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- Denmark 2
- 3 Running title: Glottic precursor lesions in Denmark
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8 Key words: larynx; vocal cords; premalignant; dysplasia, precancerous lesions

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1 Abstract

2 <u>Objectives</u>: Glottic precursor lesion (GPL) is a well-known premalignant condition, but the 3 existing knowledge of incidence and malignant potential is based on subpopulation studies. In this 4 first nationwide study we report data from all verified cases of GPL in Denmark during a 10-year 5 period with focus on incidence and malignant transformation of GPL.

Methods: Patients were identified by a search for GPL in the time period from 01.01.2000 to
31.12.2009 using the Danish Pathology Data Base, Patobank, which is a nationwide source of all
cyto- and histopathological data obtained in Denmark. Data were validated and supplemented by
medical chart review.

10 <u>Results:</u> A 10-year national cohort of 965 patients (median age 60 years, male-female ratio 2:1) 11 with histologically verified GPL was analyzed. The overall malignant transformation rate was 18.3 12 % (mild dysplasia 7.7%, moderate dysplasia 19.8%, severe dysplasia 28.5%, and carcinoma in situ 13 40.3%) with a median progression time of 29 months. Eighty-eight percent of patients were active 14 or former smokers. A significantly larger proportion of male patients (24.1 %) experienced 15 malignant transformation compared to females (6.6%) (p<0.001).</p>

16 <u>Conclusion</u>: This nationwide population-based study of GPL patients confirmed a stable incidence 17 of GPL in Denmark from January 2000 to December 2009 and a considerable malignant potential, 18 correlated to the grading of GPL according to the World Health Organization classification of 19 laryngeal precursor lesions from 2005, WHOC2005. The recent update, WHOC2017, of low-grade 20 versus high-grade lesions may thus contain less nuanced prognostic information than WHOC2005.

21 Key words: Head and neck cancer; Larynx; Precancerous lesions, Vocal Cords, Dysplasia

22 Level of evidence: 2b retrospective cohort study

23

24 Introduction

A glottic precursor lesion (GPL) is defined as specific architectural and cytological changes in the mucosal epithelium considered precancerous¹. GPL is the most common and the most challenging subgroup of laryngeal precursor lesions due to the opposing demands for both radical treatment and quality of voice. The World Health Organization classification from 2005 (WHOC2005)² categorizes GPL into mild, moderate or severe dysplasia, and carcinoma in situ (CIS) and has been widely accepted in the Western world³. Transformation rates to malignancy varies according to the grade of GPL and are reported from 0-12% for mild dysplasia^{4,5,6,7,8,9} and up to 63% for carcinoma in situ (CIS)^{4,10,11}. The existing knowledge of incidence and malignant potential of GPL is based on studies of selected smaller subpopulations¹² and the grading, classification and treatment of GPL remains a matter of debate^{13,14,15}.

8 The uncertainty regarding the malignant potential has caused varying treatment strategies 9 internationally and nationally¹⁶ dependent on institutional or personal preferences¹⁷ and thus 10 probably put patients at risk of both under- or overtreatment^{18,19}. Recently, the World Health 11 Organization classification was revised (WHOC2017)¹, into a two-category grading of low and 12 high grade lesions, in an effort to harmonize the various grading systems internationally used for 13 laryngeal precursor lesions.

The aim of this study was to investigate the incidence, characteristics and malignant potential in aDanish national 10-year cohort.

16

17 Materials and methods

This national population-based retrospective cohort study of GPL is based on tissue samples registered in the Danish Pathology Database, Patobank, which contains information of all cytoand histopathological assessments performed in Denmark. Patobank is a real time database with immediate data transfer from Danish departments of pathology. It is associated with the national civil registration number, assigned to all Danish residents, and is controlled by the Danish Data Protection Agency.

