

# 1 INTRODUCTION

2 When tears are collected from the eye and desiccated on a glass slide, the salt and protein  
3 components in the solution precipitate out in a fern-like formation (Figure 1) [1]. The spine of  
4 the fern is formed by a thick central branch with finer spindle-like branches emerging out,  
5 covering the area in which the tears have dried [2]. This crystallised network is referred to as  
6 the ‘tear fern’ pattern. With the aid of scanning electron microscopy and X-ray diffraction, the  
7 molecular constituents of the tear fern pattern have been identified as sodium chloride and  
8 potassium chloride crystals [3]. Hence changes in the tear fern pattern are thought to represent  
9 changes to tear film composition and stability [3, 4]. A lower density of tear ferning has been  
10 associated with greater discomfort and higher tear film osmolarity [5]. The association of tear  
11 ferning with other clinical variables such as lipid layer thickness (LLT) and tear film break-up  
12 time is not well understood [6, 7]. Whether treatment impacts on this tear fern pattern is also  
13 not known.

14 Tear ferning is currently graded subjectively using a 5-point grading system originally  
15 proposed by Rolando et al [5]. and later refined by Masmali et al [5]. This grading involves  
16 both standard reference photographs and numeric categorization [5] and has been shown to  
17 have good inter-observer repeatability [8]. Being a subjective grading scale however, the  
18 Masmali grading is still subject to bias and clinical discrepancies. A quantitative and objective  
19 method for tear fern grading would help to overcome these challenges.

20 Saad et al. have presented an objective, computer-based, analysis of tear ferning that  
21 utilises a vector representation for all the five grades of subjective grading system [9]. This  
22 method uses computer software that is based on the identification of orientation and spatial  
23 organization [9]. This software is then used to analyse a microscopic photograph of the tear  
24 fern for production of an objective, quantitative measurement that represents one of the 5-point  
25 grades [9]. The clinical utility of this objective grading system is currently unknown.

26           The current study hypothesised that the tear fern pattern will be associated with clinical  
27 tear film parameters and this will change following the instillation of ocular lubricants. The  
28 aim of this study therefore was to determine the relationship between tear ferning and the  
29 clinical parameters of LLT, tear film break-up time and comfort and how this pattern changes  
30 following the instillation of ocular lubricants. A novel computerized objective analysis  
31 technique was developed to analyse the tear ferning grades in a 0-4 scale, where '0' denotes  
32 highly dense ferning and '4' denotes no observable ferning. As a preliminary step this study  
33 set out to establish the day-to-day variability of the tear fern pattern when graded both  
34 subjectively and objectively using computational analysis.

35           The objective grading is based on previous work that has shown that changes in the  
36 local direction of derivatives in image luminance (i.e., shading gradients) can be used to  
37 automatically identify texture contours [10]. Texture contours are the boundaries between light  
38 and dark pixel regions in the image, which correspond to ferning contours seen in the images.  
39 The strength of pixel derivatives might therefore provide a useful objective model of perceived  
40 contour strength (i.e., ferning strength). One study has shown that such objective computations  
41 can account for perceived texture strength [11]. This study therefore assessed the feasibility of  
42 this objective measure of ferning strength by comparing it with subjective estimates of ferning  
43 to determine whether there was any consistency between these measures. Any evidence of its  
44 feasibility would support the view that the strength of local derivatives in shading gradients  
45 may serve as a psychophysically-valid objective measure of tear ferning.

## 46 **METHODS**

### 47 **Participants**

48 This study received ethics approval from the University of New South Wales human research  
49 ethics committee (HC15207) and adhered to the tenets of the Declaration of Helsinki (2013).

50 Informed consent was obtained from all 18 healthy young adults (3 male and 15 female) aged  
51 18 to 35 years (mean age  $22.9 \pm 4.4$  years). Sample size calculation was based on a statistically  
52 significant difference of one tear fern-grade at a 95% confidence interval and with 80% power.  
53 Tear ferning was analysed based on 5 point subjective grading suggested by Masmali et al [12],  
54 and one tear fern-grade difference in Masmali grading scale was regarded as significant  
55 difference. The following exclusion criteria were applied: a history of contact lens wear in the  
56 previous 6 months, ocular surgery in the previous 12 months, systemic conditions impacting  
57 the corneal surface, oral or topical medications, ocular lubricant use within the last month, and  
58 epilepsy.

