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1 **Adaptive Deep Brain Stimulation in Parkinson's Disease: A Delphi Consensus** 2 **Study**

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ABSTRACT

 Importance: If history teaches, as cardiac pacing moved from fixed-rate to on-demand delivery in in 80s of the last century, there are high probabilities that closed-loop and adaptive approaches will become, in the next decade, the natural evolution of conventional Deep Brain Stimulation (cDBS). However, while devices for aDBS are already available for clinical use, few data on their clinical application and technological limitations are available so far. In such scenario, gathering the opinion and expertise of leading investigators worldwide would boost and guide practice and research, thus grounding the clinical development of aDBS.

 Observations: We identified clinical and academically experienced DBS clinicians (n=21) to discuss the challenges related to aDBS. A 5-point Likert scale questionnaire along with a Delphi method was employed. 42 questions were submitted to the panel, half of them being related to technical aspects while the other half to clinical aspects of aDBS. Experts agreed that aDBS will become clinical practice in 10 years. In the present scenario, although the panel agreed that aDBS applications require skilled clinicians and that algorithms need to be further optimized to manage complex PD symptoms, consensus was reached on aDBS safety and its ability to provide a faster and more stable treatment response than cDBS, also for tremor-dominant Parkinson's disease patients and for those with motor fluctuations and dyskinesias.

 Conclusions and Relevance: Despite the need of further research, the panel concluded that aDBS is safe, promises to be maximally effective in PD patients with motor fluctuation and dyskinesias and therefore will enter into the clinical practice in the next years, with further research focused on algorithms and markers for complex symptoms.

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KEYWORDS

 Deep Brain Stimulation; DBS; closed-loop DBS; adaptive DBS; Delphi consensus; Parkinson's disease; movement disorders; neuromodulation.

119 **1. INTRODUCTION**

120 Deep Brain Stimulation (DBS) is a standard neurosurgical therapy to treat selected patients with neurological disorders including essential tremor (ET), Parkinson's disease (PD), and dystonia.¹ 121 122 Traditionally, DBS has been employed using open-loop stimulation techniques, i.e., delivering 123 continuous, uninterrupted stimulation at the same parameter setting (conventional DBS, cDBS) that 124 is independent of the real-time patient's functional status or of the side effects induced by 125 intermittent stimulation. In PD, DBS of the subthalamic nucleus $(STN-DBS²)$, has been prominently associated with stimulation-induced speech impairments,³ risk of falling,⁴ dyskinesia,⁵ 126 127 stimulation-induced impulsivity,⁶ and, more importantly, only partial control of clinical 128 fluctuations.⁷ Adaptive DBS (aDBS) was conceived to overcome some of the disadvantages of 129 cDBS by facilitating optimized current delivery to improve symptoms and drive improved 130 outcomes.⁸ This technology relies on the principle of on-demand or contingency-based stimulation, 131 where clinically relevant biofeedback signals (e.g., brain signals) can be used to determine more 132 effective characteristics of the stimulation (or changes to other parameters) to be delivered in real-133 time in order to address emerging symptoms or side effects.⁹ Currently, in the field of movement 134 disorders,⁸ both electrocorticographic signals registered from cortical electrode strips and local field 135 potentials (LFPs) recorded directly from the DBS electrodes have been explored in feasibility

136 testing. $8,10$

137 Although the aDBS concept is perceived as a natural evolution of current cDBS, in line with the 138 historical development of cardiac pacemakers, the evidence collected on its clinical application 139 needs to be expanded, especially to better understand the emerging limitations, and to boost its 140 adoption and understanding in everyday clinical practice. For instance, in PD, where beta band STN 141 LFPs can be applied as control signal for DBS amplitude adjustments,¹¹ experiments revealed an 142 inconsistent correlation to clinical outcome scores on validated scales of PD disability and motor 143 dysfunction, $12,13$ especially with patients presenting with different phenotypes (e.g., tremor 144 dominant or akinetic rigid PD).¹⁴ Therefore, some experts suggested that LFP power alone might not provide a reliable biomarker for aDBS 15 because of the failure to represent the complex 146 pathological cortical-subcortical circuital activity in PD and, in turn, to serve as a robust marker, 147 particularly for complex symptoms. $16-18$