Data was retrieved by a computer-assisted search using the specific classification codes for Systematized Nomenclature of Medicine (SNOMED) for the locations vocal cords, glottis and laryngeal commissures (SNOMED T24400, T24410, T24420, T24440, T24470 and TX2980) and for precancerous lesions, according to WHOC2005, dysplasia not otherwise specified (NOS), mild, moderate, severe dysplasia and carcinoma in situ (CIS) (SNOMED M74009, M74A09,
M74B09, M74C09, M80102 and M80702/M807*2). The aim of this study was to investigate
incidence and malignant transformation of GPL and therefore biopsies initially registered as
carcinomas were not included.

5 A total of 2518 histopathological records from 1534 patients diagnosed from 1.1.2000 to 6 31.12.2009 were retrieved from Patobank and data were extracted regarding the gender and age of 7 the patient, number and the anatomical location of the tissue samples, any tissue samples classified 8 with cancer, tissue samples performed prior to the year 2000, and number and diagnosis of 9 subsequent tissue samples after primary diagnosis. Patients were excluded in case of previous or 10 simultaneous laryngeal or hypopharyngeal cancer, cancer transformation within 3 months of the 11 initial GPL, GPL prior to 01.01.2000, GPL solely on the ventricular folds or incorrect registration 12 of the location of the lesions when validated by the medical chart. Sixteen cases of GPL restricted 13 to the false vocal cords were registered as SNOMED T24400 (vocal cords) in Patobank, but 14 excluded when location was revealed by review of information from the database. All primary 15 cases of histologically verified GPL in Denmark in the period were thereby included for analysis. 16 For details see Figure 1. A total of 966 patients were included and subsequently divided in two 17 groups according to geographical area respectively Eastern Denmark (n=421) and Western 18 Denmark (n=545)) representing approximately 45 % and 55% of the Danish population respectively²⁰. 19

Initially, the medical charts were requested for all patients from Eastern Denmark of which 326 of 421 (77%) charts were accesible. Information from the medical charts regarding the extend and site of lesion as well as cancer transformation during follow-up were compared to the data retrieved from Patobank in order to validate the data from Patobank.

After validating the data from patients of Eastern Denmark, a sample of 93 patients from Western Denmark were randomly selected by national civil registration number and their medical charts requested for review in order to ensure validity also of the data from Western Denmark. Of these 93 medical charts 73 (78%) were accessible. One patient (1.4%) was excluded from the sample of Western Denmark as the medical chart revealed biopsy of leukoplakia on the ventricular fold and
 not the vocal fold.

3 Supplementary sociodemographic and clinical data was collected retrospectively from the 398 4 received medical charts regarding alcohol consumption, tobacco history, occupation, 5 gastroesophgeal reflux disease (GERD), and the extend of the surgical procedure. The follow up 6 period was defined as the time from the initial diagnosis of GPL to the last update of data from 7 Patobank on 2nd of October 2017. In case of death the follow up was closed at the date of death. 8 The data were processed in SPSS (SPSS inc. Released 2007. SPSS for Windows, Version 16.0. 9 Chicago, SPSS inc SPSS) and analyzed in Rstudio (Version 1.0.136 – © 2009-2016 RStudio, Inc.) 10 Summary statistics for demographic and clinical characteristics were determined. Odds ratios for 11 malignant transformation were calculated using a 2 x 2 table for each subgroup of GPL with the 12 odds for mild dysplasia as baseline. Confidence intervals were calculated using the Woolfs 13 formula. For comparison of the malignant potential among the subgroups of GPL, logistic 14 regression was performed with binary outcome (malignant transformation yes/ no) based on the 15 information retrieved from Patobank. Gender was included as a variable. Statistical methods and 16 results were conferred with statisticians at the Faculty of Social Science, University of 17 Copenhagen.

18

19 **Results**

A cohort of 965 patients (median age 60 years, male-female ratio 2:1) with histologically verified GPL was analyzed. Patient characteristics are summarized in Table 1. Data was provided from all the 23 departments of Otorhinolaryngology in Denmark at the time, including four University Hospitals (33.9% of patients) and a few private clinics (1.8% of patients).