## 59 **Study design**

60 Each participant attended 3 visits (designated A, B and C) with a minimum separation of 24  
61 hours. The order of all the visits was randomised for each participant using a free online  
62 program for randomisation (<https://www.random.org/lists/>). Visits A and B were identical in  
63 methodological procedure and served to establish baseline measurements of all tear film  
64 parameters. These baseline measurements consisted of LLT in both eyes using the LipiView®  
65 Ocular Surface Interferometer (TearScience® Inc, Morrisville, NC) followed by non-invasive  
66 keratograph break-up time (NIK BUT) measurement using the Oculus® Keratograph 5M  
67 (Oculus®, Arlington, WA, USA) and finally, collection of basal tears. At Visit C, 50µL of  
68 unpreserved Refresh® lubricant eye drops (Allergan, Inc, Dublin, Ireland) were instilled into  
69 each eye using a sterile pipette tip attached to a clinical pipette. A standardized delay of one  
70 minute was initiated after the instillation of the drop in the second eye prior to the  
71 commencement of tear film measurements. After one minute, the remainder of Visit C was  
72 conducted identically to Visit A and B, in which LLT and NIK BUT were measured and basal  
73 tears were collected again. The order of data collection (LLT, NIK BUT and tear collection)  
74 were consistent across all visits. Additionally, right eye measurements were always taken

75 before the left eye. The examiner undertaking each measurement was kept consistent to avoid  
76 inter-examiner variability.

## 77 **Clinical methods**

78 Visual acuity for the participants was measured using Text Chart Xpert 3Di (Thomson  
79 Software Solutions, UK) at visits prior to data collection.

### 80 *Ocular Surface Disease Index questionnaire*

81 Participants completed the Ocular Surface Disease Index (OSDI) questionnaire to grade their  
82 dry eye status.

### 83 *Lipid layer thickness*

84 The LipiView® Ocular Surface Interferometer (TearScience® Inc, Morrisville, NC) was used  
85 to measure LLT. The instrument was aligned with the lower third of the cornea, about 1 mm  
86 above the inferior tear meniscus [13] and manually focused using the i controls of the  
87 instruments. The same investigator operated the LipiView® throughout the study. The  
88 following measures were recorded for each study participant: the average tear film thickness  
89 from all frame averages, the maximum and minimum thicknesses. The LipiView® has an upper  
90 cut-off of 100 interferometric colour units (ICU). Any values of 100 were excluded from the  
91 study as it was not possible to obtain the true reading [14].

### 92 *Oculus® non-invasive keratograph break-up time*

93 The Oculus® Keratograph 5M (Oculus®, Arlington, WA, USA) was used to measure  
94 (NIK BUT). The first point of break (NIK BUT-1) was recorded as well as the average break-  
95 up time for all points of break-up measured (NIK BUT-average). The same investigator  
96 operated the Oculus® throughout the study. Any values above 24.73 seconds were excluded

97 from the analysis as this is the upper cut-off of the instrument and not considered to be the true  
98 value [14].

### 99 ***Tear collection***

100 Basal tears [15] were collected using a 10  $\mu$ L glass microcapillary tube (Blaubrand®,  
101 Germany) at the end of every visit. The microcapillary tube was placed in the lower tear  
102 meniscus of either eye for four minutes so that at least 4  $\mu$ L was collected. Tear collection  
103 flow-rate was monitored by measuring the volume collection as a factor of the time taken to  
104 collect the tears. Tear collection ceased if reflex tearing was detected. After the sample was  
105 collected, a plunger was placed over the open, empty end of the tube to allow for its contents  
106 to be expelled into a 5 mL Eppendorf tube (Eppendorf, USA). The vial was placed inside a 4°C  
107 refrigerator for a maximum of 2 hours during participant visits until they were centrifuged  
108 (Eppendorf, USA) at 4000 rpm for 20 minutes at -4°C and placed in a -80°C freezer (Labtec  
109 Pty Ltd, Australia) until analysis.

### 110 **Tear ferning analysis**

#### 111 ***Tear sample treatment***

112 The vials were removed from the freezer and allowed to defrost for 10 minutes at a constant  
113 room temperature (24°C). The samples were then plated onto a glass slide using a clinical  
114 micro-pipette, 2 $\mu$ L at a time. A minimum of three 2 $\mu$ L drops were extracted from each sample,  
115 spaced evenly over the slide and allowed to air-dry at room temperature (24°C) for 5 minutes  
116 prior to image capture. Humidity was kept constant for tear sample desiccation by evaporating  
117 tear samples at room temperature (20-26°C) at an incubator [16].

