(5)</td>
<td>3(4)</td>
<td>0(0)</td>
<td>1(2)</td>
<td>10</td>
<td>3</td>
</tr>
</tbody>
</table>
### Table 4: CTC service provision at participants’ local hospitals

<table>
<thead>
<tr>
<th>CTC service</th>
<th>Edinburgh (Feb 07)</th>
<th>Pisa (Sep 07)</th>
<th>Malmo (Sep 08)</th>
<th>Stresa (Sep 09)</th>
<th>Amsterdam (Apr 10)</th>
<th>Total</th>
<th>Mean</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do not offer a service</td>
<td>24(25)</td>
<td>21(37)</td>
<td>21(25)</td>
<td>7(14)</td>
<td>6(13)</td>
<td>79</td>
<td>23</td>
</tr>
<tr>
<td>Public sector service</td>
<td>63(66)</td>
<td>36(63)</td>
<td>52(63)</td>
<td>37(77)</td>
<td>34(76)</td>
<td>222</td>
<td>69</td>
</tr>
<tr>
<td>Private sector service</td>
<td>26(27)</td>
<td>0(0)</td>
<td>13(16)</td>
<td>11(23)</td>
<td>9(20)</td>
<td>59</td>
<td>17</td>
</tr>
</tbody>
</table>

### Table 5: Workshop participants’ previous CTC training and experience

<table>
<thead>
<tr>
<th>Previous training in CTC</th>
<th>Edinburgh (Feb 07)</th>
<th>Pisa (Sep 07)</th>
<th>Malmo (Sep 08)</th>
<th>Stresa (Sep 09)</th>
<th>Amsterdam (Apr 10)</th>
<th>Total</th>
<th>Mean</th>
</tr>
</thead>
<tbody>
<tr>
<td>None whatsoever</td>
<td>27(28)</td>
<td>19(25)</td>
<td>27(33)</td>
<td>3(6)</td>
<td>13(29)</td>
<td>89</td>
<td>24</td>
</tr>
<tr>
<td>Watched others report locally</td>
<td>21(22)</td>
<td>20(26)</td>
<td>22(33)</td>
<td>15(31)</td>
<td>11(29)</td>
<td>89</td>
<td>24</td>
</tr>
<tr>
<td>Interpreted cases independently</td>
<td>49(52)</td>
<td>41(53)</td>
<td>34(27)</td>
<td>25(52)</td>
<td>20(24)</td>
<td>169</td>
<td>49</td>
</tr>
<tr>
<td>Attended a previous workshop</td>
<td>0(0)</td>
<td>0(0)</td>
<td>5(6)</td>
<td>13(27)</td>
<td>3(7)</td>
<td>21</td>
<td>8</td>
</tr>
<tr>
<td>Interpreted validated datasets</td>
<td>6(6)</td>
<td>9(12)</td>
<td>6(7)</td>
<td>8(17)</td>
<td>9(20)</td>
<td>38</td>
<td>12</td>
</tr>
<tr>
<td>Validated cases</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt;10</td>
<td>24(38)</td>
<td>22(38)</td>
<td>50(60)</td>
<td>17(35)</td>
<td>31(69)</td>
<td>144</td>
<td>48</td>
</tr>
<tr>
<td>10-49</td>
<td>27(42)</td>
<td>21(36)</td>
<td>16(19)</td>
<td>15(31)</td>
<td>4(9)</td>
<td>83</td>
<td>28</td>
</tr>
<tr>
<td>50 – 99</td>
<td>5(8)</td>
<td>6(10)</td>
<td>5(6)</td>
<td>5(10)</td>
<td>7(15)</td>
<td>28</td>
<td>10</td>
</tr>
<tr>
<td>100-299</td>
<td>7(11)</td>
<td>4(7)</td>
<td>7(8)</td>
<td>5(10)</td>
<td>2(4)</td>
<td>25</td>
<td>8</td>
</tr>
<tr>
<td>300 or more</td>
<td>1(2)</td>
<td>5(9)</td>
<td>5(6)</td>
<td>6(13)</td>
<td>1(2)</td>
<td>6</td>
<td>13</td>
</tr>
</tbody>
</table>
Likewise, the level of prior hands-on training was highly variable. Of those currently practicing CTC, 8% had attended a previous dedicated workshop, 12% had interpreted educational datasets and 26% had observed others reporting. Surprisingly, the remaining 54% had no prior formal training (Table 5). Indeed, 8% of those reporting CTC independently at the time of their course registration had no prior training and had reported less than 10 cases (Figure 11).

Figure 11: Level of prior training among inexperienced readers

Full cathartic colonic cleansing was adopted by the majority of respondents (88%) with the remainder using a reduced preparation regimen in young and elderly patient groups equally (Figure 12). There was a slight increase in the use of water-soluble contrast material for tagging residual faecal material and fluid over the study period, with one third (97; 35%) routinely using such preparation. Moreover, there had been a sustained upward trend with only 11% tagging in 2007 compared with 44% in 2010. Half of respondents were using carbon dioxide to insufflate the colon rather than room air and 76% routinely used an antispasmodic in the majority of cases (Figure 12).
Regarding CT technology, on average just under half (48%) had access to a machine with 64 detector rows or more. However, there was a steady rise in the number using such machines from 23% to 65% over the study period. Likewise, the proportion routinely employing 3D reconstruction software for interpretation saw an increase from 59% to 82% (Figure 13).

Concerning interpretation, over the course of the survey the proportion restricting themselves exclusively to 2D interpretation fell from 23% to 11%, while those performing a primary 3D read increased from zero to 38%. The majority continued to favour a primary 2D read with 3D reconstruction reserved for problem solving.

Approximately half of the respondents predicted the future role of CTC would focus on the investigation of symptomatic patients while those remaining predicted a role for screening (Table 6).
Figure 13: Participants’ preferred reading paradigm

Table 6: Attitudes of workshop participants to the optimal role of CTC

<table>
<thead>
<tr>
<th>Preferred role of CT Colonography</th>
<th>Edinburgh (Feb 07)</th>
<th>Pisa (Sep 07)</th>
<th>Malmo (Sep 08)</th>
<th>Stresa (Sep 09)</th>
<th>Amsterdam (Apr 10)</th>
<th>Total</th>
<th>Mean</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cancer detection in symptomatic patients - all ages</td>
<td>0(0)</td>
<td>0(0)</td>
<td>52(62)</td>
<td>15(31)</td>
<td>19(42)</td>
<td>86</td>
<td>27</td>
</tr>
<tr>
<td>Cancer detection in symptomatic patients - elderly</td>
<td>33(42)</td>
<td>19(29)</td>
<td>19(23)</td>
<td>5(10)</td>
<td>11(24)</td>
<td>87</td>
<td>26</td>
</tr>
<tr>
<td>Screening - all relevant ages</td>
<td>45(58)</td>
<td>47(71)</td>
<td>34(42)</td>
<td>36(75)</td>
<td>26(58)</td>
<td>188</td>
<td>61</td>
</tr>
<tr>
<td>Screening - elderly</td>
<td>0(0)</td>
<td>0(0)</td>
<td>14(17)</td>
<td>9(19)</td>
<td>12(27)</td>
<td>35</td>
<td>12</td>
</tr>
</tbody>
</table>
The incidental detection of extra-luminal disease was believed to be beneficial by, on average, 83% of respondents for symptomatic patients and by 61% for the screening population (Table 7).

Table 7: Attitudes of participants to extracolonic findings at CTC

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A good thing in symptomatic patients</td>
<td>83(87)</td>
<td>67(87)</td>
<td>77(92)</td>
<td>33(69)</td>
<td>35(78)</td>
<td>295</td>
<td>83</td>
</tr>
<tr>
<td>A bad thing in symptomatic patients</td>
<td>1(1)</td>
<td>3(4)</td>
<td>2(2)</td>
<td>0(0)</td>
<td>2(4)</td>
<td>8</td>
<td>2</td>
</tr>
<tr>
<td>A good thing in asymptomatic screening patients</td>
<td>57(60)</td>
<td>45(58)</td>
<td>43(52)</td>
<td>38(79)</td>
<td>24(53)</td>
<td>207</td>
<td>61</td>
</tr>
<tr>
<td>A bad thing in asymptomatic screening patients</td>
<td>23(14)</td>
<td>14(18)</td>
<td>10(12)</td>
<td>4(8)</td>
<td>10(22)</td>
<td>61</td>
<td>17</td>
</tr>
</tbody>
</table>

3.4 DISCUSSION

This research has determined the professional background and prior expertise of workshop registrants wishing to learn CTC, their motivations for attending for training, and their future intentions for clinical practice. While we anticipated that the majority of attendees would be radiologists, we were surprised that this group represented practically all of those registered, despite apparent interest from other professional groups in interpreting the procedure (92, 100, 173). While international consensus statements strongly recommend that those intending
to practice CTC attend a hands-on training workshop (30, 36), there is a perception that access to such courses is restricted (174). This may account for the striking geographical spread of workshop attendees with participants travelling from many different countries to attend. The workshops attracted not only those individuals intending to practice CTC in the future but also a significant proportion of those currently providing a CTC service. The majority of these had not interpreted 50 cases, which is commonly believed to be the minimum level of experience recommended for independent reporting (30). Likewise only a small proportion had any formal training prior to the workshop. These data are worrying because they imply strongly that medical practitioners are interpreting radiological examinations in daily practice for which they have no prior experience. The consequence is that the test characteristics suggested by large clinical trials (14, 16, 28, 167, 175) and meta-analysis (15), often performed in centres with experienced practitioners, are unlikely to reflect performance in generalised practice.

While suggested criteria for prior training and experience were not fulfilled, most respondents satisfied the technical requirements for obtaining good-quality image data and were performing CTC in accordance with published European guidelines; the majority employed antispasmodics, full cathartic cleansing, modern scanning technology, and dedicated 3D visualisation software. We identified a recent trend towards reduced bowel cleansing and tagging of liquid residue that is likely to reflect subsequent uptake of recent research evidence supporting these modifications (90, 127). We also identified a recent increase in the proportion of those currently practicing CTC who choose to interpret using a primary 3D read, which again may reflect subsequent uptake of research findings that have predominantly attributed high sensitivity to this method of data display for interpretation (176, 177).

Despite the undoubted economic burden posed by incidental detection of extra-luminal pathology and its subsequent evaluation (178), the majority of respondents believed that detection of extra-colonic lesions was an advantage of CTC in both symptomatic and screening populations, beliefs that are in accord with the concerns of patients themselves (33). It will be interesting to observe if these beliefs change if health-economic data from large, randomised pragmatic trials show that there is no net benefit, or even disutility from this practice(10).

Our study does have limitations. A potential limitation is the online nature of the survey. However, a response rate of over 60% is generally considered a representative sample(179),
and we achieved 73%. While the workshops themselves were concentrated in only four countries, there was a wide geographical variation amongst those who attended which should enhance the generalisability of our results. Although no restrictions were placed on registration there may have been a spectrum bias. Radiologists are more likely to be aware of ESGAR workshops than gastroenterologists or radiographers. Advertising is aimed primarily at the radiological literature with discounts available for society members. These factors may explain the very low number of gastroenterologists attending the workshops.

In summary, this survey suggests that hands-on educational CTC workshops primarily attract radiologists, with limited interest from other groups. Participants are generally inexperienced and untrained but, despite this, a significant proportion is actively interpreting CTC in their daily practice, which gives rise to considerable concern.
CHAPTER 4

4. SYSTEMATIC REVIEW: SOURCES OF BIAS IN STUDIES OF DIAGNOSTIC TEST ACCURACY

AUTHOR DECLARATION

Work presented in this Chapter was led by the Author under the supervision of Professor Steve Halligan and Professor Stuart Taylor with significant statistical contributions from Dr Susan Mallett and Professor Douglas Altman. The author designed the literature search strategy, performed the systematic review, extracted data and drafted the manuscript. This research has been published in: Boone D, Halligan S, Mallett S, Taylor SA, Altman DG. Systematic review: bias in imaging studies - the effect of manipulating clinical context, recall bias and reporting intensity. Eur Radiol. 2012; 22(3):495-505.

4.1 INTRODUCTION

Studies of diagnostic test performance should be designed to minimise bias, a principle that underpins guidance for both reporting (180) and appraising the quality of diagnostic test research (181, 182). At the same time, study results should ideally be generalisable to everyday clinical practice. Balancing bias against generalisability is not straightforward. For example, in order to reduce the risk of clinical review bias, it is generally accepted that study observers should be blind to prior investigations (183). However, concealing information contrasts with daily practice where patients’ clinical history, examination and prior investigations are known to the observer when formulating a diagnosis. Particularly in the fields of radiology, histopathology and endoscopy, test interpretation involves a significant subjective element that could be influenced by methods which manipulate the clinical context.
In addition to individual patient information, study observers are often unaware of sample characteristics, notably disease prevalence. This issue is potentially important when assessing diagnostic tests intended for screening: In daily practice, observers will expect asymptomatic patients to have low likelihood and lower stage of disease (i.e. more subtle pathology). However, it is unclear how the observer’s a priori expectations influence subsequent interpretation, if at all: Some studies have found diminished vigilance when prevalence is low (184) while clustering of abnormal cases in high prevalence situations may also bias interpretation (185). Nevertheless, studies of diagnostic test accuracy usually increase the prevalence of abnormality to achieve adequate statistical power within a feasible study size (23, 186). Therefore, results of studies performed in the ‘laboratory’ may not be transferable to lower prevalence, screening populations in ‘the field.’

Other pragmatic issues may also influence generalisability. For example, in order to complete research within a reasonable time-scale, reporting intensity (the number of cases reported within a given timescale) frequently exceeds normal practice and is often exacerbated by the requirement to re-evaluate cases under different conditions (e.g. when comparing MR to CT) (23) or on more than one occasion (e.g. with and without computer aided detection). Moreover, because it is widely believed that prior exposure will influence subsequent interpretation (observer recall bias), it is recommended that consecutive interpretations are separated by a ‘washout phase’ (187). However, the ideal duration is unknown and there is little evidence that such procedures are effective or necessary.

While these potential ‘laboratory effects’ (188, 189) have been discussed in the methodology literature(185, 189-192), their impact remains unverified. In order to attempt to quantify their magnitude, we performed a systematic review of studies where the context of interpretation was manipulated or investigated (i.e. ‘laboratory’ versus ‘field’). In particular, we wished to investigate the effect of varying sample characteristics, for example, enriching disease prevalence or increasing reporting intensity. Moreover we aimed to explore the effect of concealing sample information (especially prevalence) from observers. We were also interested in studies that addressed ‘memory effect’ due to observer recall bias.
4.2 METHODS

4.2.1 DATA SOURCES AND SEARCH STRATEGIES

The author searched the biomedical literature to March 2010 using three complementary search strategies. A primary search identified any existing systematic reviews dealing with our research questions (Table 8).

Table 8: Primary search strategy: Search for related systematic reviews using six keywords or phrases identified by hand-searching the ten ‘key publications’ described in Table 9.

<table>
<thead>
<tr>
<th>Keyword /phrase queried through Pubmed</th>
<th>Total abstracts (including duplicates)</th>
<th>Full text examined for relevance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report* &amp; intens*</td>
<td>123</td>
<td>1</td>
</tr>
<tr>
<td>Recall &amp;bias</td>
<td>71</td>
<td>1</td>
</tr>
<tr>
<td>Prevalen*</td>
<td>5142</td>
<td>44</td>
</tr>
<tr>
<td>Prior &amp; knowledge</td>
<td>301</td>
<td>2</td>
</tr>
<tr>
<td>Lab*&amp; effect*</td>
<td>45</td>
<td>1</td>
</tr>
<tr>
<td>Clinical &amp; info*</td>
<td>368</td>
<td>6</td>
</tr>
<tr>
<td>Additional relevant references via ‘snowballing’</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>6050</td>
<td>56</td>
</tr>
<tr>
<td>Articles for data extraction following application of selection criteria</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

Because our review was not restricted to a specific test, diagnosis or clinical situation (which would facilitate keyword identification), we initiated our search by identifying 10 key publications (185, 188, 193-200) known to the authors in the fields of radiology, medical statistics and image perception, that had dealt with case-specific information (Table 9). Relevant keywords/phrases identified from these 10 articles were; clinical information; recall bias; intensity; prevalence; prior knowledge; and laboratory effect. The MEDLINE database was then searched via PubMed (http://www.nlm.nih.gov/pubmed) applying the systematic review filter to each term in turn. ‘Snowballing,’ an iterative process for searches of complex material
(201), identified potentially relevant publications by reintroducing new key words, repeating the process until no new relevant material emerged.

Table 9: Secondary search strategy: Details of the 10 ‘key publications’, the related record search, and the number of publications citing each key publication.

<table>
<thead>
<tr>
<th>Key publication</th>
<th>Number of references cited by key publication</th>
<th>Related record search for publications with ≥2 references in common with the key publication</th>
<th>Number of articles citing key publication</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kundel, 1982(199)</td>
<td>2</td>
<td>279</td>
<td>15</td>
</tr>
<tr>
<td>Swensson, 1985 (200)</td>
<td>7</td>
<td>567</td>
<td>39</td>
</tr>
<tr>
<td>Berbaum,1988a (195)</td>
<td>12</td>
<td>232</td>
<td>45</td>
</tr>
<tr>
<td>Berbaum1988b (196)</td>
<td>5</td>
<td>152</td>
<td>42</td>
</tr>
<tr>
<td>Berbaum,1989 (194)</td>
<td>8</td>
<td>59</td>
<td>25</td>
</tr>
<tr>
<td>Good, 1990(198)</td>
<td>8</td>
<td>86</td>
<td>37</td>
</tr>
<tr>
<td>Samuel, 1995 (193)</td>
<td>10</td>
<td>92</td>
<td>36</td>
</tr>
<tr>
<td>Aideyan, 1995 (194)</td>
<td>9</td>
<td>67</td>
<td>16</td>
</tr>
<tr>
<td>Egglin, 1996(185)</td>
<td>16</td>
<td>544</td>
<td>63</td>
</tr>
<tr>
<td>Gur, 2008 (188)</td>
<td>5</td>
<td>335</td>
<td>15</td>
</tr>
<tr>
<td><strong>Total abstracts reviewed</strong></td>
<td><strong>82</strong></td>
<td><strong>2413</strong></td>
<td><strong>333</strong></td>
</tr>
<tr>
<td><strong>Full texts examined</strong></td>
<td><strong>2</strong></td>
<td><strong>27</strong></td>
<td><strong>5</strong></td>
</tr>
<tr>
<td><strong>Full texts included</strong></td>
<td><strong>0</strong></td>
<td><strong>4</strong></td>
<td><strong>2</strong></td>
</tr>
</tbody>
</table>

A secondary search was performed to, A) identify indexed literature that shared two or more of the references cited by the 10 key publications and, B) identify all indexed literature citing a key publication (using ‘related records’ and ‘citation map’ searches through Web of Knowledge - http://www.isiknowledge.com). Citations were collated, duplicates eliminated and abstracts reviewed (or titles if abstracts were unavailable) for potential inclusion (Table 9).

Lastly a tertiary search (Table 10) was initiated by retrieving Medical Subject Heading (MeSH) terms from each potentially relevant publication identified by the primary and secondary
searches. Terms were ranked in order of frequency and terms likely to be non-discriminatory excluded (e.g. adult, male, female, mammography, CT). Multiple suffixes (e.g. radiology, radiological) were substituted by a truncated heading (e.g. radiol*). Related disciplines (e.g. histopathology, endoscopy) were linked with ‘OR’ operators. Ultimately there were three ‘modality’ terms (endoscop*, radiol* and (cyto* OR histo* OR patho*)) and six ‘manipulation’ terms (prevalen*, attention, Bayes theorem, bias*, observer varia*, and research design), which were paired using the ‘AND’ operator. MEDLINE was searched using these strings using the ‘diagnosis’ option in the ‘Clinical Queries’ filter. Duplicates were excluded and abstracts examined (Table 10). Potentially relevant publications were expanded using the secondary search strategy previously described and any new publication introduced using snowballing (201).

The search strategies were tested: The secondary search identified all 10 key publications. The tertiary search identified all articles from which the MeSH headings had been compiled, and 7 of the 10 key publications.

4.2.2 INCLUSION CRITERIA

English language studies to March 2010 inclusive were eligible if they investigated the effect of experimentally modifying the context of observers’ interpretations on diagnosis. In particular, the effects of varying disease prevalence, blinding to sample characteristics, reporting intensity, and studies investigating recall bias. Studies exploring artificial ‘laboratory’ conditions on outcome were also eligible. However, we excluded studies whose focus was manipulation of case-specific information (e.g. concealment of individual-patient information) since this has been investigated previously by systematic review(183). Participants were human observers (interpretation solely by computer-assisted detection was excluded), making subjective diagnoses based on interpretation of visual data, blind to reference results. Studies were excluded if the number of observers or cases interpreted was unreported. There was no restriction to disease type. We anticipated most studies would be radiological, but subjective interpretation of any medical image (e.g. endoscopy, histopathology) was eligible. Non-medical interpretation was excluded (e.g. airport security X-ray), as were narrative reviews.
Table 10: Table detailing the Boolean search strings used for the tertiary search strategy and the number of individual abstracts identified by each term, with details of the full texts subsequently examined.

<table>
<thead>
<tr>
<th>'Modality' MeSH term</th>
<th>'Manipulation' MeSH term</th>
<th>Total Abstracts (including duplicates)</th>
<th>Full texts retrieved (Duplicates removed)</th>
<th>Full text examined for relevance</th>
</tr>
</thead>
<tbody>
<tr>
<td>&amp; Attention</td>
<td></td>
<td>25</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>&amp; Bayes theorem</td>
<td></td>
<td>6</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Endoscopy1</td>
<td>&amp; bias*</td>
<td>84</td>
<td>8</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>&amp; observer variation</td>
<td>86</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>&amp; prevalen*</td>
<td>64</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>&amp; research design</td>
<td>69</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>&amp; Attention</td>
<td>2</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>&amp; Bayes theorem</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Radiology2</td>
<td>&amp; bias*</td>
<td>708</td>
<td>14</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>&amp; observer variation</td>
<td>699</td>
<td>36</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>&amp; prevalen*</td>
<td>89</td>
<td>5</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>&amp; research design</td>
<td>185</td>
<td>10</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>&amp; Attention</td>
<td>4</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>&amp; Bayes theorem</td>
<td>21</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Pathology3</td>
<td>&amp; Bias</td>
<td>96</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>&amp; observer variation</td>
<td>19</td>
<td>10</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>&amp; prevalen*</td>
<td>131</td>
<td>14</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>&amp; research design</td>
<td>81</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2369</td>
<td>111</td>
<td>13</td>
</tr>
</tbody>
</table>

Selection criteria applied

Additional references via ‘snowballing’

Total for data extraction

Search String: Endoscopy$^1$ = (endoscop* [MH]); Radiology$^2$ = (radiol* [MH]); Pathology$^3$ = ((cyto* OR histo* OR patho*)[MH])
4.2.3 DATA EXTRACTION

The author extracted data from the full-text articles consulting Professors Halligan and Taylor, who are both experienced in systematic review, if uncertain. Differences of opinion were resolved by consensus. Data were extracted into a data-sheet incorporating measures developed from QUADAS(181) and QAREL(182), with additional fields specific to the review question. The following was extracted: Author, Journal; imaging modality; topic; number of observers/cases and their characteristics (e.g. professional background and experience); reference standard; case and observer concealment of population characteristics; blinding observers to study participation and purpose; reporting intensity; washout period; prevalence of abnormality and whether this varied; data clustering (grouping of normal/abnormal cases).

4.3 RESULTS

The primary search (Table 8) found 6050 abstracts. 56 full articles were retrieved; one was suitable(202). The secondary search (Table 9) identified 2828 publications with the full text retrieved for 34: ultimately 6 were included (185, 189, 203-206) and 28 rejected because the research focused on case-specific information. The tertiary search (Table 10) identified 74 MeSH terms which were combined into 18 Boolean search strings: These identified 111 potential articles with a further 2 via snowballing; 5 articles were ultimately included (190, 191, 207-209). Overall, 11247 abstracts were reviewed, 201 full articles retrieved, and 12 ultimately included for systematic review (Table 11).

4.3.1 DESCRIPTION OF STUDIES INVESTIGATING CLINICAL CONTEXT

Of the 12 identified studies that investigated the effect of manipulating clinical context, 3 focused on varying the prevalence of abnormality (185, 189, 203). The remaining 9 studies investigated observer performance in different situations with fixed prevalence: 4 compared performance in the laboratory to daily practice (188, 190, 209); 3 investigated observer blinding to previous clinical investigations (206-208); 1 investigated training (204); 1 investigated varying reporting conditions(202); 1 investigated recall bias (205). The 4 studies
that investigated interpretation in ‘the field’ used retrospective data obtained from normal clinical practice (188, 190, 202, 209). 1 study recruited from an international conference (207). The remaining 7 used a laboratory environment exclusively.

4.3.2 STUDY CHARACTERISTICS AND SETTINGS (TABLE 11)

The following diagnostic tests were investigated by the 12 included studies: 9 studies were radiological (5 mammographic (188, 190, 202, 205, 206), 3 chest radiology (189, 203, 204), 1 angiographic (185)), 2 endoscopic (207, 209), and 1 histopathological (208). A single research group contributed 5 studies (188, 189, 203-205).

4.3.3 PRIMARY STUDY DESIGN

All primary studies used a design with an independent reference standard excepting a single study of observer agreement (208). With the exception of that one study (208), all observers were blinded to the research hypothesis. Furthermore, one study (207) used observers who were unaware that they were taking part in research. However, despite attempts to overcome ‘study knowledge bias’ (192) (an area of interest to this review) this was not formally quantified, for example by repeating the study with observers who were aware of they were participating in research.

4.3.4 OBSERVER AND CASE CHARACTERISTICS (TABLE 11)

In all primary studies, the observers were medically qualified/board certified with a median of 8 observers per study (inter-quartile range (IQR) 3.5 to 14, range 2 to 129), with 6 studies restricted to observers who were ‘specialists’ (188, 202, 208) or ‘experienced’ (205, 206, 209); but only 2 studies (188, 205) quantified this. Five studies included less-experienced observers, e.g. residents (185, 189, 203, 204, 207). In one study, the authors did not detail experience (190). The median number of cases per study was 300 (IQR 100 to 1761, range 5 to 9520). Case selection criteria were well-defined for 9 (75%) studies. Of these, in 4 studies (188, 190, 202,
recruitment was consecutive, 4 (189, 203, 207, 208) selected cases for optimal technical quality, and 1 (205) selected ‘stress’ cases (specifically, cases misinterpreted previously in clinical practice). In all 12 studies technically acceptable material was used, e.g. genuine radiographs, video endoscopy.

4.3.5 Effect of sample disease prevalence (Table 12)

Three articles investigated the effect of varying the prevalence of abnormality on observers’ diagnoses (Table 12). The earliest (185) investigated context bias (to determine if clustering of abnormal cases influenced interpretation of subsequent cases), finding that sensitivity for pulmonary embolus increased significantly (from 60% to 75%) when prevalence was increased from 20% to 60% (7). Two studies by Gur and colleagues (189, 203) increased the prevalence of subtle chest radiographic findings from 2% to 28% in a sample of 3208 cases read by 14 observers of varying experience, in a laboratory environment. While no significant effect on observer performance (via ROC AUC) was demonstrated (189), reader confidence scores increased at higher prevalence levels (203). However, the effects on sensitivity, or indeed the ROC curve itself were not addressed. Furthermore, the maximum prevalence used was 28% but researchers frequently increase prevalence far beyond this level: 6 (50%) studies in this review used prevalence between 50 and 100% (23, 185, 204, 207-209).

4.3.6 Effect of blinding observers to disease prevalence (Table 12)

Of the 12 primary studies reviewed, 8 (66%) concealed the prevalence of disease from participants. One mammographic study (188), informed observers that the prevalence of abnormality in the sample was enriched (while concealing the exact extent and proportion) but that BiRads ratings should be assigned as if reading in a screening environment. Of the remaining three studies, observers were told the sample prevalence (205), aware of prevalence because they designed the study (208), or aware of prevalence because the entire study was performed in the clinic (202).
Table 11: Details of the 12 publications included in the systematic review.

<table>
<thead>
<tr>
<th>Publication</th>
<th>Diagnostic test assessed and condition tested</th>
<th>Research focus and relevance to the review</th>
<th>Sample size</th>
<th>Case sample selection</th>
<th>Sample prevalence of abnormality</th>
<th>Observer qualification and experience</th>
<th>Observer blinding to prevalence of disease</th>
<th>Summary of findings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gur, 1990(204)</td>
<td>Chest radiography: Lung nodules, interstitial disease and pneumothorax</td>
<td>Laboratory effect; The effect of training observers to use the extent of the ROC scale in observer studies</td>
<td>300</td>
<td>Unclear</td>
<td>Enriched; 80%</td>
<td>Board certified, variable experience</td>
<td>Yes</td>
<td>No significant training affect for detecting interstitial disease and pneumothoraces. Accuracy of Lung nodule detection was affected for two readers and the overall accuracy increased for one reader.</td>
</tr>
<tr>
<td>Egglin, 1996(185)</td>
<td>Pulmonary angiography: Pulmonary emboli</td>
<td>Tests prevalence effect, context bias. Effect of deliberate clustering of abnormal cases during observer interpretation of enriched datasets.</td>
<td>24</td>
<td>Unclear</td>
<td>Enriched; 20% or 60%</td>
<td>Board certified, variable experience</td>
<td>Yes</td>
<td>Enriching prevalence from 20% to 60% led to an increase in observer sensitivity from 60% to 75%.</td>
</tr>
<tr>
<td>Rutter, 2000(190)</td>
<td>Mammography: Breast cancer</td>
<td>Lab vs field, population blinding, prevalence effect.</td>
<td>1890 in clinic 120 in lab</td>
<td>Consecutive for field cases. Characteristics of laboratory cases unclear Population prevalence in 'field' cases</td>
<td>Enriched; 25% in 'lab' cases</td>
<td>Board certification implied</td>
<td>Yes</td>
<td>Mean sensitivity and specificity are both higher in routine practice compared to an artificial research setting.</td>
</tr>
<tr>
<td>Meining, 2002(209)</td>
<td>Endoscopic ultrasound: Oesophageal and pancreatic cancer</td>
<td>Lab vs field, effect of blinding. Performance of interpretation in artificial setting both with and without prior information</td>
<td>100</td>
<td>Unclear</td>
<td>Enriched; 100% in 'lab' cases, but not in 'field' cases</td>
<td>Board certified, Experienced</td>
<td>Yes</td>
<td>Observer performance was reduced in the research setting compared to interpretation in the clinic but this effect was reduced when observers were unblinded to prior information.</td>
</tr>
<tr>
<td>Gur, 2003(189)</td>
<td>Imaging, radiography: Lung nodules, fractures pneumothorax and consolidation</td>
<td>Prevalence effect, blinding to population characteristics. Effect of deliberately enriching prevalence of abnormality</td>
<td>1632</td>
<td>Selected for optimum quality Enriched, 2 to 28%</td>
<td>Board certified, variable experience</td>
<td>Observers instructed to consider the cases as screening tests. Yet prevalence up to 25%</td>
<td>Yes</td>
<td>No significant increase in sensitivity when observers report studies in a sample with prevalence enriched up to 28%</td>
</tr>
<tr>
<td>Burns, 2005(202)</td>
<td>Mammography: Breast cancer</td>
<td>Reporting intensity; Effect of changing clinical reporting environment to high intensity</td>
<td>9522</td>
<td>Consecutive</td>
<td>Population risk; 0.05%</td>
<td>Board certified, specialist</td>
<td>No; known screening population</td>
<td>Recall rates were 20.1% before and 16.2% after the introduction of high intensity batch reading. Cancer detection rates were not significantly</td>
</tr>
</tbody>
</table>

...
<table>
<thead>
<tr>
<th>Reference</th>
<th>Field/Procedure</th>
<th>Effect/Contextual Information</th>
<th>Cases</th>
<th>Enrichment</th>
<th>Experience</th>
<th>Observers' Knowledge</th>
<th>Performance Comparison</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hardesty, 2005(205)</td>
<td>Mammography: Breast cancer</td>
<td>Memory effect, recall bias. Effect of reading cases which had been previously interpreted in the past and recall of those cases.</td>
<td>182</td>
<td>5% enriched compared with screening population</td>
<td>8 Board certified, Experienced</td>
<td>Correctly informed the population was enriched</td>
<td>No significant difference in average performance between mammograms observers had interpreted in clinic and those they had not. 7 out of 8 observers did not remember previously interpreting any of the mammograms.</td>
</tr>
</tbody>
</table>
| Irwig 2006(206) | Mammography, and ultrasound: Breast cancer | Blinding. Interpretation bias due to incorrect interpretation of test results in the light of contextual information. | 480   | Enriched; 2 Consecutive | 50%        | Board certified, Experienced | Yes | Blind analysis of USS read with mammography was 4.6% higher than without mammography. Compare combined accuracy of mammography and ultrasound read with and without prior knowledge showed much smaller differences.
| Bytzer, 2007(207) | Gastroscopy: Ulceration, gastritis, cancer | Effect of providing misleading contextual information. Effect of population blinding and 'study knowledge bias’ | 5 Attendees at a medical conference | Enriched; 100% | 129 Board certified, variable experience | Yes; observers unaware of study participation | Only 23% observers gave the same diagnosis for two identical cases when deliberately misleading contextual information was provided. |
| Gur 2007(203) | Chest radiography: Lung nodules, interstitial disease and pneumotheoraces | Prevalence effect, blinding to population characteristics. Effect of deliberately enriching prevalence of abnormality | 1632  | Enriched; 2 to 28% | 14 Board certified, variable experience | Observers instructed to consider the cases as screening investigations yet prevalence up to 28% | Varying prevalence resulted in no significant bias demonstrated in terms of reader accuracy. However, observer confidence that a specific abnormality is truly present is higher in low (2%) than in high prevalence (28%) settings |
| Fandel 2008(208) | Histopathology: Prostate cancer | Lab vs field bias. Interpretation bias due to unavoidable exposure to bias inherent in the interpretation techniques. | 178   | Enriched; 100% selected for optimum technical quality | 3 Board certified, specialist | No; two observers involved in study Design | Mean sensitivity and specificity were both higher in the clinic compared to a research setting. |
| Gur 2008(188) | Mammography: Breast Cancer | Lab vs field. Comparison between observer performances when lab interpretations are compared to performance reading the same mammograms in the clinic. | 3000  | Enriched; 25% in 'lab' cases, population prevalence in 'field' cases | 9 Board certified, specialist >3000 read per year | Observers instructed to consider the cases as screening investigations yet prevalence up to 28% | Mean sensitivity and specificity were both higher in the clinic compared to a research setting. |
Although 2 studies (189) (203) varied the sample prevalence without informing readers, these studies did not specifically test the effects of revealing the sample prevalence on observers’ interpretation. Hence the effect of blinding readers to the spectrum of abnormality in the study sample remains uncertain.

