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The prognostic value of circumferential resection margin (CRM) definition and location in esophageal cancer: A 12-year cohort study

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The prognostic value of circumferential resection margin (CRM) definition and location in esophageal cancer: A 12-year cohort study Abstract: **Background:** The definition of the circumferential resection margin (CRM) involvement for esophageal cancer varies between the Royal College of Pathologists (RCP) and College of American Pathologists (CAP). There are insufficient data regarding the prognostic relevance of different sites of involvement at the CRM. In this study, we examined the prognostic impacts of different CRM definitions and different

Methods:

radial margin locations.

This retrospective study included 449 patients who were treated by curative esophagectomy for esophageal or junctional cancers between 2010 and 2021. The distance of the closest tumour cells to the inked CRM was examined and site of CRM involvement was recorded. Patients with an involved longitudinal resection margin were excluded. Long-term follow up data were obtained from the hospital's electronic health records.

Results:

Tumour cells at or within 1mm from the CRM (*CRM-RCP R1* \leq *1mm*) was observed in 196 patients (43.7%). CRM(\leq *1mm*) was associated with poorer overall survival (OS) and disease-free survival (DFS) compared to CRM-*R0*, p-values <0.001 for both. Tumour cells at the CRM (*CRM-CAP R1-Omm*) was observed in 61 patients (13.6%). Patients with CRM-*0mm* had poorer OS and DFS compared to CRM \leq *1mm*, p-values 0.039 and 0.013 respectively. Presence of tumour cells (CRM \leq *1mm*) at multiple locations of the CRM was related to poorer survival compared to a single location; (OS p-value 0.008, DFS p-value 0.05). The posterior margin was the most common positive single CRM-positive site (44%), followed by anterior (39%) and lateral sites (17%). However, the anterior margins carried poorer OS and DFS compared to posterior and lateral sites, (p-values 0.37 and 0.39 respectively).

Conclusion:

This study demonstrated that CRM involvement as defined by RCP was an independent prognostic factor for both survival and recurrence in esophageal cancer. It promoted the value of additional reporting CRM-0mm in CRM-R1 cases. The study also investigated the relative importance of reporting CRM-R1 location, which might be a useful prognostic tool in the future.

Keywords: circumferential resection margin (CRM), esophageal cancer, esophagectomy, R1resection, R0-resection, RCP definition, CAP definition.

Abbreviations: ADC: adenocarcinoma, CRM: Circumferential resection margin (esophagus), CAP: College of American Pathologists, CRT: chemoradiotherapy, CT: computerised tomography; DFS: disease free survival; LN: lymph node, MDT: multidisciplinary team; NAC: neoadjuvant chemotherapy; NAT: neoadjuvant treatment; NR: not reached; OS: overall survival; PET-CT: positron emission tomography CT; RCP: Royal College of Pathologists; SQCC: squamous cell carcinoma

Main Manuscript:

Introduction

The negative prognostic impact of microscopic involvement of the circumferential resection margin (CRM) on survival and recurrence was first reported by Sagar et al in 1993 in esophagectomy patients (1). Since then, the role of the CRM in esophageal cancer has been extensively investigated in the literature (2). However, there is heterogeneity in defining CRM involvement between the guidelines issued by the Royal College of Pathologists, London, UK (RCP) which defines a positive CRM as tumour cells at or within 1 mm of the cut margin; CRM \leq 1mm) (3) and the College of American Pathologists (CAP) which defines a positive CRM as tumour cells at or within 1 mm of the cut margin; the prognostic values of both CRM definitions and variable outcomes have been reported in the literature due to the use of different CRM definitions (2).

The anatomic boundaries of the esophagus hold special surgical challenges when compared to other viscera such as the rectum. In particular, proximity of the esophagus to central organs that cannot be resected like aorta, heart, spine and airways, impacts on the resectability of bulky tumours with a negative CRM. However, the pericardium anteriorly and pleurae or even lungs laterally could potentially represent resectable structures to achieve a negative CRM. The difference in lymphatic drainage within the esophageal walls has been reported (5). Two

previous studies evaluated the pre-treatment circumferential location of the tumour suggesting that tumour location within the wall was an independent predictor of survival (6,7). However, the prognostic value of the site/location of CRM involvement is currently unknown (6,7). We postulate that a difference in survival between CRM-R1 (RCP) radial margins could influence future treatment plans particularly for adjuvant treatment.

 In this study, we investigated the prognostic value of the two CRM definitions (RCP versus CAP) and of CRM location in a large retrospective cohort of oesophageal cancer patients with locally advanced resectable disease treated by curative esophagectomy.