#### 118 ***Tear ferning image capture***

119 An inverted microscope (IX73 Olympus, USA) was used in conjunction with cellSens© image  
120 capture software (Olympus©, USA) to photograph the samples at 10x objective  
121 (magnification) for subjective grading using the Masmali TF grading scale [5]. Care was taken  
122 in the imaging process to ensure the region of interest within each tear sample occupied  
123 approximately 95% of the image space.

#### 124 ***Subjective grading of tear ferning***

125 Two masked observers were assigned to grade 10x magnified tear ferning images in a random  
126 order. The subjective grading was based on tear ferning grading detailed by Masmali et al. [5].  
127 Briefly, the 5-point grading scale is a modified version of the tear ferning grading scale  
128 classified from 0 to 4, in 0.1 increments to improve grade refinement. Grade 0 has the densest  
129 ferning pattern with no spaces or gaps between the ferns and branches; the density of the ferns  
130 and branches declines in Grade 1 with the appearance of small spaces. In grade 2, the density  
131 of ferns and branches are thicker with more spaces in between, whereas no fern is present in  
132 grade 3 with only appearance of sporadic crystals. The ferning pattern is completely absent in  
133 grade 4.

#### 134 ***Objective grading of tear ferning***

135 Objective grading of tear ferning was estimated by computationally analysing fern density for  
136 each tear-film image using a simple measure of local contrast of image contours. Tear fern  
137 images for all 3 visits were analysed. Previous work has shown that orientation fields – the  
138 polar direction of local derivatives in image luminance – are a good computational model of  
139 perceived texture. Treating the appearance of ferning as a form a texture perception, the  
140 orientation fields of the tear-ferning images were computed to determine the local anisotropic  
141 energy across finite regions of image space. This psychophysically-based measure was

142 intended to model perceptual grading of fern density for the same images by experienced  
143 clinical observers (Figure 2).

144 At first the tear ferning images were converted to greyscale for objective measurement.  
145 A 512×512 pixel region was then cropped from the centre of each tear droplet acquired at 10×  
146 magnification. This size was chosen because it sampled the central third of each droplet on  
147 average. Then the image was blurred and subtracted the blurred version from the original to  
148 eliminate vignetting. This blurring was performed using a Gaussian kernel of size 12 pixels  
149 half width. This de-vignetted image served as the input image for analysis. This process of de-  
150 vignetting is known as flat-fielding [17].

151 For the objective analysis of tear ferning strength, the strength of the shading gradient  
152 at each pixel location in the image was computed by differentiating values horizontally and  
153 vertically. These derivatives were then squared to added together, and then computed the  
154 square root of the result to obtain a measure of what is commonly referred to as local energy.  
155 Changes in local energy provide an indication of texture contour strength [11, 17], which in a  
156 situation corresponds to ferning contour strength.

157 Following from the procedures described by Kim et al. [18], the derivative of the image  
158 was obtained using a gabor filter generated by multiplying a cosine function by a Gaussian  
159 envelope (7x7 pixel kernel space). The filter was rotated over a 0° to 180° range by steps of  
160 15°. The orientation that generated greatest local energy corresponds to the orientation of the  
161 fern contour boundary. Contour energy (E) was then computed as the normalized response  
162 range between the preferred and non-preferred filter orientations as per Equation 1, where Max  
163 and Min are the maximum and minimum responses of the filter over the 180° range, and SD is  
164 the standard deviation of responses across all orientations.

165

166 
$$E = \frac{Max - Min}{SD}$$

167

168           Figure D, E and F show the image locations with positive contour energy marked in red  
169 (contour image). Note how these contours retain the visual appearance of ferning in the input  
170 flat-field images. Fern density was estimated by first computing a binary version of the contour  
171 image, where contours were 1 and non-contours were 0. This is followed by the determination  
172 of average image contrast over small local 5x5 pixel windows samples across all regions within  
173 the binary contour image. The average local image contrast was then computed and used as the  
174 raw automated objective grading of fern density.