Table 12: Articles investigating the effect of manipulating the prevalence of abnormality on studies of diagnostic test accuracy

<table>
<thead>
<tr>
<th>Publication</th>
<th>Imaging modality</th>
<th>Observers blinded to prevalence of pathology in study sample</th>
<th>Clustering of abnormal cases avoided</th>
<th>Prevalence of abnormality in study sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>Egglin, 1996 (185)</td>
<td>Imaging, angiography</td>
<td>Yes</td>
<td>Deliberate clustering of abnormal cases</td>
<td>60% or 20%</td>
</tr>
<tr>
<td>Gur, 2003 (189)</td>
<td>Imaging, chest radiographs</td>
<td>Yes</td>
<td>Yes</td>
<td>2-28%</td>
</tr>
<tr>
<td>Gur, 2007 (203)</td>
<td>Imaging, chest radiographs</td>
<td>Yes</td>
<td>Yes</td>
<td>2-28%</td>
</tr>
</tbody>
</table>

4.3.7 Effect of reporting intensity (Table 13)

We did not identify any research that specifically manipulated reporting intensity (i.e. burden of cases requiring interpretation) in the laboratory or compared it to daily practice. While a retrospective analysis of mammography in daily practice found that false-positive diagnoses diminished, following implementation of high-intensity, batch-reading (202), the change was unquantified. The researchers believed improved performance was due to decreased disruption. Of the remaining 11 studies, 6 detailed setting, observer experience, and case-load enabling an inference of reporting intensity vs. normal practice (Table 13). Observers each read a median of 300 (IQR 100 to 3208) cases at a median rate of 50 (IQR 40 to 50) cases per session. One angiographic study (185) stipulated interpretation within three minutes, which likely exceeded normal practice. Intensity was either unreported or unclear in 5 studies. No article attempted to justify reporting intensity.
Table 13: Estimation of reporting intensity and generalisability to daily practice of ‘lab’ studies

<table>
<thead>
<tr>
<th>Publication</th>
<th>Total number of cases read per reader</th>
<th>Reporting intensity</th>
<th>Diagnostic test employed in test conditions as per clinical practice</th>
<th>Reporting intensity and environment judged equivalent to daily practice</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gur 1990(204)</td>
<td>300</td>
<td>50 per session ?interval</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Egglin 1996(185)</td>
<td>40</td>
<td>Three minutes per angiogram. Selected images only reviewed.</td>
<td>Selected images only reviewed. No additional views available</td>
<td>No: higher</td>
</tr>
<tr>
<td>Rutter 2000(190)</td>
<td>120</td>
<td>30 per hour every 2 weeks</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Gur, 2003(189)</td>
<td>3208</td>
<td>&gt;50 per session, fortnightly over 18 months</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Gur 2007(203)</td>
<td>3208</td>
<td>&gt;50 per session, fortnightly over 18 months</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Gur 2008(188)</td>
<td>300</td>
<td>20-60 films per session</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

4.3.8 Effect of observer recall bias (Figure 14)

One article investigated recall bias specifically (205), asking observers to reinterpret mammograms reported by them in clinical practice 14 to 36 months previously. One observer recognised a single mammogram, but subsequently reported it incorrectly. The authors concluded that recall is rare and unlikely to bias studies. The same group (189) tested for 2 week recall via subgroup analysis, finding no effect, but the study was neither designed nor powered for this analysis. 8 (66%) studies included repeated observations of the same cases. One study(207), did not account for recall bias at all, requiring reinterpretation within minutes. The remaining studies incorporated a washout period between observations, with 3 studies using between 2 to 8 weeks and 3 indicating 14 to 36 months, and the exact duration unclear in 1 article (Figure 14). Moreover, only one article (189) justified the interval and, even then, based this upon anecdotal opinion.
4.3.9 ‘LABORATORY’ VS. ‘FIELD’ STUDY CONTEXT

All articles considered aspects of generalisability to daily practice, which was the primary focus of 6 articles (Table 4). Three studies (188, 190, 209) compared ‘laboratory’ interpretation with observers’ prior interpretation of the same cases in clinical practice. Gur (188) and Rutter (190) found higher mean observer sensitivity and specificity in normal clinical practice. However, while Meining et al also found improved accuracy in the clinical environment, laboratory performance improved significantly when observers had access to clinical information (209).
Irwig (206) questioned whether results from standard tests should be revealed when new diagnostic alternatives are assessed, believing that observers may give undue weight to standard tests with which they are familiar, and so confound the assessment. The authors concluded that such practice is acceptable only when the standard test is both sensitive and specific. One histopathological study examined whether unavoidable initial viewing of low-magnification images may bias subsequent interpretation of high-magnification images (208), arguing that performance would be diminished if studies were restricted to high-power fields. One article (204) explored ‘checkbox’ bias in ROC methodology, concluding that measures encouraging readers to use the full extent of confidence scales might itself introduce bias.

4.4 DISCUSSION

We wished to investigate and quantify the effect on diagnostic accuracy results of blinding observers interpreting medical images to sample information, including disease prevalence. We found that, although manipulation/concealment of individual case information is relatively well-investigated, including a 2004 meta-analysis of 14 studies (183), few researchers have addressed information relating to the study sample. Our systematic review identified only 12 primary studies (9 radiological) that investigated generalisability of results from laboratory environments to daily practice and, of these, only 3 focused specifically on prevalence (185, 189, 203), 2 from the same research group. Furthermore, only 2 modalities have been investigated, angiography (185) and chest radiography (189, 203). The literature base is therefore very insubstantial indeed. We had originally intended to perform a meta-analysis to quantify the effect of the potential biases investigated, but the paucity of available data prevented this.

Enriched prevalence may be an unavoidable aspect of study design, in order to complete within an acceptable timeframe, within available resources and without undue observer burden. It is important to distinguish between two potential reasons why prevalence might affect sensitivity: Firstly, high prevalence clinical settings are often associated with a more severe disease spectrum, which in itself, will increase sensitivity. Secondly, prevalence may be
increased without an increase in disease severity, a situation often encountered in research studies, especially of screening technologies. In this latter situation, it is uncertain how increased prevalence will affect study results. For results to be generalisable we must know the effect, if any, of these enriched study designs on measures of diagnostic test performance, and to what degree and in what direction. It is widely believed that increasing prevalence raises sensitivity because disease is encountered more frequently than in daily practice (199); a view supported by Egglin et al (185). However, it is only where an increased prevalence is associated with an increase in disease severity that there are theoretical reasons to expect prevalence to affect the ROC curve (210). It is important to note that although Gur et al did not demonstrate a significant difference in ROC AUC, despite varying prevalence (189), it does not necessarily follow that a prevalence effect does not exist. Indeed the authors cautioned in a separate editorial (191) that while results obtained in enriched populations should be generalisable to lower prevalence lab-based studies (provided they were analysed using ROC AUC methods), this is not the case for clinical practice. In addition, it is important to consider that while the maximum prevalence was 28%, this level is still well below that often employed by researchers.

Our interest in sample prevalence was precipitated by studies of CTC for colorectal cancer screening but we could find no research that addressed the design of these studies. Screening for lung and colorectal cancer by CT, and for breast cancer by mammography, are the subject of considerable primary research but it is currently impossible to draw evidence-based conclusions regarding the effect of sample prevalence on measures of diagnostic test accuracy.

It is intuitive that observers’ prior knowledge of sample prevalence in a study will influence their expectation of disease and we were interested whether this might affect measures of diagnostic accuracy. For example, it is believed that vigilance is reduced in situations where expected (and actual) prevalence is low (e.g. screening), because disease is encountered infrequently (211). Surprisingly, we could identify no research that specifically addressed this issue, either by blinding/unblinding, or by misleading readers. Most studies concealed prevalence altogether whereas some altered prevalence, but without readers’ knowledge. Recall bias (i.e. where interpretation is influenced by recollection of prior interpretations) is a related issue. Many studies incorporated a ‘washout’ phase between consecutive interpretations of identical cases but we could find no research that specifically investigated the
impact of varying the duration of the washout phase. It could be argued that the repetitive nature of screening (in terms of material and task) argues for short washout. Indeed, one study concluded recall bias does not exist (205). We could find no research that specifically addressed the effect of manipulating reporting intensity on measures of diagnostic test performance.

Although anecdotal opinion suggests that observers’ performance in an artificial ‘laboratory’ environment (reviewing cases enriched with pathology, remote from the pressures of normal daily practice) should exceed that achieved in ‘the clinic,’ the available evidence identified by our review (188, 190, 209) actually suggests the opposite. The fact that clinical information is available in normal practice might help explain this but meta-analysis suggests the effect is small(183). Another possible explanation is that observers in laboratory studies are aware their assessments will have no clinical consequences; ‘study knowledge bias’ is also likely to influence observer studies but we found no research to substantiate this. Lastly, a substantial reporting burden associated with research studies (often performed at unsocial hours so as to not interfere with normal duties) may explain why accuracy is diminished. This discrepancy between ‘lab’ and ‘field’ performance has important implications, not only for evaluation of diagnostic tests, but also for how radiologists’ performance is assessed in isolation. For example, the PERFORMS programme for evaluating mammographic interpretation uses a cancer prevalence of 22%(212) and so may not reflect radiologist performance in clinical practice. Toms et al suggested a more accurate assessment would be obtained by sporadically introducing abnormal test cases into normal daily reporting (213)

Our review revealed that the existing evidence-base is too insubstantial to guide many aspects of study design. High-quality research is needed to investigate and quantify the biases we investigated. Inevitably, studies specifically designed to answer the questions we posed will be expensive and time-consuming. For example, most studies we identified used observer samples in the single digits and variance is likely to be high; much larger studies are required. The authors predict that funding would be difficult to achieve for large-scale methodological research specifically designed to quantify these potential biases. However, given that funding agencies have previously provided very substantial support for large-scale studies of screening technologies, the authors suggest that future studies incorporate additional research that aims to estimate bias and generalisability. For example, this could be achieved via sub-
studies/parallel/nested studies that incorporate unblinded observers, different contexts, or by varying the duration of washout period for different groups of observers. Such an approach would combine large-scale diagnostic test accuracy studies with methodological research for relatively little additional cost.

Our review does have limitations. In particular, relevant research may have been missed because of a lack of search terms specific to our review question. For example, many papers will discuss potential bias but few will test this as a primary outcome. Aware of this, we used multiple search strategies and snowballing to maximise studies retrieved. Even so, the total body of relevant literature we identified was rather small and was heterogeneous in the issues addressed.

In summary, this systematic review revealed that several issues central to the design of studies of diagnostic test accuracy have not been well-researched, with the result that there is an insufficient evidence-base to guide many aspects of study design. High quality research is needed to address potential bias resulting from observers’ knowledge of prevalence and the effects of recall bias across several imaging technologies and diseases, most notably for studies of screening methodologies.
SECTION C: IMPLEMENTING NEW TECHNIQUES AND STRATEGIES IN CTC RESEARCH

OVERVIEW

Section A established there is a relatively sound evidence base for current CTC implementation. However, Section B has shown that commonly utilised methodology for assessing diagnostic test accuracy may introduce presently unquantified sources of bias that may encumber transferability into daily practice. Furthermore, at present, the suboptimal level of CTC training and experience among European radiologists may impact upon the generalisability of such studies’ results. Although consensus guidelines (30, 36) recommend a minimum level of experience for safe CTC interpretation, the relationship between performance and experience is not straightforward (214); this is the focus of this Section.

Studies have shown CAD can increase reader sensitivity for both inexperienced radiologists (215) and radiographic technicians (159) but the potential benefit to patients in clinical practice is poorly understood, not least due an accompanying increase in false positive (FP) detections. When sensitivity and specificity change simultaneously, as is usually the case (216), a summary statistic combining both measures is convenient for comparing results from different research studies. For example, the area under the receiver operating curve (ROC AUC) could be
compared for observers interpreting CTC with and without CAD assistance. However, the limitation of this technique is that gains in sensitivity are considered statistically equivalent to losses in specificity when both are equal in magnitude yet the clinical consequences of FP and FN detections (e.g. unnecessary colonoscopy vs. missed cancer diagnosis) are clearly far from equal. Therefore, if an increase in sensitivity due to CAD assistance is counterbalanced by an equivalent fall in specificity, there will be no significant difference in ROC AUC, potentially underestimating the benefit of this technology in clinical practice(24). In order to account for different clinical utilities of FP and FN diagnoses, collaborators, Dr Susan Mallett and Professor Douglas Altman have developed a novel statistical analysis as an alternative to ROC AUC: the ‘CAD net effect measure’ (21).

\[
CAD \text{ net effect} = \Delta SE + (\Delta SP \cdot (1/W) \cdot ((1 - P)/P))
\]

P denotes the prevalence of abnormality within the sample.
W denotes the relative ‘weighting’ ascribed to the clinical value of sensitivity vs. specificity.

However, the value of ‘W’ is not presently quantified with precision. While qualitative research suggests patients and clinicians value sensitivity far above specificity, existing quantitative assessments have not assessed willingness to trade these attributes against one-another. Therefore, Chapter 5 describes a conjoint analysis (discrete choice experiment) to ascertain the relative value clinicians and patients place upon sensitivity and specificity when using CTC for colorectal cancer screening. Having established the weighting value ‘W’, Chapter 6 implements the novel statistical method to compare the incremental benefit of CAD when employed by experienced and inexperienced observers during two previous multireader, multicase studies.

The results of Chapter 6 reaffirm the complex relationship between experience and performance. However, differences in interpretative technique between readers remains poorly understood. Medical image perception has featured extensively in plain radiographic research (18) yet eye-tracking technology has not previously been applied to 3D radiological image display. Therefore, Chapter 7 concludes this Section with a technical description and preliminary evaluation of novel eye-tracking methodology to assess differences in visual search during CTC interpretation.
CHAPTER 5

5. WHAT IS THE RELATIVE IMPORTANCE PLACED ON FALSE POSITIVE VS TRUE POSITIVE DETECTIONS AT CTC? A DISCRETE CHOICE EXPERIMENT

AUTHOR DECLARATION

Work presented in this Chapter was led by the author under the supervision of Professor Steve Halligan and Professor Stuart Taylor with significant contributions from Dr Susan Mallett, Professor Douglas Altman and Professor Richard Lilford. The author obtained ethical approval, designed and piloted the discrete choice experiment, compiled survey software, and recruited and interviewed participants. Approximately 50% of interviews were performed by psychologist, Miss Nichola Bell. Statistical analysis was performed by the author and Dr Susan Mallett with contributions from Dr Shihau Zhu and Dr Lily Yao.


5.1 INTRODUCTION

Understanding the diagnostic performance of a test is essential for evidence-based practice (182, 217), particularly for screening where risks and benefits must be balanced carefully(187). No screening test is 100% sensitive and disease may be missed. Consequences of imperfect
sensitivity are readily understood: A false-negative (FN) diagnosis may delay or prevent cure. Specificity is also important for screening because prevalence of abnormality is low. Therefore, while relatively few will benefit from early detection, many healthy individuals may undergo procedures such as endoscopy, biopsy or surgery because of a false-positive screening result. False-positive (FP) diagnoses cause anxiety, morbidity, and even mortality, all for no benefit (218). Test modifications that increase sensitivity usually diminish specificity. For example, CAD (219), digital imaging (220), and a shorter interval between screenings (221) all increase mammographic sensitivity for breast cancer but decrease specificity.

As described above, a combined measure of sensitivity and specificity, such as the area under the receiver-operating-characteristic (ROC) curve, facilitates comparisons between different tests or tests under different conditions (187, 210, 222, 223). The ROC curve displays graphically how sensitivity and specificity change with the test result; regulatory bodies may require a significant increase in area-under-the-curve (AUC) to approve a new imaging test. When calculating curve shape and AUC, similar changes in sensitivity and specificity are weighted equally. For example, if an increase in sensitivity (e.g. from use of CAD) is offset by an identical decrease in specificity, net AUC may not change, and the new intervention could be judged ineffective. However, although similar changes in sensitivity and specificity assume equal statistical importance, they may not be clinically equivalent.

In the case of screening for colorectal cancer with CTC, qualitative work suggests that patients value sensitivity over specificity (33), but the magnitude of that preference is unknown. Such data are important because analyses not accounting for differential weightings may underestimate test value. For example, the Medicaid/Medicare decision to not reimburse CTC did not consider that gains in sensitivity over alternative tests may be regarded more positively by screenees even when specificity is reduced (131).

Net-benefit methods offer an alternative combined measure to ROC AUC and have the advantage of being able to incorporate clinically relevant relative values for TP versus FP diagnoses (24) but these values have not been determined for colorectal cancer screening. Accordingly, we aimed to establish the relative weighting given by patients and healthcare professionals to additional TP diagnoses versus additional FP diagnoses when using CTC for colorectal cancer screening.
5.2 METHODS

Ethical committee approval was granted; all participants gave written informed consent. Participants’ opinions were elicited using a discrete choice experiment (DCE)(224-226), designed and conducted according to recent guidelines(226). Scenarios encompassing paired hypothetical tests were presented and specificity systematically varied, asking participants to indicate their preference. We then ascertained the relative value participants ascribed to sensitivity and specificity.

5.2.1 CHOICE OF ATTRIBUTES AND LEVELS

Specificity is conceptually challenging for patients; many are unaware that FP detections occur (32). It is also known that patients value sensitivity so highly that even small changes may mask the influence of other attributes(226). We therefore used a ‘probability equivalence’ design to establish respondents’ attitudes to just two attributes: Sensitivity and specificity. We devised a hypothetical ‘alternative’ screening test differing from ‘standard’ CTC only in sensitivity and specificity. No other attributes were changed, to simplify/focus decision-making.

For ‘standard’ CTC we chose sensitivity and specificity for cancer of 0.85 and 0.95 respectively and 0.80 and 0.85 for polyps ≥6mm. ‘Alternative’ CTC raised sensitivity to 0.95 for cancer and 0.90 for polyps. These values were arrived at because we wished to present a relative difference in sensitivity of 0.10 but did not wish the ‘alternative’ test to be perfect, since this is rarely achieved. Screening data suggest 0.2% cancer prevalence (i.e. 10 patients per 5000 screened) (227) and 25% polyp prevalence (i.e. 1250 patients per 5000 screened) (228, 229), thus increasing sensitivity by 0.10 detects one additional cancer and 125 additional polyps per 5000 screenees. We then varied specificity of ‘alternative’ CTC incrementally from 0.95 down to 0.10 to form test scenarios presented (Table 14). Such extremely low specificity is unlikely in real practice but necessary to calculate ‘trade-off values’ for the DCE.

5.2.2 INFORMATION PROVISION

Because DCEs are difficult to comprehend, especially via postal questionnaires (230), for patients an interviewer-led face-to-face design was used to maximise participant spectrum
(231). A multimedia presentation of colorectal cancer screening by colonoscopy and CTC was presented on a laptop, including information on survival benefit and clinical consequences of FP diagnosis (e.g. need for colonoscopy following CTC; risk of perforation). Since inconsistent framing may introduce bias (232), both absolute and relative risks were displayed textually and graphically (Figure 15).

Table 14: Discrete choice experiment design: Overview of attributes and levels presented in cancer (A) and polyp (B) detection scenarios.

<table>
<thead>
<tr>
<th>Question number</th>
<th>‘STANDARD’ CTC</th>
<th>‘ALTERNATIVE’ CTC</th>
<th>PARTICIPANT TRADE-OFF REQUIRED IN EXCHANGE FOR 0.1 INCREASE IN SENSITIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Baseline diagnostic performance</td>
<td>Increased sensitivity but variable specificity</td>
<td></td>
</tr>
<tr>
<td>Sensitivity</td>
<td>Specificity</td>
<td>Sensitivity</td>
<td>Specificity</td>
</tr>
<tr>
<td>for detection of cancer</td>
<td>for detection of cancer</td>
<td>for detection of cancer</td>
<td>for detection of cancer</td>
</tr>
<tr>
<td>1c</td>
<td>85%</td>
<td>95%</td>
<td>95%</td>
</tr>
<tr>
<td>2c</td>
<td>85%</td>
<td>95%</td>
<td>95%</td>
</tr>
<tr>
<td>3c</td>
<td>85%</td>
<td>95%</td>
<td>95%</td>
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<tr>
<td>4c</td>
<td>85%</td>
<td>95%</td>
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<tr>
<td>5c</td>
<td>85%</td>
<td>95%</td>
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<tr>
<td>6c</td>
<td>85%</td>
<td>95%</td>
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<tr>
<td>7c</td>
<td>85%</td>
<td>95%</td>
<td>95%</td>
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<tr>
<td>8c</td>
<td>85%</td>
<td>95%</td>
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<tr>
<td>9c</td>
<td>85%</td>
<td>95%</td>
<td>95%</td>
</tr>
<tr>
<td>10c</td>
<td>85%</td>
<td>95%</td>
<td>95%</td>
</tr>
</tbody>
</table>

Questions 1 to 10 are delivered in random order using an interactive multimedia presentation which displays the diagnostic performance data of both tests graphically and numerically. Please see Figure 15.

*Questions 1 and 2 both favour test B for both sensitivity and specificity. Respondents choosing test A in response to both questions are considered to have misunderstood the task.*
Table 15: Discrete choice experiment design: Overview of attributes and levels presented in cancer (A) and polyp (B) detection scenarios.

### B: POLYP DETECTION SCENARIO

<table>
<thead>
<tr>
<th>Question number</th>
<th>‘STANDARD’ CTC</th>
<th>‘ALTERNATIVE’ CTC</th>
<th>PARTICIPANT TRADE-OFF REQUIRED IN EXCHANGE FOR 0.1 INCREASE IN SENSITIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Baseline diagnostic performance</td>
<td>Increased sensitivity but variable specificity</td>
<td></td>
</tr>
<tr>
<td>Sensitivity for detection of polyps (%)</td>
<td>Specificity for detection of polyps (%)</td>
<td>Sensitivity for detection of polyps (%)</td>
<td>Specificity for detection of polyps (%)</td>
</tr>
<tr>
<td>1p*</td>
<td>80</td>
<td>85</td>
<td>90</td>
</tr>
<tr>
<td>2p</td>
<td>80</td>
<td>85</td>
<td>90</td>
</tr>
<tr>
<td>3p**</td>
<td>80</td>
<td>85</td>
<td>90</td>
</tr>
<tr>
<td>4p</td>
<td>80</td>
<td>85</td>
<td>90</td>
</tr>
<tr>
<td>5p</td>
<td>80</td>
<td>85</td>
<td>90</td>
</tr>
<tr>
<td>6p</td>
<td>80</td>
<td>85</td>
<td>90</td>
</tr>
<tr>
<td>7p</td>
<td>80</td>
<td>85</td>
<td>90</td>
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<tr>
<td>8p</td>
<td>80</td>
<td>85</td>
<td>90</td>
</tr>
<tr>
<td>9p</td>
<td>80</td>
<td>85</td>
<td>90</td>
</tr>
<tr>
<td>10p***</td>
<td>80</td>
<td>85</td>
<td>90</td>
</tr>
</tbody>
</table>

**Questions 4 and 5 are identical and hence this is a test for internal consistency.

***Participants choosing ‘Alternative’ CTC in response to question 10 are considered potential non-traders: Rather than disregard these responses, additional information is displayed and the question repeated.
Figure 15: Example question from the cancer detection scenario. Each tally mark represents one of 5000 potential outcomes for a patient undergoing screening: TP (blue), FN (yellow), true negative (white), or FP (red). Participants were informed that if they were to undertake the test in question, their odds of receiving any of the above outcomes are represented by the chance of picking any of these tally-marks at random. Data are also represented numerically using both relative and absolute percentages. This question represents the median ‘trade-off’ for patients and professional respondents: On average, participants favoured ‘alternative’ CTC in view of its enhanced sensitivity up to, but not beyond, this level of additional FPs; where scenarios presented a lower specificity patients usually opt for ‘standard CTC’

5.2.3 EXPERIMENT CHARACTERISTICS

For both cancer and polyp detection scenarios, participants were asked to assume they were average risk: Polyp prevalence 25%, cancer prevalence 0.2% (lifetime risk 5%). Participants
were asked to assume more timely polypectomy due to enhanced sensitivity would reduce lifetime disease-specific mortality by 25% (lifetime risk of 5% to 4%) (233). Participants were asked to assume that while early cancer detection facilitated early treatment (234), this was not always curative. Subjects were told that FP CTC resulted in unnecessary colonoscopy. For clarity, only the most serious complication was presented, perforation, at 1:500 risk, based on combined North American and European estimates (3, 235).

5.2.4 PILOT

To inform design and sample size (236) the questionnaire was piloted on 10 ‘naïve’ staff. Although they comprehended attributes and levels, and completed the DCE without undue burden, we noted some did not trade (i.e. the lowest level of specificity presented was judged acceptable in exchange for 0.10 gain in sensitivity). We therefore introduced additional information reinforcing pros and cons of each test. Repeat piloting on the same staff found the number of ‘non-traders’ reduced. Piloting also showed that simultaneously considering both cancer and polyp scenarios confused participants. We therefore divided the DCE into separate polyp and cancer scenarios.

5.2.5 DISCRETE CHOICE EXPERIMENTS

For both cancer and polyp DCEs, participants indicated their preference for ‘standard’ or ‘alternative’ CTC during 10 scenarios. To recap, ‘standard’ CTC had fixed sensitivity and specificity throughout. In every scenario, standard CTC and was presented against a variant of ‘alternative’ CTC whose sensitivity was always 0.10 higher but whose specificity varied incrementally between 0.90 and 0.05. Scenario ordering was randomised. There was no opt-out; participants had to indicate a test preference for each scenario. Participants accepting the lowest specificity for ‘alternative’ CTC (‘non-traders’) were automatically presented with additional information by the software, stressing risks (e.g. of perforation in false-positive cases), to assess whether heuristic bias anchored their decision. A random scenario was repeated in order to test response consistency. A scenario in which one option was
unquestionably superior for both sensitivity and specificity sought ‘irrational’ responders. Finally, we incorporated ‘willingness-to-pay’ assessment to provide a generic metric with which to compare how participants value specificity: Standard CTC was pitched against CTC with sensitivity raised by 0.10 but with no reduction in specificity. Participants were told the alternative test cost more and were asked how much they would pay (if anything) over-and-above standard CTC.

The author and a clinical psychologist, Nichola Bell, conducted DCEs in random order. We clarified understanding for participants where necessary, and had the opportunity for qualitative exploration afterwards, especially with non-traders. All participants were asked their age, ethnicity, education, and household income bracket. Medically-qualified participants (see below) could opt to perform the DCEs online to facilitate their recruitment since they were already familiar with the concepts presented.

5.2.6 RECRUITMENT

We recruited consecutive consenting adults of screening age (55-79 years), scheduled for non-cancer outpatient ultrasound/plain-radiographic investigations at a teaching hospital, identified via booking systems. Information/consent forms were mailed and responders interviewed on the day of their appointment. We excluded respondents with a personal history of/or being investigated for bowel cancer since their opinions may be biased. All participants were offered a £10 gift voucher. To investigate any attitudinal difference between patients and healthcare professionals, via internal email we recruited staff who requested, performed, or interpreted colorectal imaging: Radiologists, gastroenterologists, surgeons, nurse-specialists and radiographers.

5.2.7 ANALYSIS

Our primary outcome measure was the decrease in specificity participants were willing to ‘trade’ for a 0.10 (i.e. 10% absolute) increase in sensitivity for cancer and for polyp detection. Participants’ responses were collated and scenarios ranked in descending order of specificity.
general, participants favour ‘alternative’ CTC when it provides equivalent or higher specificity to ‘standard’ CTC. However, as the false positive rate (FPR; 1-specificity) increases, trading participants switch to preferring ‘standard’ CTC at a certain point (the ‘tipping point’). This point reflects the maximum FPR participants would accept before deciding that the additional risk of unnecessary colonoscopy outweighed improved sensitivity. Correcting for baseline FPR (by subtracting from 0.05 for cancer and 0.15 for polyp detection scenarios) gives the additional FPR (ΔFPR) compared to ‘standard’ CTC the participant would consider in exchange for 0.10 increase in sensitivity for cancer or polyps (ΔFPR\textsubscript{cancer} and ΔFPR\textsubscript{polyp} respectively). Our pilot suggested the mean ΔFPR\textsubscript{cancer} approximated 0.45 (i.e. on average, participants traded a fall in specificity from 0.95 to 0.50 in exchange for a 0.10 increase in sensitivity for cancer detection). To estimate ΔFPR\textsubscript{cancer} within ±5% at two-sided alpha 0.05 (within 95% CI) required a sample of 96 (N= 4σ Z\textsubscript{crit}^2/W^2 where, σ =p(1-p), p=0.45, Z\textsubscript{crit} =1.960, W=0.10 (237)). Mean ΔFPR\textsubscript{polyp} approximated 0.3, requiring a sample of 81. We pre-specified a secondary outcome comparing patients and professionals, for which we estimated 62 participants (two equal groups of 31) were required for 90% power to detect an absolute difference in ΔFPR\textsubscript{cancer} of 0.10. Because our pilot suggested a non-normal distribution, we aimed to recruit a further 15% participants(237), requiring 72 participants in total.

Non-traders were defined as participants accepting ‘alternative’ CTC despite a FPR increase of 0.65 for polyps and 0.85 for cancer (i.e. rejecting ‘standard’ CTC in favour of a test with absolute specificity 0.2 and 0.1, respectively). Where their opinion changed following additional information, their highest ΔFPR value was taken; others were deemed persistent non-traders and excluded from primary analysis but retained for socio-demographic comparison between traders and non-traders.

The mean values of ΔFPR\textsubscript{cancer} and ΔFPR\textsubscript{polyp} were calculated for participants overall and for patients and healthcare professionals separately. 95% confidence intervals were calculated using 1000 bootstraps. Relative weightings (W\textsubscript{polyp} and W\textsubscript{cancer}) ascribed to changes in sensitivity vs. specificity were obtained by dividing ΔFPR\textsubscript{cancer} and ΔFPR\textsubscript{polyp} by the increase in sensitivity (0.10). Incorporating prevalence allows calculation of the absolute number of additional FPs participants would trade for a single cancer or polyp detection. For example, when screening a population with cancer prevalence of 0.2%, an increase in sensitivity of 0.10 would yield 1
additional detection per 5000 examinations. Therefore, FPs per additional cancer detection was calculated by multiplying $\Delta FPR_{cancer}$ by 5000, and FPs per additional polyp by multiplying $\Delta FPR_{polyp}$ by 40 (0.10 increase in sensitivity at 25% prevalence detects 1 additional polyp per 40 screenees). Tipping points were compared between participants interviewed by the two researchers and also between professionals’ responses accrued face-to-face versus online. Kolmogorov-Smirnov analysis suggested non-normality. The Mann-Whitney U test statistic was used for continuous data and Pearson’s Chi-squared test statistic used for categorical proportions (Stata V11.0, Stata Corporation, College Station, Texas).

5.3 RESULTS

75 patients and 50 healthcare professionals participated (5 radiologists, 5 surgeons, 5 gastroenterologists, 10 specialist registrars, 5 nurse-specialists, 20 radiographers). In total, invitations were sent to 112 consecutive patients and 62 professionals resulting in response rates of 67% and 81% respectively. Three patients’ attempted but could not complete the survey and two medical professionals gave partial responses resulting in 120 complete and 2 partial responses. No participant failed the internal consistency test. The author interviewed 53 participants, Ms Bell interviewed 48; 21 responses were obtained online. Demographic data are presented in Table 16. Compared to professionals, patients were significantly older, discontinued education earlier, and had lower household income.