148 Such a challenging scenario demands for the integration of the knowledge derived from clinical

149 data and from the experience of leading experts that will serve to (1) provide a clear scenario for

150 aDBS advantages and limitations at the current state-of-the-art, (2) guide the future design of trials

151 and (3) highlight the most promising directions for aDBS. To boost this dialogue, we identified

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152 internationally recognized clinical and academic DBS experts to discuss the methodological and 153 clinical challenges and we asked them to participate in a Delphi method-based study.¹⁹

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155 **2. METHODS**

156 The Delphi study methodology is a multistage process designed to combine opinions into group 157 consensus,²⁰ where a series of structured questionnaires (rounds) are anonymously completed by 158 experts (panellists) and the responses from each questionnaire fed back in summarised form to the 159 participants.^{21–23} This allows the panellists to reassess their initial judgments, considering the 160 positive aspects of interacting groups (e.g., inclusion of different backgrounds) without the negative 161 ones (e.g., influence of dominant members).²⁴ For the purpose of our study, a modified Delphi 162 process^{25,26} was designed in three rounds, which are considered as sufficient to collect the needed 163 information and to reach a consensus.^{21,24,27,28} A Steering Committee (SC) of experts (n=8) based on 164 the collaborative network of the leading authors discussed the topic and developed a structured 165 questionnaire including key items pertinent to aDBS using five-point Likert scales (1=strongly 166 disagree; 2=disagree; 3=undecided; 4=agree; 5=strongly agree).¹⁹ In rounds one, two and three, 167 quantitative assessments to reach the consensus were performed by SC members and a larger Expert 168 Panel (EP, n=13). Therefore, a total of 21 panellists took part in the assessment, which is a number 169 of experts within the recommended range. $24,29$ Since no exact criterion is currently available on the 170 definition of "expert",³⁰ we decided to consider positional leaders in the field, as suggested by 171 previous works.³¹ The panellists were asked to rate 42 statements on several technical (21) 172 statements) and clinical (21 statements) aspects of aDBS (Table 1). In order to maintain the rigor of this method, we considered a response rate of $>70\%$ for each round³² to be a minimum. Electronic 174 questionnaires were used in all steps of the process. In case one item reached a consensus during the 175 first or second round, it was excluded from the following round to avoid confirmation bias. 176 Although no guidelines are available,³⁰ consensus was achieved when \geq 80% of the responses fell in 177 the same response label.^{19,33} Data were analysed and reported by descriptive statistics. We opted for 178 median and interquartile range (IQR), as suggested by the literature. ^{24,34–36} We report the results of 179 each round separately in both textual (i.e., with median \pm IOR) and graphical representation, to 180 better illustrate the strength of support for each round.³⁰

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182 **3. RESULTS**

183 *3.1. Specialists panel*

184 For the SC, all the eight invited authors agreed to participate (SC=8, response rate: 100%). For the 185 EP, out of the 20 authors identified, two declined to participate and five did not reply (EP=13,

 response rate: 65%). Therefore, the overall number of panellists was 21 (overall response rate: 75%, see eTable 1 in Supplementary Materials). Demographic characteristics of the panellists are displayed in Table 2. Briefly, most of them were male (16, 76%), >50 years old (14, 66.6%) and high-experienced in clinical routine (20, 95*.*5% with >10 years of clinical experience) and research (19, 90*.*4% and 18, 85*.*7% with >10 years of experience in, respectively, the DBS field and DBS

- 191 clinical trials) settings.
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193 *3.2. Delphi Panel results*