175           A simple transform by multiplying each objective grading by the mean of all subjective  
176 gradings was applied to calibrate the objective measure's scale against subjective grading. The  
177 resulting values ranged between 0 (densest ferning) and 4.0 (no ferning). Should any values  
178 fall outside this range (i.e., be greater than 4.0), the model will coerce these values to 4.0 in  
179 value. This method provided an objective estimate of fern density that was comparable in scale  
180 to the subjective grading scale.

## 181 **Data Analysis**

182 All data were analysed using SPSS software version 23.0 (SPSS, Inc., Chicago, IL) and  
183 GraphPad software (Prism version 7; La Jolla, CA). Results are presented as means  $\pm$  standard  
184 deviation (SD). All LLTs are expressed in nanometers (nm) and NIKBUT in seconds.  
185 Coefficients of repeatability (1.96 x the SD of mean difference between replicates) [19] were  
186 calculated. Normality was tested using the Shapiro-Wilk test. Repeated measures analysis of  
187 variance (RMANOVA) was used to compare techniques and had two within-subject factors:  
188 *eyes* and *days*. The assumption of sphericity was verified using Mauchly's test. Where main  
189 effects were significant, Student *t*-tests with Bonferroni correction were used. Agreement  
190 between pairs of subjective and objective grading was analysed using the Bland-Altman plot  
191 [20]. In the Bland-Altman plots, the difference between the measurements with the two



192 different methods is plotted against their mean. The linear regression of the 95% limits of  
193 agreement (mean difference $\pm$ 1.96 standard deviation) provides the distance between the  
194 measurements by the methods with 95% confidence. Pearson's correlation analysis was  
195 performed to test for associations between tests and comfort scores. A *P* value of 0.05 or less  
196 was considered statistically significant.

## 197 **RESULTS**

### 198 **Repeatability**

#### 199 *Tear collection flow-rate*

200 Tear flow rate was  $0.4 \pm 0.2$   $\mu$ L/min at visit A,  $0.5 \pm 0.3$   $\mu$ L/min at visit B and  $0.4 \pm 0.3$   
201  $\mu$ L/min at Visit C and there was no difference between visits (*p* = 0.97).

#### 202 *Tear ferning*

##### 203 *Inter-observer repeatability*

204 The mean difference between observers in terms of tear ferning grading was -0.3 grades. The  
205 coefficient of repeatability was 1.9 grades and the range of the limits of agreement was 1.6 to  
206 -2.2. The two observers were not significantly different (*p* = 0.08).

##### 207 *Day-to-day variability*

208 The grades from the two observers were averaged to yield one result for each visit. Visits A  
209 and B were compared to establish day-to-day variability (Table1). There was no significant  
210 difference (*p* = 0.36) between the baseline visits for the subjective grading.

##### 211 *Day-to-day variability – objective grading*

212 Similar to subjective grading, objective grading did not find any significant difference between  
213 the baseline visit A and B (*p*= 0.64).

214 ***Lipid layer thickness***

215 ***Eye-to-eye repeatability***

216 Eye-to-eye repeatability was assessed for LipiView® average, maximum and minimum at the  
217 two baseline visits (Table 1). There was no significant difference between the eyes at baseline  
218 visits A and B for either the LipiView® average, maximum or minimum ( $p = 0.58, 0.11$  and  
219  $0.13$ , respectively).

220 ***Day-to-day variability***

221 As there was no significant difference between right and left eyes, eyes were averaged, and  
222 visits A and B were compared (Table 2). The CoR between days was greater than that between  
223 eyes. This is not surprising given that there would be greater physiological variability expected  
224 between days than between eyes. There was no difference between days for either LipiView®  
225 average, maximum or minimum ( $p = 1.00, 0.90, 0.40$ ).

226 ***Non-invasive keratograph break-up time***

227 ***Eye-to-eye repeatability***

228 Table 2 presents the differences between eyes for NIKBUT-1 and NIKBUT-average at the  
229 baseline visits. There were no significant differences between eyes at for either NIKBUT-1 or  
230 NIKBUT-average ( $p = 0.50, p = 0.32$ , respectively).