Methods:

Patient selection:

Patients were identified through a prospectively collected electronic database at a large tertiary referral centre for oesophageal cancer. The study included patients who underwent a potentially curative esophagectomy between 1st January 2010 and 31st December 2021. Patients with resectable adenocarcinoma (ADC) or squamous cell carcinoma (SQCC) of the mid or distal esophagus or esophagogastric junction (Siewert type I–II) were included. Patients with and without neoadjuvant treatment (NAT) were included. We excluded patients with alternative histology (5 patients), tumours within 1mm of the proximal or distal longitudinal resection margins in the pathology resection report (6 patients), who underwent salvage esophagectomy after definitive chemoradiotherapy (10 patients), who died within 30 days of surgery (7 patients) and patients who were lost during follow up or with unavailable accurate histopathological data (7 patients).

Preoperative investigations:

All patients underwent endoscopy with biopsy to confirm the diagnosis. Initial staging was performed through contrast enhanced computerised tomography (CT) of the chest, abdomen and pelvis followed by positron emission tomography-CT (PET-CT) scan. Endoscopic ultrasound (EUS) was used to complete staging if further assessment of tumour was still required after CT and PET-CT scans. All patients were discussed at the multidisciplinary team

(MDT) meeting following diagnosis and postoperatively with the pathology data of the resected specimens.

Neoadjuvant treatment (NAT) and surgery:

Patients who had locally advanced resectable cancer underwent NAT (383 patients). This included MAGIC and OEO-2 (n=286) or FLOT (n=80) regimes for neoadjuvant chemotherapy (NAC) (8,9) or neoadjuvant chemoradiotherapy (nCRT) CROSS regimen (n=17) (10). Selection of NAT regimen was undertaken at the first diagnostic MDT meeting.

Surgery was typically a 2-stage esophagectomy (Ivor-lewis) approach with 2-field lymphadenectomy. This was performed either open, hybrid (with laparoscopic abdominal part) or minimally invasive esophagectomy with right thoracoscopic approach. Five cases required 3-stage (McKeown) esophagectomy. Surgery was performed 4-6 weeks after completion of NAC and 6-8 weeks after neoadjuvant CRT therapy. Adjuvant chemotherapy or radiotherapy was offered, after discussion in the MDT, in NAC group with advanced nodal disease or margin involvement and after clinical evaluation of patient fitness postoperatively

Pathological examination:

Resected specimens were examined according to a standardized protocol by specialized gastrointestinal pathologists. The resected specimens were fixed in formalin for 24-48 hours. Specimens were sliced transversely into cross-sections of 3-5mm thickness for macroscopic assessment of the tumour and its relationship to the CRM. Areas including the tumour closest to the CRM were processed into paraffin blocks, and subsequent haematoxylin and eosin-stained slides were examined microscopically to assess the distance of tumour cells from CRM in millimetres. Resection specimens were orientated by the surgeon for the pathologist with anterior and right lateral sutures placed on the oesophagus and anterior suture on the stomach.

Pathologists then inked the anterior, posterior, left and right lateral surfaces with different colours to enable identification of the radial margin location. Furthermore, Furthermore, the pT-stage and pN-stage, according to TNM version 7 (2010-2019) or 8 (2019-2021) were reported by the pathologist along with histological tumour type, tumour grade, angioinvasion, and perineural tumour growth. The post-operative pathology results were discussed in the MDT meeting. Resections with an involved CRM were routinely reported according to the RCP definition (tumour cells at or within 1mm of margin) (3). The CRM sites were identified as: <u>Anterior;</u> which was usually related to the pericardium, <u>posterior;</u> related to the aorta side, right or left lateral: related to the pleura.

Data collection and follow up:

Patients were followed up initially at 4-6 weeks postoperatively at cancer clinics, then at 3, 6 and 12 months in the first year. Annual follow up was conducted to complete 5 years of oncological surveillance postoperatively or up to death if that occurred in less than 5 years. Follow up data were collected from the electronic health records until July 2022. This included patient demographics, disease characteristics, pathological data, treatment details (oncological and surgical) and survival outcomes. Data were collected and stored in an encrypted folder. Ethical approval was obtained local Research Ethics Committee at our institution in June 2022. All work in this study was performed in accordance with the ethical standards of our institution and with the 1964 Helsinki declaration and its later amendments. Individual patient consent was not required for this study.

Interpretations and Outcomes of the study:

We analysed the clinicopathological data of CRM and its relationship to survival. We compared CRM R0-resection (no tumour cells in more than 1mm of cut margins) with CRM R1-resection

according to RCP definition (tumour cells within 1mm of cut margins). Additionally, we compared the outcomes between CRM-R1 (tumour cells \leq 1mm but not at cut margins; >0.1-1mm) and CRM R1-CAP (0mm: tumour cells found at the cut margins). We conducted further subgroup analysis to patients with \geq pT3 and pN-positive cancers who received NAT for those two comparisons.