194 As for the 21 statements on the technical aspects of aDBS, the first round led to no consensus for 195 any of the statements (see eFigure 1 in Supplementary Materials); in the second, the consensus was 196 reached in only one statement (see eFigure 2 in Supplementary Materials); finally, in the third 197 round, consensus was reached in other seven statements, for a total of eight out of 21 statements 198 (see fig.1). More specifically, in the second round, the panellists agreed that automatic 199 programming would be safe as long as stimulation intensity is constrained by upper and lower 200 limits (90% agreed, median \pm IQR: 4 \pm 0). After the third round, panellists agreed that aDBS has 201 technological limitations (Statement $1 - 80\%$ agreed, median \pm IQR: 4 ± 0), but that current 202 pacemaker technology might be suitable to implement aDBS algorithms (Statement 20 – 90% 203 agreed, median \pm IQR: 4 \pm 0). They strongly agreed that it requires high levels of expertise 204 (statement $8 - 80\%$ strongly agreed, median \pm IQR: 5 ± 0), but strongly disagreed in its feasibility 205 for patients with not well-positioned electrodes (statement $3 - 85\%$ strongly disagreed, median \pm 206 IQR: 1 ± 0). Lastly, panellists were undecided on the role of aDBS in spreading segmented 207 electrodes use (Statement $18 - 85\%$ undecided, median \pm IQR: 3 ± 0), or whether fast adaptation 208 methods are superior or inferior than slow adaptation methods (Statement 14 and Statement 15 – 209 90% undecided, median \pm IQR: 3 ± 0 for both).

210 As for the 21 statements on the clinical aspects of aDBS, no consensus was reached after the first 211 round (see eFigure 3 in Supplementary Materials). After the second, the panellists agreed on one

212 statement (see eFigure 4 in Supplementary Materials), and other eight after the third round, for a

213 total of 9 out of 21 statements (see fig.2). In particular, in the second round the panellists agreed on

214 the use of aDBS technology also for tremor-dominant PD patients (Statement 28 – 80% agreed,

215 median \pm IOR: 4 ± 0). After the third round, an agreement was reached on the safety of aDBS

216 technology (Statement 25 – 85% agreed, median \pm IOR: 4 \pm 0) and that it will enter clinical routine

- 217 in 10 years (Statement 22 85% agreed, median \pm IQR: 4 \pm 0), with positive long-term impact for
- 218 patients (Statement 35 80% agreed, median \pm IOR: 4 \pm 0), also for those with significant motor
- 219 fluctuations before surgery (Statement 30 90% agreed, median \pm IQR: 4 \pm 0) and on cDBS

- 220 treatment (Statement 31 95% agreed, median \pm IQR: 4 \pm 0), and for patients with significant
- 221 dyskinesias on cDBS treatment (Statement $32 90\%$ agreed, median \pm IQR: 4 ± 0). Lastly,
- panellists agreed that aDBS might lead to a faster stable treatment response after the definition of
- 223 stimulation settings (Statement 37 80% agreed, median \pm IQR: 4 \pm 0), but were uncertain if fast
- adaptation technology could lead to long term plastic changes (Statement 38 80% undecided,
- 225 median \pm IOR: 3 ± 0).
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4. DISCUSSION

 In this Delphi consensus study, 21 internationally recognized clinical and scientific experts in the DBS were asked to discuss current technical and clinical challenges related to aDBS development. Interestingly, out of the 42 open questions on aDBS proposed, a consensus was reached for 17, thus underlining the complexity and heterogeneity of the scenario and experiences as well as the general need of further research: experts agreed on a time frame of 10 years for aDBS to reach clinical practice whereas the time frame of 5 years did not achieve the agreement. To inform and support present adoption, the experience and knowledge gained so far suffice to reach a consensus regarding the safety of the adaptive approach and the potential benefits of aDBS. Experts in fact agreed that aDBS may lead to faster and more stable than cDBS treatment responses in selected patient populations, including tremor-dominant PD patients and those with motor fluctuations and dyskinesia on cDBS. Another important point related to the present scenario is the general agreement on the need of high level of expertise to manage aDBS, thus underlining a potential barrier to general adoption, but they also agreed that automatic programming can be safe if properly developed. The expert community remains uncertain regarding specific algorithms and their mechanisms of action, thus suggesting that future research and trials need to be directed towards the collection of data relevant both for understanding the neurophysiology of the adaptive approach and for identifying better biomarkers and the related stimulation patterns. Similarly, the possible combined benefits of aDBS and segmented electrodes remain unclear while there is general agreement on the fact that aDBS would not help in patients with electrodes that are not well positioned. Despite the high level of expertise, the lack of clinical and research evidence might have impaired the experts coming to a consensus on all the other aspects covered by the questions, both from the technical and the clinical point of view.