5.3.1 NON-TRADERS

Four professionals (8%) failed to trade during the cancer scenario; of these, 2 (4%) would not trade during the cancer scenario. In contrast, significantly more patients were non-traders ($p<0.001$); 27 (38%) patients refused to trade during the cancer scenario and of these 18 (25%) continued to refuse trading during the polyp scenario. All non-traders in the polyp scenario also refused to trade when considering cancer detection. Non-traders were significantly older (median age 64.5 vs 44.5; $p=0.001$) and less educated than traders (15% vs 2% with no formal qualifications; $p<0.001$).
Table 16: Demographic characteristics and household annual income of patient and professional participants including non-traders

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Patients (n=72)*</th>
<th>Professionals (n=50)**</th>
<th>Total (n=122)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>N (%)</td>
<td>N (%)</td>
<td>N (%)</td>
</tr>
<tr>
<td>Gender</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Female</td>
<td>49 (68)</td>
<td>24 (48)</td>
<td>73 (60)</td>
</tr>
<tr>
<td>Male</td>
<td>23 (32)</td>
<td>26 (52)</td>
<td>49 (40)</td>
</tr>
<tr>
<td>Age (year)</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>25-34</td>
<td>0 (0)</td>
<td>26 (52)</td>
<td>26 (21)</td>
</tr>
<tr>
<td>35-54</td>
<td>0 (0)</td>
<td>23 (46)</td>
<td>26 (21)</td>
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<td>55-59</td>
<td>18 (25)</td>
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<td>16 (13)</td>
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<td>60-69</td>
<td>40 (56)</td>
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<td>40 (33)</td>
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<tr>
<td>70-79</td>
<td>14 (19)</td>
<td>0 (0)</td>
<td>14 (11)</td>
</tr>
<tr>
<td>Ethnicity</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White</td>
<td>49 (69)</td>
<td>33 (69)</td>
<td>82 (69)</td>
</tr>
<tr>
<td>Other</td>
<td>22 (31)</td>
<td>15 (31)</td>
<td>37 (31)</td>
</tr>
<tr>
<td>Income/GBP</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt; 10000/yr</td>
<td>3 (6)</td>
<td>0 (0)</td>
<td>3 (3)</td>
</tr>
<tr>
<td>10001-20000/yr</td>
<td>14 (28)</td>
<td>0 (0)</td>
<td>14 (25)</td>
</tr>
<tr>
<td>20001-30000/yr</td>
<td>19 (38)</td>
<td>3 (7)</td>
<td>22 (23)</td>
</tr>
<tr>
<td>30001-40000/yr</td>
<td>10 (20)</td>
<td>10 (23)</td>
<td>20 (21)</td>
</tr>
<tr>
<td>&gt;40000/yr</td>
<td>4 (8)</td>
<td>31 (70)</td>
<td>35 (37)</td>
</tr>
</tbody>
</table>

*Of the original 75 patient participants accrued to the study, 3 discontinued the survey, without providing any consistent data.

Qualitative exploration by the interviewer revealed they did not comprehend the concept of false positive diagnosis.

**Comprising 5 gastroenterologists, 5 radiologists, 5 colorectal surgeons, 10 Specialist registrars in these specialities, 5 bowel cancer screening nurses and 20 CT radiographers.
There was no difference in gender (59% vs 61% female; \( p=0.56 \)) or ethnicity (30% vs 33% non-white; \( p=0.57 \)). Considering patients alone, non-traders (n=27) were older (median age 66.8 vs 60.1; \( p=0.001 \)), less affluent (median household income GBP10001 to 20000 vs. GBP20001 to £30000 per annum; \( p=0.029 \)) and less qualified (median school leaving age 16 vs 18yrs; \( p=0.021 \)) than traders (n=45). Excluding non-traders and incomplete responses, 56 patients and 48 professionals were included for the polyp detection scenario, with 45 and 44 respectively for the cancer scenario.

### 5.3.2 Cancer detection

Overall, the mean false positive rate (FPR) increase accepted for cancer diagnosis scenarios (\( \Delta \text{FPR}_{\text{cancer}} \)) was 0.41 (95%CI: 0.35 to 0.47; Table 17; Figure 16). Therefore, on average, participants would trade a 0.41 reduction in specificity for a 0.10 increase in sensitivity for cancer, resulting a weighting of 4.1x. At population prevalence of 0.2%, this equates to 2050 (95% CI: 1750 to 2350) additional false-positives per additional true-positive diagnosis. \( \Delta \text{FPR}_{\text{cancer}} \) was significantly higher for patients (mean 0.57, 95%CI: 0.49 to 0.66) than professionals (mean 0.24, 95%CI: 0.19 to 0.31, \( p=0.001 \)). The data were not normally distributed and were almost bimodal (Figure 16). Therefore we calculated both means and medians for participants willing to trade (Table 17). Many of the participants reporting higher values were asked extra questions because of unwillingness to trade (Figure 17). There was no difference in patients’ overall mean \( \Delta \text{FPR}_{\text{cancer}} \) elicited by different interviewers, (0.55 vs. 0.59; \( p=0.57 \)) nor between professionals’ \( \Delta \text{FPR}_{\text{cancer}} \) obtained face-to-face vs. online (mean 0.25 vs. 0.21; \( p=0.59 \)).
Figure 16: Distribution of patients’ and professionals’ maximum decrease in specificity traded for 0.1 increase in sensitivity for polyps ($\Delta FPR_{polyp}$) top, and for cancer ($\Delta FPR_{cancer}$) bottom.

* indicates choices not presented to participants for this scenario

### 5.3.3 Polyp detection

Overall, the mean increase in FPR accepted for the polyp diagnosis scenarios ($\Delta FPR_{polyp}$) was 0.25 (95%CI: 0.21 to 0.30). Thus, on average, a 0.25 reduction in specificity was considered fair exchange for a 0.10 increased sensitivity for polyp detection, giving a weighting of 2.5x. At population prevalence of 25%, this equates to 10 (95% CI: 8.4 to12) additional false-positives per additional true-positive diagnosis. Mean $\Delta FPR_{polyp}$ was significantly higher for patients (0.33, 95%CI: 0.27 to 0.39) than professionals (0.17, 95%CI: 0.13 to 0.22. p<0.001). Combined, patients and professionals’ $\Delta FPR$ values were significantly higher for cancer detection than for polyps (0.41 vs. 0.25; p=0.005).
Table 17: False positive rate (FRP) trade-off values and relative weighting for cancer and polyp detection scenarios calculated for patients, professionals, and all participants combined

<table>
<thead>
<tr>
<th></th>
<th>Tipping point</th>
<th>Relative weighting (W)</th>
<th>Average number of FP per additional TP detection</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Mean 95%CI</td>
<td>Median IQR</td>
<td>Mean 95%CI</td>
</tr>
<tr>
<td><strong>Patients</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Polyp</td>
<td>0.33 0.27 to 0.39</td>
<td>0.25 0.05 to 0.55</td>
<td>3.3 2.7 to 3.9 13.2</td>
</tr>
<tr>
<td>Cancer</td>
<td>0.57 0.49 to 0.66</td>
<td>0.70 0.25 to 0.85</td>
<td>5.7 4.9 to 6.6 2850</td>
</tr>
<tr>
<td><strong>Professionals</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Polyp</td>
<td>0.17 0.13 to 0.22</td>
<td>0.15 0.05 to 0.15</td>
<td>1.7 1.3 to 2.2 6.8</td>
</tr>
<tr>
<td>Cancer</td>
<td>0.24 0.19 to 0.31</td>
<td>0.25 0.08 to 0.25</td>
<td>2.4 1.9 to 3.1 1200</td>
</tr>
<tr>
<td><strong>Combined</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Polyp</td>
<td>0.25 0.21 to 0.30</td>
<td>0.15 0.05 to 0.46</td>
<td>2.5 2.1 to 3.0 10</td>
</tr>
<tr>
<td>Cancer</td>
<td>0.41 0.35 to 0.47</td>
<td>0.25 0.15 to 0.75</td>
<td>4.1 3.5 to 4.7 2050</td>
</tr>
</tbody>
</table>

5.3.4 WILLINGNESS-TO-PAY (WTP)

Median WTP for 0.10 increased sensitivity with maintained specificity was significantly higher for cancer than polyps: 201 to 500GBP (IQR 101 to 200GBP to 501 to 1000 GBP) vs. 101 to 200 GBP (IQR 51 to 100 to 201 to 500 GBP), p<0.001.

There was no significant difference in WTP between patients and professionals for polyps (p=0.97) but patients’ WTP was significantly higher than professionals’ for cancer detection: median 201 to 500 GBP (IQR 101 to 200 GBP to 201 to 500GBP) vs median 101 to 200 GBP (IQR 51 to 100 GBP to 201 to 500 GBP, p=0.036). Moreover, median household income was significantly lower for patients than professionals: 20001 to 25000GBP vs >40000GBP; p=0.021 (Table 18).
Table 18: Patient and professionals’ willingness to pay for a 0.1 increase in sensitivity without any reduction in specificity for detection of cancer or clinically significant polyps

<table>
<thead>
<tr>
<th>WTP/GBP</th>
<th>POLYP DETECTION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Professionals (72)</td>
</tr>
<tr>
<td>&lt;50</td>
<td>N</td>
</tr>
<tr>
<td>14-50</td>
<td>9</td>
</tr>
<tr>
<td>51-100</td>
<td>10</td>
</tr>
<tr>
<td>101-200</td>
<td>15</td>
</tr>
<tr>
<td>201-500</td>
<td>4</td>
</tr>
<tr>
<td>501-1000</td>
<td>10</td>
</tr>
<tr>
<td>&gt;1000</td>
<td>0</td>
</tr>
<tr>
<td>Declined to answer</td>
<td>24</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>WTP/GBP</th>
<th>CANCER DETECTION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Professionals (72)</td>
</tr>
<tr>
<td>&lt;50</td>
<td>N</td>
</tr>
<tr>
<td>14-50</td>
<td>5</td>
</tr>
<tr>
<td>51-100</td>
<td>3</td>
</tr>
<tr>
<td>101-200</td>
<td>10</td>
</tr>
<tr>
<td>201-500</td>
<td>25</td>
</tr>
<tr>
<td>501-1000</td>
<td>0</td>
</tr>
<tr>
<td>&gt;1000</td>
<td>8</td>
</tr>
<tr>
<td>Declined to answer</td>
<td>21</td>
</tr>
</tbody>
</table>

5.4 DISCUSSION

This study shows that both patients and professionals value gains in diagnostic sensitivity more highly than a corresponding loss of specificity, when screening for colorectal cancer and polyps. Overall, the relative value ascribed to a more sensitive screening test outweighed reduced specificity, with an average of 2050 extra FP s considered worth trading for a single extra TP when considering cancer and 10 extra FP for a single extra polyp. Our findings are similar to
Figure 17: Number of additional FP detections patients and professionals would be willing to trade for one additional true-positive diagnosis for both polyp and cancer detection scenarios. Individual respondent data is presented, patients represented by filled shapes and professionals, by open shapes.

those from a study of mammography that found women willing to trade 500+ false-positive mammograms and their consequences in order to diagnose a single additional cancer that would otherwise have been missed (238). Although it is known that patients value sensitivity above specificity for colorectal cancer screening (239, 240), we could find no data that quantified this for a radiological test.

Our interest in this area was stimulated by studies of CAD for CTC, which found that CAD increases sensitivity but reduces specificity, sometimes significantly (19, 20, 215, 241). The clinical consequences of missed cancer (i.e. potential death) are not equivalent to those for FP diagnosis (i.e. unnecessary colonoscopy), and our findings confirm that this belief is held by
both patients and professionals. It is therefore important that analysis of research studies take account of this asymmetry and this is explored in more detail in the following Chapter.

We elected to use a discrete choice experiment, a relatively novel methodology for establishing preferences (242). Traditionally, ranking exercises are used to elicit preferences (243), with test attributes considered in isolation. Results are predictable: Patients and professionals favour tests that are sensitive, specific, inexpensive, readily available, and non-invasive. This does not reflect real-world choices, especially for test characteristics that usually move in opposite directions, such as sensitivity and specificity. In contrast, DCE requires respondents to ‘trade’ between different test characteristics and are increasingly advocated because they better reflect choices necessary in daily practice(224-226, 243-245).

However, DCEs are complex. To simplify and focus the cognitive task, we compared just two attributes, sensitivity and specificity. Change in attributes’ relative weighting between scenarios is more important than their absolute level. Thus, we chose a baseline sensitivity of 85% for cancer detection by CTC, which is likely an underestimate but necessary so that we could inflate sensitivity for the new test by 0.10 (e.g. CTC with CAD). In addition, we delivered the experiment face-to-face to facilitate participation (excluding 21 medical professionals who opted for the online facility). This was beneficial: of those interviewed 99 out of 102 gave complete, consistent, responses with only three participants feeling unable to complete the task. Likewise, targeting the professional group online facilitated participation with 19 out of 21 responders providing full responses and the remaining 2 completing the polyp scenario only. Face-to-face, interviewer-led surveys can increase generalisability of results by increasing the spectrum of respondents. Nevertheless, this methodology could introduce interviewer bias. However, we found no significant difference in participants’ responses whether interviewed by a psychologist or radiologist nor was there a significant difference in responses obtained face to face or accrued online. Moreover, an interview allows responses to be explored in more detail. For example, 38% of patients would not trade during the cancer scenario and while DCE analysis usually excludes these responses from analysis, they are not necessarily ‘irrational.’ Some non-traders used a heuristic (‘rule of thumb’), always choosing the option with the highest sensitivity. However, others defended their decision to choose a test with minimal specificity stating that an FP would lead to the gold-standard test, and with it, reassurance. Moreover, many acknowledged such a test would be unrealistic from a logistic/economic
standpoint. These attitudes reflect those of women surveyed regarding false-positive
mammography (238).

We did identify differences between patients and professionals. Inevitably, demographic and
socioeconomic characteristics varied. We attempted to account for this via a willingness-to-pay
assessment, informed by knowledge of respondent’s income. Compared to professionals,
patients were more inclined to trade sensitivity for specificity for both polyps and cancer.
Interestingly, despite having approximately half the annual household income, patients
ascribed monetary value to enhanced sensitivity approximately twice that of professionals. If
analyses of new diagnostic tests for screening are to account for discrepant weightings
between sensitivity and sensitivity, the question arises, whose weightings should be used? One
could argue that healthcare professionals, particularly clinicians, provide the most balanced
responses, as they are likely to have the best grasp of pros and cons, and to take an informed
overall perspective. Conversely, there is increasing expectation that patients’ expectations are
incorporated when developing screening modalities.

Our study has limitations. As we have stated, DCEs can be challenging for participants (246) and
require motivation, literacy, and numeracy, which may introduce selection bias (231). We
attempted to counter this via a face-to-face delivery rather than using a postal questionnaire.
Although we had adequate power, larger and/or different samples may better represent
different patient and professional groups. Strategies for design and analysis also need further
investigation (247, 248). Potentially important missing data from non-traders was excluded from
this DCE analysis. However, a potential strategy to incorporate their responses is described in
the following Chapter. Common to all hypothetical scenarios, subjects’ actions in real life may
not mirror those expressed in the DCE. It should be stressed that the weightings we derived are
specific to colorectal cancer screening.

In summary, via DCE we found that both patients and healthcare professionals consider gains in
sensitivity more important than corresponding loss of specificity, when considering diagnostic
tests for colorectal cancer screening. Discrepancy was greatest for cancer detection (vs. polyps)
and for patients rather than professionals.
CHAPTER 6

6. INCREMENTAL NET-EFFECT OF COMPUTER AIDED DETECTION (CAD) FOR INEXPERIENCED AND EXPERIENCED READERS OF CTC

AUTHOR DECLARATION

Work presented in this Chapter was led by the Author under the supervision of Professor Steve Halligan and Professor Stuart Taylor with statistical analysis performed by Dr Susan Mallett and Professor Douglas Altman. Research based upon this Chapter’s content is currently under consideration for indexed publication: Boone D, Halligan S, Taylor S, Altman DG, Mallett S. Assessment of the relative benefit of computer-aided detection (CAD) for interpretation of CTC by experienced and inexperienced readers.

6.1 INTRODUCTION

As outlined in Section A (Chapters 1.12.3 and 2.9) of this Thesis, CAD aims to improve the diagnostic performance of CTC by using visual prompts to alert radiologists to pathology that might otherwise be missed (249, 250)(Figure 18). CAD systems make both TP and FP prompts, which are then categorised by the interpreting radiologist. Radiologist categorisations may be correct or incorrect. While it has frequently been hypothesised that CAD may diminish the need for prior reader experience(34), the two largest studies of CAD published to date have used experienced readers alone(20, 21). Very few studies have directly compared experienced and inexperienced readers, and those that have done so are limited by their small size and low statistical power(22). For example, Mang and colleagues asked two ‘expert’ and two ‘nonexpert’ observers to interpret 52 patient datasets using CAD in a second-read paradigm, finding that CAD was only beneficial for the less experienced readers(251). Research described
in this Chapter aimed to quantify the incremental effect of CAD for inexperienced versus experienced readers by comparing data across two large multi-reader, multi-case studies of CTC using a CAD net-effect analysis incorporating weightings derived from the DCE described in the previous Chapter.

Figure 18: Volume rendered endoluminal CTC displaying a computer-aided-detection (CAD) prompt (small red marker) correctly annotating a 5mm sessile polyp.

6.1.1 CAD SOFTWARE OVERVIEW

Several CAD products have secured regulatory approval for routine clinical use in Europe and the USA (115). The CAD algorithm utilised for research reported in this thesis, ColonCAD V3.1, was developed by MedicSight Plc, Hammersmith, London, UK; the Author gratefully acknowledges their support. While early CAD studies required use of dedicated visualisation software, CAD products are now generally integrated into proprietary vendor workstations. While the algorithms and displays differ, all CAD systems share a common theme; the reader is guided to irregularities in the endoluminal surface by visual prompts which must be scrutinised to determine if likely to represent genuine colonic pathology.

The performance of CAD products is often described in terms of standalone polyp detection. This corresponds to a ‘1st reader’ paradigm (Table 19), whereby the prompts generated by CAD
are compared to true positive polyps established, preferably, using a radiological-endoscopic
ground truth reference standard. To avoid bias, the dataset upon which the CAD software is
evaluated should not include cases used for algorithm development. The process of ‘external
clinical validation’ (222) is described in more detail in Chapter 11 of this Thesis.

A comprehensive description of ColonCAD V3.1 standalone performance has been reported by
Lawrence et al (162). In summary, CAD was applied retrospectively to a cohort of 3077 patients
undergoing screening with CTC between March 2006 and December 2008. All participants
underwent CTC with laxative bowel preparation and faecal tagging. Experienced radiologists
provided a consensus reference standard for all cases using subsequent colonoscopic findings
to confirm positive findings; 607 polyps were confirmed in 373 patients. Positive CAD prompts
were compared to this ‘ground truth.’

On a per patient basis, CAD sensitivity for polyps ≥6mm was 93.8% (95% CI: 90.9% to 96.1%)
and for polyps ≥10mm CAD achieved sensitivity of 96.5% (95% CI: 92.0% to 98.8%). On a per-
polyp basis, CAD sensitivities for all polyps was 90.1% (95% CI: 88.0% to 92.8%) and 96.0% (95% CI:
91.9% to 98.4%) at 6mm and 10mm thresholds respectively. Moreover, CAD sensitivity for
advanced neoplasia was 97.0% (95% CI: 92.4% to 99.2%) with 100% (95% CI: 79.4% to 100%)
sensitivity for cancer.

However, on a per patient basis, a CAD system can obtain (spurious) high sensitivity, by
incorrectly assigning a false positive prompt to a true positive case and hence, considerable
emphasis has been placed on CAD false positive rate (FPR). Using ColonCAD, mean FPR was
9.4 and median FPR was 6 per patient, illustrating that reader interaction remains essential at
present, not least to prevent unnecessary colonoscopy in healthy patients.

Nevertheless, among 373 patients with a positive finding at CT colonography, ColonCAD
marked an additional 15 endoscopically confirmed polyps ≥6mm (including four large polyps)
that were missed at initial radiological interpretation. Clearly, the interaction between software
and radiologist are central to the potential benefit conferred by any CAD product; even highly
experienced readers will dismiss genuine lesions, correctly annotated by CAD (25). Therefore,
standalone performance is a limited surrogate marker of performance in clinical practice.

A more realistic estimate of CAD performance in daily interpretation requires a multireader,
 multicase study where readers evaluate cases both with and without CAD assistance. Two such
studies have evaluated ColonCAD (referred to hereafter as CAD): The most recent study, (19)
required observers to read 112 CTC examinations (132 polyps in 56 patients) with and without CAD assistance. Sixteen experienced radiologists interpreted these datasets on three separate occasions either unassisted, using CAD concurrently, or with CAD as a second-reader. CAD significantly increased mean per-patient sensitivity both when used as a second-reader (mean increase, 7.0%; 95% confidence interval (CI): 4.0 to 9.8%) or when used concurrently (mean increase, 4.5; 95% CI: 0.8 to 8.2%). Furthermore, CAD resulted in no significant decrease in per-patient specificity for these readers.

The earlier study(215) recruited 10 readers trained in CT but without special expertise in colonography to interpret 107 CTC cases (60 patients with 142 polyps), first without CAD and then with concurrent CAD after a washout period of 2 months. With CAD, per-patient sensitivity increased significantly in 70% of readers, while specificity dropped significantly in only one. Polyp detection increased significantly with CAD with, on average, 9.1% more polyps detected by each reader (95% CI, 5.2% to 12.8%).

While these studies varied in design and observer experience, the CAD software and test dataset were effectively equivalent. This chapter draws upon the novel analysis methods outlined above to compare the net benefit of CAD when applied by inexperienced and experienced readers.

6.2 METHODS

6.2.1 DATA SOURCES AND READERS

We obtained original reader data acquired from two multi-reader, multi-case studies of CAD for CTC, published previously by the supervisors of this Thesis (21, 34). Both studies had full ethical committee approval for data sharing. The first study investigated 10 radiologist readers with no prior experience of CTC who interpreted 107 patient datasets both unaided and when using CAD in a concurrent paradigm(34). The second study investigated 16 radiologist readers all of whom had prior experience of CTC interpretation (mean 264 cases, range 50 to >1000)(21). These readers interpreted 112 patient datasets unaided and with CAD, using both second-read and concurrent paradigms (Table 19).
6.2.2 DATA CHARACTERISTICS

118 discrete patient cases were used for the two studies with 102 patient cases common to both. We selected reader data from these 102 cases to enable paired comparisons of experienced and inexperienced groups without the need for imputation to account for missing data. Thus, any differences could be attributed directly to differences in experience rather than due to confounding because of different case mix. We calculated the difference between novices and experienced readers on a per case basis so allowing ideal data clustering to be included in the analysis, generating more appropriate 95% confidence intervals. Cases were a mix of symptomatic and asymptomatic subjects aggregated from three USA and two European centres. Prone and supine CTC had been performed in each case using multidetector-row machines and following full bowel purgation, adhering to published guidelines for data acquisition (30, 36).

A reference truth against which the CAD and reader output could be judged was established for each case by three experienced readers (none of whom were readers in the studies, and including Professors Steve Halligan and Stuart Taylor). A pair read each case with the benefit of the original radiological report supplemented with colonoscopic and histological data where available, and achieved consensus regarding the case classification and size and location of any polyp (21, 34). Ultimately, of the 102 cases, 46 were judged normal and 56 had at least one polyp. There were 132 polyps in total: 15 polyps ≥10mm, 41 polyps 6mm to 9mm, 76 polyps ≤5mm, with 12, 25 and 19 cases where these were the largest polyps respectively. In 37 cases the largest polyp was at least 6mm.

6.2.3 READING ENVIRONMENT AND CAD PARADIGM

For the study of inexperienced readers, readers interpreted all cases in a quiet environment without CAD over the course of one week and then repeated the interpretation two months later, this time using CAD in a concurrent paradigm (34). For the study of experienced readers, cases were read in three batches of one-month each, with a temporal separation of at least one-month between batches (21). All cases were read once in each batch, using one of three
paradigms (unassisted, concurrent-CAD, second-read CAD; Table 19), with the reading paradigm randomised between batches.

<table>
<thead>
<tr>
<th>CAD Implementation paradigm</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unassisted</td>
<td>Readers analyse the entire case without CAD, just as in normal daily practice. Where CAD is integrated into the vendor workstation it is disabled.</td>
</tr>
<tr>
<td>1st reader CAD</td>
<td>CAD is activated and presents a list of CAD prompts for review. The reader reviews all CAD prompts sequentially accepting lesions he or she considers genuine pathology and rejecting those felt to be spurious. Interpretation is restricted to the CAD marks only; an unassisted radiological review of the endoluminal surface is not performed. Hence any pathology undetected by CAD is likely to remain undiagnosed; this algorithm is not recommended for clinical practice.</td>
</tr>
<tr>
<td>2nd reader CAD</td>
<td>The reader performs a full, unassisted case review with CAD disabled. Once analysis is complete, readers apply CAD and then review the case again, usually by interrogating sequential CAD candidates rather than the entire endoluminal surface. Readers are not permitted to disregard lesions previously considered true pathology during their unassisted read, regardless of whether or not they are marked by CAD. This ensures CAD acts as a ‘safety net’ and at present, European and US regulatory approval is restricted to this paradigm only.</td>
</tr>
<tr>
<td>Concurrent CAD</td>
<td>CAD is applied from the outset. The reader performs a full review of the case, searching for pathology as they would for an unassisted read. CAD-prompted candidate lesions are scrutinised as they appear during the full endoluminal review. This is therefore a hybrid of 1st and 2nd reader CAD where the case is read only once with the CAD marks visible throughout. According to the available evidence, concurrent reading is less effective than the second-read paradigm and its routine use is not recommended at this time.</td>
</tr>
</tbody>
</table>

Table 19: Paradigms for integration of CAD into CTC interpretation. Please note, at present, only 2nd reader CAD is recommended for routine clinical practice (115)

Thus unassisted interpretation and concurrent-CAD interpretation of each individual case were common to both studies, with a temporal separation between reads of at least one-month. For the concurrent paradigm, readers interpreted CAD annotated CTC data simultaneously with un-annotated data(34). As described above, the same CAD system was used for both studies, so
that correctly annotated polyps and FP detections were the same (Colon CAD V 3.1, Medicsight, Hammersmith, UK). A proprietary CTC package was used to view CTC data for the study of inexperienced readers. For the study of experienced readers, CAD was implemented into commercially available workstations (either Viatronix V3D, Stony Brook NY, USA, or Vital Images, Minnetonka, Minn, USA).

Readers were asked to indicate whether they believed a polyp was present at the case-level or not. If they believed the case was positive, they were asked to indicate the segmental location of all polyps detected and note the CT coordinates. They also estimated the maximum diameter of each polyp using software callipers. Responses were made on study datasheets collated subsequently by a study coordinator.

6.2.4 STATISTICAL ANALYSIS

The collated datasheet responses were compared to the reference truth diagnosis for each case so that each reader response could be classified as TP, TN, FP, or FN at the case level. Each individual polyp detected by readers was also categorised as TP or FP.

CAD NET EFFECT MEASURE

Our pre-specified analysis was the comparison of the ‘CAD net effect measure’ (the rationale for which is explained previously in this Section), defined as follows:

\[ \Delta \text{sensitivity} + (\Delta \text{specificity} \times \text{prevalence adjustment} \times [1/W]) \]

- \( \Delta \text{sensitivity} \) and \( \Delta \text{specificity} \) are the change in sensitivity and specificity from baseline when cases were read with CAD
- The adjustment for prevalence of abnormality within the dataset (0.5) was defined as (1-prevalence/prevalence) where prevalence is a proportion.
- The weighting value ‘W’ was based on the discrete choice experiment described in Chapter 5, with an adjustment for non-trader missing data explained below.
Calculating ‘W’ from the results of conjoint analysis

The method for eliciting the relative value patients’ and professionals’ ascribe to TP vs FP diagnoses is described in detail in chapter 5. However, as noted, the study had limitations regarding missing non-trader data which were overcome as follows:

The distribution of ‘tipping points’ for polyp detection (i.e. the point at which loss of specificity outweighed a 0.10 gain in sensitivity) was determined for all respondents and expressed as the number of FPs per additional true positive diagnosis. Cumulative data points were plotted for healthcare professionals and patients (Figure 19 and Figure 20 respectively). While the ‘tipping point’ for non-traders is unknown it must be higher than the maximum choice they were presented (i.e. less than the lowest specificity in any trading scenario). Hence, their responses are plotted beyond the maximum tipping point tested (25FP per TP). Hence, the 50% cumulative point (median) appropriately estimates the tipping point at which 50% of respondents would trade (and 50% would decline, a proportion of whom are non-traders.)

The median tipping point is adjusted for prevalence (0.25 for polyps; 0.02 for cancer in the DCE: Therefore TP/FP ratio is divided by 3 for polyp and 499 for cancer detection scenarios following [p/1-p] as described above), ultimately resulting in a value of \( W_{polyp} \) of 4.7 (Table 20).

Table 20: Relative weighting values ‘W’ determined from Patient and Professional groups for polyp and cancer detection scenarios tested during the discrete choice experiment (Chapter 5)

<table>
<thead>
<tr>
<th></th>
<th>FP vs TP absolute values</th>
<th>Relative weighting W*</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Polyps</td>
<td>Cancer</td>
</tr>
<tr>
<td><strong>Patients</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Patients</td>
<td>22</td>
<td>4250</td>
</tr>
<tr>
<td>Professionals</td>
<td>6</td>
<td>1250</td>
</tr>
<tr>
<td><strong>Average at 50% population</strong></td>
<td>14</td>
<td>2750</td>
</tr>
</tbody>
</table>

Primary Outcome Measure

The primary analysis was a comparison of the CAD net effect measure between inexperienced and experienced readers when using a concurrent CAD paradigm, for a per-patient analysis of patients with polyps of any size.
SECONDARY OUTCOME MEASURES

The following secondary outcomes were pre-specified for experienced and inexperienced readers, and the difference between them:

- Per-patient sensitivity and specificity when unassisted, when using concurrent CAD, and the change when using CAD, for patients with all polyps and restricted to those with polyps ≥6mm
- Per-polyp sensitivity when unassisted, when using CAD, and the change when using CAD, for patients with all polyps, polyps ≥6mm, and polyps ≤5mm.
- The mean number of patients correctly classified as true-positive solely as a consequence of false-positive detections.
- Mean reading time with and without CAD, and the difference between the two.
- To speculate on the potential gain for inexperienced readers using CAD in a second-read paradigm by quantifying the difference in accuracy between concurrent and second-read CAD paradigms for experienced readers via existing data (21).

Figure 19: Ranked trade-off values for Professional respondents from the discrete choice experiment Polyp detection scenario (Chapter 5). Note data points beyond the maximum trade-off (25 FP per TP) represent missing data from non-traders.
Figure 20: Ranked trade-off values for Patient respondents from the discrete choice experiment polyp detection scenario (Chapter 5). Note data points beyond the maximum trade-off (25 FP per TP) represent missing data from non-traders.

Average estimates were calculated from 2000 bootstrap samples generated by random sampling patients and readers, retaining data clustering. Positive and negative patients were bootstrapped separately and the same case bootstrapping used for both studies. Readers were bootstrapped separately for each study. Differences between novices and experienced readers were calculated within each case prior to averaging across all cases. Calculations of the net-effect for CAD were based on 50% prevalence. Meta-analysis with equal weighting per reader was used to obtain an average across all readers. For per-polyp sensitivity bootstrap analysis accounted for the clustering of multiple polyps per patient.

Confidence intervals were calculated by taking the 2.5% and 97.5% percentiles of the cumulative distribution of the 2000 estimates. Although underpowered for analysis at the 1cm threshold, we calculated the median number of patients detected. Interpretation times for experienced readers were based on 15 readers (one had missing data). Sensitivity and specificity, and changes in these are expressed as decimals. Results are reported with 95% confidence intervals (CI). Differences with confidence intervals not including zero were considered to be statistically significant.
A net benefit for CAD was identified in 83% of cases for both inexperienced and experienced readers; detection of patients with polyps increased in 70% and 57% of cases over 10 and 16 readers respectively. Per-patient sensitivity and specificity (with 95%CI) for readers when unassisted and when using CAD are shown in Table 21. There was a statistically significant mean gain in sensitivity for all polyps of 14.1% for inexperienced readers when using CAD (rising from 39.1% to 53.2%). Sensitivity for all polyps was higher for experienced readers but the mean gain of 4.6% with CAD was not significant (rising from 57.5% to 62.1%).

Inexperienced readers benefitted by a mean gain in sensitivity approximately 3-times that for experienced readers, a significant difference of 9.6% (95%CI: 1.2% to 17.7%). The mean drop in specificity of -6.1% with CAD was non-significant for inexperienced readers (falling from 94.1% to 88.0%). Likewise, the mean drop in specificity of -2.7% with CAD was non-significant for experienced readers (falling from 91.0% to 88.3%). Thus, in a series of 200 patients (100 with polyps) inexperienced readers using CAD would correctly identify 14 additional patients with polyps on average, at the cost of approximately 6 additional false-positives, whereas experienced readers would identify 4 or 5 additional patients with polyps at cost of 2 or 3 additional false-positives. For our primary outcome, these data gave a significant mean CAD net benefit of 12.9 (95%CI: 5.5-20.0) for inexperienced readers, versus a non-significant net effect of 4 (95%CI: -0.8 to 8.8) for experienced. Net benefit was significantly greater among inexperienced readers than for the experienced group, with a mean difference of 8.9 (95%CI: 0.5 to 17.1) (Table 21).

With the analyses restricted to patients with polyps ≥6mm there was a significant mean gain in sensitivity with CAD of 11.6% for inexperienced readers (rising from 49.5% unassisted to 61.1%) compared with a non significant mean gain of 4.2% for experienced readers (rising from 65.9% to 70.1%)(Table 21). The fall in specificity with CAD was non-significant for both groups, with a mean change of -3.4% for inexperienced readers and -0.8% for experienced readers.
Thus, in a series of 200 patients (100 with polyps) inexperienced readers using CAD would correctly identify 11 or 12 additional patients with polyps on average, at the cost of approximately 3 or 4 additional false-positives, whereas experienced readers would identify 4 or 5 additional patients with polyps at the cost of 1 additional false-positive. Mean net effect was significant for inexperienced readers (10.8, 95% CI: 1.2 to 20.0) but not for experienced subjects (4.0, 95%CI: -2.3 to 10.3) resulting in a non-significant difference between groups (6.8, 95%CI: -3.1 to 16.4) (Table 21).

