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The APOSTEL 2.0 Recommendations for Reporting Quantitative Optical Coherence Tomography Studies

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Aykut Aytulun<sup>1,43</sup>\*, Andrés Cruz-Herranz<sup>2,43</sup>\*, Orhan Aktas<sup>1,43</sup>, Laura J. Balcer<sup>3,43</sup>, Lisanne Balk<sup>4,43</sup>, Piero Barboni<sup>5</sup>, Augusto Azuara Blanco<sup>6</sup>, Peter A. Calabresi<sup>7,43</sup>, Fiona Costello<sup>8,43</sup>, Bernardo Sanchez-Dalmau<sup>9</sup>, Delia Cabrera DeBuc<sup>10</sup>, Nicolas Feltgen<sup>11</sup>, Robert P. Finger<sup>12</sup>, Jette Lautrup Frederiksen<sup>13,43</sup>, Elliot Frohman<sup>14,43</sup>, Teresa Frohman<sup>14,43</sup>, David Garway-Heath<sup>15</sup>, Iñigo Gabilondo<sup>16,43</sup>, Jennifer S. Graves<sup>17,43</sup>, Ari J. Green<sup>2,43</sup>, Hans-Peter Hartung<sup>1,18,19,43</sup>, Joachim Havla<sup>20,43</sup>, Frank G. Holz<sup>12</sup>, Jaime Imitola<sup>21,43</sup>, Rachel Kennev<sup>3,43</sup>. Alexander Klistorner<sup>22,43</sup>. Benjamin Knjer<sup>23,43</sup>. Thomas Korn<sup>23,43</sup>, Scott Kolbe<sup>24</sup>, Julia Krämer<sup>25,43</sup>, Wolf A. Lagrèze<sup>26</sup>, Letizia Leocani<sup>27,43</sup>, Oliver Maier<sup>1</sup>, Elena H. Martínez-Lapiscina<sup>9,43</sup>, Sven Meuth<sup>1,43</sup>, Olivier Outteryck<sup>28,43</sup>, Friedemann Paul<sup>29,43</sup>, Axel Petzold<sup>30,43</sup>, Gorm Pihl-Jensen<sup>13,43</sup>, Jana Lizrova Preiningerova<sup>31,43</sup>, Gema Rebolleda<sup>32</sup>, Marius Ringelstein<sup>1,33,43</sup>, Shiv Saidha<sup>7,43</sup>, Sven Schippling<sup>34,43</sup>, Joel S. Schuman<sup>35,36</sup>, Robert C. Sergott<sup>37,43</sup>, Ahmed Toosy<sup>38</sup>, Pablo Villoslada<sup>9,43</sup>, Sebastian Wolf<sup>39</sup>, E. Ann Yeh<sup>40,43</sup>, Patrick Yu-Wai-Man<sup>41</sup>, Hanna G. Zimmermann<sup>29,43</sup>, Alexander U. Brandt<sup>29,42,43‡</sup> and Philipp Albrecht<sup>1,43‡</sup>

<sup>&</sup>lt;sup>1)</sup> Department of Neurology, Medical Faculty, Heinrich-Heine University Düsseldorf, Germany

<sup>&</sup>lt;sup>2)</sup> Department of Neurology, University of California San Francisco, San Francisco, USA.

<sup>&</sup>lt;sup>3)</sup> Departments of Neurology, Population Health and Ophthalmology, NYU Grossman School of Medicine, New York, USA

<sup>&</sup>lt;sup>4)</sup> Mulier Institute, Centre for Research on Sports in Society, Utrecht, Netherlands

<sup>5)</sup> Scientific Institute San Raffaele, Milan, Italy

<sup>&</sup>lt;sup>6)</sup> Centre for Public Health, Queen's University Belfast, Belfast, Northern Ireland, UK

<sup>7)</sup> Division of Neuroimmunology, Johns Hopkins University, Baltimore, USA

- <sup>8)</sup> Departments of Clinical Neurosciences and Surgery (F.E.C.), University of Calgary, Alberta, Canada
- <sup>9)</sup> Institut d'Investigacións Biomediques August Pi iSunyer (IDIBAPS) and Hospital Clinic, University of Barcelona, Barcelona, Spain
- <sup>10)</sup> Bascom Palmer Eye Institute, University of Miami Miller School of Medicine, Miami, Florida, USA
- <sup>11)</sup> Department of Ophthalmology, University Medical Center, Goettingen, Germany
- 12) Department of Ophthalmology, University of Bonn, Bonn, Germany
- <sup>13)</sup> Department of Neurology, Rigshospitalet Glostrup and University of Copenhagen, Denmark
- <sup>14)</sup> Distinguished Senior Fellow, Laboratory of Neuroimmunology,

Professor Laurence Steinman, Stanford University School of Medicine, CA, USA

- <sup>15)</sup> Institute of Ophthalmology, University College London; Moorfields Eye Hospital NHS Foundation Trust, UK
- <sup>16)</sup> Biocruces Bizkaia Health Research Institute, Barakaldo, Spain
- <sup>17)</sup> Department of Neurosciences, University of California, San Diego
- <sup>18)</sup> Brain and Mind Centre, University of Sydney
- <sup>19)</sup> Department of Neurology, Medical University of Vienna, Austria
- <sup>20)</sup> Institute of Clinical Neuroimmunology, LMU Hospital, Ludwig-Maximilians Universität München, Munich, Germany
- <sup>21)</sup> UConn Health Comprehensive MS Center, Division of Multiple Sclerosis and Neuroimmunology, Department of Neurology, University of Connecticut School of Medicine, Farmington, CT 06030, USA
- <sup>22)</sup> Faculty of Medicine and Health Sciences, Macquarie University, Sydney, Australia