231 ***Day-to-day variability***

232 As there was no significant difference between right and left eyes, eyes were averaged, and  
233 days were compared. The CoR between days for NIKBUT-1 and NIKBUT-average did not  
234 differ from that between eyes, indicating perhaps that NIKBUT demonstrates as much  
235 variability between eyes as it does between days. Unlike LLT assessment using the LipiView®  
236 interferometer, NIKBUT measurements require the participant to keep his/her eyes open for

237 the duration of the measurement. This very process may destabilize the blink, increasing the  
238 variability between eyes to the level of that seen between days (i.e., physiological variability).  
239 Hence, it may not be the best measure to assess for inter-eye differences. There was no  
240 significant difference between days for NIKBUT-1 or NIKBUT-average ( $p = 0.50$ ,  $p = 0.32$   
241 respectively).

## 242 **The effect of lubricants on clinical parameters**

### 243 *Tear ferning*

#### 244 *Subjective grading*

245 As there was no significant difference between baseline days, baseline days were averaged and  
246 compared to Visit C when refresh plus was instilled. There was no significant difference  
247 between the baseline visit and following post-lubrication instillation (Table 3;  $F = 0.34$ ,  $p =$   
248  $0.57$ ).

#### 249 *Objective grading*

250 Objective grading for the combined visit A and B was  $1.4 \pm 0.9$  and for the visit C it was  $1.4 \pm$   
251  $0.8$  (Table 3). There was no significant difference between the baseline and post-lubrication  
252 instillation visits ( $p = 0.82$ ).

### 253 *Lipid layer thickness*

254 Because there was no difference between visits A and B, the LLT for these visits was averaged  
255 as the baseline result and compared to visit C with topical lubrication to determine the effect  
256 of lubricants on LLT (Table 3). There was no significant difference between the baseline visit  
257 and Visit C for either LipiView® average ( $F = 4.02$ ,  $p = 0.06$ ), LipiView® maximum ( $F =$   
258  $0.41$ ,  $p = 0.53$ ) or LipiView® minimum ( $F = 0.77$ ,  $p = 0.39$ ).

## 259 **NIK BUT**

260 Because there was no significant difference between visits A and B, the NIK BUT was averaged  
261 and considered the baseline result. This was then compared to visit C to determine the effect  
262 of lubricants on NIK BUT (Table 3). There was no significant difference between baseline and  
263 Visit C for NIK BUT-1 ( $F = 0.28, p = 0.61$ ) or NIK BUT-average ( $F = 0.77, p = 0.39$ ).

## 264 **The association between clinical parameters and fern grading**

265 Table 4 lists the correlations between the variables measured. There was no correlation between  
266 the tear fern pattern and any of the clinical variables. Similarly, comfort was not correlated  
267 with any of the clinical variables measured in this study. Objective tear fern grading  
268 significantly correlated ( $r = 0.56; p < 0.001$ ) with subjective tear fern grading (Figure 3)

## 269 **Agreement between objective and subjective analysis**

270 The Agreement between the objective and subjective grading was determined using a modified  
271 Bland-Altman plot (Figure 4). Tear ferning micrographs obtained from all the visits were used  
272 for the analysis of the agreement. The central dotted line indicates the linear regression line for  
273 the difference between the objective and subjective tear fern grading. The line passes along the  
274 no difference ('0' difference) mark, indicating negligible expected difference between the two-  
275 grading method with varying tear fern grading. The thin shaded zone indicates the linear  
276 regression area for 95% limits of agreement.

## 277 **DISCUSSION**

278 This study detailed inter-observer and day-to-day repeatability of tear ferning patterns in  
279 healthy participants when using subjective and objective grading methods. Given that tear LLT  
280 thickness and tear break up time are critical parameters for tear film quality, their association  
281 with tear ferning grading was determined in healthy participants and how these features change

282 with artificial tear supplements was further investigated. This study has also reported an  
283 objective tear ferning grading system which is highly correlated with subjective grading.

284 This study found that there was no significant difference in the grading of tear fern  
285 patterns between observers when examining healthy participants with the Masmali subjective  
286 grading scale [5]. In addition, this tear fern pattern appeared to be stable between days. This is  
287 in agreement with an earlier report by Masmali et al. [12], who showed good diurnal  
288 repeatability, with no significant difference in the tear fern pattern in young healthy  
289 participants. The average minimum and maximum LLT found in this study was repeatable and  
290 their mean differences at each visit remained low, ranging between 1.1 to 6.6 nm. A similar  
291 trend was observed for NIKBUT with a mean difference of 0.5 to 0.7 seconds. This study also  
292 showed that LLT and NIKBUT as determined by the LipiView® and the Oculus® keratograph,  
293 respectively, was highly repeatable when measured on two separate days. The LLT results are  
294 in agreement with earlier results reported by Zhao et al. [13] and Markoulli et al. [14], where  
295 they found average LLT in healthy eyes to be  $53.53 \pm 14.59$  nm, similar to the result of this  
296 study  $62.61 \pm 14.54$  nm. Average NIKBUT showed borderline correlation with the maximum  
297 LLT ( $r = 0.33$ ,  $p=0.05$ ). This finding supports earlier reports that a thicker LLT masks the  
298 underlying aqueous layer and prevents evaporation, leading to higher break-up time and  
299 enhanced stability [21].