4.1. *Technical aspects of aDBS*

 The panellists believe that despite the technological limitations of aDBS methodology, current pacemaker technology might be suitable to implement aDBS algorithms. Indeed, the recent

 development of pulse generators which are also able to record LFPs offers more options for 255 optimising DBS therapy and aDBS algorithms.³⁷ One of the main limitations of aDBS application in routine clinical care remains the uncertainty about which and how many signals could entirely represent patients' clinical state and whether many of them need to be used together in multimodal 258 algorithms.⁸ Most biomarkers have been identified with patients in "off stimulation",³⁸ but in the aDBS concepts, signals should be recorded in "on stimulation". Therefore, the availability of devices able to record during stimulation is crucial to shed light on how to select the optimal personalised biomarker. While the most used closed-loop design (i.e., STN-LFP beta band as 262 control signal to adjust for DBS amplitude) has been questioned,¹⁵ there is growing consensus that 263 beta band is a fairly reliable biomarker.³⁹ Several alternative approaches have been proposed (e.g., 264 using cortical-subcortical gamma rhythm⁴⁰), but no conclusive findings have been obtained yet. The panellist acknowledged that a high level of expertise would be required to use aDBS. Indeed, currently, the programming phase of aDBS devices might require familiarity and higher technical 267 skills (when compared with cDBS devices⁴¹), however the future algorithms will likely need to become more automated. This may suggest to industries to develop in the future simplified workflows or to provide adequate education to clinicians using aDBS. Still, clinicians will maintain a crucial role in assessing LFP recordings and their relationship to patient's symptoms. As in any other new therapy, clinicians applying aDBS should keep the patient monitored to verify the persistence of an adequate control of symptoms over time and to modify pharmacological treatment if necessary. Adjustment of medications will likely be required independently of the type of 274 stimulation (aDBS^{42–44} or cDBS⁴⁵); however, combined effects of adaptive stimulation with medication might in selected cases decrease the risk of treatment-induced side effects like dyskinesia.

 From the point of view of the level of automation in the approach, the experts agreed that automatic programming would be safe if stimulation intensity were constrained by combined upper and lower limits. The answer is in line with the need to avoid unpleasant side effects and an inadequate treatment of patients' symptoms, especially for upper limits. However, many algorithms tested in clinical studies to date allow reduction of stimulation amplitude to zero when beta amplitude falls 282 below a threshold, however, this could be modified in future fast aDBS algorithms.^{39,42,44,46} From a control algorithm point of view, the experts were uncertain about whether fast adaptation methods (movement-related) would be superior or inferior when compared to slow adaptation methods (drug-related). Indeed, beta activity can immediately trigger a brief increase in stimulation 286 to shorten prolonged beta bursts^{39,47} or it can be smoothed over many seconds to serve as a 287 medication state biomarker and then be used as feedback to drive stimulation.⁴⁴ The way fast and

 slow adaptation algorithms have been implemented and studied, both reduced the total electrical energy delivered (TEED) over time by 50%, but while the first seems to reduce adverse effects on speech⁴⁸ and to achieve a better control of bradykinesia and rigidity⁴⁴ the latter seems to be more 291 effective in reducing dyskinesias.⁴³ These effects should be interpreted with great caution because of the paucity of cases and lack of independent validation. Indeed, speech was not systematically assessed for the "slow adaptation", neither dyskinesias for the "fast adapting" algorithms. However, fast beta aDBS did also show the ability to adjust how often aDBS was triggered according to (slower) medication state, with stimulation becoming less frequent in the medication ON state. This suggests that "fast" aDBS algorithms can operate on both fast and slow timescales, and therefore 297 could theoretically help medication induced dyskinesias.⁴⁹ Currently, the lack of data does not allow to conclude differential benefits of both algorithms on side effects. Also, aDBS can possibly allow 299 more TEED to be delivered, but with improved clinical efficacy and without inducing side effects; therefore, reduced TEED seems to be less of a critical outcome for DBS implementation, 301 particularly with the advent of rechargeable devices.⁵⁰

 Panellists reached a consensus that the feasibility of aDBS for patients with suboptimally positioned electrodes was a limitation, meaning that it will likely not be effective. This expert opinion was in

304 line with the evidence that the peak in beta activity is a feature of the motor part of the STN.⁵¹

Therefore, suboptimally positioned electrodes will not likely detect the LFPs needed to "adapt"

aDBS to patients' symptoms.