- <sup>23)</sup> Department of Neurology, Klinikum rechts der Isar, School of Medicine, Technical University of Munich, Germany
- <sup>24)</sup> Department of Medicine and Radiology, University of Melbourne, Australia
- <sup>25)</sup> Department of Neurology with Institute of Translational Neurology, University of Münster, Münster, Germany.
- <sup>26)</sup> Eye Center, Medical Center, Faculty of Medicine, University of Freiburg, Freiburg, Germany.
- <sup>27)</sup> Experimental Neurophysiology Unit, Institute of Experimental Neurology (INSPE), IRCCS San Raffaele, University Vita-Salute San Raffaele, Milan, Italy
- <sup>28)</sup> Univ. Lille, Inserm, CHU Lille, U1172 LilNCog (JPARC) Lille Neurosciences & Cognition, F-59000 Lille, France
- <sup>29)</sup> Experimental and Clinical Research Center, Max Delbrück Center for Molecular Medicine and Charité Universitätsmedizin Berlin, corporate member of Freie Universität Berlin, Humboldt-Universität zu Berlin, and Berlin Institute of Health, Germany
- <sup>30)</sup> Moorfields Eye Hospital, City Road, The National Hospital for Neurology and Neurosurgery, Queen Square, UCL Institute of Neurology, London, UK and Neuro-ophthalmology Expert Center, Amsterdam UMC, The Netherlands
- <sup>31)</sup> Department of Neurology, First Faculty of Medicine, Charles University and General University Hospital in Prague, Czech Republic
- <sup>32)</sup> Department of Ophthalmology, Ramon y Cajal Hospital, Medicine University of Alcalá, Madrid, Spain
- <sup>33)</sup> Department of Neurology, Center for Neurology and Neuropsychiatry, LVR-Klinikum, Heinrich-Heine-University Düsseldorf, Düsseldorf, Germany
- <sup>34)</sup> Department of Neurology, University Hospital Zurich, Switzerland

<sup>35)</sup> Departments of Ophthalmology, Neuroscience and Physiology, NYU Langone

Health, NYU Grossman School of Medicine, New York, NY, USA

<sup>36)</sup> Departments of Biomedical Engineering, Electrical and Computer Engineering,

NYU Tandon School of Engineering, Brooklyn, NY, USA

<sup>37)</sup> Thomas Jefferson University Medical College, Philadelphia, USA

<sup>38)</sup> Queen Square MS Centre, Department of Neuroinflammation, UCL Institute of

Neurology, University College London, London, UK

<sup>39)</sup> Department of Ophthalmology and Department of Clinical Research, Bern

University Hospital, University of Bern, Switzerland

<sup>40)</sup> Division of Neurology, Department of Pediatrics, Hospital for Sick Children,

Division of Neurosciences and Mental Health SickKids Research Institute, University

of Toronto, Canada

<sup>41)</sup> Department of Clinical Neurosciences, University of Cambridge, Cambridge, UK,

and Moorfields Eye Hospital, London, UK

42) University of California, Irvine, CA, USA

<sup>43)</sup> IMSVISUAL, International Multiple Sclerosis Visual System Consortium

\*Equally contributing first authors

Equally contributing senior authors

Correspondence should be addressed to Philipp Albrecht, <a href="mailto:phil.albrecht@gmail.com">phil.albrecht@gmail.com</a>

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Objective: To update the consensus recommendations for reporting of quantitative optical coherence tomography (OCT) study results, thus revising the previously published Advised Protocol for OCT Study Terminology and Elements (APOSTEL) recommendations.

Methods: To identify studies reporting quantitative OCT results, we performed a PubMed search for the terms "quantitative" and "optical coherence tomography" from 2015 to 2017. Corresponding authors of the identified publications were invited to provide feedback on the initial APOSTEL recommendations via online surveys following the principle of a modified Delphi method. The results were evaluated and discussed by a panel of experts, and changes to the initial recommendations were proposed. A final survey was recirculated among the corresponding authors to obtain a majority vote on the proposed changes.

Results: One hundred sixteen authors participated in the surveys, resulting in 15 suggestions, of which 12 were finally accepted and incorporated into an updated 9point-checklist. We harmonized the nomenclature of the outer retinal layers, added the exact area of measurement to the description of volume scans; we suggested reporting device-specific features. We advised to address potential bias in manual segmentation or manual correction of segmentation errors. References to specific reporting guidelines and room light conditions were removed. The participants' consensus with the recommendations increased from 80% for the previous APOSTEL version to greater than 90%.

Conclusions: The modified Delphi method resulted in an expert-led guideline (evidence class III, GRADE criteria) concerning study protocol, acquisition device, acquisition settings, scanning protocol, fundoscopic imaging, post-acquisition data selection, post-acquisition analysis, nomenclature and abbreviations, and statistical approach. It will still be essential to update these recommendations to new research and practices regularly.



# Introduction

Increases in the numbers of quantitative optical coherence tomography (OCT) studies have raised the need for consistent and coherent standardized reporting recommendations. In 2016, the Advised Protocol for OCT Study Terminology and Elements (APOSTEL) recommendations were published to provide a 9-point checklist of relevant aspects for reporting quantitative retinal OCT studies<sup>1</sup>. The original APOSTEL recommendations were conceived as expert opinion (level D evidence according to the Grading of Recommendations Assessment, Development and Evaluation, GRADE, working group criteria, www.gradeworkinggroup.org) from discussions among the authors, the IMSVISUAL consortium (www.imsvisual.org), and consideration of the literature<sup>2</sup>. Without a formal consensus-building approach, and without involving a broader audience, further validation was warranted. We aimed to revise and achieve consensus on these recommendations by using a modified DELPHI method, including a larger group of OCT scientists and clinicians, in a formal procedure to review the consensus and develop level C evidence-based guidelines (GRADE criteria)<sup>3</sup>. The long-term goal was to improve the reproducibility and inter-operability of OCT studies for retinal and neuro-ophthalmology diseases.

## Methods

In order to identify experts in the field while minimizing the risk of selection bias, we chose to contact corresponding authors of studies reporting quantitative retinal OCT results published within 24 months prior to our initial survey by email. Eight hundred ninety-two authors (892) of 1189 publications were identified by a PubMed search (performed 3 July 2017) using the search terms *quantitative* and *optical coherence* tomography for 2015 to 2017. The DELPHI method is a systematic, multi-stage survey to obtain consensus on a specified question. The process involves multiple

rounds of questionnaires presented to participants. The responses are analyzed by a panel of experts and fed back to participants and assessed for consensus<sup>4</sup>. Most of the members of the panel of experts were also corresponding authors of quantitative retinal OCT studies and were therefore also invited to participate in the survey. Following the consensus-building procedure of a modified DELPHI method (Figure 1), we conducted the following steps:

- 1) We contacted all corresponding authors of the identified publications and asked them to evaluate and give feedback on the initial APOSTEL recommendations. The participants were asked about their agreement on each item of the recommendations, rating from 1-full disagreement to 4-full approval. Participants were given the opportunity to provide comments. In a blinded fashion, we collected feedback and suggestions using a free online survey via Google Forms (*Initial questionnaire*, raw data of survey results can be obtained from the corresponding author upon qualified request).
- 2) We then formed a panel of 54 international experts who gathered at congress meetings and during four rounds of telephone conferences. The aggregated results of the initial questionnaire were reviewed online through a *second questionnaire* by the panel, who also revised the original APOSTEL recommendations and proposed a list of changes.
- 3) This list was then reviewed in a second DELPHI round by the original group of corresponding authors through a third online questionnaire (Google Forms). In this last DELPHI round, the participants were given the opportunity to approve or reject the final list of suggestions of the panel of experts by majority vote.