300 This study found that subjective tear fern grading did not correlate with other tear  
301 parameters measured in this study. A similar trend was seen with objective analysis where the  
302 correlation coefficient ( $r$ ) with other tear parameters ranged between -0.07 to -0.21. This is in  
303 contrast to an earlier study by Kaur et al. [22] which showed that tear ferning highly correlates  
304 with NIKBUT. However, the difference is probably due to the fact that they used 7-point  
305 Ronaldo ferning grading system which is significantly different to the 5-point Masmali grading  
306 system [5] used in this study. Subjective and objective tear ferning also showed poor correlation

307 to the OSDI questionnaire, whereas previous work supports a strong correlation between  
308 the ferning and the McMonnies Dry Eye Questionnaire [8, 12]. Reasons for this disagreement  
309 may be due to the inclusion of healthy participants rather than those with dry eye as the OSDI  
310 questionnaire has been proven to be reliable in dry eye diagnosis and has significantly positive  
311 correlation with the McMonnies Dry Eye Questionnaire [23].

312       Tear parameters following instillation of tear supplements remained unchanged.  
313 Masmali, et al. [5] demonstrated that subjective tear fern grading was specific to the level of  
314 dry eye present, suggesting that an improvement in dry eye should be reflected in the  
315 improvement of the fern grade. The reason behind the insignificance found in the tear fern  
316 grade with the use of lubricants in the current study is not clear. Tear ferning may not be  
317 sensitive enough to demonstrate the subtle changes in the tear film stability made with the  
318 temporary lubricant use. Further investigation into the change in the tear ferning with use of a  
319 greater volume of ocular lubricants, treatment over a longer period of time and lubricants with  
320 different constituents (such as lipids, pH levels) may provide more in-depth understanding.  
321 Especially, exclusively selecting participants with established dry eye disease and following  
322 them with dry eye treatment may further provide better insight and findings of  
323 significance. This study found that average LLT marginally increased with tear supplements,  
324 however the difference had borderline significance ( $p=0.06$ ). Interestingly, there was no  
325 improvement in other LLT parameters and tear break up time with the tear supplement,  
326 supporting the notion that artificial tear supplements may provide palliative treatment to ocular  
327 symptoms but may have very little impact on the composition and stability of the tear film.

328       This study reported on a novel computerised objective technique to analyse the grade  
329 of the tear ferning pattern. Neural computations of the human visual system utilises spatial  
330 variations in image luminance to estimate the organisation of a textural pattern [17]. The novel  
331 objective technique uses a similar computational algorithm to identify ferning patterns and

332 grade them on a 0-4 scale, where 0 is highly dense ferning and 4 has no detectable ferning. The  
333 objective analysis showed high agreement with the 5-step subjective grading system proposed  
334 by Masmali et al [5] and its correlation with other clinical parameters were similar to the  
335 findings with subjective grading. The agreement between the subjective and objective  
336 technique was evaluated using a Bland-Altman plot, which showed a narrow zone of 95%  
337 limits of agreement along the central line indicating minimum proportional bias across the 0-4  
338 grading between the two techniques. This indicates that the objective technique could be used  
339 as a highly repeatable and computerised platform by clinicians to determine unbiased tear fern  
340 grading. As an example, figure 5A shows that a highly dense tear ferning micrograph that may  
341 be misinterpreted as a low ferning pattern during subjective analysis. Whereas, the novel  
342 objective analysis will be able to identify the fine patterns indicating high tear ferning.  
343 Subjective tear ferning assessment has been used as a simple and easy method to comprehend  
344 the biochemical compositions of the tear film. It is believed that the varying concentration of  
345 tear mucin and proteins participate in the formation of a denser tear fern pattern. Pearce et al  
346 [24], with the use scanning electron microscopy showed that sulphur, indicative of the presence  
347 of macromolecules such as mucins and proteins, is only found at the peripheral thin amorphous  
348 film of the tear fern droplet. This suggests that proteins and mucins may not directly play a  
349 vital role in the formation of the actual central ferns and their absence allows the salt  
350 constituents to precipitate and form denser, and finer ferns in the centre. They further suggested  
351 that during evaporation the solubility limit is reached quickly, whereby proteins and mucins  
352 recede to the periphery. Once the solubility limit is reached, a spontaneous fern growth  
353 proceeds inside the droplet leaving the amorphous macromolecule band intact. This study also  
354 found similar ferning sequences where an amorphous peripheral band was present in all the  
355 tear ferning droplets collected before and after tear supplements from healthy participants. This  
356 is also in agreement with the current findings that the addition of tear supplements does not