We completed our analysis by interpreting the outcomes for each CRM margin according to the site. We also evaluated the outcomes between cases with multiple involved sites in CRM against the cases of single site involvement.

Primary outcome was to identify the overall survival (OS) and disease-free survival (DFS) between the above groups. Secondary outcomes included recurrence rates, 5-year survival rates and identifying factors affecting survival.

Statistical analysis:

All statistical analyses were performed using SPSS (version 20.0; IBM Corp, Armonk, NY). A two-sided p-value <0.05 was considered statistically significant. Clinicopathological data were compared by using chi-square tests or Fisher's exact tests for categorical data and Mann–Whitney U-test or Kruskal Wallis test for continuous variables. OS and DFS were estimated from time of surgery using the Kaplan-Meier method, and a log-rank test was performed to compare the groups. Univariate and multivariate Cox proportional hazards models were used to analyse the hazard ratios (HRs) for OS and DFS. Variables with p-values <0.05 in univariate analysis were included in the multivariate analysis.

Results:

During the period of the study, 449 patients fulfilled our inclusion criteria. Among the 449 cases, pT3 was the commonest T-stage in final pathology in 248 (55.2%) cases and N-positive

was observed in 236 (52.6%) cases. 397 (88.4%) cases were adenocarcinoma (ADC) while only 52 (11.6%) cases were squamous cell carcinoma (SQCC). Tumours were mainly situated in the lower esophagus 336 (74.8%) cases, then junctional 87 (19.4%) cases with only 26 (5.7%) cases were in middle third. Median overall survival was 61 months. Recurrence was detected in 204 (45.4%) patients, with 156/204 (76.5%) patients demonstrating systemic recurrence.

<u>CRM-RCP R1(≤1mm) vs CRM-RCP R0:</u>

253 (56.3%) patients had CRM-R0 resection, while 196 (43.7%) had CRM-R1 (\leq 1mm). Patient and tumour characteristics can be found in table 1. Tumour characteristics were more favourable in the R0 group. Tumours \geq pT3 were 190/196 (96.9%) in R1, while only 86/253 (33.9%) in R0 (p-value 0.04). pN-positive status was observed in 143/196 (72.9%) in R1 and 93/253 (36.7%) in R0 (p-value <0.0001).

Median OS was not reached in R0 cases compared to 26 months for R1 cases, p-value <0.001). 5-year OS rates between R0 and R1 were 69.9% and 21.1%, p-value<0.001. This was also noted in median DFS; not reached (NR) and 20.4 months respectively, p-value <0.001) (Figure 1).

On further analysis of patients with \geq pT3 and pN-positive cancers who had neoadjuvant therapy (NAT). 192 cases were involved in this analysis; 60 (31.2%) CRM-R0 and 132 (68.7%) CRM-R1 cases. Both median OS (26.8 and 19.5 months respectively, HR 1.615, 95%CI 1.107-2.355, p-value 0.012), and median DFS (18.6 versus 12.9 months respectively, p-value 0.031) were significantly better for R0 cases compared to R1 cases (Figure 1).

185 patients with CRM-R1 were analysed. 124/185 (67%) patients had R1(0.1-1mm) margins, while 61/185 (32.9%) had R1(0mm). Patients' and tumour characteristics are shown in table 2.

Median OS was 22 months in R1(0 mm) compared to 27 months R1(0.1-1mm), p-value 0.039. 5-year OS rates between R1 (0 mm) and R1 (0.1-1mm) were 13.7% and 23.2% respectively, p-value 0.03. Median DFS was 12.9 months and 25 months respectively, p-value 0.013 (Figure 2).

After analysis for patients with \geq T3 and N-positive cancers with NAT; 125 patients were included. 83/125 (66.4%) patients had R1(0.1-1mm). OS was better but insignificant for R1(0.1-1mm) compared to R1(0mm); 21.9 and 14.8 months respectively, p-value 0.08. 5-year survival rates between R1 (0 mm) and R1 (0.1-1mm) after adjustment were 7.4% and 14.3% respectively, p-value 0.07. However, DFS was better and significant; 18.1 and 11.8 months respectively, p-value 0.032 (Figure 2).

Analysis of different CRM-RCP R1 margin locations:

117 patients post NAT with CRM-RCP R1(\leq 1mm) margins were analysed for the location of involvement. 84 (71.8%) cases had single site involvement while 33 (28.2%) cases had multiple site involvement. For those with single site involvement; posterior margin was the commonest compared to anterior and lateral margins (37(44%), 32(38.1%) and 15(17.9%) cases respectively). Demographics and tumour characteristics for all margins are presented in table 3. There was no difference in pT-stage, pN-stage and NAT between the all single-margin groups (p-values 0.12, 0.4 and 0.19 respectively). Patients with multiple involved margins carried worse prognosis compared to single involved margin cases; either for OS (median 19 versus 32 months respectively; p-value 0.008) or DFS (median 12.1 versus 27.6 months respectively; p-value 0.05) (Figure 3). 5-year OS rates between those with multiple and single CRM-positive margins were 10.3% and 29.2% respectively, p-value 0.037.