## Results

Initial questionnaire: survey about the initial APOSTEL recommendations among corresponding authors

Seventy-three (8%) of the 892 contacted corresponding authors of quantitative OCT studies completed the first online questionnaire and provided feedback, the majority of these being ophthalmologists (71%), followed by neurologists (10%), and neuro-ophthalmologists (10%). Eighty percent of participants agreed with the recommendations as they were published, and 95% planned to adhere to the recommendations in future publications. At the same time, 64% stated having reported their previous research with less detail than suggested.

Second questionnaire: Consensus building with the panel of experts

Based on the feedback obtained during the first survey, the panel of 54 experts drafted a list of 15 suggested changes to the original APOSTEL recommendations. Twelve (80%) of these suggestions (see below) were accepted through the second questionnaire, while proposals already covered in the original recommendations or to include OCT angiography (OCT-A) were rejected. With this feedback, we generated a revised version of the APOSTEL recommendations with an updated 9-point checklist.

Third questionnaire: second DELPHI round with corresponding authors.

One hundred sixteen (13%) of the 892 corresponding authors responded to the third survey. Among them, 53% were ophthalmologists, 35% neurologists, and 12% were non-MD researchers. The overall acceptance of the proposed changes was above 95%, with the only exception of the recommendation to report the pixel to mm ratio and the image format if the images are exported from the device for analysis, which was accepted by 84% of the authors.

After the modified DELPHI process for consensus building, we decided to maintain the initial recommendations of stating the acquisition protocol, imaging modalities and addressing concomitant eye pathologies with the exact scanning protocol. The following changes made to the original APOSTEL recommendations checklist are printed in bold in Table 1 and summarized below:

- 1) As already addressed in correspondence to the initial recommendations<sup>5</sup>, we harmonized the nomenclature of the outer retinal layers to match the consensus paper by Staurenghi et al 2014 (Figure 2)<sup>6</sup>.
- 2) We removed references to specific reporting guidelines to avoid favoring any guidelines or omitting relevant recommendations.
- 3) When utilized, we suggest reporting device-specific features (e.g. enhanced depth imaging, swept-source OCT, adaptive optics).
- 4) We added the exact area of measurement (e.g. analysis grids) to the description of volume scans.
- 5) We also added a commentary regarding the importance of addressing potential bias in manual segmentation or manual correction of segmentation errors (masking). In several comments, concerns were raised regarding the length of the methodology section of articles that fully adhered to the APOSTEL recommendations. In case of limited word count availability, we now advise submitting the exact OCT methodology as supplementary material, if permitted.
- 6) Another issue raised by several comments was that the relevance of some of the details to be reported regarding the acquisition setting, namely the room lighting conditions and if pupils were dilated. The panel of experts agreed that reporting the ambient lighting condition is likely to be of low clinical importance, although shaded room lighting is suggested. However, off-axis

beam placement could affect the results of OCT imaging studies, and the risk for this phenomenon increases with pupil dilation and is greater for the outer retinal layers (OPL/ONL) compared to the inner retinal layers (pRNFL to INL)<sup>7</sup>. Oberwahrenbrook and colleagues showed that the greatest error is for the outer retinal layers<sup>8</sup>. Therefore, pupil dilation is relevant since it can directly affect quantitative OCT measures. We, thus, omitted room light conditions but retained pupil dilation.



# **Discussion**

The formal consensus-building approach of a modified DELPHI method was used to revise the APOSTEL recommendations for the reporting of quantitative OCT studies.

We observed a high consensus of the participants already with the initial APOSTEL recommendations in the first survey. The vast majority of the participants acknowledged the need for guidance.

While the original APOSTEL recommendations were conceived by a panel dominated by neurologists, a more heterogeneous mix of specialties, with broader expertise, contributed to this new version, the majority being ophthalmologists. Ninety-seven percent of all participants agreed that that the APOSTEL 2.0 guidelines should apply to all studies reporting on quantitative retinal OCT research and not be restrained to certain disorders or disciplines. Furthermore, we believe that choosing to identify the experts to be addressed by the survey as the corresponding authors of relevant research articles based on a PubMed search assured a broad consensus-building approach, eliminating the selection bias typically immanent to expert consortia. However, there was a low response rate<sup>9</sup>: eight percent of the contacted corresponding authors responded to the first round of the survey and 13% to the second round. Possible explanations for this limitation may include the fact that corresponding authors are senior supervisors or principal investigators and are not necessarily as involved in the technical details and specifications addressed by the APOSTEL recommendations. Likewise, there are time constraints to consider. This can be viewed as a limitation of the study but we have to assume that those who participated in the survey were knowledgeable about the matter and contact details for the first authors or technicians involved in these studies were not available.

It has to be acknowledged that the modified Delphi-method tends to eliminate extreme (but possibly relevant) positions and steers a middle-course consensus. However, all survey participants were given the opportunity to provide feedback in free text and all comments were critically discussed among the panel of experts. The achieved consensus is based on the opinion of the participants and the panel of experts and therefore it should be regularly counterchecked and revised along with evolving scientific evidence.

These recommendations do not cover all aspects and techniques possibly amenable to OCT research and are based on expert opinion and a single consensus finding investigation rather than on a systematic review of a large body of literature. Therefore, they are not intended as an indispensable premise for all experimental OCT research. The APOSTEL recommendations are intended for clinical OCT studies using established techniques and help to provide the necessary comparability between studies.

Some additions suggested during the revision process were not included in the final version as consensus was not reached. One of these suggestions was to incorporate a section on OCT-A. We believe the inclusion of details pertaining to OCT-A to the APOSTEL 2.0 recommendations would be presently premature.