Data regarding tobacco use were available in 388 (97%) of the 398 reviewed medical charts and revealed that eighty-eight percent of the patients were active or former smokers. Calculation of pack-years was possible for 152 of those patients with a median 41 pack-years (mean 44, range 4-125). The median follow up time was 144 months (mean 155.3, range 93-204). After the initial diagnosis
 of GPL, subsequent tissue sampling was performed in 59 % of the patients due to clinically
 suspected persistence/recurrence of GPL. The number of subsequent tissue samples correlated
 positively to the severity of the initial histopathological diagnosis (Table 2).

5 The mean annual national incidence of GPL was 95.6 (range 73 to 117 patients per year). 6 According to the national institute of statistics, Statistics Denmark²¹, the average population for 7 adults (above or 18 years of age) was 4.216.714 inhabitants with a population growth of 0.26% 8 from 2000-2009. This corresponds to a mean incidence of GPL for adults of 2.3/100,000 9 inhabitants a year (Figure 2). Three patients below 18 years of age were omitted from these 10 calculations. The highest incidence of GPL of 7.7/100,000 a year was found for patients aged 50-11 69 years.

A total of 177 patients (18.3%) were diagnosed with glottic cancer during follow-up, with a median transformation time of 29 months (mean 41, range 3-172 months) from the initial diagnosis of GPL. Progression to cancer occurred within 120 months in 95.5% of cancer cases, within 60 months in 75% of cases and within 24 months for 46% of cases. The transformation rates and corresponding transformation times for subgroups of GPL are shown in Table 3 and Table 4. There was no substantial difference in cancer transformation or grade of GPL when seperating the data by geographical area (data not shown elsewhere).

There was a considerable gender difference in the distribution of GPL, thus a significantly larger proportions of males were diagnosed with severe dysplasia or CIS and smaller proportions with mild dysplasia. For details, see Table 4. The overall malignant transformation rate for males was 24.1 % and for females 6.6 % with significant differences between all of the histopathological subgroups.

Details regarding the patient's occupation, extend of the surgical procedure, alcohol intake, and GERD were unfortunately very inconsistently reported in the medical charts and therefore not analyzed further.

1 Discussion

2 To our knowledge this is the first report of a nationwide cohort of GPL. We confirmed a stable 3 incidence of GPL in Denmark between 2000 and 2009 and a considerable malignant potential 4 positively correlated to the severity of GPL, with an overall malignant transformation rate of 18.3% comparable to previous studies reporting transformation rates of 15 to 19%^{16,9}. The incidence of GPL 5 6 in Denmark was highest in patients aged 50-69 years (7.7/100,000 inhabitants per year). The rates of 7 malignant transformation in our cohort were evenly proportional to the severity of GPL. Thus, we found that the histological classification according to WHOC2005² was an important prognostic 8 9 factor as reported in other studies¹².

10 The recently updated WHOC2017¹ separates laryngeal precursor lesions into only two categories. 11 The former categories of "hyperplasia" (no atypia or architectural disturbances), "mild dysplasia" 12 (architectural disturbances and limited atypia in the lower third of the epithelium) and those of 13 "moderate dysplasia" that only involve the lower half of the epithelium (WHOC2005 moderate 14 dysplasia comprises architectural disturbances and limited atypia into the middle third of the 15 epithelium), are fused into "low-grade dysplasia, LGD". The "high-grade dysplasia, HGD" 16 comprises the former categories of carcinoma in situ, severe dysplasia, and those of moderate 17 dysplasia that involves more than the lower half of the epithelial thickness. An unfortunate error in 18 the latest edition of the reference book on WHOC20171 may cause confusion, as one table (Table 19 3.02, page 91) defines LGD as a spectrum of morphological changes restricted to the lower half of 20 the epithelium, whereas another table (Table 3.03, page 92) restricts LGD only to the lower one-21 third. This error has recently been recognized by the authors of the reference book, and it was 22 emphasized that LGD is correctly restricted to the lower epithelial half, as in Table 3.02 22,23,24. 23 We found a considerable proportion of malignant transformation of mild dysplasia (7.7 %) in 24 accordance with previous studies reporting malignant transformations in up to 12% of lesions with mild dysplasia ^{4,5,6,7,8,9,16,25,26} whereas moderate dysplasia carries a risk of malignant transformation of 25 4-24 %²⁶, in our study 19.8%. Squamous hyperplasia has very limited or no malignant potential (0-26

4.1%)^{26,27}. We did not investigate this subgroup in our study, as it was not classified as dysplasia in
 WHOC 2005.