357 alter the tear fern pattern, owing to the fact that addition of tear supplements may not  
358 significantly alter the *in vivo* protein, mucin and salt concentration in the tear. The invariance  
359 in these metrics appears to account for the lack of change in the resulting fern pattern.

360         Contrary to this view however, Pearce et al. [24] hypothesised that increased tear  
361 osmolality such as in dry eye may create an imbalance of inorganic salts during tear fern  
362 without the proper opportunity for macromolecules to spread to periphery, causing accelerated  
363 asynchronous desiccation. During this procedure, major crystalloids are replaced by smaller  
364 and unstructured patterns leading to limited or no ferning pattern. Traipe-Castro et al. [25]  
365 showed a similar phenomenon by accelerating the tear droplet evaporation rate with reduced  
366 air pressure. They confirmed that the same tear constituents can show inferior tear fern patterns  
367 when they are dried faster, supporting the importance of controlled drying and proper spreading  
368 of tear macromolecules during tear fern formation.

369         There are some potential limitations to the current study. Traipe-Salas et al. [26] divided  
370 the tear ferning area into 4 zones to analyse the pattern objectively. The subjective grading used  
371 in this study considered the whole ferning pattern, as was reported earlier by Masmali et al. [5],  
372 whereas the objective analysis considered the central zone. The sample size of this study was  
373 not designed to determine the sensitivity and specificity of the objective grading. This study  
374 also did not include participants with dry eye disease or Sjogren's disease. Further studies will  
375 be required to determine the performance of the novel objective analysis technique with the  
376 tear samples from such participants.

377         In conclusion, this study showed that tear film grading achieved by subjective and  
378 objective techniques, LLT and NITBUT are highly repeatable. None of the ocular clinical  
379 parameters showed significant correlation with the subjective and objective tear ferning grades.  
380 Lubricants had negligible effect on tear ferning grade, LLT or NITBUT. The novel objective  
381 analysis showed high agreement with the established subjective tear ferning grading,



382 suggesting it may serve as a promising candidate for a repeatable and unbiased assessment of  
383 tear ferning.

#### 384 **Acknowledgement**

385 JK was supported by an Australian Research Council (ARC) Future Fellowship.

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## FIGURE LEGENDS

- Figure 1:** Tear ferning patterns observed with 10x objective (A: grade 0, B: grade 1, C: grade 4 tear ferning). Image captured using an inverted microscope (IX73 Olympus, USA).
- Figure 2:** Method used to determine the average local contrast of image contours. Top: Sample images showing flat-fielded photographs of tear-film ferning acquired at 10-times magnification (input images). Bottom: Contour images computed by determining the local anisotropic energy of the input images. Note: values superimposed on contour images show the computed values for average local anisotropic contrast.
- Figure 3:** Correlation between subjective and objective grading scores
- Figure 4:** Bland-Altman plot showing the agreement between the subjective and objective grading techniques in grading tear ferning patterns. The dotted central line represents the linear regression line for the mean grading differences between the two methods. The shaded zone represents the area of 95% limits of agreement by regression analysis. Tear ferning gradings for all the visits were included in this plot.
- Figure 5:** A tear fern micrograph demonstrating very fine ferning patterns. The fine pattern of figure A can be easily misinterpreted by clinicians as a low tear ferning (such as grade 4 by Masmali grading [5]) during subjective analysis. Figure B (inset area of Figure A) shows the enlarged version of the same micrograph confirming highly dense ferning that can be correctly identified by the computerized objective ferning technique