The field of OCT-A, both clinically and academically, is in a phase of rapid evolution and essentially in its infancy. Its use is not well established in routine clinical care, in either the fields of ophthalmology or neurology. Interpretation of OCT-A scans across devices is challenging and standardized quantitative OCT-A metrics are either lacking and/or vary across OCT platforms. Moreover, there is a lack of consensus regarding quality control criteria for image acquisition, and the implementation of such standards as it pertains to OCT-A. We acknowledge that these limitations are likely to change in the future. For these reasons, we believe

the evidence and corresponding investigative and clinical recommendations for OCT and OCT-A should remain on separate tracks.

A future revision of the APOSTEL criteria very likely will also need to consider the role of Artificial Intelligence based data from image analyses<sup>10</sup>.

In summary, we present revised APOSTEL recommendations based on this investigation using a modified DELPHI process that involves a broad group of experts. Therefore, the resulting APOSTEL 2.0 can be considered an expert-led guideline (evidence class C, GRADE criteria) covering all relevant aspects of quantitative retinal OCT research. It will be necessary to update these recommendations to new research and practices regularly.



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London, United Kingdom); Christian Cordano (University of California, San Francisco, USA); Christine A. Curcio (University of Alabama at Birmingham, USA); Floriana De Angelis (Queen Square MS Centre, UCL, London, UK); Roberto Dell'Omo (University of Molise, Campobasso, Italy); Mauricio Della Paolera (Hospital de Olhos City, São Paulo, Brazil); Nabil El Ayoubi (American University of Beirut and Medical Center / Department of Neurology / Multiple Sclerosis Center, Lebanon); Brian Fernández (Heidelberg Engineering, Franklin, Massachusetts, USA); Antonio Ferreras (Miguel Servet University Hospital, University of Zaragoza, Spain); Ignacio Flores-Moreno (Puerta de Hierro University Hospital, Madrid, Spain); K. Bailey Freund (Vitreous Retina Macula Consultants of New York, USA); Simona Frontoni (Dept. of Systems Medicine, University of Rome "Tor Vergata", Italy); Steven Galetta (New York University Lagone Medical Center, USA); Ignacio García Basterra (Hospital Costa del Sol, Marbella, Spain); Stuart Gardiner (Devers Eye Institute, Portland, Oregon, USA); Barbara Giambene (Al Emadi Hospital, Doha, Qatar); Steffen Hamann (Department of Ophthalmology, Rigshospitalet, University of Copenhagen, Denmark); Poya Hård af Segerstad (Lund University, Scania, Sweden); Pascal Hasler (Eye Department, University Hospital Basel, Switzerland); Xiangui He (Shanghai Eye Disease Prevention and Treatment Center, Shanghai Eye Hospital, China); Carsten Heinz (Eye Center at St. Franziskus Hospital Muenster, Germany); Yoshio Hirano (Nagoya City University Graduate School of Medical Sciences, Japan); Jyh Yung Hor (Department of Neurology, Penang General Hospital, Penang, Malaysia); Ragnhild Wivestad Jansson (University of Bergen, Norway); Jost B. Jonas (Department of Ophthalmology, Medical Faculty Mannheim, Heidelberg University, Germany); Motohiro Kamei (Aichi Medical University, Nagakute, Japan); Niro Kasahara (Santa Casa de São Paulo School of Medical Sciences, Brazil); Amir Kashani (University of Southern California, Los Angeles, USA); Rajiv Khandekar(King Khaled Eye Specialist Hospital, Riyadh, Saudi Arabia);

Albert Khouri (Rutgers New Jersey Medical School, USA); Sidsel Ehlers Klug (Department of Ophthalmology at Aarhus University Hospital, Denmark); Chiara La Morgia (IRCCS Institute of Neurological Sciences of Bologna; University of Bologna, Italy); Timothy Y Y Lai (The Chinese University of Hong Kong, Hong Kong); Marco Lana-Peixoto (Federal University of Minas Gerais Medical School, Belo Horizonte, Brazil); Paolo Lanzetta (University of Udine, Department of Medicine, Italy); Michael Larsen (Rigshospitalet and University of Copenhagen, Denmark); Eun Ji Lee (Seoul National University Bundang Hospital, South Korea); Shu Yen Lee (Singapore National Eye Centre, Singapore); Theodore Leng (Byers Eye Institute at Stanford, Stanford University School of Medicine, Palo Alto, California); Nicolas Leveziel (Dpt. of Ophthalmology, CHU Poitiers, France); Kenneth Li (United Christian Hospital, Hong Kong); Marco Lombardo (Vision Engineering, Rome, Italy); Iuliano Lorenzo (Vita-Salute University, Ospedale San Raffaele Scientific Institute, Milan, Italy); Brandon Lujan (OHSU Casey Eye Institute, Portland, Oregon, USA); Amir-Hadi Maghzi (Brigham and Women's Hospital, Harvard Medical School, Boston, Massachusetts, USA); Maureen Maguire (University of Pennsylvania, USA); Idit Maharshak (Wolfson Medical Center Holon Israel); Christian Mardin (Department of Ophthalmology, University Erlangen, Germany); Joao Pedro Margues (Department of Ophthalmology, Centro Hospitalar e Universitário de Coimbra (CHUC), Coimbra, Portugal); Battaglia Parodi Maurizio (Vita-Salute San Raffaele University, Milan, Italy); Martin McKibbin (Leeds Teaching Hospitals NHS Trust, West Yorkshire, UK); Carlos Moreira-Neto (Hospital de Ohos do Paraná, Brazil); Adriana Morgan (Santa Casa de São Paulo School of Medical Sciences, Brazil); Inger Christine Munch (Zealand University Hospital, Roskilde, Denmark); Marion Munk (Department of Ophthalmology, University Hospital Bern, Switzerland); Maria Nilsson (Karolinska Institutet, Solna, Sweden); Susana Noval (La Paz Children Hospital, Madrid, Spain); Frederike Cosima Oertel ((1) Dept. Neurology, UCSF, USA (2) NCRC & ECRC