For those with single margin involvement; anterior margins had poorer survival compared to posterior and lateral margins either for OS (median 29, 32 and 41 months respectively; p-value 0.37) or DFS (median 19.2, 28.7 and 32.1 months respectively; p-value 0.39) (Figure 3). 5-year OS rates between the different margins were; anterior (20.6%), lateral (47.7%) and posterior (30.2%), with p-value 0.39.

Uni- and multi-variate analysis for whole cohort group (table 4):

Univariate analysis for OS and DFS showed that pT-, pN- stages, CRM involvement (R0 vs R1-RCP), CRM-R1 types (0mm versus 0.1-1mm), multiple margin involvement, NAT, lymph node ratio (LNR) (number of positive lymph nodes/ total number of lymph nodes%) were significant factors. While on multi-variate analysis; CRM involvement, NAT and LNR remained significant. (p-values 0.000, 0.000 and 0.01 respectively)

Discussion:

The prognostic value of CRM status in oesophageal cancers has been under investigation over the last two decades with some conflicting results (2). We have published 2 previous studies from our large tertiary referral centre to evaluate CRM. Dexter et al in 2001, demonstrated that CRM-R1 carried worse OS compared to CRM-R0 in 135 esophagectomies without neoadjuvant treatment (21 vs 39 months, p. 0.015). CRM involvement was an independent variable with lymph node status on survival in Cox's hazards model (11). The other study was in 2013, Salih et al, showed that CRM-R1 patients post NAC had worse cancer specific survival compared to R0 (p-value 0.008) in 232 patients. Yet, CRM status failed to be an independent prognostic factor in multivariate analysis, only lymph node status remained significant in this analysis (12). In these both studies, we used the RCP definition to identify CRM-R1.

This current study demonstrated that CRM involvement carried a worse prognosis in patients with locally advanced esophageal cancer in a larger cohort of patients. The study demonstrated that involved CRM-RCP ($CRM \le 1mm$) carried significantly worse OS and DFS compared to CRM-R0 (CRM>1mm) resections either before or after adjustment to subgroup analysis. It was also an independent prognostic factor in multivariate analysis for both OS and DFS. This was supported to date, by three large meta-analyses using the RCP definition which demonstrated survival benefit for CRM-R0 against R1-RCP (13–15). It is noteworthy that many confounding variables might be encountered across the individual studies included in these meta-analyses. These variables include pT-stage, NAT and lymph node status. On subgroup analysis in these meta-analyses; both pT3 cancer group and cohort of patients with neoadjuvant treatment only, showed persistence of survival benefits for R0 compared to R1-RCP groups, yet lymph node status wasn't properly presented in most of the individual studies to achieve proper analysis.

On the other hand, fewer studies were not able to demonstrate a considerable effect of CRM-R1 on OS (16–19). In a recent study by Ghadban et al. (20), in total 180 patients neither CRM-R1 RCP (p-value 0.655) nor CRM-R1 CAP (p-value 0.317) criteria yielded an association to overall survival.

There's a lack of consensus on the CRM-R1 definition to use across the literature between RCP and CAP (2). In our study, we compared R1 (0.1-1mm) group to R1 (0mm) group to precisely recognise the survival benefits between the two definitions. Most of our R1 resections

could not be classified as R1 by CAP definition (67%). This was similar to other studies (60-80%) (12,13,17,21–23). The OS and DFS were significant better in R1 (0.1-1mm) compared to R1-CAP (0mm) but when adjusted to patients with \geq ypT3, ypN-positive and had NAT; only DFS remained significant. This difference in survival and recurrence rates supports the value of reporting both CRM-R1 definitions (RCP R1 \leq 1mm and CAP R1 0mm) in esophageal cancers.

The published results are hugely contentious which prompt a genuine debate. For instance, Zhayong et al displayed no significant difference in survival between CRM (0mm) and CRM (0-1mm) in 376 patients without NAT within the pN0 group, but worse survival in the pN1-2 group towards CRM 0mm (OS, p-value 0.00, DFS p-value 0.001). This difference in CRM definition was an independent factor for survival in their multivariate analysis (23). However, Depypere et al, demonstrated no difference between median OS and DFS between RCP and CAP for ypT3 patients post CRT, (p-value 0.06 and 0.075 respectively). Nevertheless, the number of patients in each group was relatively small; 37 and 8 patients respectively (24). In another recent study for 105 pT3 oesophageal SQCC cases, R1 (0mm) carried worse OS compared to R1 (0-1mm) in the upfront surgery group (p-value<0.001). On the contrary, it didn't show any survival superiority in the group with neoadjuvant CRT (p-value 0.39) (25). It's worth considering that some studies displayed a paramount difference in survival when CAP was used to identify R1 in comparison with R0 resections, but not witnessed with RCP (17,21,22,24,26).