 Similarly, the panellists were doubtful about the role of aDBS in facilitating the use of segmented electrodes, which may be used to widen the therapeutic window between efficacy and adverse 309 effects by steering the field of stimulation.⁵² The experts did concede that segmented electrodes share with aDBS the common aim to "personalise" and shape stimulation electrical fields to single patients. Indeed, this technology increases spatial specificity while aDBS improves temporal specificity through the delivery of a dynamic stimulation that changes over time according to 313 disease-related feedback.⁵² Theoretically, these two approaches could be complementary.

4.2. *Clinical aspects of aDBS*

 The panellists shared an optimistic opinion in terms of development and applications of aDBS in clinical routine, and its potential ability to allow a faster and more stable treatment response in select patients. Indeed, despite the initial scepticism of parts of the medical community, the 319 knowledge and technology in the field of aDBS have been growing.⁵³ Also, recent technological 320 advancements (e.g., directional leads⁵⁴ or multiple stimulation methods^{17,55}) may limit side effects and may serve to optimise for an individual symptom or symptoms.⁸

322 Another important point related to aDBS adoption is its safety, on which the panellists agreed. In 323 addition to the surgical risks that to date are comparable to those of cDBS,⁵⁶ concerns have been 324 expressed in literature about the potential side effects of aDBS stimulation.⁵⁷ Although no 325 significant side effects have been reported so far,⁵⁸ rapid changes of voltage or frequency induced 326 by neurosignals could be unpleasant or even intolerable to patients in chronic stimulation. Thus, 327 stimulation methods that balance ramp rates to avoid side effects and keep the stimulation 328 therapeutic by responding in time to neurosignals changes are under study.⁵⁹ 329 One of the major potential advantages of aDBS is its ability to provide personalized therapy. The 330 panellists agreed that aDBS is suitable both for PD patients experiencing motor fluctuations and 331 dyskinesias before surgery or on cDBS, and for tremor-dominant PD patients. This consensus 332 boosts the need of gaining more insights on the "precision medicine" potential of aDBS, i.e., 333 investigating which patients are likely responders to stimulation, or which technology (e.g., which 334 biomarker) is right for a specific patient.⁶⁰ Beta frequency correlates more with 335 rigidity/bradykinesia than resting tremor,^{61,62} while gamma activity, particularly finely-tuned 336 gamma, has been associated with ON medication states and dyskinesia.^{63,64} Beta-driven aDBS might be less activated during levodopa-ON medication state (following beta suppression³⁸) and 338 hence reduces the likelihood of inducing levodopa-induced dyskinesia. Indeed, studies on aDBS in 339 patients with PD and dyskinesia report good efficacy in reducing such symptom while guaranteeing 340 a similar or even better control of cardinal symptoms of PD.^{42,44,46} 341 Tremor can be detected from brain signals, either by the presence of lower frequency oscillations 342 (3–7 Hz) or more accurately by combining multiple features from the whole-spectrum LFP.^{65,66} 343 Additionally, several computational models have been recently developed to test the feasibility and 344 efficacy of aDBS methods that modulate stimulation to control different biomarkers.^{67,68} In these 345 cases, the best control may be provided by selecting between multiple controllers depending on

- 346 context or patient symptoms (i.e., tremor or beta oscillations). Recent studies suggest a similar
- 347 efficacy of aDBS both for tremor and bradykinesia dominant patients.^{69,70} Additionally, peripheral sensors may also be used for adaptive DBS for tremor.^{71,72}
- 349 Major uncertainties remain on the mechanisms of action of aDBS: the experts were uncertain that 350 fast adaptation technology could lead to long-term plastic changes. Although one might expect an
- 351 effect close to what has been supposed for cDBS,⁷³ whether aDBS might induce neuroplastic
- 352 changes remains an open question due to the lack of evidence to support any opinion. Similarly, it is
- 353 still to be determined what impact aDBS will have on the habituation phenomenon (i.e., the
- 354 progressive loss of DBS benefit in time due to a decreased biological response of the neuronal
- 355 networks⁷⁴) that may in select cases threaten the effectiveness of cDBS in chronic conditions.⁷⁴

 However, some experts believe that habituation of DBS in the setting of PD is rare and that most of the worsening of symptoms is driven by PD progression.