3 With recognition of the thorough work regarding the establishment of WHOC2017, we find that 4 the results in our study encourages further discussion whether the term "Low grade" is justified 5 and especially if it can be interpreted as "Low risk".

6 Further, the options for stratified prognostication and intervention may be hampered with the 7 implementation of WHOC2017 illustrated by the considerable differences in malignant potential for the four WHOC2005 categories of GPL reported here and in previous papers^{12,16,28}. The WHOC2017 8 9 undoubtedly has important prognostic value and reflects significant difference in malignant potential 10 of LGD and HGD. A cohort of 1444 patients from Slovenia was graded according to the amended 11 Ljubljana classification on which the WHOC2017 is based, and malignant transformation was 12 reported in 19/1204 (1.6%) of LGD over a period of 2-15 years as opposed to 30/240 (12.5%) of 13 HGD over a period of 2–26 years (p = 0.0001)^{1,27 29}.

Based on the diagnostic criteria and corresponding malignant potential mentioned above, we do however find that the WHOC2017 pooling of squamous hyperplasia, mild dysplasia and partly moderate dysplasia into LGD raises some questions, as the malignant potential varies considerably within the group of LGD.

The inclusion of lesions (hyperplasia) with very low or no malignant potential will inevitably lower the overall rate of malignant transformation in the group of LGD. Thus, we are concerned that the risk of malignancy and need for treatment and follow-up may be underestimated, for a proportion of future patients diagnosed with LGD, who earlier would have been diagnosed "mild" or even "moderate" dysplasia.

In recognition of the thorough work behind the establishment of the WHOC2017, and its undeniable prognostic value, we suggest future research continue to strive to develop nuanced and applicable diagnostic criteria for laryngeal precursor lesions.

26

27 Patients who were diagnosed with dysplasia NOS (n=114, 11.8%), were included for assessment

of incidence. Histological grades of GPL may be difficult to distinguish by both the WHOC2005

and WHOC2017¹ with substantial intra- and interobserver variability^{22,30}. Intra- and interobserver variability is suspected to be uniformly distributed across the different grades of GPL, but in our study the NOS diagnose was predominantly, though not exclusively, caused by difficulties in separating mild from moderate dysplasia. The heterogeneity of the subgroup made it unsuitable for detailed analysis.

6 In 2012 a national guideline for management of GPL was proposed by The Danish Glottic Study 7 Group, an established collaboration of Danish health care professionals, as the DANGLOT 8 protocol³¹. Surgical endoscopic cordectomy type 1-3, according to the European Laryngological Society'nomenclature³² was proposed as the primary choice of treatment for suspected GPL to 9 10 ensure complete removal of GPL and avoid progression to cancer. Up to this point the watchful 11 waiting approach after initial simple biopsy was not uncommon neither in Denmark nor in other countries^{17,33}. We found that 59% of patients had subsequent tissue samples performed after the 12 13 initial diagnosis due to clinically suspicion of recurrent GPL or malignant transformation, which 14 could suggest an incomplete surgical removal of the initial lesion. The available information from 15 Patobank and the medical charts did however not reveal details enough to disprove or confirm this 16 thesis and neither do we know whether patients continued smoking after the initial diagnosis.

Our data showed no linear correlation between time to cancer transformation and initial severity of GPL. However, a difference in mean and median, though not significant, was found as shown in Table 4. It is noticeable that 25.4 % of those patients who developed cancer did so after more than 60 months, as the recommended follow up period in Denmark is five years from the latest recurrence of GPL. According to literature the mean time to cancer transformation varies from 29 to 173 months for mild dysplasia, 22-56 months for moderate dysplasia, 25-132 months for severe dysplasia and from 10-192 months for CIS^{12,28}.