In our study, biological features of tumour were more aggressive in R1-CAP (0mm) compared to R1 (0.1-1mm) group despite not being statistically significant for any feature. For instance, pT4-stage disease was higher (21.3% and 8.9% respectively, p-value 0.05), poor differentiation

(67% and 54% respectively, p-value 0.15) and pN-positive disease (78% and 70% respectively, p-value 0.13). This was also noticed by O'farrell et al, as they demonstrated that CRM-R1 (CAP) was significantly (p-value 0.036) associated with nodal disease, in contrast to CRM-R1 (RCP) (p-value 0.447). Nonetheless, there was no difference in tumour differentiation or in perineural or lymphovascular invasion between the two groups (21). This was also supported in other studies which concluded that positive CRM with CAP criteria identified a higher-risk group of patients compared to RCP criteria (13,14).

For patients who received NAT, the rate of CRM involvement was 11.5% vs 26% in CAP and RCP groups respectively (p-value 0.02). This was supported by other studies which demonstrated that NAT affected the CRM towards less margin involvement (13,21,26). It was also noticeable in our study, that no difference was related to type of NAT either chemotherapy or radiotherapy between both groups (p-value 0.51).

We further examined the anatomical sites in 117 CRM-RCP R1 patients post NAT to evaluate their prognostic significance. We noticed that multiple-site involvement was a higher risk factor for survival compared to single-site involvement for both OS and DFS. This was a significant independent factor on univariate analysis for OS and DFS, yet it failed to be an independent prognostic factor in multivariate analysis. This could be plausible to the tumour biology (pT, pN, tumour type or differentiation) which was supposed to be more aggressive in multiple positive sites tumour, however these characteristics didn't show any differences between both groups in this study.

When we analysed the patients with single site involvement, posterior margins (towards aorta) were the commonest (44%). However, anterior margins, which usually face the pericardium, carried the worst prognosis compared to posterior and lateral margins. This was observed for

OS and DFS, however, this difference in survival failed to reach a significance level in this study. There was also a trend for higher recurrence rates in anterior margins compared to other margins. This might be explained by the conclusion drawn by Doubliet et al, who discovered more nerve fibres in anterior wall of esophagus after examining 32 cadavers (27). This could potentially lead to higher perineural and lymphatic invasion which can worsen the survival rates (28,29).

To date, no reports correlated between CRM-R1 margins and survival. However, two studies examined the prognostic value of circumferential tumour location detected at time of diagnosis. Both studies included esophageal SQCC cases only, analysed the location prior to treatment (not in CRM pathological status) and didn't identify lateral (left/right) sites separately. Nagasawa et al, concluded that left or anterior (L/A) location carried worse 3-year OS and DFS compared to right or posterior position (R/P) (p-value 0.007 and 0.005 respectively). All patients in this study received NAT (6). This was in contrary to the study done by Mine et al who reported that R/P sites carried worse DFS compared to L/A sites (p-value 0.02) (7). They hypothesised their results on the concept that lymphatic drainage from posterior wall of oesophagus is likely to enter systemic circulation directly by the thoracic duct (30,31). However, it's noted that Mine et al included patients who didn't receive neoadjuvant therapy which can theoretically control hematogenous micro-metastases and reduce its spread (7).

The findings of this study may play a potential role in tailoring adjuvant therapy, particularly in complex clinical scenarios where the benefits of adjuvant treatment must be weighed against patient deconditioning. It underscores the importance of reporting CRM-R1*(0mm)* status (CAP definition) (3) in esophageal cancer cases and its potential value to personalise adjuvant

therapy for such complex cases. This study also provides a stimulus to examine the anatomical boundaries of the circumferential resection margin (CRM), which can serve as a prognostic factor and may help refine adjuvant therapy strategies in these complex cases. This concept has not been previously explored in the literature.

This study has many merits; it involved a relatively large homogonous cohort of patients with long term follow up. We had no patients lost in follow up. We intensely evaluated CRM in different aspects with trying to eliminate confounding factors.

However, it has some inherited limitations related to its retrospective character. Furthermore, it didn't incorporate the effect of adjuvant therapy on survival analysis. Finally, the relatively small number used in comparison of each single margin group could make the statistical interpretation difficult due to lack of statistical power.

Conclusion: This study demonstrated that CRM-R1 was an independent prognostic factor for both survival and recurrence in oesophageal cancer. It promoted the value of reporting CRM-0mm in CRM-R1 cases. The study also stimulated the role of reporting different positive margins within CRM which might be a useful prognostic tool in the future.