### 6.3.2 PER-POLYP ANALYSES

Per-polyp sensitivity for readers when unassisted and when using CAD are shown in 6.3.4

Other analyses

On a per patient basis, it is possible to achieve a fortuitous true-positive diagnosis while failing to identify a true polyp through erroneously assigning a false-positive polyp. The mean number of such patients was 4.3% for both experienced and inexperienced readers when unassisted, falling with CAD to 3.9% for experienced readers and rising to 5.0% for inexperienced readers. Thus the proportion of such patients is small and the increase in sensitivity found with CAD was not due to increased false-positive detections at the per-patient level.

When unassisted, mean reading time for inexperienced readers was 11.2 min (95%CI 10.7 to 11.7) compared with 7.9 min (7.4 to 8.2) for experienced readers. When using CAD concurrently, this fell to 8.9 (8.3 to 9.4) for inexperienced readers but rose to 8.7 (8.2 to 9.3) for experienced readers.

Table 22. For all polyps there was a significant mean gain in sensitivity with CAD of 9.0% for inexperienced readers (rising from 15.4 unassisted to 24.4%) and a mean gain of 4.1% for experienced readers (rising from 30.3% to 34.4%), which was also significant. Restricting analysis to polyps ≥6mm the mean gain of 10.0% (rising from 28.5% to 38.5%) for inexperienced readers was significant but the mean gain of 3.0% (rising from 51.0% to 54.0%) for experienced readers was not. When the analysis was restricted to polyps ≤5mm the mean gain in sensitivity with CAD was significant for both groups, 8.3% (rising from 5.9% to 14.2%) for inexperienced readers and 4.8% (15.3% rising to 20.1%) for experienced readers. The magnitude of benefit with CAD was not significantly different between the two groups.
Table 21: Per-patient results for CAD assistance when used in concurrent mode for interpretation of CTC by inexperienced and experienced readers. All comparisons with CAD assistance are minus performance when unassisted. Net effect **red**; statistical significance denoted by **underlined** figures.

<table>
<thead>
<tr>
<th></th>
<th>Inexperienced readers [mean (95%CI)] (%)</th>
<th>Experienced readers [mean (95%CI)] (%)</th>
<th>Difference Inexperienced – Experienced [mean (95%CI)] (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CAD net effect measure</strong></td>
<td><strong>12.9</strong> <em>(5.5 to 20.0)</em></td>
<td><strong>4.0</strong> <em>(−0.8 to 8.8)</em></td>
<td><strong>8.9</strong> <em>(0.5 to 17.1)</em></td>
</tr>
<tr>
<td>(all polyps)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unassisted sensitivity</td>
<td>39.1 <em>(30.9 to 47.0)</em></td>
<td>57.5 <em>(49.6 to 65.2)</em></td>
<td><strong>−18.5</strong> <em>(−25.3 to −11.9)</em></td>
</tr>
<tr>
<td>(all polyps)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unassisted specificity</td>
<td>94.1 <em>(90.0 to 97.4)</em></td>
<td>91.0 <em>(87.0 to 94.8)</em></td>
<td>3.1 <em>(−1.7 to 7.9)</em></td>
</tr>
<tr>
<td>(all polyps)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sensitivity with CAD</td>
<td>53.2 <em>(43.9 to 61.4)</em></td>
<td>62.1 <em>(54.1 to 70.3)</em></td>
<td><strong>−8.9</strong> <em>(−16.6 to −1.9)</em></td>
</tr>
<tr>
<td>(all polyps)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Specificity with CAD</td>
<td>88.0 <em>(82.2 to 93.3)</em></td>
<td>88.3 <em>(83.8 to 92.4)</em></td>
<td>−0.3 <em>(−5.6 to 5.0)</em></td>
</tr>
<tr>
<td>(all polyps)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change in sensitivity</td>
<td><strong>14.1</strong> <em>(6.8 to 21.4)</em></td>
<td>4.6 <em>(−0.2 to 9.3)</em></td>
<td><strong>9.6</strong> <em>(1.2 to 17.7)</em></td>
</tr>
<tr>
<td>with CAD (all polyps)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change in specificity</td>
<td>−6.1 <em>(−12.0 to −0.2)</em></td>
<td>−2.7 <em>(−6.3 to 0.8)</em></td>
<td>−3.4 <em>(−9.6 to 3.0)</em></td>
</tr>
<tr>
<td>with CAD (all polyps)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>CAD net effect measure</strong></td>
<td><strong>10.8</strong> <em>(1.2 to 20.0)</em></td>
<td><strong>4.0</strong> <em>(−2.3 to 10.3)</em></td>
<td><strong>6.8</strong> <em>(−3.1 to 16.4)</em></td>
</tr>
<tr>
<td>(polyps ≥6mm)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unassisted sensitivity</td>
<td>49.5 <em>(40.0 to 58.9)</em></td>
<td>65.9 <em>(56.4 to 74.7)</em></td>
<td><strong>−16.4</strong> <em>(−24.0 to −8.3)</em></td>
</tr>
<tr>
<td>(polyps ≥6mm)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unassisted specificity</td>
<td>92.6 <em>(89.0 to 95.5)</em></td>
<td>93.5 <em>(90.5 to 95.9)</em></td>
<td>−0.9 <em>(−4.4 to 2.5)</em></td>
</tr>
<tr>
<td>(polyps ≥6mm)</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Sensitivity with CAD</td>
<td>61.1 <em>(50.0 to 71.1)</em></td>
<td>70.1 <em>(60.5 to 78.7)</em></td>
<td>−9.0 <em>(−18.4 to −0.3)</em></td>
</tr>
<tr>
<td>(polyps ≥6mm)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Specificity with CAD</td>
<td>89.2 <em>(84.7 to 92.8)</em></td>
<td>92.7 <em>(89.0 to 95.5)</em></td>
<td>−3.5 <em>(−7.4 to 0.2)</em></td>
</tr>
<tr>
<td>(polyps ≥6mm)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change in sensitivity</td>
<td><strong>11.6</strong> <em>(1.9 to 20.5)</em></td>
<td><strong>4.2</strong> <em>(−2.0 to 10.5)</em></td>
<td><strong>7.5</strong> <em>(−2.6 to 16.8)</em></td>
</tr>
<tr>
<td>with CAD (polyps ≥6mm)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change in specificity</td>
<td>−3.4 <em>(−8.0 to 0.8)</em></td>
<td>−0.8 <em>(−3.4 to 1.7)</em></td>
<td>−2.6 <em>(−7.5 to 2.0)</em></td>
</tr>
<tr>
<td>with CAD (polyps ≥6mm)</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
6.3.3 Second-read CAD

Data for second-read CAD were only available for experienced readers (as this reading paradigm was not tested directly in the earlier study of inexperienced readers) and are shown in Table 23. There was a significant rise in mean sensitivity of 6.9% for patients with all polyps (rising from 57.5% to 64.4%), with a non-significant fall in mean specificity of -2.0% (falling from 91.0% to 89.0%). Thus in a series of 200 patients (100 with polyps) experienced readers would identify 6 or 7 additional patients with polyps on average, at a cost of 2 additional false-positives. These data gave a significant CAD net benefit of 6.5 (95% CI: 2.2 to 10.9). Mean per-patient sensitivity for patients with polyps ≥6mm rose significantly by 6.9% also, with a non-significant fall in specificity of -0.9%.

Second-read CAD was not tested on inexperienced readers but we can infer at least a similar impact to that seen in the experienced reader group, with second-read CAD likely to confer positive net benefit. Using second-read CAD experienced readers achieved an average sensitivity 25% above that when using concurrent CAD (6.9% increase with second read, 4.6% increase with concurrent read; Table 21 & Table 23). Furthermore, the reduction in specificity for experienced readers was 0.7% less using second-read CAD compared to concurrent reading (-2.0 change for second-read versus -2.7 change for concurrent; Table 21 & Table 23). Conservative estimates suggest a significant increase in sensitivity for inexperienced readers of 16.6% (14.1 plus 25%; Table 21) with a potentially significant decrease in specificity of approximately -5.5% (-6.1% plus +0.7%; Table 21).

Per-polyp sensitivity rose significantly by a mean of 7.2% for all polyps, with significant gains in mean sensitivity of 9.1% for polyps ≥6mm and 5.8% for polyps ≤5mm.

6.3.4 Other analyses

On a per patient basis, it is possible to achieve a fortuitous true-positive diagnosis while failing to identify a true polyp through erroneously assigning a false-positive polyp. The mean number of such patients was 4.3% for both experienced and inexperienced readers when unassisted,
falling with CAD to 3.9% for experienced readers and rising to 5.0% for inexperienced readers. Thus the proportion of such patients is small and the increase in sensitivity found with CAD was not due to increased false-positive detections at the per-patient level.

When unassisted, mean reading time for inexperienced readers was 11.2 min (95% CI 10.7 to 11.7) compared with 7.9 min (7.4 to 8.2) for experienced readers. When using CAD concurrently, this fell to 8.9 (8.3 to 9.4) for inexperienced readers but rose to 8.7 (8.2 to 9.3) for experienced readers.

Table 22: Per-polyp sensitivity for CAD assistance when used in concurrent mode for interpretation of CTC by inexperienced and experienced readers. All comparisons with CAD assistance are minus performance when unassisted.

<table>
<thead>
<tr>
<th></th>
<th>Novice readers (mean) [%]</th>
<th>Experienced readers (mean) [%]</th>
<th>Difference (Novice – Experienced) [%]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unassisted sensitivity (all polyps)</td>
<td>15.4 (11.3 to 20.8)</td>
<td>30.3 (23.9 to 37.7)</td>
<td>-14.9 (-19.6 to -10.5)</td>
</tr>
<tr>
<td>Sensitivity with CAD concurrent (all polyps)</td>
<td>24.4 (18.8 to 31.3)</td>
<td>34.4 (27.4 to 42.5)</td>
<td>-10.0 (-14.7 to -5.4)</td>
</tr>
<tr>
<td>Change in sensitivity with CAD (all polyps)</td>
<td>9.0 (5.1 to 13.2)</td>
<td>4.1 (1.0 to 7.5)</td>
<td>4.9 (0.3 to 9.5)</td>
</tr>
<tr>
<td>Unassisted sensitivity (polyps ≥6mm)</td>
<td>28.5 (20.2 to 36.9)</td>
<td>51.0 (40.4 to 60.9)</td>
<td>-22.5 (-29.9 to -14.7)</td>
</tr>
<tr>
<td>Sensitivity with CAD (polyps ≥6mm)</td>
<td>38.5 (29.7 to 48.3)</td>
<td>54.0 (43.0 to 64.7)</td>
<td>-15.5 (-23.0 to -7.6)</td>
</tr>
<tr>
<td>Change in sensitivity with CAD (polyps ≥6mm)</td>
<td>10.0 (3.0 to 17.3)</td>
<td>3.0 (-2.1 to 8.7)</td>
<td>7.0 (-1.2 to 14.7)</td>
</tr>
<tr>
<td>Unassisted sensitivity (polyps ≤5mm)</td>
<td>5.9 (3.0 to 10.0)</td>
<td>15.3 (10.4 to 21.2)</td>
<td>-9.3 (-14.3 to -5.6)</td>
</tr>
<tr>
<td>Sensitivity with CAD (polyps ≤5mm)</td>
<td>14.2 (8.4 to 21.4)</td>
<td>20.1 (13.9 to 28.0)</td>
<td>-5.9 (-10.6 to -0.9)</td>
</tr>
<tr>
<td>Change in sensitivity with CAD (polyps ≤5mm)</td>
<td>8.3 (4.1 to 13.6)</td>
<td>4.8 (1.5 to 8.7)</td>
<td>3.5 (-1.2 to 8.9)</td>
</tr>
</tbody>
</table>

Table 23: Effect of CAD assistance when used in second-read mode for interpretation of CTC by experienced readers. All comparisons with CAD assistance are minus performance when unassisted.

Net effect RED; statistical significance denoted by underlined figures.
<table>
<thead>
<tr>
<th>Comparison</th>
<th>Per-Patient analysis</th>
<th>Per-polyp analysis</th>
</tr>
</thead>
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<tr>
<td><strong>CAD net effect measure</strong></td>
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</tr>
<tr>
<td>(all polyps)</td>
<td>6.5</td>
<td>n/a</td>
</tr>
<tr>
<td></td>
<td>(2.3 to 10.9)</td>
<td></td>
</tr>
<tr>
<td><strong>Unassisted sensitivity</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(all polyps)</td>
<td>57.5</td>
<td>30.3</td>
</tr>
<tr>
<td></td>
<td>(49.6 to 65.2)</td>
<td>(23.9 to 37.7)</td>
</tr>
<tr>
<td><strong>Unassisted specificity</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(all polyps)</td>
<td>91.0</td>
<td>n/a</td>
</tr>
<tr>
<td></td>
<td>(87.0 to 94.8)</td>
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<tr>
<td><strong>Sensitivity with CAD</strong></td>
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<tr>
<td>(all polyps)</td>
<td>64.4</td>
<td>37.5</td>
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<tr>
<td></td>
<td>(56.6 to 72.3)</td>
<td>(29.5 to 46.1)</td>
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<tr>
<td><strong>Specificity with CAD</strong></td>
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<tr>
<td>(all polyps)</td>
<td>89.0</td>
<td>n/a</td>
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<tr>
<td></td>
<td>(84.1 to 93.3)</td>
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<tr>
<td><strong>Change in sensitivity with CAD</strong></td>
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<tr>
<td>(all polyps)</td>
<td>6.9</td>
<td>7.2</td>
</tr>
<tr>
<td></td>
<td>(2.8 to 11.3)</td>
<td>(3.9 to 10.6)</td>
</tr>
<tr>
<td><strong>Change in specificity with CAD</strong></td>
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</tr>
<tr>
<td>(all polyps)</td>
<td>-2.0</td>
<td>n/a</td>
</tr>
<tr>
<td></td>
<td>(-6.2 to 1.6)</td>
<td></td>
</tr>
<tr>
<td><strong>CAD net effect measure</strong></td>
<td>6.7</td>
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</tr>
<tr>
<td>(polyps ≥6mm)</td>
<td>(1.5 to 12.2)</td>
<td></td>
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<tr>
<td><strong>Unassisted sensitivity</strong></td>
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<td></td>
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<tr>
<td>(polyps ≥6mm)</td>
<td>65.9</td>
<td>51.0</td>
</tr>
<tr>
<td></td>
<td>(56.4 to 74.7)</td>
<td>(40.4 to 60.9)</td>
</tr>
<tr>
<td><strong>Unassisted specificity</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(polyps ≥6mm)</td>
<td>93.5</td>
<td>n/a</td>
</tr>
<tr>
<td></td>
<td>(90.5 to 95.9)</td>
<td></td>
</tr>
<tr>
<td><strong>Sensitivity with CAD</strong></td>
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<td></td>
</tr>
<tr>
<td>(polyps ≥6mm)</td>
<td>72.8</td>
<td>60.1</td>
</tr>
<tr>
<td></td>
<td>(63.3 to 81.4)</td>
<td>(48.9 to 70.4)</td>
</tr>
<tr>
<td><strong>Specificity with CAD</strong></td>
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<tr>
<td>(polyps ≥6mm)</td>
<td>92.6</td>
<td>n/a</td>
</tr>
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<td></td>
<td>(89.0 to 95.6)</td>
<td></td>
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<td><strong>Change in sensitivity with CAD</strong></td>
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<td>(polyps ≥6mm)</td>
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<td>9.1</td>
</tr>
<tr>
<td></td>
<td>(1.9 to 12.5)</td>
<td>(3.8 to 13.8)</td>
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<tr>
<td><strong>Change in specificity with CAD</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(polyps ≥6mm)</td>
<td>-0.9</td>
<td>n/a</td>
</tr>
<tr>
<td></td>
<td>(-3.7 to 1.8)</td>
<td></td>
</tr>
<tr>
<td><strong>Unassisted sensitivity</strong></td>
<td>n/a</td>
<td>15.3</td>
</tr>
<tr>
<td>(polyps ≤5mm)</td>
<td></td>
<td>(10.4 to 21.2)</td>
</tr>
<tr>
<td><strong>Sensitivity with CAD</strong></td>
<td>n/a</td>
<td>21.1</td>
</tr>
<tr>
<td>(polyps ≤5mm)</td>
<td></td>
<td>(14.3 to 29.7)</td>
</tr>
<tr>
<td><strong>Change in sensitivity with CAD</strong></td>
<td>n/a</td>
<td>5.8</td>
</tr>
<tr>
<td>(polyps ≤5mm)</td>
<td></td>
<td>(2.3 to 9.7)</td>
</tr>
</tbody>
</table>
6.4 DISCUSSION

This study aimed to quantify the incremental benefit of CAD for inexperienced versus experienced readers; both groups read the same CTC data using a concurrent CAD paradigm. Our primary outcome was a weighted combination of sensitivity and specificity for detection of patients with polyps of all sizes. We found that inexperienced readers achieved a significant, beneficial net-effect when using concurrent CAD but that experienced readers did not. The magnitude of net benefit for inexperienced readers using CAD was approximately three-times that achieved for experienced readers. This was achieved despite a significant fall in specificity with CAD for inexperienced readers (a phenomenon that did not occur with experienced readers), confirming that the rise in sensitivity outweighed the corresponding diminished specificity. For both inexperienced and experienced readers, the impact of CAD was spread across 83% of cases with polyps, indicating that benefit was not limited to a relatively small number of pivotal cases and suggesting that our findings are generalisable.

Our primary outcome was for detection of patients with polyps of all sizes, but secondary outcomes for patients with polyps ≥6mm also confirmed CAD continued to confer a significant mean net-benefit for inexperienced readers, but not for the experienced group. Per-polyp analyses also found that inexperienced readers achieved significant gains in sensitivity when CAD-assisted for polyps of all sizes and also when restricted to polyps ≥6mm and ≤5mm. Experienced readers also achieved significant gains in sensitivity for the ‘all polyps’ and ‘≤5mm’ analyses, mainly due to increased detection of both medium and smaller polyps; statistical power was limited for analyses of polyps ≥6mm, which will impact on the ability to identify significance.

Several studies have investigated the effect of CAD-assistance on inexperienced readers of CTC, both radiologists (34, 252-254) and technicians (159). However, direct comparisons of inexperienced and experienced readers are uncommon, possibly because experienced readers are more difficult to recruit to research studies than less experienced individuals (who are often trainees and/or those who wish to learn CTC). Mang and colleagues (251) used a second-reader paradigm, finding that CAD increased the sensitivity of two inexperienced readers to levels close to those achieved by two experienced readers. Our findings suggest that while CAD improves the diagnostic accuracy of inexperienced readers, in isolation CAD is insufficient to compensate for a lack of proper training and experience. For example, CAD assisted per-polyp
sensitivity for lesions ≥6mm (considered a threshold for ‘clinical significance’) was just 38.5% for inexperienced readers versus 54.0% for experienced readers. Supporting this, a study of 6 inexperienced readers who had participated in a prior study of CAD for CTC found that a single day of focussed clinical training resulted in a significant incremental gain in mean sensitivity subsequently (172). Likewise, researchers have also investigated the role of CAD prompting of potential polyps to facilitate training inexperienced readers(255).

Our comparison used concurrent CAD because both groups used this paradigm to read the same cases. However, we found that second-read CAD (tested only by experienced readers) provided a significant net-benefit to experienced readers whereas concurrent CAD did not. This suggests the second-read paradigm provides the greatest diagnostic accuracy. Other researchers have also found second-read CAD beneficial for experienced readers, using ROC AUC as the primary analysis(20). Although second-read CAD was not tested on inexperienced readers, it is plausible to expect at least a similar net-benefit to that seen in experienced readers; i.e. second-read CAD is likely to be more effective than concurrent CAD. A conservative estimate would assume a similar improvement in the inexperienced readers’ diagnostic performance between concurrent and second-read paradigms to that observed for experienced readers. This assumption suggests that per-patient sensitivity for all polyps would increase significantly by approximately 16.6% with a potentially significant decrease in specificity of approximately -5.5%.

Our primary outcome was based on detection of patients with polyps of all sizes. We chose this endpoint because the clinical trajectory for a patient found to have polyps is likely to be colonoscopy, and this usually applies irrespective of the number of polyps found as long as one crosses the size threshold for referral. We chose not to apply a size threshold for our primary outcome because doing so would reduce power (by reducing the number of patient endpoints) and there is also disagreement between radiologists and gastroenterologists regarding the appropriate diameter threshold for referral to endoscopy(256). Moreover, 3 or more diminutive polyps alone may indicate a patient at risk of developing colorectal cancer, attracting a higher CRADS score (99) and also prompting colonoscopy. Also, since smaller polyps are more difficult to detect than larger polyps, the a priori expectation would be that CAD is likely to have most impact on this category.
Mean unassisted interpretation time was significantly longer for inexperienced readers, by approximately 3 minutes, a finding that did not surprise us since we would expect experienced readers to be quicker (although it could be argued that the most accurate interpretations are the result of slow, careful inspection of the imaging data). However, the effect of using concurrent CAD was different, shortening interpretation time for inexperienced readers (by over two minutes) and raising it for experienced readers (by just under a minute). The reasons why this happened are unclear but it seems likely that when using CAD concurrently, inexperienced readers were paying less attention to un-annotated areas of the colonic lumen than they did when unassisted, which suggests an ‘over-reliance’ on CAD prompts. This phenomenon was not observed with experienced readers, possibly because they were more aware that CAD may be inaccurate, although both groups were told in advance that the CAD algorithm made both TP and FP prompts, and that it may miss polyps altogether.

This study does have limitations. Reading environment differed between groups (inexperienced participants read under ‘laboratory’ conditions over a week whereas experienced readers’ interpretations occurred over a month, at their place of work). However, the systematic review presented in Chapter 4 suggests this is unlikely to have resulted in significant bias. Also, while the CAD algorithm was identical for both reader groups (and so TP and FP prompting was identical between studies), the reading platform was different: Inexperienced readers used an in-house interface whereas experienced readers used commercially-available workstations with the CAD algorithm integrated. Our expectation that second-read CAD would lead to an even greater benefit for inexperienced readers is based on the direct comparison between the two groups using the concurrent paradigm, and the incremental benefit of second-read concurrent over concurrent for experienced readers. Although statistically plausible, our estimate remains speculative.

In summary, we found that concurrent CAD resulted in a significant beneficial net-effect when used by inexperienced readers to identify patients with any size polyp by CTC. The net-effect was approximately three-times the magnitude of that observed in experienced readers. Experienced readers had a significantly increased net effect with second-read CAD but did not benefit significantly from concurrent CAD when used to identify patients with polyps of any size. This suggests that second-read CAD would also be more effective than concurrent CAD when used by inexperienced readers.
CHAPTER 7:

7. ESTABLISHING VISUAL SEARCH PATTERNS DURING CTC: TECHNICAL DEVELOPMENT OF EYE TRACKING TECHNOLOGY, PROPOSED METRICS FOR ANALYSIS AND PILOT STUDY

AUTHOR DECLARATION

Research presented in this Chapter has been published as: Phillips P, Boone D, Mallett S, et al. Tracking gaze during interpretation of endoluminal 3D CT Colonography: Technical description and proposed metrics for analysis. Radiology. 2013;267(3):924-31 and represents a sample of the author’s ongoing collaborative work co-led with Dr Peter Phillips, medical image perception scientist, Cumbria University under the joint supervision of Professor Steve Halligan, Professor David Manning, and Professor Alistair Gale. Novel analysis metrics were designed by Dr Susan Mallett and Professor Douglas Altman with clinical guidance from the author, Professor Halligan, Professor Taylor and image perception input from Professor Manning.

The author compiled the study protocol, obtained ethical permission, recruited subjects both in the UK and Europe, contributed to metric development methodology and analysis, produced 3D CTC video for gaze tracking experiments and edited the manuscript. Eye-tracking data collection was performed by Dr Phillips.
Medical image perception research can provide valuable insight into radiological interpretation. There are quantifiable differences in visual search strategy that can be related to reader expertise (257-259) and certain search parameters such as saccadic amplitude and the ‘time to first hit’ on a target have been used as surrogates for search efficiency and accuracy (260). Moreover, eye-tracking can characterise false negative detections into errors of visual search vs. those of misclassification as it can establish whether the observer failed to see a missed lesion or simply chose to disregard it. This is potentially valuable for directing reader training. However, to date, eyetracking has been confined to mammography (258), chest radiography (39) and more recently, high-resolution thoracic CT (261). However, the visual task faced by radiologists is becoming increasingly complex with cross-sectional imaging acquiring volumetric information requiring review of multiple images, usually in several planes, and now with moving images in the case of CTC. Continuous interaction with the display is necessary to navigate these data, increasing the perceptual and cognitive burden for the reader. CTC colonography is a prime example: Colonic navigation to detect mural abnormalities often combines endoluminal and multiplanar reconstructions; simultaneous review of the complementary prone dataset adds another layer of complexity. Therefore, it is unsurprising that interpretation of CTC is difficult and requires considerable training (262). It is known that diagnostic performance varies considerably among observers but little is known regarding the search strategies used by experienced and inexperienced readers.

The technical challenge posed by recording visual search during CTC is significant; rather than a consistent abnormality on a 2D image, the target pathology (e.g. a polyp in an endoluminal flythrough) is moving, changing in size and direction, and may remain in the field-of-view for only a short period of time. Furthermore, metrics for analysing eyetracking that are well-established in the 2D literature are unlikely to transfer readily to the 3D domain. We aimed to separate perceptual error in CTC into either failure of search (i.e. failure to ‘look’ at a lesion), or failure of recognition (i.e. failing to diagnose the lesion despite having looked at it). In order to achieve this we aimed to develop eye-tracking applicable to 3D images, notably where the target pathology (in contrast to 2D display) is both moving and changing in size.
7.2  MATERIALS AND METHODS

LREC approval was granted to record eye-tracking data from six readers recruited from participants at an ESGAR CTC workshop, Stresa, Italy, 2009. All were radiology consultants or registrars and gave written informed consent. Participants completed the same questionnaire as in Chapter 3 (Appendix B) to establish previous training and experience. None had attended a prior CTC course or had experience of eye-tracking.

7.2.1  CASE PREPARATION

Anonymised CTC datasets were selected from the multicentre CAD studies described in Chapter 6 (19, 215); both studies had full ethical committee approval for data sharing. Cases included both symptomatic and screening patients from four centres. All had undergone CTC according to best practice guidelines (30, 36) followed by endoscopy. A consensus reference standard was available for each case.

To ensure polyp detection was suitably challenging, collaborating statistician, Dr Susan Mallett, selected 20 CTC cases in whom a false-negative or false-positive polyp diagnosis had been made by approximately 50% of readers in the prior studies (19, 215). The author reviewed MPR images using a proprietary workstation (V3D Colon, Viatronix Inc, Stony Brook, USA) using reference standard reports to locate lesions. 11 cases were excluded because the lesion could not be demonstrated on either endoluminal projection or because it was within five seconds’ navigation of the anorectal junction or caecal pole. A further case was excluded because of concurrent true- and false-positive polyps. Ultimately five true-positive cases (6, 8, 11, 12, 25mm according to reference standard) and two false-positive cases (5, 7mm according to study reader) were selected.

The author produced short (mean 27s; range 24 to 31s) endoluminal fly-through video clips (15fps; 384x384 pixel matrix) incorporating each lesion. Automated navigation was recorded at 75% maximum speed (considered by the author to reflect clinical practice) and edited to ensure the lesion became visible between 5 and 25 seconds at a random time-point generated using STATA (StataCorp, College Station, TX). Total clip duration, time of lesion appearance, time
of disappearance were noted and screenshots of the index lesion captured. One FP case was duplicated resulting in 8 video clips in total.

### 7.2.2  CASE READING

Eye-tracking was performed by a medical image perception scientist, Dr Peter Phillips, using a Tobii X50 eye-tracker located under the screen and Studio capture software (Tobii Technology AB, Danderyd, Sweden) hosted on a laptop. Eye-tracker accuracy was 0.5°, approximately 20 screen pixels at 60cm viewing distance. Tracker angle and orientation were entered as parameters in the tracking software.

All eight video clips were shown on an LCD monitor (Samsung SyncMaster 723N. Resolution 1280x1024. One pixel=0.264mm). Readers viewed cases in a quiet environment free from disturbance; no chin rest or head restraint was used. Readers remained unaware of the study hypothesis and prevalence of abnormality – they were merely told that some cases would include polyps. Spectacles and contact lenses were worn as normal. A five-point calibration routine matched reader gaze to screen location. When viewing the videos, readers were asked to identify any potential polyps that they would scrutinise further if encountered in normal daily practice, with a mouse click. Following an introductory video (excluded from analysis) test cases were shown in two blocks with a different random order for each reader. Eye-tracking only took place during playback. Readers could not see their data being recorded. The total time to review all cases was approximately 10 minutes.

### 7.2.3  DATA PREPARATION AND ANALYSIS

Dr Phillips examined each video frame-by-frame. The size and position of both TP and FP polyps were manually outlined using circular regions of interest (ROI), a process overseen by the author. ROI coordinates described a circle epicentre and radius from the point of lesion appearance to its eventual disappearance from view. Therefore, each video generated a sequence of circular ROIs, one per frame, encircling the index lesion to provide a representation of the size and position of the 3D ROI as viewed on the 2D screen (Figure 21)
Eye tracking from each reader/case pair was checked to confirm gaze data were contained within the video area. This acted as a secondary check on the initial calibration and monitored any drift in reported eye position during recording. Readers’ gaze moved to keep the pathology in foveal view, which we termed ‘pursuit’. This involved both fixation and ‘smooth pursuit’ eye movements(263) with the result that grouping gaze points using existing fixation methods(264) (e.g. in terms of averaged x,y points) was problematic. Therefore, gaze points were grouped into pursuits based on the distance to the polyp ROI boundary. This reframed measurements in terms of the relationship between gaze and polyp, rather than gaze within the video. For each point of gaze data acquired during a visible polyp, the distance from the gaze point to the ROI margin was calculated. Points were marked as polyp fixations if within a 50 pixel threshold around the polyp ROI boundary. Four or more contiguous region-related fixations were considered to constitute pursuit. These data were used to calculate: time to first hit (time from first polyp appearance on the screen to the reader’s first fixation within the ROI); cumulative dwell time on the ROIs; number of ROI fixations. The time from first hit to mouse click (i.e. decision time) was also calculated. A TP detection was registered if gaze intersected a ROI threshold and a mouse click was registered at this time. Two types of FN detections were identifiable: A perceptual error occurred when no gaze intersected with the moving ROI; a classification error occurred when gaze data intersected a ROI but no mouse click was registered. All other mouse clicks were considered FPs.
7.2.4 STATISTICAL ANALYSIS

Missing data was interpolated by Dr Mallett using multiple imputation methods (adapted for missing longitudinal data). Eye pursuits were defined when within 50 pixels from polyp ROI boundary for at least 80msec. Allowing for measurement error, the end of each pursuit was defined as at least 20msec when the average pursuit distance plus two standard deviations, was more than 50 pixels. Eye metrics were defined as in Figure 22 (time to first pursuit corresponding to B-A; overall decision time E-A); cumulative dwell being total time within 50 pixel distance from polyp ROI boundary. The number of pursuits was averaged across five imputed datasets and rounded to an integer.

Data were analysed using STATA 11.0 (StataCorp, College Station, TX).

7.3 RESULTS

Eye-tracking was technically feasible and data were acquired for all readers. Of the 6 readers, 1 had experience of interpreting less than 10 CTC cases, 3 had interpreted between 11 and 50, and 2 had interpreted between 101 to 200 prior to the course. Of the 8 possible positive polyp identifications, the highest score (7 identifications) was made by a reader with prior experience of 11 to 50 cases; the lowest score (4 identifications) was made by a reader with prior experience of 101 to 200 cases.

Perception and recognition errors for each polyp are shown in Table 24. Of the 48 decisions, 16 (33.3%) were errors: The vast majority (15) of these errors were errors of classification. A search error occurred in a single case. Interestingly, the smallest (5mm) and largest (25mm) polyps were the most prone to error, suggesting error was not related to polyp diameter alone. The single perceptual (search) error occurred in the case with the smallest (5mm) lesion. Table 26 shows the number of times each polyp was viewed during its time on screen. There was only one search error. The largest polyp (case 3) was viewed by all readers at least twice but only indicated with a click by a single reader (Table 27). With the exception of reader 4 looking at case 2, detection decisions indicated by a mouse click were associated with more than one gaze at the polyp.
Figure 22: Schematic time course of identified gaze and mouse events recorded during time of polyp visibility (time A to F). In this instance the reader’s gaze first fixes the polyp at time B. Reader gaze revisits the polyp twice more (time C and D) between viewing other regions of the colon video. The reader clicks the mouse to indicate suspicion, occurring at time E. The polyp disappears from the field of view at time F. The time to first hit is B - A. The overall reader decision time is E - B. The polyp was fixed 3 times (B,C,D).

Table 27 shows the decision time for each detection. The polyp on screen for the shortest time (case1, 2.47s) had the shortest decision time of 2.0s for readers who clicked on this polyp (but a high average decision time of 81% when expressed as a percentage of polyp visibility). This case had the shortest average time to first pursuit time (0.3s) and on average the cumulative eye dwell was 52% of the time the polyp was on the screen.

