

Analysis of Hepatocellular Carcinoma Stereotactic Body Radiation Therapy Dose Prescription Method Using Uncomplicated Tumour Control Probability Model

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1 **Analysis of Hepatocellular Carcinoma Stereotactic Body**
2 **Radiation Therapy Dose Prescription Method using**
3 **Uncomplicated Tumour Control Probability Model**

4 Shortened Title

5 **Analysis of HCC SBRT Dose Prescription Method using UTCP Model**

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16

17 **Declarations**

18

19 **Ethics approval and consent to participate**

20 The study was approved by the Joint Chinese University of Hong Kong-New Territories East Cluster Clinical Research Ethics

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23

24 **Consent for publication**

25 Not Applicable.

26

27 **Availability of data and material**

28 All data generated or analysed during this study are included in this published article and its supplementary information

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30

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33

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37 **Authors' contributions**

38 MLC was responsible for research design, data collection, data analysis and manuscript writing. MWK was responsible for
39 data analysis and manuscript editing. ATC was responsible for research guidance and supervision

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48

49 **Abstract**

50 **Background:** This work was to establish an uncomplicated tumour control probability (UTCP) model using Hepatocellular
51 Carcinoma Stereotactic Body Radiation Therapy (HCC SBRT) clinical data in our institution. The model was then used to
52 analyze the treatment outcome of the current dose prescription method and to seek the opportunity for improvement.

53 **Methods:** A tumour control probability (TCP) model was generated based on local clinical data using the maximum likelihood
54 method. A UTCP model was then formed by combining the established TCP model with the normal tissue complication
55 probability (NTCP) model based on the study by Dawson et al. The authors investigated the dependence of maximum
56 achievable UTCP on tumor mean biological effective dose (BED) at various ratio between tumour mean biological effective
57 dose (BED) and normal liver mean BED (T/N BED ratios). A new term uncomplicated tumour control efficiency (UTCE) was
58 also introduced to analyze the outcome. A UTCE value of 1 implied that the theoretical maximum UTCP for the
59 corresponding T/N BED ratio was achieved.

60 **Results:** The UTCE of the HCC SBRT patients based on the current dose prescription method was found to be 0.90 ± 0.08 . It
61 was found that the UTCE could be increased to 0.99 ± 0.03 by using a new dose prescription scheme, for which the UTCP
62 could be maximized while keeping the NTCP value smaller than 5 %.

63 **Conclusion:** The treatment outcome of the current HCC SBRT in our institution was analyzed using a UTCP model established
64 based on local clinical data. It was shown that there could be a potential to increase the prescription dose of HCC SBRT. A
65 new dose prescription scheme was proposed to achieve better treatment outcome.

66 **Keywords:** SBRT, VMAT, HCC, TCP, NTCP, UTCP

67 **Background**

68 Hepatocellular carcinoma (HCC) is the fourth most common cause of cancer-related mortality in the world [1]. Surgical
69 resection and liver transplantation are the standard treatments for HCC. However, not all HCC patients are eligible for surgery.
70 Stereotactic body radiotherapy (SBRT) is considered as an alternative. With the use of modern radiotherapy techniques such
71 as intensity modulated radiation therapy (IMRT) or volumetric arc therapy (VMAT), it is possible to deliver a highly conformal
72 photon beam dose to the lesion, while minimizing the dose to the normal liver. SBRT involves the delivery of a precise and
73 high intensity dose to treat the lesion with a small number of fractions. Several investigations have shown that the use of
74 SBRT for the treatment of HCC resulted in high local control rates of 70–100%. [2-5].

75

76 There had been some institutions reporting existence of dose-response relationship for their Hepatocellular carcinoma (HCC)
77 patients receiving stereotactic body radiotherapy (SBRT) [6-8]. However, the authors of a recent HyTEC organ-specific paper
78 claimed that they did not find evidence of dose-response relationship for primary liver tumour after qualitatively analyzing
79 reported data from 13 institutions from different parts of the world [9]. This implied that the dose-response for HCC patients
80 might vary among different regions and races so that a worldwide dose-response model may not fit all. Therefore, it was
81 worthwhile for our institution to investigate the dose-response relationship for local HCC SBRT patients based on our own
82 clinical data. In this study, the dose-response relationship for HCC SBRT patients in our institution was explored. A tumour
83 control probability (TCP) model [18,19] was fitted with local clinical data and combined with Dawson's liver normal tissue
84 complication probability (NTCP) model [20-22] to form an uncomplicated tumour control probability (UTCP) model [10,11].
85 In order to facilitate the analysis of UTCP, a new term, uncomplicated tumour control efficiency (UTCE), was introduced.