Conflict of interests: The authors have no conflict of interests to declare. The results were presented as an oral presentation at the European Society of Surgical Oncology congress in 2022 and as an oral poster at the 20th International Society for Diseases of Esophagus congress in 2024.

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Table 1: Comparison between CRM-R0 and CRM-R1* characteristics.

*CMR-R1: RCS definition (1mm or less)

	For whole cohort (449 patients)			For \geq pT3, pN+ve and NAT (192 patients)			
1 2 3 4	CRM-R0 (n=253)	CRM-R1 (n=196)	P-value	CRM-R0 (n=60)	CRM-R1 (n=132)	P-value	
5 Males	199 (78.7%)	162(82.7%)	0.29	50 (83%)	109(82%)	0.89	
Age (years)-median	64.4	65.1	0.35	64.3	65.2	0.3	
9 Gharlson Comorbidity Index	4.83	4.9	0.82	4.84	4.9	0.8	
Type of Tumour							
$\mathbf{A}\mathbf{C}$	221(87.4%)	176(89.8%)	0.422	55(91.7%)	120(90.9%)	0.86	
SQCC	32 (12.6%)	20 (10.2%)		5 (8.3%)	12 (9.1%)		
<u>Tumour location</u>						0.60	
Maddle third	15 (5.9%)	11 (5.6%)	0.431	5 (8.3%)	8 (6.1%)	0.68	
Lower third	191(75.5%)	145 (74%)		38(63.4%)	94 (71.2%)		
Auditional 23	47 (18.6%)	40 (20.4%)		17(28.3%)	30 (22.7%)		
24 Pathological T-stage			0.000			0.05	
26 pF0	29 (11.5%)	0 (0%)	0.000	_	_	0100	
n ² ⁸ 1	95 (37.5%)	0 (0%)		-	_		
129 ⁻	43 (17%)	6 (3%)		-	-		
31 	82 (32.4%)	166 (84.6%)		58 (97%)	112 (85%)		
334	4 (1.6%)	24(12.3%)		2 (3%)	20 (15%)		
Pathological N-stage			0.000			<0.001	
p ³ T ⁰	160(63.2%)	53(27%)		-	-		
p ^{TD1}	56 (22.1%)	36(18.4%)		32	34 (25.8%)		
$\mathbf{p}_{\mathbf{T}}^{40}$	29 (11.5%)	56(28.6%)		(55.5%) 21 (35%)	49 (37.1%)		
pff3	8 (3.2%)	51 (26%)		7 (11.7%)	49 (37.1%)		
43 44							
<u>Rotal Lymph nodes</u>	30(11.0%)	22(11.2%)	0.835	2(3%)	13(0.8%)	0.153	
\$15	50 (11.9%)	22 (11.2%)		2 (3%)	15 (9.8%)		
×115 49	223(88.1%)	174(88.8%)		58 (97%)	119 (90.2%)		
50 Néoadjuvant therapy	203 (80.2%)	180 (91.8%)	0.001				
52 Evpe of neoadjuvant treatment							
NAC	191 (94.1%)	175 (97.2%)	0.137	59 (98%)	129 (97.7%)	0.14	
ĜRT	12 (5.9%)	5 (2.8%)		1 (2%)	3 (2.3%)		
57							
59							
60							
62							