Table 24: Summary of errors of search and errors of recognition for 6 readers asked to interpret 5 TP CTC and 3 FP CTC cases.

<table>
<thead>
<tr>
<th></th>
<th>TP polyp cases</th>
<th>FP polyp cases</th>
</tr>
</thead>
<tbody>
<tr>
<td>Polyp diameter (mm)</td>
<td>1 2 3 4 5 6 7 8</td>
<td></td>
</tr>
<tr>
<td>Screen Time (seconds)</td>
<td>2.47 3.40 4.20 8.87 7.27 7.93 7.93 2.93</td>
<td></td>
</tr>
<tr>
<td>Total Errors</td>
<td>1 2 5 1 0 0 2 5</td>
<td></td>
</tr>
<tr>
<td>Search Errors</td>
<td>0 0 0 0 0 0 0 1</td>
<td></td>
</tr>
<tr>
<td>Recognition Errors</td>
<td>1 2 5 1 0 0 2 4</td>
<td></td>
</tr>
</tbody>
</table>
Table 25: Time to first pursuit and cumulative dwell for each polyp, for each reader. Values are seconds. A pursuit value of zero indicates that the polyp was seen immediately it became visible on the screen. Positive polyp identifications made by the reader are shown in bold. The average time to pursuit and dwell time is also shown for each case, expressed as a percentage of the time each polyp was visible. NA=missed lesion

<table>
<thead>
<tr>
<th>Reader</th>
<th>TP Cases</th>
<th>FP Cases</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0.94, 0.08</td>
<td>1.68, 3.97, 0.46, 5.58, 0.40, 4.13, 0.36, 3.47, 1.66, 0.52</td>
</tr>
<tr>
<td>2</td>
<td>0.16, 1.76</td>
<td>0.32, 2.16, 0.24, 5.34, 0.40, 4.19, 2.57, 1.78, 1.32, 0.38</td>
</tr>
<tr>
<td>3</td>
<td>0.10, 1.62</td>
<td>0.90, 1.57, 1.54, 2.93, 0.04, 4.26, 0.51, 2.17, 0.50, 2.35, 1.56, 0.34</td>
</tr>
<tr>
<td>4</td>
<td>0.12, 1.00</td>
<td>0.02, 0.78, 1.14, 5.36, 0.32, 3.15, 0.22, 2.55, 2.21, 0.44</td>
</tr>
<tr>
<td>5</td>
<td>0.50, 1.24</td>
<td>0.56, 1.30, 1.89, 0.82, 0.52, 0.31, 0.02, 3.21, 0.0, 0.88</td>
</tr>
<tr>
<td>6</td>
<td>0.2, 0.07</td>
<td>0.60, 0.98, 0.40, 1.40, 0.35, 0.53, 0.46, 4.87, 0.46, 4.91, (NA), (NA)</td>
</tr>
<tr>
<td>Mean</td>
<td>0.3, 1.29</td>
<td>0.65, 1.69, 0.51, 1.81, 1.46, 2.01, 0.31, 4.93, 0.35, 3.62, 0.69, 3.04, 1.35, 0.43</td>
</tr>
<tr>
<td>%Age</td>
<td>12, 52</td>
<td>19, 50, 12, 43, 16, 23, 4, 68, 4, 46, 9, 38, 15, 5</td>
</tr>
</tbody>
</table>

The polyp on screen for the longest time (case 4, 8.87s) had decision times ranging from 2.10s to 7.86s (Table 27). The reader of this case with the shortest decision time (reader 2) saw the polyp 3.25s after it had appeared and gazed at the polyp 10 times for a total of 2.16s. The longest decision time was made by reader 6, who saw the polyp 0.40s after it had appeared, and used 3 gazes with a cumulative dwell of 1.40s (Table 26 and Table 27). One video was viewed twice by all readers (polyp 6 and 7). Times to first pursuit and the number of gazes were similar within readers, although two of the six readers had decision errors in one viewing and not in the other (Table 27).

Plotting gaze on the video area (Figure 23) does not show the temporal relationship between points. While some clustering of points was apparent, the ordering is unknown.
Table 26: Number of times each polyp was viewed by each reader during its time on screen. View was defined by the reader’s gaze crossing the region threshold and remaining within it for a minimum of 4 points (80ms). Figures in bold denote a positive identification made by the reader.

<table>
<thead>
<tr>
<th>Reader</th>
<th>TP polyp cases</th>
<th>FP polyp cases</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1  2</td>
<td>3  4</td>
</tr>
<tr>
<td></td>
<td>5  6</td>
<td>7  8</td>
</tr>
<tr>
<td>1</td>
<td>1  1</td>
<td>5  2</td>
</tr>
<tr>
<td></td>
<td>5  2</td>
<td>8  7</td>
</tr>
<tr>
<td>2</td>
<td>3  4</td>
<td>7  5</td>
</tr>
<tr>
<td></td>
<td>4  10</td>
<td>7  7</td>
</tr>
<tr>
<td>3</td>
<td>4  3</td>
<td>9  7</td>
</tr>
<tr>
<td></td>
<td>7  7</td>
<td>6  2</td>
</tr>
<tr>
<td>4</td>
<td>2  1</td>
<td>4  9</td>
</tr>
<tr>
<td></td>
<td>2  4</td>
<td>5  1</td>
</tr>
<tr>
<td>5</td>
<td>3  2</td>
<td>2  2</td>
</tr>
<tr>
<td></td>
<td>6  9</td>
<td>9  9</td>
</tr>
<tr>
<td>6</td>
<td>3  4</td>
<td>2  3</td>
</tr>
<tr>
<td></td>
<td>7  10</td>
<td>5  (missed)</td>
</tr>
</tbody>
</table>

Table 27: Decision time (s) for each reader for each polyp, with the average overall for each polyp. Recognition errors are denoted by a blank cell. The single search error is shown by an asterisk.

<table>
<thead>
<tr>
<th>Reader</th>
<th>True positive polyp cases</th>
<th>FP polyp cases</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1  2 3 4 5 6 7 8</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>1.74 2.35</td>
<td>6.36 6.94 2.15</td>
</tr>
<tr>
<td>2</td>
<td>2.26 1.86 2.86 5.65 4.78</td>
<td>6.42 6.07</td>
</tr>
<tr>
<td>3</td>
<td>2.21 1.20 4.73 5.47 6.67</td>
<td>5.73</td>
</tr>
<tr>
<td>4</td>
<td>2.10 3.91 6.16</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>1.84 3.13 2.10</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>7.31 4.90 6.09 6.23</td>
<td></td>
</tr>
</tbody>
</table>

Average decision time (sec) | (81%) (63%) (68%) (62%) (72%) (83%) (76%) (73%)

Percentage of polyp visibility time | 2.00 2.14 2.86 5.53 5.24 6.59 6.01 2.15
Figure 23: Distribution of a reader’s gaze in a 25s video case with a 12mm polyp. Each individual dot represents a gaze point (sample rate 50Hz).

However, it was possible to visualize the temporal component of the data by plotting x and y coordinates as separate lines (Figure 24). Since time was preserved, the polyp centre position and maximum extent could be plotted as separate x and y areas. Thus polyps are plotted as areas rather than discrete lines or points, each box being 66.7ms wide, the interval of one video frame (Figure 24). The extent of the area added due to the distance thresholding is also plotted. The calculated distance from the polyp boundary to gaze points is shown in Table 26. Two pursuits can be identified. The first is the initial 200ms when the polyp is on screen. The reader’s gaze was already in the region where the polyp appeared, and tracked the polyp approximately 40 pixels from the polyp boundary. The second pursuit is approximately 16550 to 17200ms, a duration of 650ms. In this instance the pursuit follows the edge of the polyp as it moves and increases in area.
Figure 24: Time course of reader eye gaze and polyp extent for a single reader (reader 5) reading case 8 (5mm polyp). The line represents reader gaze position in the Y (top) and Y (bottom) video coordinates. The maximum extent of the polyp in the horizontal (X) and vertical (Y) directions for each video frame is shown in green, bounded by the 50 pixel distance threshold (grey border). X and Y extent increases as the polyp approaches the edges of the screen. Both X and Y gaze components must be contained within the polyp & threshold region for a minimum of four points to be deemed a pursuit.

Figure 25: The calculated distance from gaze to the polyp boundary (line), over the same time axis as Figure 24. Two dashed lines are shown: the upper line is the 50 pixel distance threshold, the lower line represents the boundary of the polyp. A point with a negative distance value indicates that the point is within the polyp region.
In order to investigate interpretation of modern 3D medical image displays, we have developed a novel method to track visual gaze when pathology is both moving and changing in size. We have shown that data collection is feasible and have developed suitable metrics derived from plotting gaze and calculating intersections with the region of pathology. Polyps were described frame-by-frame by circular ROIs, and individual gaze points were grouped into ‘pursuits’ based on distance to the time-appropriate ROI boundary. It is the boundary, the edge of the polyp against the background, which contains useful visual information. Figure 23 shows a single pursuit where reader gaze maintained a fixed distance to the polyp ROI boundary, despite the polyp changing size and position over the lifetime of the pursuit; the reader’s attention was focused on the polyp edge rather than the centre. Metrics such as time-to-first-hit and number-of-dwells, used in pulmonary nodule (266) and mammographic (38) interpretation, have been reinterpreted for gaze pursuits of moving lesions with changing size.

Endoluminal navigation requires a visual search strategy that samples ROIs before they move out of view. However, competition from other features, perhaps closer to the screen edge and therefore larger and more detailed, may mean other ROIs must be revisited later. Readers must judge the optimal time to look at a feature, trading size and detail against remaining screen time. Gaze tracking demonstrates how readers allocate attention. Our metrics can resolve differences in reader visual search behaviour. The example of two readers (2 and 6) of the longest case on screen (case 4), shows different approaches to identification: There is marked difference in the number of pursuits, but both result in a positive identification. Reader 2 made their decision quickly and early, but with multiple gazes (10 – average 216ms), indicating that they had to attend to other features during their decision. Reader 6 saw the polyp early but attended to other areas for longer, making fewer (but longer) gazes at the polyp (3 – average 467ms) and not making a decision until the polyp was about to go off screen. Both readers had similar experience and identifications (11-to-50 case; 5 of 8 correct identifications).

This study does have limitations: We investigated endoluminal fly-through, but only in automatic mode. Readers clicked to indicate interest, but could not stop and inspect as per
usual daily practice. Also, irregular polyps and those seen in profile were difficult to characterise precisely using a single circular ROI. Other boundary descriptions are possible to improve boundary accuracy but will require more complex calculations. The 50 pixel distance threshold was constant across all polyp sizes. A side-effect of this decision is that distant polyps can be called as ‘seen’ too early. A threshold based on a percentage of the polyp region radius would have the opposite effect; larger polyps would have a large threshold. Any future thresholding technique must be able to account for polyps at both small and large scales. We limited our investigation to inexperienced readers; it will be informative to investigate differences between experienced readers and between inexperienced and experienced readers.

In summary, eye-tracking volumetric data presents unique challenges for recording what is on the screen where and when, and synchronising that data with gaze data. The properties of volume imaging modalities, particularly that not all scan data is visible simultaneously, challenges standard 2D metrics. We have reframed the problem by considering the relationship between gaze and lesion, rather than screen/image area. The metrics we developed can describe differences in reader gaze behaviour and attention distribution when interpreting an automatic CTC fly-through. Perceptual errors can be classified into visual search errors and recognition errors. Classification errors are most frequent in inexperienced readers.

The next Section describes development and validation of novel computer algorithms that aim to improve lesion classification by providing accurate corresponding endoluminal locations in prone and supine CTC datasets.
SECTION D:
DEVELOPMENT AND VALIDATION OF A NOVEL COMPUTER ALGORITHM TO FACILITATE CT COLONOGRAPHY INTERPRETATION

OVERVIEW

The research discussed thus far reaffirms the observation that CTC interpretation is difficult; the results of Chapter 6 suggest some experienced readers may achieve relatively disappointing performance even despite CAD assistance. Moreover, while CAD can partially compensate for inexperience, many novice readers continue to perform well below satisfactory levels. This is of particular concern given the significant number of radiologists interpreting CTC in daily European practice with little experienced suggested in Chapter 3. Moreover, increasing sensitivity comes at the expense of additional FP detections and while Chapter 5 suggests this may be considered of little clinical consequence by patients, it has profound impact on cost-effectiveness and subsequent implementation. Although sample size is small, our eye-tracking research suggested that, among inexperienced observers, most errors were due to suboptimal lesion characterisation; facilitating classification of potential pathology should improve reader
performance. As discussed at the outset of this Thesis, matching polyps on both the prone and supine acquisitions is central to accurate lesion characterisation but is also challenging: The gas-filled bowel undergoes significant deformation and movement during the change of position(27), complicating polyp matching, prolonging reporting time, and potentially engendering error. Our group has developed a non-rigid computer aided registration technique that can match prone and supine endoluminal surface points despite colonic deformation, with the aim of facilitating CTC interpretation and hence, improving diagnostic performance.

The CASPR (Computer Assisted Supine-Prone Registration) algorithm development described in the following Section was led by computer scientists, Mr Holger Roth (Chapter 8) and Mr Thomas Hampshire (Chapter 9) under the supervision of Professor David Hawkes, University College London. Methodological descriptions, figures and equations have been adapted with their kind permission to provide the technical introduction to the Author’s in vitro (Chapter 10) and in vivo (Chapter 11) validation of this novel software.
CHAPTER 8

8. DEVELOPMENT OF A NOVEL COMPUTER ALGORITHM FOR MATCHING PRONE AND SUPINE ENDOLUMINAL LOCATIONS DURING CTC INTERPRETATION

AUTHOR DECLARATION

The research presented in this Chapter was published in: Roth HR, McClelland JR, Boone DJ, et al. Registration of the endoluminal surfaces of the colon derived from prone and supine CTC. Medical Physics, 2011;38:3077-89.(267). Holger Roth led this project under the supervision of Professor David Hawkes, and the technical description contained in this Chapter is reproduced with their permission. The author’s collaboration involved establishing ethical approval to recruit patients for algorithm development, gathering CTC data thus generated, designing and performing the clinical validation study, and editing manuscripts. While the author contributed to algorithm development, programming and implementation were performed by collaborators.

8.1 INTRODUCTION

As described above, interpretation of CTC is difficult and time consuming even for experienced readers. Although the technical quality of the CT data has an impact on diagnostic accuracy, perceptual error on the part of the reporting radiologist accounts for the majority of missed pathology. Retained faecal matter or anatomical structures such as thickened haustral folds can closely simulate pathology, and collapsed segments impair visualisation. CTC is therefore performed routinely with the patient in both the prone and supine position. This procedure redistributes gas and faeces and presents the opportunity for abnormalities masked on one acquisition to become visible on the other. Also, potential abnormalities identified on one scan
are more likely to represent true polyps if identified in an identical position on the other, since polyps (in general) do not move whereas fluid and residue does. Matching identical colonic locations between the prone and supine data acquisitions is thus a cornerstone of interpretation. Unfortunately however, the colon is tortuous and deformable with the result that positional shifts between the prone and supine acquisitions complicate the observer’s task of matching corresponding locations. In order to address this, we have developed a novel computational method to aided prone-supine image registration, so that corresponding locations between the two scans can be identified rapidly by the reader, with the aim of reducing interpretation time and increasing diagnostic accuracy.

8.2 METHODS 1: ALGORITHM DEVELOPMENT

8.2.1 SUMMARY OF THE IMAGE REGISTRATION PRINCIPLE

Establishing a cylindrical representation of the 3D endoluminal colonic surface enables each surface point to be described in two dimensions. Therefore, each endoluminal point can be described using two indices $x$ and $y$, where $x$ describes the length along the colon and $y$ denotes its angular orientation. Nevertheless, the colorectum is not a simple cylinder and transforming a complex 3D structure in two dimensions poses considerable geometric challenges. In addition, it is necessary to preserve the complex surface information such as haustra and, most importantly, mural pathology. Methods have been developed to ‘unwrap’ such cylindrical representations known as ‘virtual dissection’ or ‘filet’ views. These visualisation techniques have been adopted by several workstation vendors(40) as they enable a rapid overview of the colonic surface(268).

One solution for mapping the colonic surface to a cylinder utilises conformal mapping. Conformal maps are typically applied to triangulated surface meshes to enable simplified representation of the 3D object in 2D space. These methods are based on differential geometry and ensure one-to-one mapping of the 3D surface to 2D space while preserving local angles in
the triangles of the mesh (269). This, consequently preserves the appearance of local structures, e.g. polyps and haustral folds (270).

The registration algorithm described in this Chapter is based on the following principle: A prone endoluminal colonic surface $S_p$ in $\mathbb{R}^3$ can be transformed using conformal one-to-one mapping $f_p$ to a parameterisation $P_p$ in $\mathbb{R}^2$. Likewise, the supine surface $S_s$ is mapped to the supine parameterisation $P_s$ using the mapping function $f_s$. Applying a transformation $T_{cyl}$ it is possible to transform the cylindrical representation $P_p$ to $P_s$. However this transformation must be non-rigid in order to account for colonic deformations such as torsion and stretching, introduced when the patient changes position from prone to supine (27). Having established $T_{cyl}$ then the transformation $T_{ps}$ required to transform between the surfaces $S_p$ and $S_s$ follows as shown in Figure 26:

![Diagram](image)

Figure 26: The principle of colon surface registration between prone and supine CTC using a cylindrical 2D parameterisation. The colour scale indicates the shape index at each coordinate of the surface computed from the 3D endoluminal colon surfaces. The hepatic and splenic flexures are marked as hfp/s and sf p/s respectively (p/s denotes prone/supine).

Therefore, the process can be broken down into a series of discrete stages: firstly, the 3D endoluminal surface must be extracted from the colonography data; this is then converted to a triangulated mesh. The mesh is converted to a cylinder whilst preserving surface curvature information using conformal mapping; the same is performed for the opposing prone colonography data. Having achieved two cylindrical surface parameterisations, the freeform deformation required to transform between the cylinders is calculated. This then enables the
calculation of a corresponding point for any location on either endoluminal surface. These steps are considered in greater detail below.

8.2.2 SEGMENTATION OF THE ENDOLUMINAL SURFACE FROM CTC DATA

The result of the segmentation process should be familiar to anyone who interprets CTC as this is the fundamental step in generating the endoluminal fly-through. There are several methods; we implemented the technique described by Slabaugh et al (271). Using proprietary software (MedicRead 3.0, Medicsight Ltd, Hammersmith, London) high attenuation luminal oral contrast is subtracted to provide ‘digitally cleansed’ prone and supine datasets. Next, the inflated lumena $L$ are extracted by identifying gas-density voxels within each dataset. Other gas-containing structures such as small bowel and the lung bases are often erroneously segmented simultaneously, either separately or in continuity with the colonic lumen. Indeed, most colonography workstations enable the reader to check the segmentation to ensure it has not included terminal ileum. Extracolonic gas is excluded using a combination of shrinking (‘eroding’) and re-dilating the lumen. Ultimately, although the process is automated, a final manual check is made to ensure accurate segmentation, just as the reader would when performing a fly-through in clinical practice.

8.2.3 CENTRELINE EXTRACTION

Another crucial step involved in generating an automated endoluminal flythrough is extraction of the central path along the colonic lumen - the centreline. The centreline can be extracted with the method described by Deschamps et al (272) based on evolving a wave front through the colon using the fast marching method (273). This is illustrated in Figure 27 using a synthetic colonic image. Other methods such as Sadleir’s (274) could be used providing they guarantee the extraction of a topologically correct centreline.
Figure 27: Centreline extraction using the fast marching method on a synthetic image: a map of the distance to the endoluminal surface (left) is used as a speed function $F(x)$. After wave propagation through the colon (right), the centreline path can be extracted by following the steepest gradient of the wave function (colour coded from blue to red).

The path should run from the anorectal junction to the tip of the caecal pole and extraction requires a defined start- and end-point. Usually, the most caudal point in the colonic lumen is selected as this corresponds to the patient’s anorectal junction in both projections. The caecal endpoint can be identified from the most caudal luminal point to the right of the abdomino-pelvic volume. These positions tend to be relatively fixed due to their retroperitoneal or sub peritoneal locations; good point correspondence improves similarity between the prone and supine rectal and caecal surface areas when conformally mapping to a cylinder as described below (8.2.8).

### 8.2.4 Topological correction

The colonic lumen $L$ is now represented as a single 3-dimensional structure with a start and a finish. However, topological errors occur due to reconstruction artefacts, image noise, or attempted subtraction of inhomogeneously tagged fluid (secondary to suboptimal faecal tagging). In particular, this occurs at flexures or haustra where the thin-walled colon folds back upon itself, resulting in surface connections known as ‘handles’ (270) (Figure 28). The centreline is used to remove these handles by adapting a topology correction method used for the extraction of topologically correct thickness measurements of the human brain(275).
Figure 28: Left: Enlarged view of handles and an erroneous connection caused by limitation of the segmentation quality, resulting in incorrect topology. Right: the same surface region after topological correction. Comparison of the highlighted surface areas shows that the handles are now removed and the endoluminal surface is of genus zero.

8.2.5 COLONIC SURFACE EXTRACTION

Having performed topological correction of the luminal volumes ($L_{\text{corr}}$), it follows the surfaces extracted from the gas-tissue interface of these volumes are also topologically correct (i.e. of genus zero). Therefore, the endoluminal colonic surfaces $S$ are modelled as triangulated meshes on the surfaces of $L_{\text{corr}}$ using the ‘marching cubes’ algorithm (276) with subsequent smoothing using the method described by Taubin(277). This facilitates convergence to a 2D parameterisation as described below. Furthermore, the mesh is decimated using a quadric edge collapsing method(278) to reduce complexity and shorten computation time. We automatically detected any resulting self-intersecting faces and vertices using the utilities available in the open source software Meshlab(279) (http://meshlab.sourceforge.net/). This procedure results in a simply connected genus-zero surface $S$ of the colonic lumen $L_{\text{corr}}$. On average, the resulting surface meshes for cases described in this Chapter had around 60,000 faces with typical edge lengths of 3.3 ($\pm$ 1.3) mm.
8.2.6 CYLINDRICAL REPRESENTATION OF THE ENDOMINAL COLONIC SURFACE VIA DISCRETE RICCI FLOW

As described above, the endoluminal colon surfaces \( S \) can be modelled as piecewise-linear meshes composed of vertices \( v_i \) that are connected using triangular faces. Those surfaces \( S \) can be transformed using a conformal mapping method. One such method to parameterise arbitrary discrete surfaces was introduced by Hamilton (280) for Riemannian geometry based on Ricci flow. Ricci flow deforms the surface proportionally to its local Gaussian curvature similar to a heat diffusion process until it converges towards a desired Gaussian curvature. It can be formulated for discrete surfaces such as triangulated meshes (281). Rather than mapping the surface to a rectangle as with other methods (282), the Ricci flow does not require a boundary. Many other conformal mapping methods require the definition of a boundary along the surface in order to enable a mapping of this boundary from 3D to 2D (269). This typically requires selecting an arbitrary path (often the shortest path) where the surface can be sliced open. This path is then mapped onto the boundary of a rectangle in 2D which constrains how all other vertices are mapped to 2D. When computing parameterisations using Ricci flow, there is no requirement to define such a boundary which is advantageous. Qiu et al (283) were the first to apply Ricci flow to a colonic surface using volume rendering for the purpose of visualisation; we implement a modification of their approach.

The original genus-zero surface \( S \) has to be converted to a surface \( SD \) of genus-one for the purpose of cylindrical endoluminal surface parameterisation (281). This involves converting a spheroid surface to a torus-like surface. Therefore, we create holes in the surface mesh by removing vertices and connected triangular faces closest to the previously selected caecal and rectal points. The remaining surface is doubled, inverted the remaining surface to create the torus. The resulting surface \( SD \) serves then as input to the Ricci flow algorithm.

8.2.7 EMBEDDING INTO TWO-DIMENSIONAL SPACE

Following Ricci flow convergence, the surface mesh has its local Gaussian curvatures \( K_i \), tending to zero everywhere and hence, can be embedded into two-dimensional space \( \mathbb{R}^2 \), using the edge lengths of each triangle to iteratively add remaining triangular faces, similar to
the method described by Jin et al (281). When the errors in the planar embedding are small enough, the Ricci flow can be stopped resulting in a continuous 2D parameterisation $P$.

### 8.2.8 Generating Cylindrical Images

The 2D mesh $P$ represents a regular cylinder and can be re-sampled between $0$ and $360^\circ$ to generate rectangular raster images $I$ for use in an intensity-based cylindrical registration (Figure 29). Here, the horizontal dimension $x$ corresponds to a distance along the colon from caecum to rectum and the vertical dimension $y$ to the angular position around the circumference of the colon.

![Figure 29: Sampling the unfolded mesh to generate rectangular raster-images $I$ suitable for image registration. Each band represents a shifted copy of the planar embedded meshes $P$ which are sampled between the horizontal lines to cover a full $360^\circ$ of endoluminal colon surfaces $S$.](image)

Each pixel comprising the raster image $I$ has an intensity value assigned to it in order to drive a non-rigid cylindrical registration. These values are estimated from the local surface shape index ($SI$) computed on each vertex $v_i$ of a given triangle on the 3D surface mesh $S$. The shape index $SI$ is a normalised shape descriptor based on local curvature (Figure 30) (284) that can describe the local colonic structures such as haustra, folds and polyps. Consequently, it has been successfully integrated into colon CAD algorithms (285).
Figure 30: The shape index (SI) is a normalised shape measurement to describe local surface structures (285).

Sampling this curvature intensity information onto the parameterisation \( P \) results in ‘heat map’ raster-images \( I \) for supine and prone endoluminal colon surfaces as shown in Figure 31 (top, middle). The top and bottom edges of the images \( I \) correspond to the same line along the endoluminal surface \( S \), running from caecum to rectum. Thus, these images \( I \) represent the endoluminal colonic surface as cylinders. Corresponding features, like haustral folds or the teniae coli are clearly visible in Figure 31. By using this curvature data to drive an intensity-based registration method, the cylindrical images can be non-rigidly aligned to provide full spatial correspondence between the prone and supine endoluminal surfaces \( S_p \) and \( S_s \) as follows.

Figure 31: Supine (top), prone (middle) and deformed supine deformed to match prone (bottom) raster images where each pixel has the value of the corresponding shape index computed on the endoluminal colonic surface. The \( x \)-axis is the position along the colon, while the \( y \)-axis is its circumferential location. The \( x \)-positions for the detected hepatic and splenic flexures are marked as \( x_{\text{hepatic}} \) and \( x_{\text{splenic}} \). The location of a polyp is marked before (top) and after registration (middle, bottom).
8.2.9 Establishing Spatial Correspondence Between Prone and Supine Datasets

The complex 3D endoluminal prone and supine colonography surfaces have now been simplified to 2D cylindrical representations. However, the anatomical structures remain misaligned due to torsion and linear deformations that take place between CT acquisitions. Consequently non-rigid image registration can be employed to align these local anatomical structures based upon their surface curvature information described above. To provide reproducible points from which to initialise the registration algorithm, corresponding hepatic flexure ($hf_{ps}$) and splenic flexure ($sf_{ps}$) surface points are identified in both datasets. Flexure detection is based on the local maxima of the centreline $z$-coordinate, i.e. the two most cranial points on the luminal volume must represent the splenic and hepatic flexures. The hepatic flexure is easily identified as it is closest to the caecum. The corresponding $x$-positions for the hepatic and splenic flexures are extrapolated by linear scaling onto the surface parameterisations, marked as $x_{hepatic}$ and $x_{splenic}$ in Figure 31. These flexure positions are used to initialise non-rigid deformation.

8.2.10 Free-Form Deformation and Non-Rigid Image Registration

As described previously, the cylindrical representations are used to generate shape index raster images $I_p$ and $I_s$, where each pixel corresponds to a voxel position on the endoluminal colonic surface in 3D. Alignment between $I_p$ and $I_s$ is established using a cylindrical non-rigid B-spline registration method, based upon free-form deformation developed by Rueckert et al (286) with fast implementation provided by Modat et al (287) using the open-source software package NiftyReg (http://sourceforge.net/projects/niftyreg). Displacement along the $x$-axis (along the centreline) at the colonic ends is avoided by fixing the $x$-displacement of the first and last points ensuring the rectum and caecum remain aligned yet allowing for colonic torsion. When optimising B-spline registration parameters, we examined a sub-set of available cases visually for haustral fold alignment and for polyp alignment following registration. Registration itself follows a coarse-to-fine approach, first registering to the largest deformations and then resolving the smaller differences between both images where $I_p$ is the
target and \( I_s \) is the source. The image resolutions are doubled until reaching \( 4096 \times 256 \) \((n_x \times n_y)\) pixels. The cylindrical B-spline registration results in a continuous transformation around the entire endoluminal colon surface and allows the mapping \( T_{cyl}(\bar{x}) \) between \( P_p \) and \( P_s \) in cylindrical space. From this 2D mapping it is straightforward to determine the full 3D mapping \( T_{ps} \) between \( S_p \) and \( S_s \) using \( f_p \) and \( f_s \) as shown previously in Figure 26. Figure 32 illustrates the registration result obtained by applying a B-spline deformation field to a colonic segment.

Figure 32: Deformation field on a Section of the colon at the final, highest resolution step. The deformation field has been used to deform a regular B-spline grid and been overlaid on top of the deformed supine (red) and target (cyan) cylindrical images.

8.2.11 DEALING WITH COLONIC UNDER-DISTENSION

Despite optimal CTC technique (mechanical CO\(_2\) insufflation, spasmolysis etc.)\((30)\), segments of colonic collapse occur, particularly when the patient changes position from supine to prone\((288)\). Furthermore, residual colonic fluid due to suboptimal bowel preparation can occlude the colonic lumen. This situation is encountered commonly in daily practice; data from the ACRIN CTC trial \((16)\) suggest collapse and distension affect approximately 50% of colonography cases \((288)\). Consequently, the segmentation process described above (p151)
will extract a discontinuous luminal volume and hence multiple segments for endoluminal surface extraction. Many vendor workstations allow the radiologist to manually select the order in which these disjointed colonic segments lie along the centreline.

Figure 33 illustrates one such patient with distal colonic collapse (or luminal occlusion by fluid residue) in the supine dataset.

Figure 33: A case where the descending colon is collapsed in the supine position (marked, right image) but fully distended in the prone (left).

It follows that any registration method relying upon the distance along the centreline will be hindered by a discontinuous colonic lumen unless the length of the ‘missing’ segment can be calculated and interpolated. Furthermore, even if algorithms are developed to estimate the length of the collapsed segment, complex biomechanical models are required to calculate the potential length of this region when fully distended. Nonetheless, some centreline-based methods appear to overcome local colonic collapse to register with reasonable accuracy (289-291). However, centreline algorithms provide only a 1D correspondence from which to begin searching for pathology; the focus of this Chapter is providing 3D, voxel-level correspondence.

At the time of writing, only Suh et al. (292) have published 3D registration results in cases with
luminal collapse; they report limited accuracy. This subject is discussed in further detail in Chapter 11.

The algorithm version validated later in this Chapter relied upon manual delineation of collapsed segments (Figure 34). Subsequent algorithm development and integration into a feature-based initialisation has overcome this limitation and is the focus of Chapter 9.

Figure 34: Cylindrical representation as raster images of the collapsed supine (top), prone (middle) and deformed supine (bottom) endoluminal colon surface. The length of the collapsed segment (solid black bar) is interpolated manually in this version of the algorithm. Note the accuracy of polyp alignment (white arrows) is unaffected by the luminal discontinuity in this instance.

8.3 METHODS: VALIDATION

Ethical permission was obtained to utilise anonymised CTC data acquired as part of routine day-to-day clinical practice at University College Hospital, London. CTC had been performed in accordance with consensus recommendations(30) and any abnormality subsequently validated via optical colonoscopy. Initially, to ensure spatial correspondence could be achieved across complete endoluminal surfaces, we selected 24 patients with optimal colonic cleansing and distension. While cases with minimal colonic residue were included, cases with homogenous faecal tagging were preferred; digital cleansing enabled continuous segmentation around the full colonic lumen as described above (p151). Cases were chosen with a widespread distribution of polyps to enable assessment of registration over the entire endoluminal surface.
The datasets were subdivided into 12 development sets and 12 validation sets by random permutation. During development, difficulty with visual identification of corresponding features in cylindrical image representations was noted for some cases. Further examination revealed this was due to either large differences in colonic distension between the prone and supine data or to insufficient fluid tagging, causing endoluminal surface artefacts. Large differences in distension can lead to dissimilarity of surface features (such as distorted haustral folds) and this can also influence conformal mapping. For example, Figure 35 and Figure 36 show such a case with marked differences in cylindrical representations, resulting from differing distension. Visual inspection of the surface representations led to exclusion of 4 development datasets with marked differences in local distension. Moreover, 4 validation set cases were excluded on the same grounds resulting in a total of 8 data sets with continuous colonic segmentations for validation.

Figure 35: Marked distension discrepancy changes the shape index of the cylindrical representations in supine (top) and prone (bottom). 3D renderings are shown below

Figure 36: Differing distension in prone and supine acquisitions causes dissimilar local features in the cylindrical images.
A further 5 cases with local colonic collapse were selected for validation providing the 3D endoluminal surfaces $S$ were judged visually to have sufficiently similar distension in the non-collapsed regions. This selection process resulted in a total of 13 cases (8 fully connected sets and 5 with local colonic collapse) for validation using polyps and haustral fold reference points as described in the following paragraphs.