Charité-Universitätsmedizin Berlin, Germany); Akio Oishi (Kyoto University, Japan); Abdullah Ozkaya (Beyoglu Eye Training and Research Hospital, Istanbul, Turkey); Lekha Pandit (Nitte University, Mangalore, India); Athina Papadopoulou (University Hospital Basel, Switzerland); Isabel Pinilla (Hospital Clinico Universitario Zaragoza, Spain); Giuseppe Querques (San Raffaele Scientific Institute, Milan, Italy); Richard Rosen (New York Eye and Ear Infirmary of Mount Sinai, USA); Richard Roxburgh (Auckland City Hospital, New Zealand); Ana Rita Santos (AIBILI - Association for Innovation and Biomedical Research on Light and Image, Coimbra, Portugal); Kaur Savleen (Department of Ophthalmology, Post Graduate Institute of Medical Education and Research, Chandigarh, India); Reinier O. Schlingemann (Academic Medical Center, University of Amsterdam, The Netherlands); Steffen Schmitz-Valckenberg (Department of Ophthalmology, University of Bonn, Germany); Carlos Schönfeldt-Lecuona (Department of Psychiatry and Psychotherapy III, University Clinic Ulm, Germany); Ori Segal (Sackler School of Medicine, Tel Aviv University, Israel); Oudy Semoun (Centre Hospitalier Intercommunal Creteil, France); Aleksandra Shelankova (Research Institute of Eye Diseases, Moscow, Russia); Elizabeth Silbermann (Oregon Health & Science University, Portland, Oregon, USA); Travis Smith (Oregon Health & Science University, Portland, Oregon, USA); Gabor Mark Somfai (Department of Ophthalmology, Semmelweis University, Budapest, Hungary); Elias Sotirchos (Johns Hopkins University, Baltimore, Maryland, USA); Richard Spaide (Vitreous, Retina, Macula Consultants of New York, USA); Rosa Tang (Eye Wellness Center, Houston, Texas); Angelo Tanna (Northwestern University Feinberg School of Medicine, Chicago, Illinois, USA); Lisa Toto (Ophthalmology Clinic, University "G. d'Annunzio" of Chieti-Pescara, Italy); Umut Duygu Uzunel (Izmir Bozyaka Training and Research Hospital, Turkey); Anneke Van der Walt (Alfred Health, Monash University, Melbourne, Australia); Clemens Vass (Medical University Vienna, Austria); Gianni Virgili (University of Florence, Italy);

Stela Vujosevic (University Hospital Maggiore della Carita', Novara, Italy); Nadia Waheed (Tufts University Medical School, Boston, Massachusetts, USA); Maria Waizel (University Hospital Basel, Switzerland); Lihteh Wu (Asociados de Macula Vitreo y Retina de Costa Rica); Yih Chian Yew (Bukit Mertajam Hospital, Malaysia); Glenn Yiu (UC Davis); Hyeong Gon Yu (Seoul National University Hospital, South Korea); Shen Yuan (Tenth Hospital of Tongji University, Shanghai, China); Lucia Ziccardi (IRCCS Fondazione Bietti, Rome, Italy); Martin Zinkernagel (Department of Ophthalmology, University Hospital Bern, Switzerland).

# **Appendix 1. Authors**

Name	Location	Contribution
Aykut Aytulun	Department of Neurology,	Study concept and
	Medical Faculty, Heinrich-	design, acquisition of
	Heine University	data, analysis and
	Düsseldorf, Germany	interpretation, drafting and
		critical revision of the
		manuscript for important
		intellectual content, took
		part in the panel
		discussions.
Andrés Cruz-Herranz	Department of Neurology,	Study concept and
	University of California	design, acquisition of
	San Francisco, San	data, analysis and
	Francisco, USA	interpretation, drafting and
		critical revision of the
		manuscript for important
		intellectual content, took
		part in the panel
		discussions.
Orhan Aktas	Department of Neurology,	Analysis and
	Medical Faculty, Heinrich-	interpretation, critical
	Heine University	revision of the manuscript
	Düsseldorf, Germany	for important intellectual
		content, took part in the

		panel discussions.
Laura J. Balcer	Departments of	Analysis and
	Neurology, Population	interpretation, critical
	Health and	revision of the manuscript
	Ophthalmology, NYU	for important intellectual
	Grossman School of	content, took part in the
	Medicine, New York, USA	panel discussions.
Lisanne J. Balk	Mulier Institute, Centre for	Analysis and
	Research on Sports in	interpretation, critical
	Society, Utrecht,	revision of the manuscript
	Netherlands	for important intellectual
		content, took part in the
		panel discussions.
Piero Barboni	Scientific Institute San	Analysis and
	Raffaele, Milan, Italy	interpretation, critical
		revision of the manuscript
		for important intellectual
		content, took part in the
		panel discussions.
Augusto Azuara Blanco	Centre for Public Health,	Analysis and
	Queen's University	interpretation, critical
	Belfast, Belfast, Northern	revision of the manuscript
	Ireland, UK	for important intellectual
		content, took part in the
		panel discussions.

Peter A. Calabresi	Division of	Analysis and
	Neuroimmunology, Johns	interpretation, critical
	Hopkins University,	revision of the manuscript
	Baltimore, USA	for important intellectual
		content, took part in the
		panel discussions.
Fiona Costello	Departments of Clinical	Analysis and
	Neurosciences and	interpretation, critical
	Surgery (F.E.C.),	revision of the manuscript
	University of Calgary,	for important intellectual
	Alberta, Canada	content, took part in the
		panel discussions.
Bernardo Sanchez-	Institut d'Investigacións	Analysis and
Dalmau	Biomediques August Pi	interpretation, critical
	iSunyer (IDIBAPS) and	revision of the manuscript
	Hospital Clinic, University	for important intellectual
	of Barcelona, Barcelona,	content, took part in the
	Spain	panel discussions.
Delia Cabrera DeBuc	Bascom Palmer Eye	Analysis and
	Institute, University of	interpretation, critical
	Miami Miller School of	revision of the manuscript
	Medicine, Miami, Florida,	for important intellectual
· ·	USA	content, took part in the
		panel discussions.
Nicolas Feltgen	Department of	Analysis and
	Ophthalmology, University	interpretation, critical