4.3. *Limitations*

 The consensus reached among experts as for the Delphi methods provides only the lowest level of 361 evidence for making causal inferences.⁷⁵ Therefore, the outcome of the present panel review cannot replace clinical judgments or original research, nor is it intended to define a standard of practice. Similarly, the feasibility of the consensus reached should be further debated and scientifically demonstrated – even more when considering stimulation targets commonly used for DBS (e.g., globus pallidus internus) not explored for aDBS. Rather, since our results aggregate the opinion of experts who could count on both personal expertise and scientific knowledge, they appear to be relevant in terms of current state of knowledge and future directions for research, even more for a field which is still at its infancy.

4.4. *Conclusions*

 Despite experts agreed only partially on some technical aspects of aDBS, the panel concluded that aDBS will be routine in the mid-term. As for now, safety is a key aspect that reached agreement as well as the potential of aDBS to provide faster and more stable treatment response than cDBS, and in tremor-dominant PD patients and in those with motor fluctuations and dyskinesias. The expert panel also agreed that the neurophysiological mechanisms of aDBS, the best control strategy, and the relationship between this technology and other DBS-related innovations, such as segmented leads, are still to be investigated, thus orienting future research. Also, the current need of high level of expertise for the programming and management of aDBS patients represent a challenge that requires the coordination between research and industry, with automatic programming being an important development. In conclusion, the results of this Delphi consensus represent a step forward for aDBS to reach clinical adoption.

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Declaration of interest

- M.G., N.V.M., S.O., T.B., E.S., Y.T., C.H., P.L. declare no conflict of interest.
- M.A.P is a consultant for Boston Scientific, Insightec, Medtronic and Abbott. She has received
- reimbursement of travel expenses to attend scientific meetings by Palex, Boston Scientific and
- Medtronic. She has received speaker honoraria from Palex.
- G. Deuschl G.D. has served as a consultant for Boston Scientific and Cavion and as DSMB member
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- Esteve.
- J.K.K. is a consultant to Medtronic, Boston Scientific, aleva and Inomed
- A.A.K. is a consultant to Medtronic, Boston Scientific and Teva.
- S.L. is a consultant for Iota Biosciences and has previously received honorarium from Medtronic. S.
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study design, study ideation, discussion and supervision. All the authors contributed to Writing –

review & editing, and accept responsibility for the decision to submit for publication.

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Fig.1. Percentage of agreement for the 21 statements on the technical aspects of adaptive DBS (Statement 1-21) among the Delphi Panel

members, as result of the third round. A consensus was reached for Statement 1 (80% of the responses fell in the response label "Agree"),

Statement 3 (85% of the responses fell in the response label "Strongly Disagree"), Statement 8 (80% of the responses fell in the response label

- "Strongly Agree"), Statement 14 (90% of the responses fell in the response label "Undecided"), Statement 15 (90% of the responses fell in the
- response label "Undecided"), Statement 18 (85% of the responses fell in the response label "Undecided"), and Statement 20 (90% of the responses
- 673 fell in the response label "Agree"). $DBS = Deep Brain Stimulation$; $S = statement$.

Fig.2. Percentage of agreement for the 21 statements on the clinical aspects of adaptive DBS (Statement 22-42) among the Delphi Panel

members, as result of the third round. A consensus was reached for Statement 22 (85% of the responses fell in the response label "Agree"),

Statement 25 (85% of the responses fell in the response label "Agree"), Statement 30 (90% of the responses fell in the response label "Agree"),

- Statement 31 (95% of the responses fell in the response label "Agree"), Statement 32 (90% of the responses fell in the response label "Agree"),
- Statement 35 (80% of the responses fell in the response label "Agree"), Statement 37 (80% of the responses fell in the response label "Agree"), and
- Statement 38 (80% of the responses fell in the response label "Undecided"). DBS = Deep Brain Stimulation; S = statement.

682 Delphi Panel members were asked to rate their agreement with each statement (1=strongly disagree; 2=disagree; 3=undecided; 4=agree; 5=strongly agree). R.R. =

683 response rate; C.R. = consensus reached; PD = Parkinson's disease; DBS = deep brain stimulation.

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684 **Table 2. Demographic and academic information for the Delphi Panel members.**

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685 ^{*a*} one or more options were accepted