8.3.1 VALIDATION USING POLYP REFERENCE POINTS

The author preformed a directed search for polyps in both prone and supine CTC scans using multi-planar reformats and endoscopy reference data. Coordinates describing the endoluminal surface location of polyps were derived by modifying the approach of Yushkevich (293): Using a segmentation tool for medical images, ITK-SNAP (www.itksnap.org), the author manually circumscribed each polyp, frame-by-frame, on both acquisitions providing corresponding prone and supine endoluminal surface coordinates to test the algorithm Figure 37.

Figure 37: Delineating 3D polyp volumes using ITK-snap, a tool for segmentation of medical images. Note the 3cm caecal mass is overlaid by a red mask. Such volumes can be mapped onto the cylindrical representations to test algorithm registration accuracy.
The author manually labelled polyp masks in the prone and supine data by visual inspection of the unfolded cylindrical representations. Prior to registration, polyps were masked in the 2D cylindrical images $I$ as shown in Figure 38 thus preventing polyps’ surface features from influencing the results.

![Figure 38: Masking polyps to ensure they do not influence subsequent registration: polyps in unfolded view (left). Masked polyps (right) to be ignored in registration. The centre of mass $c$ which is used as a reference point is marked (white cross)](image)

To calculate registration accuracy, a single point correspondence $c(x, y)$ was chosen at the centre of each polyp on the 2D representations. These points lie on the surfaces $S_p$ and $S_s$ respectively and approximate closely to the polyp apex (Figure 38, right). Each 2D reference point $c(x, y)$ corresponds to a 3D point $c'(x, y, z)$ on the endoluminal surface $S$. Therefore, each polyp reference point $c'_s$ on the supine endoluminal surface $S_s$ was transformed using the 3D mapping function $T_{ps}$ to find the corresponding point $T_{ps}(c'_s)$ on corresponding prone endoluminal surface $S_p$. The 3D Euclidean distance to $c'_p$, on surface $S_p$ is the gross 3D registration error.

All 8 datasets used to refine the algorithm had clearly corresponding features in both prone and supine 2D representations, as shown in Figure 31. By using a ‘heatmap’ approach to display surface curvature intensity (shape index) information, folds and polyps are readily conspicuous as yellow-red areas whereas relatively featureless intervening haustration is
shown as blue-green. Likewise, following cylindrical B-spline registration, the corresponding features are well aligned (Figure 31, bottom). The registration results are shown in Figure 39 and Figure 40.

Figure 39: Overlay of masked out polyps before (left) and after (right) B-spline registration. The prone image is coloured red with a yellow polyp mask, and the supine is coloured cyan with a blue polyp mask. After establishing spatial correspondence, aligned features display gray and the overlapping region of polyp masks in green.

Figure 40: Polyp localisation after registration using the prone (left) and supine (right) virtual endoscopic views. The black dot shows the resulting correspondence in the 2D (bottom) and 3D (top) renderings.
Having optimised the registration parameters using the development patient data, the algorithm was locked for further tuning during this validation phase.

Table 28 shows the results of assessing the registrations using the polyps from all 13 validations sets. The error after simply mapping the endoluminal surfaces to cylinders is the Polyp Parameterisation Error (PPE) and the error following B-spline registration is denoted Polyp Registration Error (PRE). The PPE results confirm that cylindrical parameterisation in isolation is insufficient to align the datasets with precision; non-rigid B-spline registration is required for accurate alignment. Indeed, following full surface registration, the PRE achieved a mean error of 5.7mm (SD 3.4mm) across all validation polyps; all 13 polyps were well aligned. This result suggests the registration algorithm could successfully direct the radiologist to a mural location close to the true corresponding endoluminal point, even in the case of local colonic collapse. Reassuringly, the mean registration error (PRE) over 9 polyp correspondences following registration of the 8 development cases was 6.6 mm(SD 4.2mm) and therefore slightly higher than mean error in the validation set, to which the algorithm was naive.

### 8.3.2 Validation of Spatial Correspondence Using Anatomical Landmarks

Polyps can provide reliable corresponding point coordinates with which to test registration accuracy. Indeed, the apex of a small, sessile polyp likely provides the most robust landmark in vivo. However, pedunculated polyps can undergo considerable deformation(294) and faecal residue can complicate the observer task and reduce the accuracy of the reference standard. Moreover, most patients have few (if any) polyps and these tend to reside within the distal colorectum (295). Over 200 CTC cases were reviewed to select the data required for the validation study described above and hence, in order to increase sample size, an extensive database would need to be examined. This is explored in greater detail in later in this Thesis (Chapter 11). However, all colonography datasets have alternative, surface features such as haustral folds and flexures which can provide paired matching points over the entire endoluminal surface. The algorithm designer, computer scientist Holger Roth, identified haustral folds in both the prone and supine acquisitions of each validation dataset using a
graph-cut method developed by fellow computer scientist Tom Hampshire (outlined in Chapter 9). Using cylindrical representations to identify regions of likely correspondence and endoluminal reconstructions for confirmation, the author manually matched an average of 90 pairs of matched haustral folds for each of the validation datasets described above. This provided a total of 1175 matched folds pairs over all 13 prone and supine colonography studies. The central point of each corresponding fold was calculated and used as a reference point for assessing the registration.

Table 28: Registration error in mm for 13 polyps in the 13, paired colonography datasets used for validation (the first 8 from optimally distended cases and the following 5 from patients with local colonic collapse. The Polyp Parameterisation Error (PPE) gives the error in aligning the polyps after cylindrical parameterisation but before registration, the Polyp Registration Error (PRE) gives the error after surface registration.
The distribution of folds is shown in Figure 41; the relative paucity of reference points in the left hemicolon is partly due to the anatomical frequency (the rectum and sigmoid are relatively devoid of haustra compared to the ascending and transverse) and also influenced by the increasing complexity of the observer task.

![Diagram showing distributions of reference points along the centreline from caecum to rectum for un-collapsed and collapsed cases.](image)

**Figure 41:** Distributions of reference points along the centreline from caecum to rectum for un-collapsed and collapsed cases.

Fold Registration Error (FRE) was calculated using the process described for establishing (PRE) but using the haustral fold centres as reference points rather than polyp apices. Using this large set of reference points, the FRE was 7.7 (± 7.4) mm for a total of 1175 points distributed over all 13 validation patients. In comparison, using only the cylindrical parameterisation in isolation (without B-spline registration) returns a Fold Parameterisation Error (FPE) of 23.4 (± 12.3) mm. In Figure 42, the distributions of FRE for un-collapsed and collapsed cases are displayed for comparison. The majority of points (95%) lie below an error of 22.8 mm, with a maximum error of 44.1 mm. However, the FRE is slightly higher for the 5 collapsed cases with 9.7 (± 8.7) mm as opposed to the 8 un-collapsed cases with FRE of 6.6 (± 6.3) mm (Figure 42).
Figure 42: Normalised histograms of the Fold Registration Error (FRE) distributions in mm using reference points spread over the endoluminal colon surface for un-collapsed and collapsed cases.

The nature of the registration method ensures that any hastral fold is almost invariably aligned with a hastral fold in the corresponding dataset. However, as the registration errors outlined above confirm, alignment is not always to the correct, corresponding fold. However, 82% of all 1175 reference points were assigned correctly and 15% were misaligned by just one fold. Furthermore, apparent misregistration is likely partly due to an imperfect reference standard; the author can attest that the observer task was challenging and prone to reader error. Avoiding this verification bias was the motivation for the porcine phantom experiment described later in Chapter 10.
This Chapter describes the development and preliminary validation of a novel algorithm for registering prone and supine CTC data to calculate corresponding endoluminal surfaces locations. Implementing conformal mapping to convert the complex, convoluted 3-dimensional colonic surface onto a cylindrical parameterisation, while preserving the surface curvature information (via the Ricci Flow) simplifies prone-supine surface registration from a 3D to a 2D task. Moreover, the addition of freeform deformation of these cylindrical parameterisations using B-spline registration results in considerable improvements in point matching accuracy as illustrated above. This process can establish accurate correspondence between the 2D cylindrical parameterisations, and hence provide spatial correspondence over the full 3D endoluminal surface despite the deformations and torsion that occurs during patient repositioning; while overall colonic configuration undergoes large deformation the shape of individual surface structures remains sufficiently similar to enable surface alignment.

During algorithm development 8 of the 24 ‘optimally distended’ cases contained extensive regions where the surfaces structures differed markedly between the prone and supine acquisitions. This was due to large differences in colonic distension or inhomogeneous fluid tagging (precluding successful digital cleansing and leaving an air fluid level within the lumen).

The generalisability of the registration results is limited considerably by exclusion of these cases as it is likely a large proportion of colonography is similarly distended in routine practice. However, other methods presented in the literature that aim to generate 3D surface correspondence (including feature based methods(282) and voxel based methods(43, 292)) are also likely to encounter similar difficulties with cases where the surface features differ between the two datasets. Nevertheless, the proportion of such cases observed in this study suggests that such cases are not infrequent, and methods that can address these cases must be developed to achieve maximum clinical benefit. This is the focus of the next Chapter.

A further consideration for clinically effective CTC registration is the relatively high prevalence of cases containing at least one region of complete colonic collapse (or occlusion with retained, untagged fluid). Preliminary results using 5 cases with collapse in at least one dataset achieved promising results. Moreover, the data suggest the algorithm can overcome multiple collapses in both views. Some centreline-based registration methods claim to handle regions of local
collapse, but these only give approximate correspondence based on the shape of the centreline and are unable to provide 3D correspondence over the endoluminal surface. At the time of writing, only one other research group has published 3D surface correspondence in collapsed cases (292), with limited accuracy. Moreover, their validation cases each contained at least one fully distended series.

This algorithm does rely upon high quality CTC surface data for accurate registration. Therefore, pre-processing steps involving segmentation and topological correction were necessary to extract suitable surfaces. Moreover, despite improved technical implementation of CTC over recent years, poor cleansing, insufficient tagging and local under-distension remain common problems in routine clinical practice (288) and this is likely to hinder the transferability of registration performance described in this Chapter. Chapter 11 describes a more extensive clinical validation study following integration of an additional algorithm described in Chapter 9.

During the preliminary validation phase, the algorithm required significant manual interaction. In particular, providing colonic start- and end-points, correcting colonic segmentation, excluding the insufflation catheter and performing a visual inspection of segmentation quality. These steps have subsequently been automated as described in the following Chapters but it is possible that human interaction contributed to the registration performance presented in this Chapter. For example, when spanning collapsed segments, the interpolated segment was estimated following visual inspection of the 2D parameterisations.

Another limitation that could inhibit clinical implementation of this algorithm is the duration taken to process each case. For surface meshes of the size used in this study (approximately 60000 triangular faces), single processor implementation of the Ricci flow conformal mapping currently takes several hours to achieve sufficient convergence. However, this is reminiscent of early CAD systems, which had to process overnight yet now take only minutes. GPU-based implementation (283) would reduce processing time considerably. Alternatively, other conformal mapping methods could be used, e.g. (296), which require less computation time; obtaining rapid cylindrical parameterisation was not the focus of this study. There have been a number of alternative conformal mapping techniques presented in the literature (269, 270, 296), any of which could prove more suitable but this remains the subject of future research to
produce appropriate parameterisations in a clinically feasible time frame. In contrast to the cylindrical parameterisation, the cylindrical B-spline registration provides a result within a few minutes, which is fast enough to be clinically useful. Nonetheless, the results confirm there remains a need for robust initialisation, superior to calculating flexure locations from local maxima. This provides the focus of the next Chapter.

In conclusion, this Chapter describes a novel technique for aligning prone and supine CTC. The method comprises conformal mapping of CT endoluminal surface features onto a cylindrical surface, followed by a non-rigid registration of these features. This enables dense correspondence throughout the extracted colonic surface with promising registration results for polyp detection and for matching corresponding haustral folds on a limited sample of colonography datasets. The following Chapters continue to build upon this with the development of a haustral fold based initialisation algorithm (Chapter 10), testing and optimisation using a porcine phantom (Chapter 9) and finally, clinical validation (Chapter 11) using a large, publically available CTC archive.
CHAPTER 9:

9. AUTOMATED PRONE TO SUPINE HAUSTRAL FOLD MATCHING USING A MARKOV RANDOM FIELD MODEL

AUTHOR DECLARATION


Thomas Hampshire led this project under the supervision of Professor David Hawkes; technical description and figures contained in this Chapter are reproduced with their kind permission. The author’s collaboration involved establishing ethical approval, gathering CTC data for algorithm testing and development, designing and performing the validation study, and editing the manuscript. The author contributed clinical guidance during algorithm development; programming and implementation were performed by collaborators.
9.1 INTRODUCTION

The results presented in Chapter 8 demonstrate that surface correspondence between prone and supine CTC datasets can be achieved using a combination of conformal endoluminal surface mapping onto a cylindrical parameterisation followed by non-rigid registration. Moreover, preliminary validation showed promising performance. However, the study was not without limitations, not least the requirement for manual interaction which precludes efficient integration into clinical practice and may influence registration results. Furthermore, while the algorithm showed potential for overcoming regions of luminal collapse (Figure 43), cases with differing distension were excluded from the analysis, which also limits the generalisability of the results.

The focus of this Chapter is the design, development and initial validation of a separate registration algorithm to identify and match corresponding haustral folds between CTC datasets. The motivation is to provide robust, automated initialisation of the surface-matching algorithm described in the preceding Chapter to facilitate implementation and enable registration in a more heterogeneous sample of CTC studies.

Voxel based registration methods rely predominantly on surface feature similarities such as the morphology of haustral fold complexes, flexures and other conspicuous mural structures. Consequently they can be susceptible to misregistration of long, continuous sections due to the similarities of (non-corresponding) neighbouring features. This was noted during haustral fold-based validation described in Chapter 8: Short colonic sections were misaligned by one or two haustral folds. Despite contributing little to gross registration error, this could be relevant in clinical practice, particularly as pathology can be concealed behind a fold. Moreover, in cases with luminal collapse such as those encountered frequently in daily practice (288), registration error can be influenced by the manual interaction required to bridge regions of missing data (Figure 43). During Chapter 8, surface parameterisations were initially aligned by visual inspection and consequently, corresponding surface points generally aligned to within approximately 20mm of each other, even prior to
Figure 43: External 3D rendered view of prone (left) and supine (right) datasets. The dotted line indicates luminal collapse. The surface parameterisation (bottom) shows the conformally mapped prone and supine surfaces around the sigmoid with a colour-coded ‘heat map’ representing shape index intensity. Red areas indicate regions of collapse (Black lines show detected fold correspondences). Note that the length of missing data was manually determined following visual inspection of the surface features; interpolation with equivalent lengths would likely stress the non-rigid registration process.

Performing non-rigid registration. This degree of user interaction would not be appropriate in clinical use and does not reflect how the algorithm would perform if fully automated. Although relatively fixed colonic locations such as the flexures, caecum and anorectal junction can help provide gross alignment between the datasets, simply extracting local maxima and minima can result in differing anatomical landmarks. However, this issue is not unique to our registration algorithm; other methods involving conformal mapping of the colonic surface have recently been described which share similar limitations. For example, Zeng et al combined conformal
mapping with feature matching to register prone and supine surfaces (282) but rather than a cylindrical parameterisation, they mapped the endoluminal surfaces onto five pairs of rectangles. However, this method required accurate manual delineation of five matching segments in the prone and supine datasets, which is difficult to achieve particularly in cases with colonic collapse. Furthermore, this problem is not specific to complex 3D registration techniques: Luminal collapse and differential distension detrimental to polyp registration along the colonic centreline (298). Considerable research has attempted to improve centreline registration accuracy, particularly in suboptimally prepared cases (43, 290, 291, 299-302). For example, endoluminal positions can be expressed relative to overall centreline length (‘normalised distance along the colonic centreline NDACC’) (290, 302) to adjust for shrinking or stretching between acquisitions. Additionally, automated detection of anatomical reference points (e.g. flexures or rectum) and path geometry can be used to improve registration (292, 303, 304). Alternative voxel-based methods can provide a further means of deforming the centreline (43) yet these also rely, to an extent, upon optimal colonic preparation; a scenario which occurs infrequently in daily practice (83).

Fukano et al. proposed an alternative registration method based on haustral fold matching (305). An algorithm was used to extract relative fold positions along the centreline and used for surface matching. This method involved automatic identification of a set of landmark coordinates to guide registration and hence, the attraction of this technique is the requirement for minimal manual intervention. However, initial validation results were disappointing with correct registration of only 65.1% of large folds and 13.3% of small folds. Consequently, it is doubtful that, in its current implementation, this method would provide significant gains initialising the surface matching algorithm described in Chapter 8. Nevertheless, while the morphology and location of haustral folds may vary (Figure 44), their position relative to one another remains consistent and as such, haustral fold registration is inherently resistant to varying luminal distension and colonic collapse. We aimed to develop and validate a novel algorithm for generating fold-based correspondences between the prone and supine CT data to provide an initialisation for voxel-level surface registration algorithms in cases with luminal collapse or differing distension.
Figure 44: Endoluminal CTC showing morphologically disparate corresponding folds in the prone (left) and supine (right). The complexity of the observer task and thus the likely imperfect reference standard results from uncertainty matching folds such as these where there are no other contributory surface features (such as diverticula).

9.2 METHODS: ALGORITHM DEVELOPMENT

9.2.1 CTC SAMPLE SELECTION

Separate development and validation CTC datasets were selected from the collection accrued during development of the algorithm described in Chapter 8. Cleansing and insufflation had been performed in all cases according to best-practice recommendations(30). Ethical approval was obtained to use these patient data to develop the additional algorithm. As previously described, all patients provided informed consent; data were anonymised. In total, all 13 validation cases were retained to test this new algorithm. A random selection of 5 development cases was selected to tune algorithm parameters.
9.2.2 Algorithm Description

Unlike previous methods (282, 305), which have attempted to match corresponding folds based on spatial location and size alone, we aimed for this algorithm to incorporate endoluminal visual renderings in addition to local geometric information. The proposed matching problem is modelled using a Markov Random Field (MRF) and the maximum a posteriori labelling solution is estimated to provide correspondence.

9.2.3 Endoluminal Surface Preparation

The procedure for digital cleansing, colonic segmentation, topological correction and extraction of the endoluminal surface from prone and supine CTC data is described previously in Section 8.3. Multifaceted triangulated surfaces meshes (approximately 60000 faces), were again constructed using Lorensens’s ‘marching cubes’ algorithm(276). However, the present algorithm has no requirement for 2D surface parameterisation (for example, by implementing the Ricci flow conformal mapping algorithm) and can be performed in 3D space. This avoids introducing similar limitations to those described in the preceding Chapter.

9.2.4 Graph Cut Haustral Fold Segmentation

As haustral folds are elongated, mural protrusions, they can be identified by examining surface curvature measurements from an endoluminal surface reconstruction. Maximum \( k_1 \) and minimum \( k_2 \) values of the normal curvature at any point are known as the principal curvatures. At the centre of a fold, \( k_1 >> 0 \) and \( k_2 \approx 0 \). Therefore, the metric \( M = k_1 - \gamma \| k_2 \| \) can classify each vertex on the endoluminal mesh as belonging to a fold, or otherwise. The \( \gamma \) parameter penalises the metric against curvature in any direction other than in the maximum, to separate the folds at the teniae coli. Thereafter, the surface mesh is considered as a graph, with the vertices comprising the nodes and triangles edges defining the graph edges. A graph cut segmentation(306) is thus performed differentiating folds from non-
folds over the entire endoluminal surface (Figure 45). The centre of each fold is calculated and used to label each fold location.

Figure 45: External (a) and internal (b) endoluminal reconstructions showing haustral folds following segmentation. Note the colour-coded surface curvature intensity.

9.2.5 MARKOV RANDOM FIELD MODELLING

Having established the 3D location of each fold it is possible to employ a Markov Random Field model to ascertain their relationship to one-another. Technical description of this complex artificial intelligence technique is beyond the scope of this Thesis; interested readers are advised to refer to the detailed explanation provided by Hampshire et al (297). Nevertheless, in brief, prone and supine haustral folds (detected using the methods described above) are uniquely labelled and the vector between each is computed. By generating endoluminal surface renderings with the ‘virtual camera’ directed at the midpoint of each haustral fold, surface curvature intensity images can be constructed. The resulting images are then compared using a similarity metric (sum-of-squared-differences). By applying the MRF, the maximum a posteriori (MAP) estimate of the optimum fold labelling is computed. In addition, a matrix can be constructed (unary cost matrix) from which the likely neighbours for each haustral fold can
be determined (i.e. the probability that folds neighbour one-another) to drive registration.
Development datasets were used to optimise algorithm parameters and no training took place using validation data.

9.3 METHODS: VALIDATION

9.3.1. VALIDATION USING HAUSTRAL FOLD MATCHING

The validation dataset used to test haustral fold matching accuracy consisted of the same cases used for validation in Section 8.3, with 13 patient cases, 5 of which contained at least one region of luminal discontinuity, either due to suboptimal distension or excess retained fluid. Likewise, the process by which the author manually identified corresponding haustral fold pairs is described in detail in Section 8.3.2. Consequently, coordinates for 1175 matching fold pairs were recorded over 13 datasets, 5 of which contained at least one region of local colonic collapse in one or both acquisitions. To assess the degree of intra-observer variability, after a period of three months, the author repeated the matching exercise using a random selection of three colonography datasets. Fold matching accuracy was assessed by comparing the correspondences generated by the algorithm with the reference standard points provided by the author.

9.3.2. IMPROVING ACCURACY OF THE SURFACE REGISTRATION ALGORITHM BY FOLD BASED INITIALISATION

The results of this fold matching algorithm provided automated initialisation for the surface-based registration technique described in Chapter 8. The fold positions identified by this algorithm are mapped onto the surface parameterisations described previously to enable linear scaling between haustral folds in the direction of the centreline. This step is performed prior to B-spline registration and effectively automates the alignment which previously performed manually (potentially introducing bias). Using this enhanced initialisation, the surface registration is compared to polyp and fold-based reference points in an identical manner to that described in Section 8.3 providing 3D Euclidean registration error that can be compared in using a Related Samples Wilcoxon Signed Rank Test to those reported previously in Chapter 8.
9.4 RESULTS

9.4.1 HAUSTRAL FOLD MATCHING ACCURACY

Table 29 shows fold-labelling accuracy across all 13 datasets compared against the observer-identified reference standard. Corresponding matches occurred in 83.1% of cases with at least one region of colonic discontinuity and 88.5% of optimally distended cases. Nonetheless, accuracy was much higher in some cases than others. For example, fold matching was disproportionately low in patients 1 and 10. Interrogation of these datasets suggests this may be due to markedly differing distension distorting the neighbourhood relationships between folds. For example, good distension around a flexure will cause quite distant folds to align more closely in 3D space. Likewise, while the similar performance in collapsed and optimal cases is promising for dealing with missing data, the proportion of correctly labelled folds closely parallels the ability of the algorithm extract folds, which in turn relies upon colonic preparation.

Table 29: Initial validation using observer-identified haustral fold correspondences

<table>
<thead>
<tr>
<th>Validation cases without colonic collapse</th>
<th>Cases with colonic collapse</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Case</strong></td>
<td><strong>RS Points</strong></td>
</tr>
<tr>
<td>1</td>
<td>74</td>
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<td>2</td>
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<td>13</td>
<td>80</td>
</tr>
<tr>
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<tr>
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<td><strong>Correct</strong></td>
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<tr>
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<td>13</td>
<td>12</td>
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<tr>
<td>Total</td>
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<tr>
<td><strong>Label(%)</strong></td>
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<tr>
<td><strong>Correct(%)</strong></td>
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</tr>
<tr>
<td>2</td>
<td>92.8</td>
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<tr>
<td>3</td>
<td>92.5</td>
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<td>96.1</td>
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<tr>
<td>13</td>
<td>76.5</td>
</tr>
<tr>
<td>Total</td>
<td>83.1</td>
</tr>
</tbody>
</table>

RS = Reference Standard; Labelled = folds segmented by graph-cut methods; label % = proportion of correctly labelled folds
9.4.2 Initialisation of the Surface Based Registration Method

The results for cases with and without colonic collapse are shown in Table 30 using the same reference standard as for the previous experiment. Initialisation significantly improved registration in cases with colonic collapse, decreasing mean error from 9.7mm (SD 8.7mm) to 7.7mm (SD 7.1mm) \((p=0.009)\). However in cases with optimal colonic distension, the mean error was unchanged at 6.6mm \((p=0.317)\). This suggests that the fold matching algorithm enhances surface-based registration in cases of poor insufflation but cannot improve upon the surface-based registration in well prepared data.

Table 30: Surface registration initialisation with non-collapsed cases. The number of Reference Standard (RS) points are shown. Error 1 and 2 show the error of the surface-based registration without and with using points as an initialisation.

<table>
<thead>
<tr>
<th>Case</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
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<tr>
<td>RS Points</td>
<td>74</td>
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<td>774</td>
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<td>107</td>
<td>66</td>
<td>83</td>
<td>80</td>
<td>401</td>
</tr>
<tr>
<td>Error 1 (mm)</td>
<td>11.5</td>
<td>8.6</td>
<td>5.3</td>
<td>5.7</td>
<td>5.5</td>
<td>5.2</td>
<td>5.8</td>
<td>6.7</td>
<td>6.6</td>
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<td>7.8</td>
<td>13.5</td>
<td>9.6</td>
<td>9.7</td>
</tr>
<tr>
<td>Error 2 (mm)</td>
<td>11.5</td>
<td>7.2</td>
<td>5.5</td>
<td>5.7</td>
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<td>8.7</td>
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<td>0.3</td>
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<td>0.0</td>
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<td>0.7</td>
<td>0.7</td>
<td>-4.8</td>
<td>0.5</td>
<td>-2</td>
<td></td>
</tr>
</tbody>
</table>

9.5 Conclusion

The initial motivation behind developing this fold-matching algorithm was to align folds detected at colonoscopy with those extracted from CTC data (research which remains ongoing). However, it was apparent that this algorithm, although unable to provide dense, voxel-level surface correspondence, could overcome some of the limitations inherent in the surface matching software described in Chapter 8 and that applying the algorithms together could improve registration. Indeed, applying this method to initialise the surface-based registration
technique appears to reduce registration error. However, the main limitation of this study stems from the author’s imperfect reference standard; repeated observations performed on three random validation sets showed intra-observer agreement of 85.3%. Moreover, the when the fold matching exercise was recently repeated by collaborators Dr Andrew Plumb and Dr Emma Helbren (307) resulting inter-observer agreement was 87.8 % and 80% compared to repeated fold matching in consensus with the algorithm designer, Tom Hampshire. It is difficult to conceive a more reliable in vivo reference standard and hence a reliable ground truth is required. An in vitro study using a colonic phantom is likely to be required and this is the focus of the following Chapter.
10. DEVELOPMENT OF A PORCINE COLONIC PHANTOM FOR OPTIMISATION OF PRONE-SUPINE REGISTRATION ALGORITHMS

AUTHOR DECLARATION

The research presented in this Chapter is under consideration for indexed publication: Boone D, Roth HR, Hampshire T, et al. CTC: Construction of a deformable porcine colonic phantom for development of computer assisted diagnosis algorithms. The author led this project with significant collaboration from co-authors Roth, Hampshire and McClelland under the joint supervision of Professor Steve Halligan and Professor David Hawkes. The author obtained, excised, and prepared the porcine specimen, supervised the CTC acquisition, and collated the data. Algorithm implementation and registration analysis were performed by collaborators.

10.1 INTRODUCTION

The preceding two Chapters describe two separate algorithms for registration: Voxel-level registration via cylindrical conformal mapping followed by free-form deformation (Chapter 8) and hastral fold based registration using a Markov Random Field Model (Chapter 9). Both offer different approaches that contribute to overcoming the same clinical problem – the need for accurate, automated prone-supine registration. Consequently, applying both algorithms in combination could improve registration performance. However, as discussed in the previous two Chapters, validation has relied upon an imperfect gold standard due to the complexity of the observer’s interpretative task. In Chapter 8, the author performed an initial validation using manually matched points on the colonic surface using a combination of polyps, colonic
diverticula and folds. The task was technically challenging and blinded repeat matching (following a period of washout) revealed an intra-observer error of 8.2mm (SD 12.5 mm). Not only does this reinforce the difficulties encountered in clinical practice when attempting to find matching endoluminal locations, it also suggests the algorithms’ true performance could have been underestimated due to verification bias. Moreover, lack of a suitable reference standard for testing both algorithms hinders accurate assessment of the incremental benefit of applying the algorithms in combination. A colonic phantom containing fixed reproducible landmarks would facilitate matching of anatomical locations despite colonic deformation and provide a robust ‘ground truth’ against which to test both algorithms. This enabled development of a combined registration algorithm prior to formal clinical validation in patients (Chapter 11).

While a human specimen would be preferable, panproctocolectomy is usually carried out for severe colitis, cancer or multiple polyposis syndromes – all of which render the specimen potentially unsuitable for our purposes. Porcine colon is readily available and morphologically similar to human colon, albeit with less hastration, and some ethical issues are avoided. For this reason it is used extensively in optical colonoscopy training(308) and CTC research(309, 310). However, specific to this phantom experiment, the specimen must be constrained in such a way that the hastral fold pattern is not disrupted. Distension reduces mural thickness (which is of the order of 1-4mm) so to provide suitable CT contrast resolution, the specimen is generally immersed in fluid of similar attenuation value to abdominal tissue. However, the insufflated colon is buoyant; previous phantom studies have overcome this by submerging the specimen under bags of normal saline(309). However, this inevitably deforms colonic morphology and distorts hastral configuration. Ideally, therefore, the porcine colonic phantom should conform naturally with minimal extrinsic deformation.

The aim of the study therefore was to construct a porcine colonic phantom labelled with radiopaque markers along its length, and to image it in a variety of orientations to simulate in-vivo colonic deformation that takes place during prone to supine repositioning. Furthermore, the colon must be constrained such that the hastral pattern remains consistent.
10.2 MATERIALS AND METHODS

10.2.1 SPECIMEN PREPARATION

Porcine bowel was obtained (Humphries’ Slaughterhouse, Brentwood, Essex) from a pig previously slaughtered for human consumption (Figure 46).

![Figure 46: Unprepared porcine intestinal specimen from an animal slaughtered for human consumption. The colonic specimen remains distended due to (extensive) retained residue at this stage. Note the haustral fold pattern is not dissimilar to human colon.]

The author excised the colon, washed, trimmed and sutured the specimen (Figure 47). The distal end was sutured using a purse-string around the rectal insufflation catheter (Trimline DC; E-Z-Em, Westbury, NY) and the proximal end closed with continuous blanket sutures using 2/0 Vicryl (Ethicon Endo-Surgery, Cincinnati, Ohio) (Figure 48).

![Figure 47: Excised, cleansed colonic specimen with short residual terminal ileum]

![Figure 48: Specimen sutured at each end with indwelling insufflation catheter in situ]
Wound closure clips (3M™ Precise™) were placed evenly along the serosal surface of specimen to act as radiopaque markers for the subsequent registrations (Figure 49).

Figure 49: The colonic specimen is distended with water via the insufflation catheter to enable placement of radiopaque markers. Although not placed endoluminally, the colonic wall is sub-millimetre thickness at this degree of distension.

Having tested the colonic anastomotic integrity by insufflation to 40mmHg underwater (Figure 50), the specimen was placed inside an acrylic 60 denier stocking, into which loops of suture material were attached via radiopaque plastic hooks, orientated to approximate *in vivo* colonic configuration. In particular, the flexures, rectum and caecum were relatively immobile with respect to the transverse colon. The prepared colon was placed inside a 500 x300x300mm sealable plastic crate and transferred to the CT scanning suite (Figure 51).

Figure 50: Colonic specimen distended at 40mmHg to test integrity
Figure 51: Colonic specimen placed within its artificial ‘mesentery’
The crate was filled with 20 L of 0.9% saline to which 60 ml of diatrizoate meglumine containing 370 mg of iodine per millilitre has been added (Gastrografin; Schering Health Care, Burgess Hill, West Sussex, England), resulting in an average attenuation value of approximately 40 HU, similar to that of human abdominal tissue\(^6^6\). The specimen was inflated with CO\(_2\) via an automated insufflator (MediCO\(_2\)I\(_n\), Medicsight Plc), until sufficiently distended (Figure 52).

Figure 52: The buoyant insufflated colonic specimen, suspended via the ‘artificial mesentery’ has minimal haustral deformation. The ‘mesenteric attachments’ can be adjusted to simulate the deformation during positional change from prone to supine.

10.2.2 IMAGING

Multi-detector CT was be performed by Heena Patel and Elaine Atkins using a SOMATOM Sensation 64 machine (Siemens, Germany), with routine CTC acquisition parameters; 0.6mm collimation, 120KV, 150mAs, pitch 0.75, reconstruction thickness 1mm with 50% slice overlap. After the initial scan, the specimen was deformed by adjusting the position of its ‘mesenteric attachments’ (sutures attached to the base of the crate) to simulate prone to supine repositioning and rescanned using identical parameters.

10.2.3 IMAGE ANALYSIS

Images were transferred to a 3D CTC workstation, MedicRead™ 3.0 (Medicsight Plc, Hammersmith, London, UK) and segmentation performed for endoluminal review (Figure 53). Using multiplanar reformats, the radiopaque markers were identified and 3D coordinates recorded serially from the rectum to the caecum for each colonography dataset. Computer scientists, Holger Roth and Tom Hampshire applied the algorithms to all five datasets, providing
ten individual permutations with which to test the algorithm. 3D error for each point correspondence was calculated following surface registration (Chapter 8), first in isolation and then following hastral fold-based initialisation (Chapter 9). The radiopaque markers were masked to avoid influencing the registration process.