	Medical Center,	revision of the manuscript
	Goettingen, Germany	for important intellectual
		content, took part in the
		panel discussions.
Robert P. Finger	Department of	Analysis and
	Ophthalmology, University	interpretation, critical
	of Bonn, Bonn, Germany	revision of the manuscript
		for important intellectual
		content, took part in the
		panel discussions.
Jette Lautrup Frederiksen	Department of Neurology,	Analysis and
	Rigshospitalet Glostrup	interpretation, critical
	and University of	revision of the manuscript
	Copenhagen, Denmark	for important intellectual
		content, took part in the
		panel discussions.
Elliot Frohman	Distinguished Senior	Analysis and
	Fellow, Laboratory of	interpretation, critical
	Neuroimmunology,	revision of the manuscript
	Professor Laurence	for important intellectual
	Steinman, Stanford	content, took part in the
	University School of	panel discussions.
*	Medicine, CA, USA	
Tarana Frahman	Distinguished Contain	Analysis and
Teresa Frohman	Distinguished Senior	Analysis and

	Fellow, Laboratory of	interpretation, critical
	Neuroimmunology,	revision of the manuscript
	Professor Laurence	for important intellectual
	Steinman, Stanford	content, took part in the
	University School of	panel discussions.
	Medicine, CA, USA	
David Garway-Heath	Institute of	Analysis and
	Ophthalmology, University	interpretation, critical
	College London;	revision of the manuscript
	Moorfields Eye Hospital	for important intellectual
	NHS Foundation Trust,	content, took part in the
	UK	panel discussions.
Iñigo Gabilondo	Biocruces Bizkaia Health	Analysis and
	Research Institute,	interpretation, critical
	Barakaldo, Spain	revision of the manuscript
		for important intellectual
		content, took part in the
		panel discussions.
Jennifer S. Graves	Department of	Analysis and
	Neurosciences, University	interpretation, critical
	of California, San Diego	revision of the manuscript
		for important intellectual
		content, took part in the
		panel discussions.

Ari J. Green	Department of Neurology,	Analysis and
	University of California	interpretation, critical
	San Francisco, San	revision of the manuscript
	Francisco, USA	for important intellectual
		content, took part in the
		panel discussions.
Hans-Peter Hartung	Department of Neurology,	Analysis and
	Medical Faculty, Heinrich-	interpretation, critical
	Heine University	revision of the manuscript
	Düsseldorf, Germany	for important intellectual
	Brain and Mind Centre,	content, took part in the
	University of Sydney	panel discussions.
	Department of Neurology,	
	Medical University of	
	Vienna, Austria	
Joachim Havla	Institute of Clinical	Analysis and
	Neuroimmunology, LMU	interpretation, critical
	Hospital, Ludwig-	revision of the manuscript
	Maximilians Universität	for important intellectual
	München, Munich,	content, took part in the
	Germany	panel discussions.
Frank G. Holz	Department of	Analysis and
	Ophthalmology, University	interpretation, critical
	of Bonn, Bonn, Germany	revision of the manuscript
		for important intellectual

		content, took part in the
		panel discussions.
Jaime Imitola	UConn Health	Analysis and
	Comprehensive MS	interpretation, critical
	Center, Division of	revision of the manuscript
	Multiple Sclerosis and	for important intellectual
	Neuroimmunology,	content, took part in the
	Department of Neurology,	panel discussions.
	University of Connecticut	
	School of Medicine,	
	Farmington, CT 06030,	
	USA	
Rachel Kenney	Departments of	Analysis and
	Neurology, Population	interpretation, critical
	Health and	
	Ophthalmology, NYU	revision of the manuscript
	Grossman School of	for important intellectual
	Medicine, New York, USA	content, took part in the
		panel discussions.
Alexander Klistorner	Faculty of Medicine and	Analysis and
	Health Sciences,	interpretation, critical
	Macquarie University,	revision of the manuscript
	Sydney, Australia	for important intellectual
<b>V</b>		content, took part in the
		panel discussions.
Benjamin Knier	Department of Neurology,	Analysis and
	Klinikum rechts der Isar,	interpretation, critical
	I	I

	School of Medicine,	revision of the manuscript
	Technical University of	for important intellectual
	Munich, Germany	content, took part in the
		panel discussions.
Thomas Korn	Department of Neurology,	Analysis and
	Klinikum rechts der Isar,	interpretation, critical
	School of Medicine,	revision of the manuscript
	Technical University of	for important intellectual
	Munich, Germany	content, took part in the
		panel discussions.
Scott Kolbe	Department of Medicine	Analysis and
	and Radiology, University	interpretation, critical
	of Melbourne, Australia	revision of the manuscript
		for important intellectual
		content, took part in the
		panel discussions.
Julia Krämer	Department of Neurology	Analysis and
	with Institute of	interpretation, critical
	Translational Neurology,	revision of the manuscript
	University of Münster,	for important intellectual
	Münster, Germany	content, took part in the
		panel discussions.
Wolf A. Lagrèze	Eye Center, Medical	Analysis and
	Center, Faculty of	interpretation, critical
	Medicine, University of	revision of the manuscript

	Freiburg, Freiburg,	for important intellectual
	Germany	content, took part in the
		panel discussions.
Letizia Leocani	Experimental	Analysis and
	Neurophysiology Unit,	interpretation, critical
	Institute of Experimental	revision of the manuscript
	Neurology (INSPE),	for important intellectual
	IRCCS San Raffaele,	content, took part in the
	University Vita-Salute San	panel discussions.
	Raffaele, Milan, Italy	
Oliver Meior	Department of Normala management	Analysis and
Oliver Maier	Department of Neurology,	Analysis and
	Medical Faculty, Heinrich-	interpretation, critical
	Heine University	revision of the manuscript
	Düsseldorf, Germany	for important intellectual
		content, took part in the
		panel discussions.
Elena H. Martínez-	Institut d'Investigacións	Analysis and
Lapiscina	Biomediques August Pi	interpretation, critical
	iSunyer (IDIBAPS) and	revision of the manuscript
	Hospital Clinic, University	for important intellectual
	of Barcelona, Barcelona,	content, took part in the
·	Spain	panel discussions.
Sven Meuth	Department of Neurology,	Analysis and
	Medical Faculty, Heinrich-	interpretation, critical