Type of operation						
Hybrid (lap-assisted)	21 (8.3%)	8 (4%)	0.104	6 (10%)	3 (2%)	0.01
Z Minimally invasive	25 (9.9%)	17 (8.7%)		10(16.7%)	12 (9%)	
Open	207 (91 90%)	171 (97 20%)		11(72 20%)	117 (9002)	
5 6	207 (81.8%)	1/1 (87.5%)		44(73.3%)	117 (89%)	
Clavin-Dindo classification			0.1			
 ≥ 33	47 (18.6%)	49 (25%)	0.1	15 (25%)	35 (26.5%)	0.82
10						
4 3 	206 (81.4%)	147 (75%)		45 (75%)	97 (73.5%)	
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For whole CRM-R1 (185 patients) For \geq pT3, pN+ve and NAT (125 patients) R1 (0 mm) R1 (0.1-1mm) R1 (0.1-1mm) R1 (0 mm) **P-value P-value** (n=83) (n=61) (n=124)(n=42) 102 (82.3%) Males 49 (80.3%) 0.75 0.89 34 (80.9%) 68 (81.9%) 65.5 0.35 65.4 0.3 Age (years)-median 64.8 64.6 **Charlson Comorbidity** 5 5 0.82 4.8 4.9 0.8 Index (CCI) Type of Tumour 58 (95.1%) 108 (87.1%) 0.07 40 (95%) 73 (88%) ADC 0.33 SQCC 3 (4.9%) 16 (12.9%) 2 (5%) 10 (12%) **Tumour location** Middle 2 (3.3%) 9 (7.3%) 0.68 0.27 2 (4.8%) 6 (7.2%) 30 (71.4 %) 58 (69.9%) Lower 49 (80.4%) 86 (69.4%) 10 (23.8%) 19 (22.9%) Junctional 10 (16.3%) 29 (23.3%) Pathological T-stage 0.05 0.02 1 (1.6%) 3 (2.4%) pT2 -47 (77%) 110 (88.7%) 31 (73.8%) 74 (89.1%) pT3 13 (21.3%) 11 (8.9%) 11 (26.2%) 9 (10.8%) pT4 Pathological N-stage 0.137 0.15 13 (21.3%) 37 (29.8%) pT0 9 (14.8%) 26 (20.9%) 8 (19%) 26 (31.3%) pT1 17 (27.9%) 35 (28.2%) 14 (33.3%) 31 (37.4%) pT2 22 (36.1%) 26 (20.9%) 20 (47.6%) 26 (31.3%) pT3 0.97 Total Lymph nodes 1.0 <15 7 (11.5%) 14 (11.3%) 4 (9.5%) 8 (9.6%) >15 54 (88.5%) 110 (88.7%) 38 (90.5%) 75 (90.4%) 0.02 Neoadjuvant therapy 52 (85.2%) 118 (95.2%) Type of neoadjuvant treatment 0.51 0.5 NAC 51 (98.1%) 113 (95.7%) 42 (100%) 80 (96.4%) CRT 1 (1.6%) 5 (4.3%) 0 (0%) 3 (3.6%)

Table 2: Comparison between CRM-R1 (0mm) and CRM-R1 (0.1-1mm) characteristics.

<u>Type of operation</u> Hybrid (lap-assisted)	2 (3.3%)	4 (3.3%)	0.75	1 (2.4%)	2 (2%)	0.3
Minimally invasive	7 (11.5%)	10 (8.1%)		6 (14.3%)	6 (7%)	
Open	52 (85.2%)	110 (88.6%)		35(83.3%)	75 (91%)	
<u>Clavin-Dindo classification</u> ≥ 3	16 (26.6%)	33 (26.6%)	0.95	10 (23.8%)	25 (30.1%)	0.45
<3	45 (73.8%)	91 (73.4%)		32 (76.2%)	58 (69.9%)	

Table 3: Characteristics of different involved CRM sites in CRM-RCP R1 cases.

Characteristics ((n= 117)	Multiple (n=33)	Anterior (n=32)	Lateral (n=15)	Posterior (n=37)	p value
Gender	Male	27 (81.8%)	24 (75%)	12 (80%)	31 (83.8%)	0.89
	Female	6 (18.2%)	8 (25%)	3 (20%)	6 (16.2%)	
Pathological N- stage	pN0	6 (18.2%)	13 (40.6%)	5 (33.3%)	10 (27%)	0.44
	pN1	7 (21.2%)	5 (15.6%)	2 (13.3%)	9 (24.3%)	
	pN2	12 (36.4%)	7 (21.9%)	2 (13.3%)	6 (16.2%)	
	pN3	8 (24.2%)	7 (21.9%)	6 (40%)	12 (32.4%)	
Histology	ADC	30 (90.9%)	26 (81.3%)	13 (86.7%)	33 (89.2%)	0.677
	SQCC	3 (9.1%)	6 (18.8%)	2 (13.3%)	4 (10.8%)	
Type of neoadjuvant treatment	NAC	31 (93.9%)	24 (75%)	13 (86.7%)	34 (91.9%)	0.192
	CRT	2 (6%)	8 (25%)	2 (13.3%)	3 (8.1%)	
Total LNs	< 15	3 (9.1%)	3 (9.4%)	1 (6.7%)	5 (13.5%)	0.924
	> 15	30 (90.9%)	29 (90.6%)	14 (93.3%)	32 (86.5%)	
Recurrence	Yes	24 (73%)	22 (69%)	8 (53%)	22 (59.5%)	0.48
	NO	9 (27%)	10(31%)	7(47%)	15 (40.5%)	0.12
ratnological I-	p12	0 (0%)	1 (3.1%)	1 (0./%)	2 (3.4%)	0.12
stage	рТЗ	26 (78.8%)	29 (90.6%)	13 (86.6%)	21 (56.8%)	
	pT4	7 (21.2%)	2 (6.3%)	1 (6.7%)	14 (37.8%)	

Table 4: Cox regression analysis for Overall survival and Disease-free survival.