Figure 53: CTC of porcine phantom. Note the relatively sparse hastral folds but the overall similarity with less densely hastrated human colonic segments such as rectum and sigmoid.

10.2.4 Statistical Analysis

Mean registration error followed a parametric distribution; a paired t-test statistic was used to compare error before and after feature-based initialisation.

10.3 RESULTS

Overall, 5 porcine CTC datasets with differing deformation were obtained, enabling 10 separate comparisons, each with coordinates for 12 radiopaque markers (Figure 54 and Figure 55). In each case, the algorithm was able to register the endoluminal surface, resulting in 120 paired point correspondences with which to test registration accuracy.
Figure 54: Porcine colonography acquisitions A through to E (left to right). While haustral fold morphology remains similar, there is considerable deformation within the mid-transverse colon and differential distension at the rectal and caecal ends. Performing registrations between each dataset provided 10 permutations with which to test the algorithm.

Following registration without fold-based initialisation, mean 3D registration error (standard deviation; SD) over all 120 points was 24.7mm (36.8mm), with a median error of 5mm (range 0.4 to 146.2mm). Individual registration results are displayed in (Table 31).

Table 31: Gross registration error for endoluminal surface registration algorithm (Chapter 8) applied to of porcine colonic phantom CTC data without feature-based initialisation algorithm (Chapter 9)

<table>
<thead>
<tr>
<th>Combination:</th>
<th>A to B</th>
<th>A to C</th>
<th>A to D</th>
<th>A to E</th>
<th>B to C</th>
<th>B to D</th>
<th>B to E</th>
<th>C to D</th>
<th>C to E</th>
<th>D to E</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mean</td>
<td>56.00</td>
<td>4.57</td>
<td>9.44</td>
<td>8.82</td>
<td>17.50</td>
<td>56.70</td>
<td>59.10</td>
<td>16.18</td>
<td>14.35</td>
<td>4.11</td>
</tr>
<tr>
<td>SD</td>
<td>47.64</td>
<td>2.98</td>
<td>15.13</td>
<td>15.18</td>
<td>33.12</td>
<td>46.67</td>
<td>50.34</td>
<td>20.56</td>
<td>21.93</td>
<td>3.75</td>
</tr>
<tr>
<td>Median</td>
<td>63.36</td>
<td>4.17</td>
<td>3.31</td>
<td>2.59</td>
<td>4.20</td>
<td>65.26</td>
<td>62.93</td>
<td>7.99</td>
<td>4.71</td>
<td>2.38</td>
</tr>
<tr>
<td>Min</td>
<td>2.52</td>
<td>0.86</td>
<td>0.50</td>
<td>0.45</td>
<td>0.53</td>
<td>1.77</td>
<td>1.12</td>
<td>0.73</td>
<td>2.37</td>
<td>1.01</td>
</tr>
<tr>
<td>Max</td>
<td>146.18</td>
<td>11.57</td>
<td>48.51</td>
<td>42.00</td>
<td>98.07</td>
<td>122.24</td>
<td>142.69</td>
<td>57.65</td>
<td>62.89</td>
<td>12.01</td>
</tr>
</tbody>
</table>
Figure 55: Surface rendered CTC of porcine colonic phantom showing distribution of radiopaque markers and correspondence error vectors following registration of endoluminal surfaces A to C.

Following fold based initialisation, there was a significant reduction in mean Euclidean 3D registration error to 4.9mm (SD 4.0mm) with a median error of 3.7mm (range 0.12 to 23.0mm) ($p=0.024$) (Table 32). In particular, the highest mean pre-initialisation error (greater than 2 standard deviations from the mean) obtained when registering endoluminal surface B (A to B, B to D and B to E) reduced to within 1 SD of the mean following initialisation (Figure 56).
Table 32: Comparison of registration error with and without feature-based initialisation when registering porcine colonic phantom CTC datasets.

<table>
<thead>
<tr>
<th>Combination</th>
<th>Registration error without fold-based initialisation (mm)</th>
<th>Registration error with fold-based initialisation (mm)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A to B</td>
<td>56.00</td>
<td>4.61</td>
</tr>
<tr>
<td>A to C</td>
<td>4.57</td>
<td>4.96</td>
</tr>
<tr>
<td>A to D</td>
<td>9.44</td>
<td>4.63</td>
</tr>
<tr>
<td>A to E</td>
<td>8.82</td>
<td>2.73</td>
</tr>
<tr>
<td>B to C</td>
<td>17.50</td>
<td>4.01</td>
</tr>
<tr>
<td>B to D</td>
<td>56.70</td>
<td>4.58</td>
</tr>
<tr>
<td>B to E</td>
<td>59.10</td>
<td>4.28</td>
</tr>
<tr>
<td>C to D</td>
<td>16.18</td>
<td>8.24</td>
</tr>
<tr>
<td>C to E</td>
<td>14.35</td>
<td>6.59</td>
</tr>
<tr>
<td>D to E</td>
<td>4.11</td>
<td>4.48</td>
</tr>
<tr>
<td>Mean*</td>
<td>24.68</td>
<td>4.91</td>
</tr>
<tr>
<td>SD</td>
<td>36.77</td>
<td>4.03</td>
</tr>
<tr>
<td>Median</td>
<td>5.13</td>
<td>3.72</td>
</tr>
<tr>
<td>Range</td>
<td>0.45 to 146.18</td>
<td>0.12 to 23.03</td>
</tr>
</tbody>
</table>

*Significant reduction in registration error when fold-based registration algorithm is used to initialise voxel-level surface registration (p=0.024)

Figure 56: Comparison of registration error with and without feature-based initialisation when registering porcine colonic phantom CTC datasets. The marked increase in error when registering surface B is likely due to artefact introduced during deformation.
Porcine phantom experiments have featured in CTC research since the 1990’s (66, 309-312). Indeed, many technical acquisition parameters used in current clinical practice stem from the early phantom studies described in Chapter 1. Nevertheless, this study posed unique challenges, not least the requirement to maintain submersion of the insufflated colonic specimen while minimising extrinsic haustral distortion. To the author’s knowledge, this is the first description of a technique to constrain the in vitro colonic specimen yet facilitating the realistic deformations required for testing prone-supine registration.

This colonic phantom study provided an objective ‘ground truth’ reference standard which cannot be replicated in vivo and hence, should provide the most reliable estimate of algorithm performance. However, the registration error of 24.7mm (SD 36.8mm) is disappointing when compared to the mean polyp registration error of 5.1mm (SD 2.9mm) reported in Chapter 8. However, this discrepancy is not surprising in retrospect because the endoluminal surface algorithm relies upon strong surface features to drive the B-spline non-rigid transformation and these are relatively sparse in the porcine colon as compared to the human colon. Nevertheless, there was a significant improvement in registration accuracy when the fold-based registration algorithm was used for initialisation. Although these results may not necessarily be reflected in vivo, they are promising, particularly for improving registration in similarly featureless colonic segments such as the left colon in many patients.

This study is not without limitations. The deformations applied to the phantom likely were not as marked as those encountered in vivo during prone-supine repositioning. In particular, the specimen was constrained such that colonic torsion was minimised. However, more extensive deformations attempting to stress the registration algorithm were degraded by haustral distortion due to the buoyancy of the insufflated specimen. An alternative solution to submerging the gas-filled colon in water would be to fill the colonic specimen with water, surrounded by room air. After inverting the image the gas/fluid contrast would allow colonographic segmentation.
In summary, by constraining a submerged porcine colonic specimen via an ‘artificial mesentery,’ it is possible to construct a phantom suitable for assessing the accuracy of prone-supine registration. Surface registration results were disappointing due to the relative paucity of haustral folds in porcine colon but were satisfactory following integration of haustral fold-based initialisation. It is likely that combining the registration algorithms described in Chapters 8 and 9 will enhance registration accuracy *in vivo* but this remains unquantified; clinical validation using a representative sample of CTC datasets is required to infer the utility of these algorithms in daily practice. This is the subject of the next Chapter.
CHAPTER 11:

11. COMPUTER ASSISTED SUPINE-PRONE REGISTRATION (CASPR): EXTERNAL CLINICAL VALIDATION

AUTHOR DECLARATION


The author obtained ethical approval, collated CTC data, constructed the reference standard, manually circumscribed polyp volumes, and performed the clinical validation experiment with collaborator Dr Emma Helbren. Algorithm programming and implementation were performed by Holger Roth and Thomas Hampshire under the supervision of Professor David Hawkes. The author compiled the manuscript under the supervision of Professor Steve Halligan and Professor Stuart Taylor.

11.1 INTRODUCTION

As described thus far in this Section, we have developed and performed preliminary validation of two separate registration algorithms and used a porcine phantom to combine them into computer-assisted supine-prone registration software (CASPR) to indicate corresponding points on the endoluminal surface of prone and supine acquisitions. The initialisation step (Chapter 9) compares patterns of neighbouring hastral folds to establish landmark-based correspondence; full 3D spatial correspondence is achieved by mapping the endoluminal surfaces to cylindrical representations followed by non-rigid registration (Chapter 8). Having demonstrated technical feasibility using optimised cases and a porcine phantom (Chapter 10), clinical validation is now
required using patient examinations representative of daily clinical practice. While no equivalent 3D surface registration algorithm is available for direct comparison to CASPR, centreline registration methods are widely incorporated into vendor workstations (40). The ‘normalised distance along the colonic centreline’ (NDACC) proposed by Summers et al (290) corrects for discrepancies in centreline registration by expressing the distance relative to the overall centreline length and is relatively well researched (289-291, 301, 302). Although the exact mechanism of centreline registration in proprietary workstations is not publicised, it is likely that they are based on this technique. In order to avoid bias, validation should use data from centres that have not contributed cases for algorithm development (‘external validation’) to ensure prior exposure to the test data or similar does not influence results (215) (313). Therefore, the aim of this Chapter is to describe external validation of a CASPR for CTC and to compare to this to the well-described NDACC (290) registration method.

11.2 METHODS AND MATERIALS

11.2.1 CASE CHARACTERISTICS AND SELECTION

Cases were obtained from the National CT Colonography Trial (ACRIN 6664) (16) via the National Cancer Institute’s National Biomedical Imaging Archive (NBIA) (https://imaging.nci.nih.gov/ncia/). The CASPR algorithm was naive to these data. The ACRIN 6664 trial protocol (http://www.acrin.org/TabID/151/Default.aspx) has been described previously. In brief, 2604 asymptomatic adults scheduled for colonoscopy were recruited from 15 USA centres (16). All patients underwent CTC with full catharsis, carbon dioxide insufflation and faecal tagging followed by same-day colonoscopy. The archive comprises 825 CTC cases randomly selected from the trial (‘CT Colonography’ collection at The Cancer Imaging Archive: http://cancerimagingarchive.net/). Of these, 35 have at least one polyp ≥10mm. A further 68 contain ≥1 polyp 6-9mm (one case is duplicated). Reference data (diameter, segment, axial slice) are available for 62 cases (29 where the largest polyp ≥10mm and 33 where the largest polyp measured 6-9mm) (https://wiki.cancerimagingarchive.net/x/DQE2). Datasets were downloaded and transferred to a CTC workstation (MedicRead 3.0, Medicsight Plc, London,
UK). The author used these reference data to locate polyps in prone and supine datasets. To maintain an external reference standard, cases were included only if pathology was identified at the axial location in the accompanying spreadsheet; no attempt was made to search for polyps using segmental location alone. Cases were selected if ≥1 matched polyp ≥6mm was visible in both prone and supine acquisitions (Table 33). Three cases were excluded due to incomplete CT data, 5 where polyps were submerged in untagged fluid, and 3 where polyps were obscured by complete luminal collapse. Where cases contained multiple polyps, each individual polyp was subject to the above criteria: A further 3 polyps ≥10mm and 14 polyps 6-9mm were thus included. Hence, the validation sample (Appendix B) was 51 patients with 68 polyps (31 ≥10mm; 37, 6-9mm).

Table 33: Case and polyp selection criteria used to provide a validation sample from the publically available ACRIN CTC study dataset

<table>
<thead>
<tr>
<th>Case Exclusion criteria</th>
<th>Polyp exclusion criteria</th>
<th>Total cases included</th>
<th>Additional polyps suitable for inclusion in cases with multiple polyps**</th>
<th>Total polyps included to test algorithm</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total cases available on archive</td>
<td>External radiologic reference data missing or inconsistent</td>
<td>Incomplete CTC dataset</td>
<td>Polyp concealed in either prone or supine view by untagged residue</td>
<td>Polyp concealed in either prone or supine view by luminal collapse</td>
</tr>
<tr>
<td>At least one polyp, the largest of which is 6-9mm</td>
<td>68</td>
<td>35</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>At least one polyp 10mm or larger</td>
<td>35</td>
<td>6</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td>103</td>
<td>41</td>
<td>3</td>
<td>5</td>
</tr>
</tbody>
</table>

For each study (including those excluded), the author recorded a subjective impression of distension and residue (Table 34), employing an established score used previously for the ACRIN CTC database (288). Cases were deemed ‘poorly prepared’ if >50% residual fluid was present in one or more colonic segments, and ‘collapsed’ if ≥1 region of complete luminal occlusion was present in either acquisition (125).
Table 34: Proportion of validation cases with inadequate distension or excess colonic residue compared to those in the overall ACRIN CTC study sample

<table>
<thead>
<tr>
<th></th>
<th>Total</th>
<th>Cases with polyps ≥6mm</th>
<th>Number of cases with excess colonic residue/ n(%)</th>
<th>Polyp-positive cases with at least one collapsed segment/ n(%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACRIN CTC study sample undergoing full cathartic bowel preparation</td>
<td>2525</td>
<td>825</td>
<td>1313 (52%)*</td>
<td>Unavailable</td>
</tr>
<tr>
<td>Publicly available subset of ACRIN study with polyps ≥6mm undergoing full bowel preparation</td>
<td>547</td>
<td>103</td>
<td>295 (54%)</td>
<td>50 (49%)</td>
</tr>
<tr>
<td>Validation sample</td>
<td>51</td>
<td>51</td>
<td>32 (63%)**</td>
<td>37 (73%)</td>
</tr>
</tbody>
</table>

*After Hara et al (288)

** Applying criteria described by Hara et al on the publicly available data

No case was excluded on this basis however; rather, these data were collected to assess the generalisability of our sample (Table 34) and to perform pre-specified subgroup analysis (Table 35). Per-polyp segmental location was also recorded (Table 36).

Table 35: Summary of gross 3D error across all polyps in validation sample. Subgroup analysis of registration error in cases with poor luminal distension and/or cleansing and comparison with NDACC

<table>
<thead>
<tr>
<th>Algorithm Registration error (mm)</th>
<th>NDAAC error (mm)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Polype size (mm)</td>
<td></td>
</tr>
<tr>
<td>Polyp in dataset with at least one luminal collapse (n=37)</td>
<td></td>
</tr>
<tr>
<td>Polyp in dataset without luminal collapse (n=31)</td>
<td></td>
</tr>
<tr>
<td>Polyp in dataset with excess colonic residue* (n=38)</td>
<td></td>
</tr>
<tr>
<td>Polyp in dataset with low colonic residue (n=30)</td>
<td></td>
</tr>
<tr>
<td>Overall gross registration error (n=68)</td>
<td></td>
</tr>
<tr>
<td>Overall gross registration error (n=68)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Mean</th>
<th>12.0</th>
<th>21.8</th>
<th>17.7**</th>
<th>23.4</th>
<th>15.5***</th>
<th>19.9</th>
<th>27.4</th>
</tr>
</thead>
<tbody>
<tr>
<td>S.D.</td>
<td>9.2</td>
<td>19.5</td>
<td>21.6</td>
<td>21.3</td>
<td>18.7</td>
<td>20.4</td>
<td>15.1</td>
</tr>
<tr>
<td>Range</td>
<td>6 to 55</td>
<td>1.2 to 85.8</td>
<td>1.0 to 76.9</td>
<td>1.0 to 85.8</td>
<td>1.1 to 76.9</td>
<td>1.0 to 85.8</td>
<td>4.1 to 92.0</td>
</tr>
<tr>
<td>Median</td>
<td>8</td>
<td>17.0</td>
<td>8.2</td>
<td>19.2</td>
<td>8.4</td>
<td>12.3</td>
<td>23.5****</td>
</tr>
</tbody>
</table>

*Excess colonic residue defined as >50% luminal fluid in one or more colonic segments

**No Significant difference in 3D (p=0.066) registration error in cases with one or more areas of complete luminal collapse.

***No significant difference in 3D registration error in poorly cleansed cases compared to well prepared cases (p=0.060)

****Overall, algorithm registration error over all 68 polyps is significantly smaller compared to NDACC (p=0.001)
Table 36: Per segment distribution of polyps in the validation sample compared to the overall ACRIN CTC dataset and mean registration error per colonic segment

<table>
<thead>
<tr>
<th>Segment</th>
<th>Total polyps ≥6mm in ACRIN CTC Study sample</th>
<th>Polyps ≥6mm included in this validation sample</th>
<th>CASPR Mean gross registration error per colonic segment</th>
<th>NDACC Mean gross registration error per colonic segment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rectum</td>
<td>90 (16)</td>
<td>14 (21)</td>
<td>19.2</td>
<td>24.3</td>
</tr>
<tr>
<td>Sigmoid</td>
<td>147 (27)</td>
<td>15 (22)</td>
<td>22.2</td>
<td>30.8</td>
</tr>
<tr>
<td>Descending</td>
<td>58 (11)</td>
<td>11 (16)</td>
<td>18.1</td>
<td>31.0</td>
</tr>
<tr>
<td>Transverse</td>
<td>95 (17)</td>
<td>7 (10)</td>
<td>25.5</td>
<td>32.7</td>
</tr>
<tr>
<td>Ascending</td>
<td>97 (18)</td>
<td>13 (19)</td>
<td>21.7</td>
<td>25.9</td>
</tr>
<tr>
<td>Caecum</td>
<td>60 (11)</td>
<td>8 (12)</td>
<td>11.7</td>
<td>19.1</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>547</td>
<td>68</td>
<td>19.9</td>
<td>27.4***</td>
</tr>
</tbody>
</table>

*No significant change in algorithm 3D registration error due to polyp position per colonic segment (p=0.76, Kruskal-Wallis statistic).

**NDACC 3D error is calculated as the smallest vector from a centreline point tangential to the true polyp location.

***Algorithm total mean registration error significantly smaller than NDACC (p=0.001)

11.2.2 RECORDING 3D POLYP LOCATIONS

For each polyp, 3D endoluminal location was recorded using ITK-SNAP (www.itksnap.org) using the method described in Chapter 8. The author manually circumscribed each polyp on both acquisitions, thereby providing corresponding prone and supine endoluminal surface coordinates with which to test the algorithm.

11.2.3 ALGORITHM DEVELOPMENT AND IMPLEMENTATION

After development described previously in this Section, the algorithm was locked; no ACRIN data were used for algorithm development. 3D endoluminal visualisation software designed by Tom Hampshire was used to test the algorithm. The tool displayed 120-degree 3D endoluminal
colonography and via mouse-clicking a location in one dataset, automatically updated the opposing endoluminal view to a point calculated to be at the corresponding location in the opposing dataset, generated by either CASPR or NDACC depending on the methods chosen. The reference-standard polyp locations were confirmed by overlaying colour ‘masks’ onto the endoluminal surface. In practice, a ‘registration prompt’ (Figure 57) indicated the corresponding voxel location. However, this was deactivated when comparing against the NDACC method to minimise bias.

11.2.4 ASSESSMENT OF CLINICAL UTILITY

Scores to estimate potential clinical benefit during multiplanar (Table 37) or primary endoluminal review (Table 38) were developed by Professor Halligan and Professor Taylor.

- For endoluminal interpretation, we considered registration ‘successful’ if the polyp became visible in the opposing dataset within the regular (120°) field of view without any need for further navigation (Figure 57).
- Matching was considered ‘partially successful’ if the polyp became visible following mouse-driven rotation around the endoluminal ‘camera position’ provided by the algorithm (Figure 58).
- Registration was considered ‘unsuccessful’ if any navigation back or forth along the colonic centreline was required in order to bring the polyp into the standard field-of-view (Figure 60).

For multiplanar assessment, registration was ‘successful’ if the polyp was within ±15mm in any plane and ‘partially successful’ if the polyp was visible within ±30mm; >30mm navigation was ‘unsuccessful’. Note was made of any polyp marked directly (i.e. the prompt was on the polyp surface rather than the surrounding endoluminal surface) with the registration prompt using either display.
Figure 57: (left) Example of polyp conspicuity score of 5 (‘direct hit’). Using a standard 120 degree 3D rendered endoluminal view, following automated registration, the prompt intersects with the true polyp location. Left: The registration prompt (black dot) marks the polyp location indicated by the observer in the supine dataset. Note the dot partially obscures this 6mm polyp. (Right) Following automated registration, the algorithm centres the prone 3D field of view to point towards the endoluminal coordinates calculated by the algorithm. Note the registration prompt (black dot) just intersects with the base of this sessile polyp.

Figure 58: (Left) Example of polyp conspicuity score of 4 (‘near miss’). Using a standard 120 degree 3D rendered endoluminal view, following registration, the polyp is visible without navigation but the prompt fails to intersect with the polyp. Left: The registration prompt (black dot) marks the polyp location indicated by the observer in the prone dataset. Note the dot partially obscures this 6mm polyp. (Right) Following automated registration, the algorithm centres the supine 3D field of view to point towards the endoluminal coordinates calculated by the algorithm. Note the registration prompt (black dot) fails to indicate the polyp (arrow) due to slight misregistration but the polyp is clearly visible in the field of view without recourse to mouse-driven navigation. The gross 3D error in this case was 17mm but registration was considered ‘successful’ according to pre-specified criteria.
Figure 59: (Left) Example of polyp conspicuity score of 2 or 3 (‘partially successful’). Using a standard 120 degree 3D rendered endoluminal view, following registration, the polyp is visible following mouse-driven rotation but without navigation along the lumen. The registration prompt (black dot) marks the location indicated by the observer in the prone dataset. The polyp is a 6mm sessile polyp on a bulky fold which is partially obscured by the marker (black dot). Note the faecal residue on an adjacent fold. (Right) Following automated registration, the algorithm centres the supine 3D field of view to point towards the endoluminal coordinates calculated by the algorithm but due to misregistration, points the observer toward the adjacent cluster of faecal residue (indicated by black dot). The actual polyp (not shown) was ‘behind’ the endoluminal camera position and required mouse-driven rotation to locate.

Figure 60: (Left) Example of polyp conspicuity score of 1 (‘registration failure’). Using a standard 120 degree 3D rendered endoluminal view, following registration, the polyp is not visible following mouse-driven rotation; navigation along the lumen is required. (left). The registration prompt (black dot) marks the polyp location indicated by the observer in the prone dataset. Fig 4b (right). Following automated registration, the algorithm aligns the supine 3D field of view to point towards the endoluminal coordinates calculated by the algorithm but the polyp is not visible as it is obscured by fold. Moreover, mouse-driven rotation around the endoluminal starting position fails to bring the polyp into view. (Right) Although only a few mm navigation along the centreline is required to find the polyp (arrow), this was considered registration failure by pre-specified criteria.
11.2.5 Testing algorithm performance

Polyp conspicuity following registration was assessed separately by the author and also by collaborator Dr Emma Helbren, with technical assistance from Holger Roth. Roth loaded each patient case into the display software, located the polyp using reference data, and selected either CASPR or NDACC according to a randomisation table. The ‘registration prompt’ was disabled to prevent unblinding observers to the method under test. Having identified and clicked the polyp in either the prone or supine dataset (again, randomly allocated), the software automatically updated the opposing display to align the ‘virtual endoscope’ either at the anticipated mural location generated by CASPR or along the centreline (NDACC), depending on the registration method under investigation. The radiologist observer then attempted to locate the target polyp, using mouse driven navigation, where necessary and then grading its conspicuity using the pre-specified score (Table 38). The process was repeated for all polyps, prone to supine and then supine to prone, using both registration methods. Roth collated responses and where the registration algorithm scored a ‘successful’ result, the author re-examined cases with the ‘registration prompt’ activated to assess its proximity to the polyp.

Multiplanar conspicuity was assessed using the polyp reference volumes delineated above. For each polyp, corresponding paired mural coordinates (CASPR) or endoluminal locations (NDACC) were calculated. Starting with these point correspondences the minimum axial, coronal or sagittal navigation required to locate the polyp in the opposing dataset was determined for both methods. Results were scored according to pre-specified criteria (Table 37). Polyps with overlapping volumes following registration were examined for registration prompt accuracy. The distance between points on the centreline closest to the polyp apex and algorithm-generated surface correspondence was measured to simulate (1D) registration error along the centreline. Finally, the gross 3D registration error was calculated from the vector between the polyp apex and the corresponding mural coordinates (CASPR) or the closest position on the centreline (NDACC), following the approach described by Wang et al (304).
11.2.6 Statistical Analysis

Polyp location was assumed to be non-parametric; p-values less than 0.05 were considered statistically significant. Pairwise Wilcoxon-Signed Rank tests were used to compare the algorithm’s results (multiplanar, 1D, and Euclidean 3D registration error, multiplanar and 3D polyp conspicuity scores) to those generated from NDACC. McNemar tests were used to compare 'successful' conspicuity scores between CASPR and NDACC. Subgroup analysis was performed to compare distributions of registration error in cases with differing bowel preparation and endoluminal collapse. The segmental distribution of polyps ≥6mm in both the validation sample and the entire ACRIN CTC dataset were also compared. Comparisons used the Kruskal-Wallis statistical test when comparing per-segment polyp distribution and segmental collapse. The Mann-Witney-U statistical test was used to compare error distributions in cases with differing colonic cleansing.

11.3 Results

Overall, 51 patient cases containing 68 polyps were included. In 100% cases, the algorithm was able to register the endoluminal surface, providing 68 paired point correspondences with which to test the algorithm.

11.3.1 Validation Sample Characteristics

The segmental distribution of polyps in the validation sample (n=68) (Table 36) were compared to polyps ≥6mm (n=547) from the entire ACRIN CTC study (16) (n=2525) to investigate the likely generalizability of our results. By adopting the criteria proposed by Hara et al (288), 53% of validation cases (n=27) had excess residual fluid compared to 52% (1313) of the total CTC studies from the same trial. 49% (25) had at least one region of complete luminal collapse (Table 34) similar to the 48% (50) observed in the total, 103, positive cases in the publicly available database.
11.3.2 REGISTRATION PERFORMANCE: GROSS 3D AND 1D ERROR (TABLE 36)

Overall mean 3D registration error (Standard Deviation; SD) over all 68 polyps was 19.9mm (20.4mm), with a median error of 12.3mm (range 1.0mm to 85.8mm). 3D registration accuracy did not vary significantly when comparing differing colonic segments (p=0.76) (Table 35), or varying distension (p=0.066). Furthermore, the difference in registration accuracy was not significant among cases with excess residual fluid (23.4mm; n=38) compared to well-cleansed cases (15.5mm; n=30) (p=0.06) (Table 35). In comparison, mean Euclidean 3D registration error was significantly greater using NDACC: 27.4mm (SD 15.1mm) (p =0.001). Likewise, although the algorithm’s simulated 1D centreline error (mean 17.6mm) was not significantly less than for NDACC (mean 20.8mm) over the entire colon, when considering the most mobile sigmoid, transverse and descending colonic segments (27), mean error was significantly less than for NDACC (19.3mm vs 26.9mm; p=0.047).

11.3.3 COMPARATIVE PERFORMANCE, MULTIPLANAR CONSPICUITY (TABLE 37)(FIGURE 61)

Using a multiplanar approach, CASPR generated 48 (70.6%) ‘successful’ matches. Moreover, 43 (63.2%) polyps were marked directly with the registration prompt. 13.2% were ‘partially successful’ and 16.5% polyp matching tasks failed according to our pre-specified criteria. In comparison, using NDACC, 23.5% polyp matching tasks were ‘successful’ and 58.8% ‘partially successful.’ Consequently, NDACC generated significantly fewer successful matches (p<0.001)

11.3.4 COMPARATIVE PERFORMANCE: OBSERVER GRADED POLYP CONSPICUITY (TABLE 38)(FIGURE 62)

Ease of polyp visualisation following registration was assessed from prone to supine and vice versa in all 51 cases; 68 corresponding polyp-pairs generated 136 individual polyp matching tasks. Using a 3D endoluminal approach (Fig 6)(Table 38), following registration using CASPR, two observers, the author and Dr Helbren graded 82% overall (83.1% and 80.9% respectively) polyp matches as ‘successful’ and 8.8% (both 8.8%) ‘partially successful’ according to pre-specified criteria. Moreover, review of the successful cases confirmed 64.8% (68.4% and 61.1% respectively) of the total polyp matches were marked directly with the registration prompt.
Overall, 9.2% failed (8.1% and 10.3% respectively). In contrast, using NDACC, 47.5% polyp matches were assessed as successful (39% and 56% respectively), 36.5% (44.9% and 28.0% respectively) were partially successful and 16.2% (16.2% and 16.2% respectively) failed. NDACC registration had significantly greater failure (p<0.001).

Table 37: Multiplanar review clinical utility score: Description of pre-specified polyp conspicuity criteria and registration success following surface matching algorithm or NDACC registration.

<table>
<thead>
<tr>
<th>Polyp conspicuity score</th>
<th>Definition</th>
<th>Registration ‘success’</th>
<th>Number and percentage of polyps registered (n=68)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Registration algorithm</td>
<td>NDACC</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Number</td>
<td>%</td>
</tr>
<tr>
<td>5</td>
<td>Polyp masks overlap - polyp visible on opposing MPR following registration without navigation (dotted line)</td>
<td>43</td>
<td>63.2</td>
</tr>
<tr>
<td>4</td>
<td>Polyp visible after ±15mm scrolling in any MPR axis</td>
<td>5</td>
<td>7.4</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>TOTAL SUCCESSFUL</strong></td>
<td>48</td>
</tr>
<tr>
<td>3</td>
<td>Polyp not visible within ±15mm of MPR navigation prompt but visible after ±20mm</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2</td>
<td>Polyp not within ±20mm of MPR navigation but visible after ±30mm</td>
<td>9</td>
<td>13.2</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>TOTAL PARTIALLY SUCCESSFUL</strong></td>
<td>9</td>
</tr>
<tr>
<td>1</td>
<td>Polyp not visible despite ±30mm of navigation on each MPR display</td>
<td>11</td>
<td>16.2</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>TOTAL UNSUCCESSFUL</strong></td>
<td>11</td>
</tr>
</tbody>
</table>
Table 38: 3D endoluminal clinical utility score: Description of pre-specified polyp conspicuity criteria and registration success following surface matching algorithm or NDACC registration.

<table>
<thead>
<tr>
<th>Polyp conspicuity score (Fig example)</th>
<th>Definition</th>
<th>Registration ‘success’</th>
<th>Number and percentage of polyps registered (n=68) assessed from prone to supine and vice versa resulting in 136 individual polyp matching events</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Observer 1</td>
<td>Observer 2</td>
</tr>
<tr>
<td></td>
<td>Registratio n algorithm</td>
<td>NDACC*</td>
<td>Registratio n algorithm</td>
</tr>
<tr>
<td>Three dimensional</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 (Fig 1) Polyp marked directly by registration prompt**</td>
<td>Successful</td>
<td>93</td>
<td>68</td>
</tr>
<tr>
<td>4 (Fig 2) Polyp visible immediately in field of view</td>
<td>Successful</td>
<td>20</td>
<td>15</td>
</tr>
<tr>
<td>TOTAL SUCCESSFUL</td>
<td></td>
<td>113</td>
<td>83</td>
</tr>
<tr>
<td>3 (Fig 3) Polyp detected with ±90 deg rotation</td>
<td>Partially Successful</td>
<td>9</td>
<td>7</td>
</tr>
<tr>
<td>2 (Fig 3) Polyp visible within 360 deg rotation</td>
<td>Partially Successful</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>TOTAL PARTIALLY SUCCESSFUL</td>
<td></td>
<td>12</td>
<td>9</td>
</tr>
<tr>
<td>1 (Fig 4) Polyp not visible without navigation along the colonic centerline</td>
<td>TOTAL UNSUCCESSFUL</td>
<td>11</td>
<td>8</td>
</tr>
</tbody>
</table>

* Standard 120 degree field of view used for all endoluminal reconstruction
Figure 61: Conspicuity of polyps at multiplanar review following automated colonic registration using either the prone-supine registration algorithm or NDACC. Pre-specified criteria are outlined in table 37. Note the proportion of ‘successful’ polyp matches enclosed within the dotted line represents those marked directly by the algorithm’s registration prompt.
Figure 62: 3D error. Conspicuity of polyps at endoluminal review following automated colonic registration using either the prone-supine registration algorithm or NDACC. Pre-specified criteria are outlined in table 38. Note the proportion of ‘successful’ polyp matches enclosed within the dotted line represents those marked directly by the algorithm’s registration prompt.
Computer-assisted registration for CTC is not new; once methods to compute the luminal centreline were developed (314), they were rapidly incorporated into vendor workstations (40) to provide approximate corresponding endoluminal locations between prone and supine acquisitions. However, luminal collapse and residual fluid are encountered regularly in daily practice and impair centreline matching of corresponding endoluminal locations (298). Therefore, algorithms have been designed to overcome this. For example, expressing the endoluminal position relative to total centreline length (NDACC) has been shown to improve upon regular centreline matching (290, 302). Likewise, anatomical reference points (e.g. flexures or rectum) can be used to shrink or stretch centreline geometry to improve registration (292, 303, 304) often with promising results. However, despite correcting for colonic torsion using teniae coli to improve upon existing 2D centreline methods (315), Huang et al achieved a registration error of ±61mm. This probably reflects the use of a representative sample (14) with similar selection criteria to the present study; their results are likely more generalisable than those using optimized datasets (42, 298, 316). Therefore, the 3D error (20.4mm) presented in this study compares favourably.