The overall age distribution and tobacco history of our cohort did not differ considerably from results reported in other studies^{7,34} nor did the proportion of active smokers^{16,35}, whereas the proportion of females (33%) was higher than in most previous studies in which male-female ratios of 3:1 more often are reported^{28,35}. Furthermore, the proportion of active smokers was larger for women than for men. This correlates to the fact that in Denmark the proportion of smokers has not

1 decreased so much among women as among men or among women in neighboring countries in the 2 recent decades³⁶. Somehow contradictory to this, we found that almost half (48%) of the females in 3 our cohort had only mild dysplasia compared to 33% of the males (p=0.003), whereas a 4 cumulative of 18% of the females and 30% of the males had severe dysplasia (p<0.001) or CIS 5 (p<0.001) initially. Males were also significantly more prone to develop cancer than females in all 6 subgroups as well as overall (24.1% and 6.6% respectively) as shown in Table 4. This surprisingly 7 large difference in malignant transformation between the sexes has only rarely been reported, but 8 was suggested by Rohde et al¹⁶ who reported an overall transformation rate of 15% among 101 9 patients (18 mild dysplasia, 16 moderate dysplasia, 35 severe dysplasia and 32 CIS); fifteen of 82 10 males (18.3%) developed cancer, but none of the 19 included women. Several factors may 11 contribute to the more frequent finding of the severe subtypes of GPL and the more frequent 12 malignant transformation among males. A likely explanation may be a larger tobacco consumption 13 among male smokers³⁷, but the more frequent male malignant transformation in all subgroups of 14 GPL probably cannot be explained solely by a larger tobacco consumption. A possible causality is the larger alcohol consumption by males than females³⁸ as alcohol is known to have synergistic 15 carcinogenic effect when combined with tobacco¹. Furthermore, aspects like gender differences in 16 17 patient compliance to follow-up, treatment delay³⁶ and ability to stop smoking after initial 18 diagnosis may be considered, but is outside the scope of our study.

19 The gender difference in malignant transformation ought further investigation but might suggest 20 for a longer and closer follow up for males and perhaps even more encouragement and support for 21 smoking cessation.

Glottic cancer is the most common form of laryngeal cancer³⁹. The annual number of cases diagnosed with glottic cancer in Denmark in the period 2000-2009 was approximately 139 and the corresponding incidence 2.6 per 100,000 persons⁴⁰. With only around 95 annual new cases of GPL in Denmark, of which approximately 17 to 18 per year transforms into cancer, it seems as if only a limited fraction of all new patients with glottic cancer in those years have had biopsy proven GPL prior to the cancer diagnosis. However, since we excluded patients for whom the initial biopsy revealed cancer, further analysis of that cohort is outside the scope of our study and we cannot

comment on possible patients delay or the extent of benign (non-GPL) biopsies prior to the cancer
 diagnosis.

3

4 Limitations and strengths

5 Our data was based on histological assessments by several danish pathologists during 10 years. 6 One therefore might expect a large inconsistency in data. However this did not seem to be the case 7 as there was no substantial difference in data when seperated by geograhical area (data not shown 8 elsewhere). The study was however limited by the fact that some medical charts were unaccessible 9 for review and the requested data on smoking status after primary diagnosis, details concerning 10 tobacco and alcohol consumption, GERD and information regarding the extend of the surgical 11 procedure performed were largely unavailable.

12 To our knowledge, this study is one of the largest published cohort studies of GPL and the first 13 nationwide study conducted in the field. The Patobank database ultimately proved valid and is to 14 be considered a highly reliable source of information.