86 Since normal liver is the major critical organ for radiation treatment of HCC patients, tumour-to-normal uptake ratio is
87 commonly used to determine the dose to HCC patients in 90Y microspheres treatments to limit the radiation side effect to
88 normal liver [12,13]. The authors made use of a similar concept in this study. By investigating the dependence of maximum
89 achievable UTCP and UTCE on the ratio between tumour mean biological effective dose (BED) and normal liver mean BED
90 (T/N BED ratio), it was found that the original dose prescription protocol used for the population cohort was very safe and
91 conservative. It is possible to improve the treatment outcome by using a more aggressive prescription scheme. Finally, a
92 new dose prescription scheme was proposed to achieve a higher UTCE for HCC SBRT. The new scheme aimed to escalate
93 the prescription dose, based on the T/N BED ratio, to achieve a higher control rates. However, verification based on clinical
94 samples is required in the future.

95

96 **Methods**

97 **Patient Selection**

98 Records of HCC patients treated with SBRT at our institution from 2014 to 2017 were reviewed. Clinical data of 51 patients
99 in our institution who received their first HCC SBRT were retrospectively analyzed (Table 1). Patients who had previous
100 regional or systemic therapy were included in the analysis if their previous treatment concluded prior to the start of SBRT.
101 Patients who underwent additional concurrent therapy or previous RT were excluded from the study. The number of lesions
102 in a patient was limited to 1-2. No limit was placed on the size of the target lesions.

103 **Table 1. Characteristics of HCC SBRT patients in this study.**

Age (years)	71 (48-86)
Gender	
Male	42 (82%)
Female	9 (18%)
BCLC Staging	
A	30 (59%)
B	19 (37%)
C	2 (4%)
Tumour Volume (cc)	63.8 (12.8 - 390.1)
PTV margin from GTV (mm)	5.4 (5-10)
Number of lesions	1 - 2
Number of fractions	5
Prescription dose (Gy)	40.3 (27.5 - 50)
Tumour mean dose (Gy)	45.3 (28.6 - 59.1)
Biologically effective dose (BED)	94.0 (46.3 - 131.8)
(Gy)	

Median follow up (month) 10.4

104

105 **Treatment Planning Techniques**

106 The HCC SBRT were delivered using Truebeam (Varian Medical Systems, Palo Alto, USA) flattening filter free (FFF) mode via
107 volumetric modulated arc therapy (VMAT). The diaphragm, lipiodol or fiducial markers were used as surrogates for the
108 tumours. The amplitude of the movement of the surrogates was limited to less than 1 cm by either active breathing control
109 or abdominal compressor. The Internal Target Volume (ITV) was generated as a union of Gross Tumor Volume (GTV) of all
110 phases of four-dimensional computed tomography (4DCT). The Planning Target Volume (PTV) was generated by adding 5-
111 10 mm margin to the ITV. The treatment plans were generated using Eclipse Treatment Planning System version 13.6
112 (Varian Medical Systems, Palo Alto, USA). Anisotropic Analytical Algorithm (AAA) was used to perform dose calculation. The
113 prescription dose ranged from 27.5 Gy to 50 Gy in 5 fractions depending on the normal liver (excluding all GTVs) mean dose,
114 following the Radiation Therapy Oncology Group (RTOG) 1112 dose prescription approach (Table 2) [14]. For a typical
115 treatment plan, the isodose line of 80 % was used for dose prescription and the center of the GTV was boosted to around
116 100 % isodose line. The organs dose constraints, following RTOG 1112, were listed in Table 3. Follow-up data typically
117 included Computed Tomography/Magnetic Resonance (CT/MR) scan-based measurements of tumour size and
118 measurements of a-fetoprotein (AFP) biomarkers. Local control was defined as less than 20 % increase in diameter of
119 tumours [15]. An end point of 6-month was chosen for our dose response relation analysis in this study.

120 **Table 2. The RTOG 1112 HCC SBRT dose prescription method.**

Allowed Mean Liver Dose (MLD) in Gy	Planned Dose in Gy	Prescription	If the maximum allowed mean liver dose (MLD) is exceeded at this planned dose
13	50		Reduce to 45 Gy and re-evaluate
15	45		Reduce to 40 Gy and re-evaluate
15	40		Reduce to 35 Gy and re-evaluate
15.5	35		Reduce to 30 Gy and re-evaluate
16	30		Reduce to 27.5 Gy and re-evaluate
17	27.5		Ineligible