	Heine University	revision of the manuscript
	Düsseldorf, Germany	for important intellectual
		content, took part in the
		panel discussions.
Olivier Outteryck	Univ. Lille, Inserm, CHU	Analysis and
	Lille, U1172 - LilNCog	interpretation, critical
	(JPARC) - Lille	revision of the manuscript
	Neurosciences &	for important intellectual
	Cognition, F-59000 Lille,	content, took part in the
	France	panel discussions.
Friedemann Paul	Experimental and Clinical	Analysis and
	Research Center, Max	interpretation, critical
	Delbrück Center for	revision of the manuscript
	Molecular Medicine and	for important intellectual
	Charité –	content, took part in the
	Universitatsmedizin	panel discussions.
	Berlin, corporate member	
	of Freie Universitat Berlin,	
	Humboldt-Universitat zu	
	Berlin, and Berlin Institute	
	of Health, Germany	
Axel Petzold	Moorfields Eye Hospital,	Analysis and
V	City Road, The National	interpretation, critical
	Hospital for Neurology	revision of the manuscript
	and Neurosurgery, Queen	for important intellectual
	Square, UCL Institute of	content, took part in the

	Neurology, London, UK	panel discussions.
	and Neuro-ophthalmology	
	Expert Center,	
	Amsterdam UMC, The	
	Netherlands	
Gorm Pihl-Jensen	Department of Neurology,	Analysis and
	Rigshospitalet Glostrup	interpretation, critical
	and University of	revision of the manuscript
	Copenhagen, Denmark	for important intellectual
		content, took part in the
		panel discussions.
Jana Lizrova	Department of Neurology,	Analysis and
Preiningerova	First Faculty of Medicine,	interpretation, critical
	Charles University and	revision of the manuscript
	General University	for important intellectual
	Hospital in Prague, Czech	content, took part in the
	Republic	panel discussions.
Gema Rebolleda	Department of	Analysis and
	Ophthalmology, Ramon y	interpretation, critical
	Cajal Hospital, Medicine	revision of the manuscript
	University of Alcalá,	for important intellectual
	Madrid, Spain	content, took part in the
<b>V</b>		panel discussions.
Marius Ringelstein	Department of Neurology,	Analysis and
	Center for Neurology and	interpretation, critical
	Neuropsychiatry, LVR-	revision of the manuscript

	Klinikum, Heinrich-Heine-	for important intellectual
	University Düsseldorf,	content, took part in the
	Düsseldorf, Germany	panel discussions.
Shiv Saidha	Division of	Analysis and
	Neuroimmunology, Johns	interpretation, critical
	Hopkins University,	revision of the manuscript
	Baltimore, USA	for important intellectual
		content, took part in the
		panel discussions.
Sven Schippling	Department of Neurology,	Analysis and
	University Hospital Zurich,	interpretation, critical
	Switzerland	revision of the manuscript
		for important intellectual
		content, took part in the
		panel discussions.
Joel S. Schuman	Departments of	Analysis and
	Neurology, Population Health and	interpretation, critical
	Ophthalmology, NYU	revision of the manuscript
	Grossman School of	for important intellectual
	Medicine, New York, USA	content, took part in the
		panel discussions.
Robert C. Sergott	Thomas Jefferson	Analysis and
	University Medical	interpretation, critical
	College, Philadelphia,	revision of the manuscript
	USA	for important intellectual
		content, took part in the

		panel discussions.
Ahmed Toosy	Queen Square MS	Analysis and
	Centre, Department of	interpretation, critical
	Neuroinflammation, UCL	revision of the manuscript
	Institute of Neurology,	for important intellectual
	University College	content, took part in the
	London, London, UK	panel discussions.
Pablo Villoslada	Institut d'Investigacións	Analysis and
	Biomediques August Pi	interpretation, critical
	iSunyer (IDIBAPS) and	revision of the manuscript
	Hospital Clinic, University	for important intellectual
	of Barcelona, Barcelona,	content, took part in the
	Spain	panel discussions.
Sebastian Wolf	Department of	Analysis and
	Ophthalmology and	interpretation, critical
	Department of Clinical	revision of the manuscript
	Research, Bern University	for important intellectual
	Hospital, University of	content, took part in the
	Bern, Switzerland	panel discussions.
E. Ann Yeh	Division of Neurology,	Analysis and
	Department of Pediatrics,	interpretation, critical
	Hospital for Sick Children,	revision of the manuscript
	Division of Neurosciences	for important intellectual
	and Mental Health	content, took part in the
	SickKids Research	panel discussions.
	Institute, University of	

	Toronto, Canada	
Patrick Yu-Wai-Man	Department of Clinical	Analysis and
	Neurosciences, University	interpretation, critical
	of Cambridge,	revision of the manuscript
	Cambridge, UK, and	for important intellectual
	Moorfields Eye Hospital,	content, took part in the
	London, UK	panel discussions.
Hanna G. Zimmermann	Experimental and Clinical	Analysis and
	Research Center, Max	interpretation, critical
	Delbrück Center for	revision of the manuscript
	Molecular Medicine and	for important intellectual
	Charité –	content, took part in the
	Universitatsmedizin	panel discussions.
	Berlin, corporate member	
	of Freie Universität Berlin,	
	Humboldt-Universitat zu	
	Berlin, and Berlin Institute	
	of Health, Germany	
Alexander U. Brandt	Experimental and Clinical	Analysis and
	Research Center, Max	interpretation, Study
	Delbrück Center for	concept and design,
	Molecular Medicine and	acquisition of data,
	Charité-	drafting and critical
	Universitatsmedizin	revision of the manuscript
	Berlin, corporate member	for important intellectual
	of Freie Universität Berlin,	content, study

	Humboldt-Universitat zu	supervision, took part in
	Berlin, and Berlin Institute	the panel discussions.
	of Health, Germany	
	University of California,	
	Irvine, CA, USA	
Philipp Albrecht	Department of Neurology,	Analysis and
	Medical Faculty, Heinrich-	interpretation, Study
	Heine University	concept and design,
	Düsseldorf, Germany	acquisition of data,
		drafting and critical
		revision of the manuscript
		for important intellectual
		content, study
		supervision, took part in
		the panel discussions.