15

16 <u>Future perspectives:</u>

17 The recently introduced DANGLOT protocol³¹ favoring cordectomy, and thus the intended 18 removal of all neoplastic tissue in the initial procedure, is expected to minimize the risk of 19 repetitive tissue samples and prevent partial biopsies that lead to a risk of underestimating severity. 20 The treatment of GPL is now centralized to the five oncologic centers in Denmark to ensure a 21 higher level of experience among those responsible for diagnosis and treatment and provide 22 uniform management of Danish patients. Hopefully in time these initiatives will reduce the 23 incidence of recurrent GPL and transformation to glottic cancer

24

25 <u>Conclusion</u>

This national population-based study of GPL patients confirmed a stable incidence of GPL in Denmark from January 2000 until December 2009 and a considerable malignant potential

1	positively correlated to the severity of GPL. With recognition of the thorough work regarding the
2	establishment of the WHOC2017, the results provided by this study encourages further discussion
3	and suggests that the new classification may contain less nuanced prognostic information than the
4	WHOC2005.

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- 1 Figure legends:
- 2 Figure 1: Patient selection flowchart (GPL: glottic precursor lesion).
- 3 Figure 2: Annual national incidence for adults (above or at 18 years of age) of glottic precursor
- 4 lesions in Denmark 2000-2009 (per 100,000 inhabitants). Three patients below 18 years of age
- 5 were omitted from these calculations.

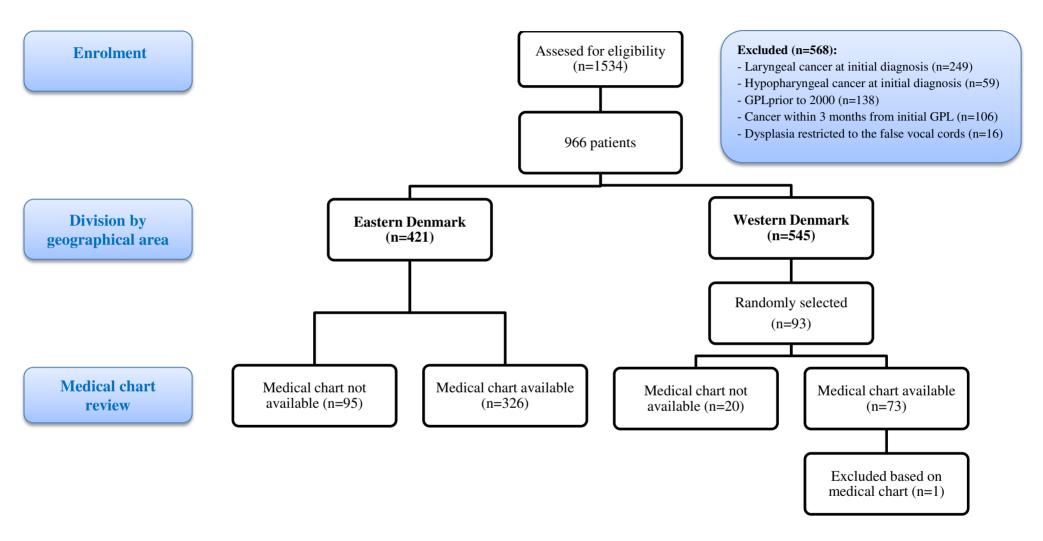
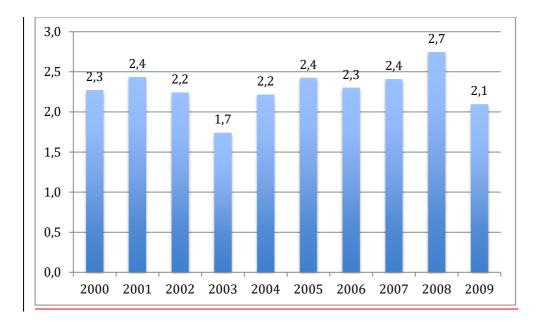


Figure 1: Patient selection flowchart. GPL: glottic precursor lesion.