	Overall survival (OS)				Disease free survival (DFS)				
1 2	Univariate analysis		Multivariate analysis		Univariate analysis		Multivariate analysis		
3 4	HR (95% CI)	P-value	HR (95% CI) P-value		HR (95% CI)	HR (95% CI) P-value		P-value	
5									
<u>Génder</u> (Males/females) 8 9	0.8(0.58 - 1.15)	0.25			0.7(0.53-1.11)	0.17			
<u>Alge</u> 11	0.9(0.983 - 1.014)	0.81			0.9(0.97-1.009)	0.35			
$\frac{\mathbf{\underline{G}}\mathbf{\underline{O}}\mathbf{I} > 3}{12}$	0.9 (0.652 -	0.52			1(0.779 - 1.514)	0.62			
<u>Fype of Tumour</u> (ADC/SQCC) 16	1.2 (0.803 - 1.84)	0.35			1.37(0.86-2.18)	0.17			
<u>Neoadjuvant</u> 18 <u>treatment</u> 20	1.5 (1.063 - 2.375)	0.024		<0.01	2.3(1.43-3.86)	0.001		<0.01	
Pype of surgery Pyprid	0.6(0.35-1.34)	0.16			0.54(0.25-1.15)	0.11			
23 Mipimally invasive 25 Open	1.2(0.83-1.88)	0.11			1.19(0.76-1.85)	0.43			
Pathological T-stage	0.22 (0.165 -	0.00	1 6(0 15- 18 03)	0.68	0 19(0 13-0 28)	0.00	0.8(0.30-2.60)	0.82	
p2 8-2 29 p3 63-4	0.319)	0.00	1.0(0.13-10.03)	0.00	0.17(0.15-0.20)	0.00	0.0(0.30-2.00)	0.02	
Bathological N-stage 32 (B3 34 35	0.27 (0.204 - 0.367)	0.00	0.9(0.35-2.30)	0.83	0.21(0.155 - 0.299)	0.00	0.7(0.48-1.04).	0.08	
36					1 22(0 822 - 2 00()	0.22			
10tal Lympn nodes 38 (*** vs <15 LNs) 40 41	1.13 (0.751 - 1.723)	0.54			1.32(0.833 - 2.096)	0.23			
<u>GBM (R0 vs R1)</u>	0.33(0.256 -	<0.001		<0.001	0.31(0.237 - 0.421)	<0.001		<0.001	
43 <u>GBM – R1</u> (<u>9mm vs 0.1-1mm</u>) 46 47 48	0.438) 1.42 (1.013 - 2.017)	0.042	0.42(0.17- 1.04)	0.062	1.58(1.096 - 2.293)	0.01	1.2(0.929 - 1.624)	0.14	
49 Sites of CRM-R1									
positive Anterior	1.34 (0.77 -2.362)	0.59	1.6(0.7-3.9)	0.232	1.4(0.79-2.60)	0.2		0.12	
53 Lateral	0.81(0.35 - 1.89)	0.17	1.4(0.41-5)	0.561	0.955(0.42-2.14)	0.91			
Multiple	2 (1.157 - 3.473)	0.008	1.9(0.7-4.9)	0.164	1.85(1.03-3.31)	0.03			
Posterior	1 030 (1 022	0.00	1 03/1 00 1 05	0.01	1 04(1 026 1 050)	0.00	1 01(1 001 1 02)	0.02	
Eositive LN ratio*	1.039 (1.033 - 1.046)	0.00	1.05(1.00-1.05)	0.01	1.04(1.030 - 1.030)	0.00	1.01(1.001-1.03)	0.03	

Bositive LN ratio: (number of positive lymph nodes/ total number of lymph nodes%)

Figures Legend:

Figure 1: Kaplan Meier survival curves between CRM-R0 and CRM-R1:

(a,b) Overall survival (OS) curves for (a) whole cohort, (b) for patients with \ge pT3, pN+ve and neoadjuvant treatment (NAT).

(c,d) Disease-free survival (DFS) curves for (c) whole cohort, (d) for patients with \ge pT3, pN+ve and neoadjuvant treatment (NAT).

Figure 2: Kaplan Meier survival curves between CRM-R1 (0mm) and CRM-R1 (0.1-1mm):

(a,b) Overall survival (OS) curves for (a) whole cohort, (b) for patients with \ge pT3, pN+ve and neoadjuvant treatment (NAT).

(c,d) Disease-free survival (DFS) curves for (c) whole cohort, (d) for patients with \ge pT3, pN+ve and neoadjuvant treatment (NAT).

Figure 3: Kaplan Meier survival curves for all margin sites in CRM-RCP R1 cases

- Multiple-margin involvement versus single-margin involvement (a) Overall survival curves and (b) Disease-free survival curves

- Different CRM-RCP R1 margin sites (anterior, lateral and posterior) (c) Overall survival curves and (d) Disease-free survival curves





a) OS for whole CRM-R1 cohort