Furthermore, centreline studies usually assess registration accuracy by linear distance measurements (42, 298, 316), the significance of which does not transfer readily to clinical practice. In contrast, De Vries et al (289) attempted to estimate clinical utility by testing endoluminal polyp visibility following registration using 32 representative datasets obtained from an unrelated observer study. They found that 70% of polyps were visible following registration using an ‘unfolded cube’ visualisation, which is much larger than a standard 120°field-of-view(317). Using a comparable endoluminal field of view, the current algorithm would reveal 91% polyps, over half of which would be marked directly with a registration prompt. Moreover, while we chose a standard 120° viewing angle to provide the most generalisable reflection of how the technology could perform in everyday practice, increasingly, vendor platforms are offering ultra-wide (>150°) rendering as standard. Future research should evaluate CASPR performance when applied to wider viewing angles and potentially alternative display methods such fillet views.
While this study compared CASPR to NDACC matching due to the lack of an equivalent technology against which to gauge performance, this was somewhat artificial. In particular, indicating a specific location on the endoluminal surface provides the observer with considerably more information than simply providing a position from which to search; centreline methods inherently cannot provide a 3D mural location. In addition to outperforming NDACC using both standalone and observer measures, following registration 64.7% of polyps would have been correctly marked with the CASPR ‘registration prompt’ providing a further clinical advantage over centreline registration. However, to avoid unblinding the observer to the registration algorithm under test, this function had to be disabled during the observer study. Therefore, the clinical impact of an endoluminal prompt on diagnostic performance and reading time remains untested and is the subject of future research.

Other algorithms have been developed to provide 3D endoluminal surface correspondence: Suh et al modified a centreline based rigid registration (aided by automated anatomical landmark detection) to initialise a voxel based non-rigid deformation intended to provide true 3D correspondence (43). They reported a registration error of 13.8 mm (SD 6.2 mm) when aligning 24 polyps in 21 patients but all cases were optimally distended. A subsequent study of four cases with colonic collapse saw mean error increase to 30.1 mm (292). Moreover, each collapsed segment was matched with a fully distended segment on the opposing acquisition so that missing data could be interpolated; it is our experience that, luminal collapse is often present in the same segment in both datasets. Fukano et al (305) attempted surface correspondence via matching haustral folds and reported 65.1% of ‘large’ folds matched correctly. When developing our own haustral-fold-based initialisation (Chapter 9) we found that colonic torsion induced errors in both registration and reference standard observations. Nevertheless, our method achieved fold-matching accuracy of 83.1% and 88.5% with and without local colonic collapse, irrespective of fold size. Recently, Zeng (282) used automated feature detection to create five colonic segments, subsequently mapping each endoluminal surface to a rectangle. They found an average 3D error of 5.65 mm for 20 paired polyps within optimally distended colons but no data for collapse were presented.

At the time of writing, all previous attempts at endoluminal surface registration require manual initiation and delineation of fixed colonic landmarks. The present algorithm is essentially automated; the reader reviews the proposed colonic segmentation, excludes small bowel, and
confirms the sequence of colonic segments, defining start and end points, just as when generating a 3D flythrough. We used external validation (i.e. validation used cases from hospitals uninvolved with algorithm development), to obtain a generalisable estimate of algorithm performance in normal practice. Our study sample closely paralleled the ACRIN CTC study data with respect to bowel preparation quality and distension. Our registration method compares favourably with centreline based methods and surface-based registration, especially considering the heterogeneity of the sample.

Our study has limitations. Cases were excluded from validation where there was an incomplete external radiologic reference standard or where polyp locations could not be confirmed, despite accounting for inconsistencies in axial slice numbering between vendor platforms. However, both the distribution of polyps and the proportion of cases with ‘poor’ bowel preparation in our sample parallels the ACRIN data overall (16, 288). We excluded cases with absent or incomplete faecal tagging because the algorithm relies on matching surface features and digitally cleansing is necessary to achieve this in the presence of significant residual fluid. However, as described in Section A, optimisation of both colonic preparation and digital are the subject of considerable research. Although alternative displays (e.g. ‘filet’ or ‘unfolded cube’) would have increased successful registrations according to our pre-specified criteria, we believe standard endoluminal display is most generalisable. In addition to prone and supine acquisitions, current implementation guidelines recommend an additional decubitus series in selected patients; registration of decubitus datasets is the subject of future research. The polyp conspicuity scales we developed may not reflect utility in normal practice although we did base the scale on a priori discussions of clinical benefit. We plan studies of clinical utility in everyday practice. Although it is intuitive that accurate endoluminal registration will facilitate and shorten interpretation, this needs quantification as does any effect on sensitivity/specificity. It is possible that observers using automated matching could incorrectly reject TP polyps if incorrectly registered just as those using CAD may incorrectly reject false-negative polyps (25). Moreover, just as CAD only has regulatory approval as a ‘second reader’ (20, 21), it is unclear how a registration algorithm such as CASPR should integrate into clinical interpretation.

In summary, we have tested a computer-assisted prone-supine registration algorithm (CASPR) on a representative subset of CTC data from a large multicenter trial, with successful results.
The ability to rapidly and automatically match potential polyp locations between acquisitions is likely to facilitate CTC interpretation.
SECTION E: CONCLUSIONS AND RECOMMENDATIONS FOR FUTURE RESEARCH

OVERVIEW

This Thesis describes multidisciplinary, collaborative research intended to facilitate colorectal cancer and precursor polyp diagnosis with CTC. The research comprising each Chapter has been published or is under consideration. The studies described explore diverse themes and methodology, none of which would have been possible without input from an equally diverse group of academics; statisticians, computer scientists, radiologists, clinical psychologists, and health economists, to whom I am indebted. While the research is presented from a clinical perspective, their contributions, often from a different standpoint, permeate this Thesis and I have aspired to provide a contribution to colorectal cancer research that amounts to more than the sum of its parts. This Chapter concludes the Thesis with a discussion of the results presented and proposes areas in need of further research.
CHAPTER 12

12. DISCUSSION, CONCLUSIONS AND SUMMARY

12.1 DISCUSSION OF RESULTS

The opening pages of this Thesis outlined the research questions and hypotheses tested over the ensuing research studies. These are now revisited and the pertinent findings discussed:

WHAT IS THE RATIONALE FOR CURRENT CTC IMPLEMENTATION?

Section A of this Thesis provides a review of CTC research from its inception to present day. The trajectory from an experimental modality in specialised academic centres to widespread implementation in daily practice was driven by a number of landmark publications and in the UK by research seeking an alternative to BaE. Early research was instrumental in optimising technical parameters and subsequently, by performing CTC according to consensus guidelines, multicentre studies demonstrated promising diagnostic accuracy in asymptomatic (14, 16) and high risk screening populations (128). Recently, the SIGGAR RCT (10, 133) has confirmed that CTC is significantly more accurate than BaE which has consequently been abandoned for colorectal cancer screening purposes in the UK (318).

In addition, the literature to date confirm that adverse events during CTC are uncommon (155) and that patient acceptability is good when compared to the alternatives (88). Bowel preparation ‘tagging’ regimens aimed at improving specificity continue to show considerable promise (319) and recent RCT data suggest that reduced-laxative CTC could significantly enhance uptake for colorectal cancer screening (154). Furthermore, evidence is mounting that
impressive stand-alone detection rates for CAD translate into improved diagnostic accuracy for radiologists (20, 21).

However, opinions remain divided on some issues. While the American Cancer Society, the US Multi-Society Task Force on Colorectal Cancer, and the American College of Radiology (143) endorse CTC, CMS (131) declined coverage, citing a lack of evidence for improved diagnostic accuracy compared to existing alternatives. While this decision was not well received by the radiological community (132, 149, 320), it is important to understand how such a decision might come about: There remains a paucity of published level 1 evidence of benefit and, even then, concerns exist regarding the transferability of the available research into daily practice.

In addition, controversy continues to surround the potential impact of incidental extracolonic detections, who should interpret CTC, and whether the technique is ultimately cost-effective. While a relatively extensive synopsis of the published literature was discussed, narrative reviews are inherently limited and the evidence described is, by no means, exhaustive. Nevertheless, there appears to be a promising recent trend towards well-designed collaborative research studies which may go some way to addressing these issues.

**WHAT IS THE LEVEL OF CTC EXPERIENCE AND TRAINING AMONG EUROPEAN RADIOLOGISTS?**

The survey described in this Thesis illustrates that many participants at CTC workshops had little formal training or experience. While it would be reasonable to argue that attendees at educational symposia are unrepresentative of those reporting CTC in clinical practice unsupervised, we found that the majority (86%) were nonetheless doing exactly this. The majority of these (76%) had interpreted fewer than 50 cases, which is commonly believed to be the absolute minimum level of experience recommended for independent reporting; 49% had reported less than 10 individual cases. The level of CTC training among those interpreting CTC independently also gave cause for concern: Only a small proportion (8%) had any formal training prior to the workshop and 54% had none whatsoever. These data imply that radiologists are interpreting specialised examinations in daily practice of which they have little prior experience. The consequence is that the test characteristics suggested by large clinical
trials and metaanalysis, often performed in centres with experienced practitioners, are presently unlikely generalisable to daily European practice. However, it was promising to note that most respondents were performing the CTC examination (i.e. acquiring the medical image data) in accordance with published European guidelines.

This survey obtained a good (73%) response rate suggesting the results are likely to be representative of those attending ESGAR workshops. However, the germane limitation is that the level of experience and training of those not undergoing training remain unquantified and this should be the subject of future research.

This survey was performed during a period of escalating demand for CTC across the UK corresponding to introduction of the NHS BCSP and publication of guidelines recommending CTC in lieu of BaE(318). Abstracted data from a recent survey of UK practice has shown a significant increase in the volume of CTC performed since 2004 (170). Hence, there are clinical and political imperatives for radiologists to interpret CTC in daily practice, some of whom, like many of those surveyed above, will be insufficiently prepared for the task. Specific accreditation for interpretation is likely to be rejected on pragmatic grounds at present. Therefore, ongoing audit of departments and individuals is suggested to determine if adequate performance can be demonstrated and sustained in clinical practice.

TO WHAT EXTENT DOES RESEARCH METHODOLOGY BIAS STUDIES OF DIAGNOSTIC TEST ACCURACY?

Despite employing a complex, comprehensive search strategy, the systematic review outlined in Chapter 4 failed to identify a sufficient volume of quality research with which to perform the planned metaanalysis. Therefore, point estimates around the potential sources of bias discussed remain unquantified. However, this finding, in itself, confirms the author’s suspicions that several issues central to the design of studies of diagnostic test accuracy have been insufficiently researched to date.

Further research in this area is important so that sources of bias can be identified, quantified if present, and so inform study methodology. For example, peer-review of the research described in Chapter 11 stated that insufficient washout had been allowed to minimise observer recall bias, prolonging study publication by several months since the study had to be repeated. This
attitude is not unexpected since such a source of bias is widely assumed to exist. However, Chapter 4’s systematic review concluded that there is no evidence that such ‘memory effects’ exist (albeit on the basis of few studies) and, even ignoring this fact, there is no available evidence regarding what constitutes a suitable washout interval between repeated interpretations of the same data.

Similar concerns exist when manipulating sample prevalence. The argument that reader performance for datasets with enriched prevalence will not resemble performance in clinical practice was not borne out either; our systematic review found the opposite, albeit again on the basis of very little available data. However, the studies which did manipulate prevalence did not do so beyond 28% yet prevalence is regularly enriched to at least 50% in other studies reviewed in this Thesis. Therefore, future research is needed to determine whether bias resulting from altered prevalence, observers’ knowledge of prevalence, and the effects of recall bias exist and, if so, to quantify the magnitude of any such bias. This should be enabled across several imaging technologies and diseases, and particularly in the context of screening.

Avoidance of bias in studies of diagnostic imaging tests often requires research to take place in controlled, ‘laboratory’ conditions and while it has been postulated that this may give rise to spuriously elevated diagnostic test performance, we found what little research exists suggests the converse is true: Diagnostic performance achieved in daily practice may exceed that in research studies. While this issue also remains insufficiently researched, available data are reassuring.

In summary, at present the available evidence is insufficient to demonstrate a measurable bias arising from the methodological strategies considered in our systematic review. Nevertheless, overall research is limited and moreover, none deals specifically with CT colonography. Hence, further research is necessary to ensure methodology employed in diagnostic test research does not impair transferability into daily practice.

WHAT IS THE RELATIVE VALUE OF TRUE VS. FALSE POSITIVE DIAGNOSIS WHEN SCREENING USING CTC?

Any diagnostic test can perform with high sensitivity providing little regard is given to the consequences of FP detections; in an extreme example, all tests could simply be considered...
positive. However, given the personal and economic impact of reduced specificity, there is clearly a point at which reduced specificity renders a test result unhelpful and meaningless. While acknowledging that there is a trade-off between improved sensitivity in the face of diminished specificity, we believe that numerically equivalent trade-offs are not necessarily clinically equivalent, although regarded as such by analyses such as ROC AUC. We believe a metric that combines both sensitivity and specificity while allowing each to be weighted differently (and so enable the researcher to adjust this weighting) is necessary to compare existing tests with newer, potentially enhanced alternatives in a fair and equitable manner. However, the degree to which patients and/or health professionals value gains in sensitivity over and above a corresponding fall in specificity was unknown at the outset of this Thesis. We employed a ‘probability equivalence’ discrete choice analysis to address this research question, which requires respondents to make trade-offs. This avoided some limitations inherent to certainty-equivalence methods such as determining values for utilities (248) with the aim of replicating realistic decision-making.

We found that when considering colorectal cancer screening, both patients and healthcare professionals believed gains in diagnostic sensitivity to be more important than equivalent losses in specificity. Overall, we found patients and healthcare professionals combined were willing to accept an additional 2050 false-positive diagnoses of cancer by CTC in order to avoid a single missed tumour. Gains in sensitivity were considered less important for diagnosis of polyps but were still valued over and above corresponding loss of specificity: Overall, patients and healthcare professionals were willing to accept an additional 10 false-positive diagnoses of polyps by CTC in order to avoid a single missed lesion. Moreover, we found patients valued gains in sensitivity significantly more than do healthcare professionals, a finding that applied to both polyps and cancers. Despite having lower average annual household income than healthcare professionals, patients were willing to pay more for a test that raised sensitivity without diminishing specificity.

We found that several of our participants refused to trade, a phenomenon commonly attributed to heuristic bias – i.e. the cognitive challenge is too high and hence a ‘rule of thumb’ is applied to simplify the problem. Such responses were exhibited by over 25% of participants in our DCE, suggesting that this attitude cannot simply be dismissed as ‘irrational.’ Further
research is needed to understand these responses more fully. Evidence is accumulating that incorporating patient preferences into design of screening tests can improve uptake (321) and future studies should elaborate upon the methods described here and extend them to other diagnostic scenarios.

**Can a Novel Weighted Statistical Analysis Be Applied to Studies of CAD for CTC?**

The study outlined in Chapter 6 demonstrated it is possible to apply a weighted net-effect analysis to provide a combined measure of diagnostic performance that incorporates consideration (and control) of the discrepant clinical consequences of different types of diagnostic misclassifications. This overcomes some limitations inherent in using ROC AUC methods (24) and allowed meaningful cross-study comparison between readers of varying experience.

Using a CAD net-effect measure that favoured sensitivity over specificity (with the weighting based on data from our discrete choice experiment), the research outlined in Chapter 6 demonstrated that despite generating more FP detections among inexperienced readers, the increase in sensitivity achieved with CAD was likely to be perceived by patients and health care professionals as clinically beneficial overall. The beneficial net-effect of CAD was approximately 3-times higher for inexperienced vs. experienced readers suggesting that relative novices benefit considerably more from CAD than their experienced counterparts.

Reflecting upon the results of multicentre trials described in Section A, it is interesting to note the relatively poor performance of the experienced readers in this study. While one might expect inexperienced readers to perform sub-optimally, experienced readers had a mean sensitivity for patients with polyps (without CAD assistance) of only 57.5% (95%CI 49.6 to 65.2%). These results are discrepant from those obtained by either the DoD or ACRIN II studies but part of this will be explained by the fact that this research did not employ a diameter threshold for detection. CTC test data were collated from multiple centres prior to 2006 and one could also argue that technical differences in CT data acquisition are partly responsible (e.g. not all studies had oral faecal tagging and some US studies used PEG preparation). In any
event, the unassisted reader performance reinforces that marked heterogeneity exists across CTC observer studies, and hence, generalisability must be interpreted with a degree of caution. While the assisted performance of inexperienced readers in this study was disappointing, the crucial finding is that CAD increases sensitivity significantly, and while this may come at the cost of additional FP diagnoses, the net-effect is beneficial. In contrast to previous studies that have used weightings derived from expert opinion, we used weightings derived from our discrete choice experiment that are likely to better reflect the thresholds adopted by health care workers and patients in daily practice. Future research should extend this analysis into other areas of radiology and diagnostic test evaluation where novel techniques are compared against existing methods, to ensure potentially useful technology is appropriately appraised.

**IS IT POSSIBLE TO MEASURE VISUAL SEARCH STRATEGY DURING CTC INTERPRETATION?**

The author believes research described in this Thesis constitutes a paradigm shift for medical image perception research. We have developed a method to apply eye-tracking methodology to complex 3D volumetric renderings where the target pathology is both moving and changing in size simultaneously. We have also developed metrics that can be used to compare visual search patterns between different observers; we have had to quantify ‘pursuit’ during which readers scrutinise a moving lesion. Moreover, while during 2D eye-tracking, a lapse in visual search merely prolongs “time-to-first hit”, during CTC, missing data during the short interval for which lesions were visible complicates analysis further. Overcoming this issue required development of multiple imputation methods. While our studies have demonstrated feasibility, much further research is required to understand the diagnostic consequences of differing visual search patterns between observers. In particular, work is ongoing to compare search in novice vs. experienced observers and to ascertain the effect of visual CAD prompts upon gaze patterns.
The final Section of this Thesis encompasses the development, *in vitro* and, *in vivo* validation of a novel software algorithm that aims to facilitate colorectal neoplasia characterisation by automatically aligning corresponding endoluminal surface locations across prone and supine datasets.

The collaborative research described in Chapter 8 demonstrated that using geometric parameterisation to transform the complex 3D colonic structure into a cylindrical representation can simplify the prone-supine registration task. Preliminary validation achieved a polyp matching accuracy of 5.7mm using a selection of optimally-prepared datasets that compared favourably with alternative published methods. However, the study was limited by an imperfect reference standard and non-generalisable CTC data. Moreover, manual initialisation, particularly to span regions of colonic under-distension, limited clinical utility.

Chapter 9 presented an alternative, artificial intelligence (MRF) method of registering CTC datasets, this time concentrating on the distribution of haustral folds. This achieved fold matching accuracy of 96.0% and 96.1% in cases with and without colonic collapse. Moreover, this algorithm significantly improved the surface matching algorithm described in Chapter 8 by initialisation, reducing mean registration error to 6.0mm (p < 0.001), across 1743 reference points in 17 CTC datasets. Again, while these data were promising, the author’s manual fold locations constituted an imperfect reference standard. To overcome this limitation, a porcine phantom was constructed as described in Chapter 10.

While porcine phantoms are well described in the CTC literature, prone-supine registration research brings unique challenges. For example, simply depressing the specimen using bags of saline (as performed previously by other authors) distorted the colonic specimen rendering it unusable for feature-based registration. We therefore developed a novel method of constraining the phantom which allowed for relatively realistic deformations without undue morphological distortion. This experiment enabled further development of software parameters to combine both methods into a single computer assisted supine-prone registration algorithm (CASPR). This required validation using a generalisable test dataset. Therefore, Chapter 11 describes clinical validation of CASPR to match polyps across prone and supine datasets from a publically available subset of the ACRIN CTC study. While no equivalent
registration method was available against which to test this algorithm, variations upon the available registration technology (NDACC) are incorporated into vendor workstations and hence comparison was made using this: Using an endoluminal display CASPR provided 82% ‘successful’ polyp matches according to our predefined criteria compared to 48% for NDACC (p<0.001). Likewise, using a multiplanar approach, 71% polyp matching tasks were successful compared to 24% for MPR (p<0.001).

Our clinical validation suggested that the algorithm could provide radiologists with accurate endoluminal surface correspondence, which improves considerably upon currently available technology (that simply provides a comparable position along the colonic centreline). While our results are promising, the question remains as to how this algorithm might influence interpretation in daily practice, both in terms of interpretation time and diagnostic accuracy, and this is the subject of ongoing research. Moreover, this Section demonstrates that while CTC data display has improved considerably since Vining’s original description in 1994, there is still potential for continued improvement. Future research will explore the optimal reading paradigm for integration of CASPR into clinical practice and will also examine how the identification (or not) of corresponding endoluminal surface features could enhance the sensitivity and specificity of CAD algorithms.

12.2 FUTURE PERSPECTIVES

Timely diagnosis of cancer and precursor polyps remains an international healthcare priority with screening programmes established throughout European countries (322). However, despite considerable research into patient preferences and targeted media campaigns, uptake of whole-colon screening tests remains worryingly low; bowel preparation and concerns regarding invasive testing are often implicated [Power, 2009 #596]. Moreover, endoscopy may not be achievable or desirable in a significant number of patients. Therefore, a suitable radiological alternative in the form of optimally performed CTC is necessary. However, CTC is a relatively novel technique, performance of which continues to evolve; dissemination of CTC from research centres into daily practice took place rapidly, often before imaging departments and interpreting radiologists were fully prepared. While a large volume
of CTC literature exists, this Thesis raises doubts regarding fundamentals of study methodology and diagnostic performance in daily practice. The studies cited in support of widespread CTC implementation are not generalisable due to discrepant levels of training and experience, particularly in non-academic environments. Therefore, it is the author’s opinion that the most important development that can take place over the next few years will be to introduce formal training, assessment and accreditation for those reporting CTC to ensure adequate performance in daily practice.

While this may appear to be a rather humble expectation, a recent study of UK CTC practice (323) confirms that many centres offering CTC for the NHS bowel cancer screening programme (BCSP), currently fail to practice according to consensus guidelines. Moreover, while there remains no formal UK CTC accreditation, examinations continue to be interpreted by radiologists with little training or experience. Promisingly, procedures have already been introduced to rectify this: Recently published guidance (324) specifies criteria for performing and reporting CTC as well as stipulating minimum levels of experience for reporting BCSP examinations. Moreover, the requirement for ongoing audit, if nationally collated and analysed could provide far better insight into routine clinical CTC interpretation than any laboratory-based research study. In addition, the guidance suggests those reporting CTC will soon need to demonstrate competence via a formal assessment.

However, at present very little is understood regarding radiology training and expertise in general, not least for CTC. The minimum level of experience remains unquantified and the mechanism to test performance is yet to be established. For example, the disappointing results obtained by experienced readers detailed in chapter 6, suggests that threshold sensitivity for detecting clinically significant polyps of only 70% would classify the majority of these (expert) radiologists unfit to interpret CTC. Furthermore, it remains unclear as to what extent observer performance in laboratory conditions would reflect their practice in a busy clinical environment. Moreover, the relative clinical value of sensitivity and specificity would also have to been considered for an assessment to have practical relevance. Nonetheless, the author speculates that within five years, systems of quality assurance akin to those employed in breast radiology will be routine practice for CTC in the UK and much of Europe. Moreover, this is likely to be extended to other branches of radiology: Radiologists will need to provide evidence of
their audited results and depending on how stringent the level of accreditation, it is almost inevitable that a degree of centralisation will have to take place.

While the diagnostic performance of experienced radiologists described previously is of concern, it is important to note that many of the validation cases used during the studies analysed in Chapter 6 were conducted almost 10 years ago. While examinations were performed according to consensus guidelines at the time, one should not underestimate the impact of optimally performed CTC. Improved faecal tagging, routine use of mechanical CO2 insufflators and training of CTC technicians to take ownership of examinations and ensure high quality acquisitions are relatively recent developments contributing to accurate polyp detection. Furthermore, these developments have not taken place at the expense of patient acceptability. It is likely that as researchers refine reduced laxative preparations, the use of harsh purgatives will diminish in the near future. Moreover, it remains the ultimate goal of many researchers to perform CTC avoiding laxatives altogether. While at present, this seems infeasible, developments in CT technology such as multiple energy sources may increase the contrast between stool and the endoluminal surface sufficiently to cleanse untagged or minimally labelled stool. This would represent a paradigm shift in practice and it is hoped that such theoretical technical developments will soon become reality. Likewise, new CT scanners are likely to reduce radiation exposure in addition to improving image resolution, simultaneously improving patient safety and diagnostic performance.

As reinforced throughout this Thesis, it is the Author’s opinion that CTC should not be considered an alternative to colonoscopy; unlike endoscopy, CTC has no therapeutic role. Conversely, it seems highly improbable that future colonoscopy research will negate the necessity for bowel cleansing or reduce the test’s invasive nature. In this respect, the two techniques should be considered complementary. Nevertheless, this view is not universally accepted, particularly outside Europe. The author predicts the colonoscopy vs CTC ‘turf battle’ will not only continue, but as CTC technique is refined, the debate is likely to intensify. While this may seem uncomfortable on the surface, competition between protagonists of each technique, has unquestionably driven forward high quality research in both fields in the past, and is likely to continue to do so in years to come, benefiting individual patients and colorectal cancer research in general.
Nevertheless, the author believes that the future of CTC lies in collaborative research. Not only will CTC continue to occupy a niche alongside colonoscopy but ultimately, it is hoped that technological developments will enable true integration of CTC and colonoscopy. It is the author’s view that the ultimate goal of CTC research at present is CT-guided colonoscopic polypectomy. In a few years it is possible that patients will undergo CTC as a first line investigation to stratify risk and then, where positive findings are detected, colonoscopy can be carried out a purely therapeutic procedure, freeing endoscopic resources and streamlining patient care. However, to succeed, this will require optimal CTC implementation in routine practice, continued technological developments in image registration and, above all, cooperation between all interested parties.

It is my sincere hope that the themes explored in this Thesis continue to be developed and researched over future years. Not only are several sources of bias poorly understood and incompletely researched, in many cases they appear to be completely unknown to researchers designing new studies. Furthermore, there remains considerable scope for improving human-computer interaction, not only for CTC but for radiology in general. CAD algorithms are likely to improve, as too are the ways in which the observer implements the software. For example, one research group has recently described a novel reading paradigm where CAD acts as a first reader yet despite promising results, it is likely that extensive validation will be necessary before this reading technique can be considered safe enough to gain regulatory approval. Likewise, new technology such as CASPR will need refinement before integration into workstations for routine use is permitted. Ultimately, the author envisages the combination of CASPR and CAD into a single entity whereby the endoluminal surface information assimilated by CAD could improve CASPR accuracy while incorporating accurate prone-supine correspondence into CAD would improve polyp detection and dismissal of false positives. Providing computer processing power continues to progress at its current pace, it is likely that fully automated CTC interpretation will be theoretically achievable within a few years (whether or not radiologists consider this desirable). Nonetheless, for the foreseeable future, human interaction will remain mandatory for interpretation of investigations performed in clinical practice.
However, at present our knowledge of the relationships between training, experience, expertise and competence across all radiological subspecialties is very limited. The author considers that exploring why some radiologists outperform others is central to optimising training and that eye-tracking technology likely holds the key to this complex subject. However, it is important to stress that our understanding of visual search, beyond plain radiographic interpretation, remains in its infancy and the small volume of research presented in this Thesis belies the extensive collaboration required between eye-tracking scientists, radiologists and statisticians to arrive at what is essentially the very first step on a long path.

Unfortunately, methodology and medical image perception, while potentially of immense value, seem to be considered relatively peripheral to cancer research; the direct clinical impact is not readily appreciated. Consequently, it may be difficult to secure funding when intense competition exists for limited resources. It is the author’s hope that collaboration with scientists working across disciplines continues to develop in the future, enabling such crucial research to be nested into larger, diagnostic performance studies.

Moreover, while research presented in this Thesis relates to gastrointestinal radiology, it is anticipated that some of the issues raised and method developed may disseminate into a wider radiological context.

12.3 CONCLUSION

In summary, I believe CTC, optimally implemented, has the potential to improve diagnosis of colorectal neoplasia and have described research that aims to facilitate this. The current level of CTC training and experience are of concern and the generalisability of the evidence base is often questionable. However, my research into observer study design, conjoint analysis and representative statistical analyses should translate into improved methodology and I am hopeful that studies of CAD and computer assisted registration described in this Thesis will ultimately improve diagnostic performance.

Dr Darren Boone. 30th October 2013
APPENDIX A:

PUBLICATIONS ARISING FROM THIS THESIS

**BOOK CHAPTERS**


**INVITED REVIEWS AND EDITORIALS**


**ORIGINAL ARTICLES**


Plumb A, **Boone D**, Fitzke H, Helbren E, Mallett S. Detection of extracolonic pathology by CTC colonography: A discrete choice experiment of perceived benefits versus harms. (Under consideration for indexed publication)

Ghanouni A, Halligan S, **Boone D**, Taylor SA, Plumb AO, et al. Sensitivity and specificity of CT colonography for pre-cancerous polyps vs. burden of bowel preparation: Quantifying patients’ preferences via a discrete choice experiment (Under consideration for indexed publication)


**ABSTRACTS**


APPENDIX B:

ESGAR WORKSHOP QUESTIONNAIRE

Dear Dr. …..

Thank you very much for your registration for the (WORKSHOP NUMBER) ESGAR CT-Colonography Workshop that takes place in (WORKSHOP LOCATION) next week.

The ESGAR CTC Committee is evaluating some statistical data of our participants for research purposes. Therefore, may I kindly ask you on their behalf, to complete a pre-survey (by using the link below)? The results will also allow the faculty to be prepared for the correct target group. The compilation of this survey should not take you longer than 5 minutes.

WEB-LINK

We wish you a nice trip to (WORKSHOP LOCATION).

Kind regards,

The ESGAR Office
On behalf of the CTC Committee

1. Are you (please tick the single response that best describes you):
   Medical: Trainee radiologist
   Medical: Staff radiologist with a subspecialty interest in GI radiology
   Medical: Staff radiologist with a subspecialty interest in CT scanning
   Medical: Staff radiologist with a general interest
   Medical: Non-radiologist (e.g. gastroenterologist)
   Non-medical (e.g. radiographic technician)

2. Are you working in (HOST COUNTRY)?
   Yes
   No

3. Have you had any hands-on experience of CTC interpretation before this workshop? Please tick all that apply.
   None whatsoever
   I have sat in when others have interpreted cases at my local hospital
   I have interpreted some cases myself
   I have previously been to a colonography workshop
   I have previously interpreted some educational colonography datasets

4. If you have interpreted some cases yourself, what is your experience to date?
   Fewer than 10 cases
   Fewer than 50 cases
   Fewer than 100 cases
   100 cases or more
   300 cases or more

5. How do you practice (or intend to practice) CTC? (Please tick all that apply at this point in time).
   Public hospital practice; symptomatic patients.
   Private hospital practice; symptomatic patients
   Private hospital practice; asymptomatic patients (i.e. screening)
   I don’t intend to practice – I’m just curious.

6. Is CTC being performed at the local hospital(s) in which you work? Please tick all that apply.
   No.
   Yes, in the public hospital
   Yes, in the private hospital

7. If CTC is being performed at the local hospital(s) in which you work, how is the patients’ colon usually prepared? Please tick all that apply.
Full bowel preparation in most cases
A reduced preparation used in most cases
Full bowel preparation in younger patients, reduced in older

8. If CTC is being performed at the local hospital(s) in which you work, do you use faecal tagging (i.e. positive contrast) to label residual stool? Please tick all that apply.

   Yes, in most patients
   No, in most patients

9. If CTC is being performed at the local hospitals in which you work, what gas do you most often use to insufflate the colon?

   Room air
   Carbon dioxide

10. If CTC is being performed at the local hospitals in which you work, do you usually administer a spasmolytic routinely (e.g. Buscopan, glucagon)

    Yes
    No

11. If CTC is being performed at the local hospitals in which you work, how are the cases most often interpreted?

    A primary 2D read alone
    A primary 2D read with 3D for problem areas
    A primary 3D read (includes 'virtual dissection' etc)

12. What sort of CT machine are you using (or intend to use) for CTC? Please tick all that apply at your local hospital(s).

    Helical single slice
    4-detector row
    8-detector row
    16-detector row
    32-detector row
    40-detector row
    64-detector row

13. Do you have dedicated CTC interpretation software available at your local hospital(s)? If so, please state which:

    (FREE TEXT BOX)

14. What do you think will be the present or future role of CTC in the following clinical situations that pertain to the colon? Please tick all responses that apply to you.

    Detecting colon cancers in symptomatic patients of all ages.
    Detecting colon cancers, but mostly restricted to elderly symptomatic patients.
    Screening for colorectal cancer & polyps in patients of all relevant ages.
    Screening for colorectal cancer & polyps, but mostly restricted to elderly attendees.

15. It is well-established that CTC can detect pathology outside the colon. On balance overall, do you think that this attribute is:

    (please tick all that apply):

    A good thing in symptomatic patients.
    A bad thing in symptomatic patients.
    A good thing in asymptomatic patients (i.e. screenees).
    A bad thing in asymptomatic patients (i.e. screenees).
## ACRIN CTC TRIAL CASES USED FOR VALIDATION

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