Gender		Females	Males	Total
(n, % of total)		318 (33%)	647(67%)	965
Age (years)	<40	29	42	71
	40<50	57	63	120
	50<60	102	178	280
	60<70	69	208	277
	70<80	46	124	170
	≥ 80	15	32	47
	Mean	57.0	60.7	59.4
	Median	57	61	60
Tobacco	History known	114	274	388
	Active	87 (76%)	156 (57%)	243
	Former	10 (9%)	86 (31%)	96
	Never	17 (15%)	32 (12%)	49
	Packyears			
	(mean/med)	41.0/35	45.4/42	44.0/41

Table 1: Patient characteristics

Tobacco history was based on information available in 388 (97%) of the 398 reviewed patient medical charts. Packyears was registered for 156 of the 388 patients with known tobacco history (1 packyear is equivalent to smoking twenty cigarettes a day for one year).

Initial diagnosis		Number of subsequent tissue samples after initial diagnosis					
	n	0	1-2	>2			
Dysplasia, NOS	114	51 (45%)	34 (30%)	29 (25%)			
Mild dysplasia	365	214 (59%)	92 (25%)	59 (16%)			
Moderate dysplasia	237	94 (40%)	74 (31%)	69 (29%)			
Severe dysplasia	172	34 (20%)	68 (40%)	70 (41%)			
Carcinoma in situ	77	9 (12%)	29 (38%)	39 (51%)			
Total	965	402 (42%)	297 (31%)	266 (28%)			

Table 2: Number of subsequently obtained tissue samples during follow-up based on the initial diagnosis of glottic precursor lesion. NOS: dysplasia not otherwise specified.

Malignant transformation									
Initial diagnosis	n No		Yes	Yes Odds		CI 2.5%	CI 97.5%		
Dysplasia, NOS	114	92	22 (19.3%)						
Mild dysplasia	365	337	28 (7.7%)	0.083	1				
Moderate dysplasia	237	190	47 (19.8%)	0.247	2.977	1.817	4.961		
Severe dysplasia	172	123	49 (28.5%)	0.398	4.795	2.905	8.054		
Carcinoma in situ	77	46	31 (40.3%)	0.674	8.111	4.479	14.830		
Total	965	788	177 (18.3%)						

Table 3: Distribution of glottic precursor lesions at initial diagnosis graded according to World Health Organization Classification 2005 and Malignant Transformation.

NOS: dysplasia not otherwise specified is not included in the statistics but the data for overall transformation. Mild dysplasia is the baseline for comparison.

	Distribution of GPL				Malignant transformation				Months to malignant transformation	
Initial diagnosis	Total (n=965)	Women (n= 318)*	Men (n= 647)*	p-value (Gender diff)	Total (n=177)#	Women (n=21)§	Men (n=156)§	p-value (Gender diff)	Median	Mean
Dysplasia, NOS	114 (11.8%)	36 (11.3%)	78 (12.1%)	n.s	22 (19.3%)	3 (8.3%)	19 (24.4%)		36.3	41.7
Mild dysplasia	365 (37.8%)	152 (47.8%)	213 (32.9%)	<0.01	28 (7.7%)	3 (2.0%)	25(11.8%)	<0.001	34	48.5
Moderate dysplasia	237 (24.6%)	73 (23.0 %)	164 (25.3%)	<0.01	47 (19.8%)	4 (5.5%)	43(26.2%)	<0.001	34	43.3
Severe dysplasia	172 (17.8%)	44 (13.8%)	128 (19.8%)	<0.001	49 (28.5%)	8 (18.2%)	41 (32.0%)	<0.001	26	36.3
CIS	77 (8.0 %)	13 (4.0%)	64 (9.9%)	<0.001	31 (40.3%)	3 (23.1%)	28 (43.8%)	<0.001	16	38.0
Overall					177 (18.3%)	21 (6.6%)	156 (24.1%)		29	40.8

Table 4: Distribution of glottic precursor lesions and transformation to cancer of based on gender.

CIS: carcinoma in situ, NOS: dysplasia not otherwise specified. n.s. not significant

* percentages of subgroup of glottic precursor lesion among 318 women resp. 647 men

percentages of malignant transformation in the specific histological subgroup

§ percentages of malignant transformation in the specific histological subgroup among women resp. men