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1	Recommendation
m	
1 Study protocol	<ul> <li>(a) Describe how many OCT operating sites and graders were included</li> <li>(b) Report the timing of OCT compared to other measurements (same day, delayed)</li> <li>(c) Describe the inclusion and exclusion criteria</li> <li>(d) In case of limited word count consider submitting the exact methodology as supplementary material</li> </ul>
2 Acquisition device	For all OCT devices used, report data on:  (a) Manufacturer (b) Model (c) Version (d) Software Version (e) Device type (time/spectral domain, swept source, adaptive optics)
3 Acquisition Settings	Clearly describe the settings in which OCT scans were obtained:  (a) Pupils dilated before exam(y/n)  (b) Number of operators and devices*
4 Scanning protocol	Clearly describe the scanning protocol, including:  (a) Type of scan (circular, volume, star, line, other)  (b) Location (area of interest, macula, optic nerve head, papillomacular bundle, other?)  (c) Scan parameters (with or without eye tracking)  - Volume scan: size of scan, area and location of measurement (degrees or millimeters), number of B-scans, alignment of B-scans, number of A-scans per B-scan  - Radial scan: size of scan area (degrees or mm), number of B-scans, alignment of B-scans, number of A-scans per B-scan  - Ring scan: diameter, A-scans/B-scan, manual or automatic placement of ring or method of centering, depth resolution.  - Line scan: angle, location, number of A-scans, depth resolution.
<b>5</b> Fundoscopic imaging	<ul> <li>(a) Report other imaging modalities used in addition to OCT (fundoscopy, CSLO, retinal angiography, autofluorescence imaging, etc.)</li> <li>(b) Describe acquisition protocol, including: <ol> <li>Excitation wavelength</li> <li>Filter sets</li> <li>Number of frames averaged (if applicable)</li> </ol> </li> <li>4. Report device specific features when utilized (e.g. enhanced depth imaging, swept source OCT, adaptive optics)</li> </ul>
<b>6</b> Post-acquisition data	Describe image selection process including:  (a) Quality control criteria

selection	<ul><li>(b) Post-acquisition discard (number and criteria)</li><li>(c) Eye selection strategy (if applicable)</li></ul>
<b>7</b> Post-acquisition	Describe all post-acquisition steps:
analysis	<ul> <li>(a) Software used for processing scans and segmentation (may be different from acquisition software)</li> <li>(b) Which individual retinal layers were segmented/included</li> <li>(c) Method of segmentation (automated, semi-automated or manually)</li> <li>(d) How potential bias was addressed in the case of manual segmentation or manual correction of automated segmentation errors (masking)</li> <li>(e) Grid used for data-extraction (size, shape, selected sections)</li> <li>(f) Pixel to mm ratio if images are exported (caliper need)</li> </ul>
8 Nomenclature and	Define:
abbreviations	(a) Anatomical structures analyzed (b) Units of provided measurements (e.g. volume or thickness)
	(c) Report the number of eyes presenting additional retinal pathology Describe qualitative retinal changes and report exact methodology of quantification
<b>9</b> Statistical approach	Describe qualitative retinal changes and report exact methodology or

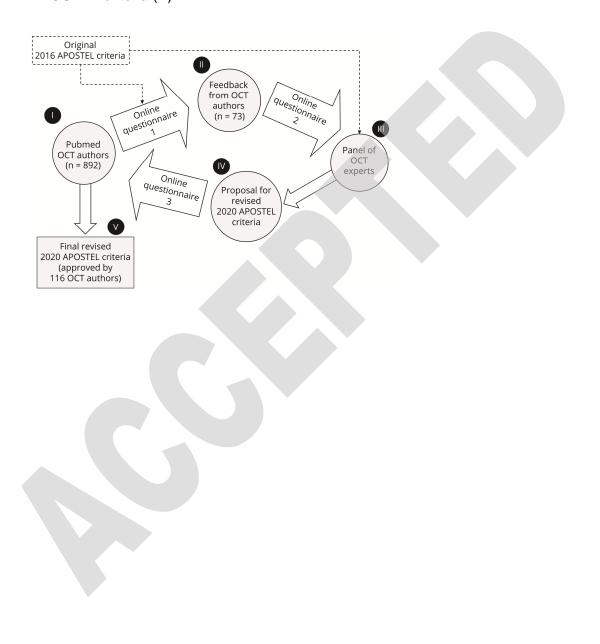
<sup>\*</sup>Room light conditions were removed.

# Table 1: 9-point APOSTEL checklist (adapted from (Cruz-Herranz et al., 2016))

Above is the modified APOSTEL checklist containing nine important items when reporting quantitative OCT studies. The changes are in bold.

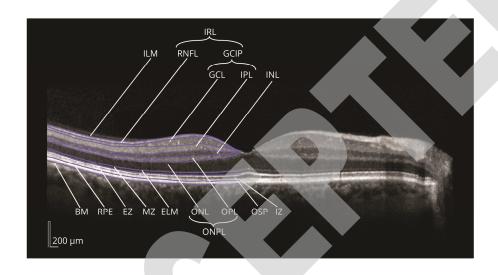
#### Figure 1: The modified DELPHI method

The modified DELPHI method is described as a consensus-building process. We contacted 892 authors of quantitative OCT studies identified by pubmed (I) using an online survey, in which a feedback on the original APOSTEL 2016 criteria was requested. The feedback of the 72 responding OCT authors was analyzed by a panel of experts (II), and changes of the APOSTEL recommendations were proposed (III). A revised version (IV) was proposed to the OCT authors (n=116), who approved the revisions by majority vote, which lead to the final revised 2020 APOSTEL criteria (V).



#### Figure 2: The consensus nomenclature for retinal structures

The different layers (and their boundaries) are illustrated in a central horizontal spectral domain OCT scan through the middle of the fovea. Abbreviations of retinal structures and layers: ILM (Inner limiting membrane), RNFL (Retinal nerve fiber layer), GCL (Ganglion cell layer), IPL (Inner plexiform layer), INL (Inner nuclear layer), OPL (Outer plexiform layer), ONL (Outer nuclear layer), ELM (External limiting membrane), MZ (Myoid Zone), EZ (Ellipsoid Zone; Inner and Outer segment Junction), OSP (Outer segment of the photoreceptors), IZ (Interdigitation zone), RPE (Retinal pigment epithelium), BM (Bruch's Membrane). Compound layers are Ganglion cell and inner plexiform layer (GCIP, composite of macular GCL and IPL), Inner retinal layers (IRL, composite of macular RNFL, GCL and IPL), and Outer nuclear and plexiform layer (ONPL, composite of ONL and OPL). Copyright by IMSVISUAL and licensed under CC BY 4.0 for this publication (http://imsvisual.org/resources/media).





## The APOSTEL 2.0 Recommendations for Reporting Quantitative Optical Coherence Tomography Studies

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