121

122 **Table 3. The organs dose constraints.**

Organs at risk	Dose limit (Gy)
Liver	See Table 2
Spinal cord	$D_{0.5cc} < 25\text{Gy}$
Kidneys	$D_{\text{mean}} < 10\text{Gy}$
Heart	$D_{30cc} < 30\text{Gy}$
Great vessels	$D_{0.5cc} < 60\text{Gy}$

Skin	$D_{0.5cc} < 32\text{Gy}$
Gallbladder	$D_{0.5cc} < 55\text{Gy}$
Common bile duct	$D_{0.5cc} < 50\text{Gy}$
Chest wall	$D_{0.5cc} < 50\text{Gy}$
Stomach	$D_{0.5cc} < 30\text{Gy}, D_{5cc} < 25\text{Gy}$
Duodenum	$D_{0.5cc} < 30\text{Gy}, D_{5cc} < 25\text{Gy}$
Bowels	$D_{0.5cc} < 30\text{Gy}, D_{5cc} < 25\text{Gy}$
Esophagus	$D_{0.5cc} < 32\text{Gy}$

123

124 **Statistical Analysis for Factors Affecting Tumor Local Control**

125 Univariate analysis for local control was carried out using log-rank test. All factors having p values less than 0.1 were
 126 subjected to multivariate analysis using Cox proportional hazards regression model with backward conditional stepwise
 127 approach to find out the independent significant factors that affects the local control. The statistical analyses were
 128 performed using SPSS Statistics version 17.0 (SPSS, Inc., Chicago, IL, USA). The analyses showed that tumour mean BED was
 129 a prognostic factor of HCC SBRT tumour control.

130

131 Tumor Control Probability (TCP) Model

132 The dose volume histograms (DVH) of the HCC SBRT patients were extracted from the Eclipse version 13.6 (Varian Oncology
133 systems, Palo Alto, CA). The physical dose was converted into biologically effective dose (BED) [16,17] with α/β ratio of 10
134 using the Eq. (1). The DVHs in BED were used to calculate the mean dose of the HCC tumours for the patients.

$$135 \text{ BED} = Nd \left(1 + \frac{d}{\alpha/\beta} \right) \quad (1)$$

136 Where N was the number of fractions, d was the dose per fraction, α and β were the linear and quadratic components of
137 cell survival curve respectively.

138

139 The calculated tumour mean BED was then used for modeling of tumor control probability (TCP) using a logistic function
140 [18,19] in Eq. (2),

$$141 p_i = \text{TCP}_i = \frac{1}{1 + \left(\frac{D_{50}}{D_i} \right)^k} \quad (2)$$

142 Where p_i was the tumour control probability (TCP) for patient i, D_{50} was the BED that led to 50% tumour control probability,
143 D_i was the mean BED to the tumour of patient i and k was a parameter that controlled the slope of the TCP curve.

144 The TCP modelling was implemented using MATLAB 2019a in the current study (The MathWorks, Inc., Natick, MA, USA).

145 Maximum likelihood method was utilized to iteratively adjust **the parameters of k and D_{50}** in Eq. (2) such that maximum
146 likelihood of the patient i is obtained in Eq. (3).

$$147 l = \sum_i \log(p_i^{R_i} (1 - p_i)^{(1-R_i)}) \quad (3)$$

148 Where p_i was the tumour control probability (TCP) for patient i , R_i was the control of tumour of patient i . If the tumour had
149 no signs of progression within 6 months, then R_i was equal to 1. Otherwise, R_i was equal to 0.

150

151 Tumour volume was not included as an input parameter of our TCP model because the tumour dose prescription scheme
152 currently used in our institution was based on liver mean dose, which was related to tumour volume. Therefore, the tumour
153 mean BED and tumour volume were dependent on each other.

154

155 **Normal Tissue Complication Probability (NTCP) Model**

156 A complication of the liver was defined as RTOG Grade3 or higher radiation-induced liver disease (RILD) [20]. Due to the
157 limited number of RILD incidences in our institution to fit our own NTCP model, one of the most commonly used NTCP
158 model for liver, the Lyman Kutcher Burman (LKB) model fitted by Dawson et. al., was used in this study as shown in Eq. (4)
159 [20-22].

$$160 \text{ NTCP} = \frac{1}{\sqrt{2\pi}} \int_{-\infty}^t e^{-x^2/2} dx \quad (4)$$

161 Where

$$162 t = \frac{D - \text{TD}_{50}(v)}{m \cdot \text{TD}_{50}(v)} \quad (5)$$

$$163 \text{TD}_{50}(v) = \text{TD}_{50}(1) \cdot v^{-n} \quad (6)$$

164

165 An α/β ratio of 2.5 for normal tissue was used in BED calculation [22]. $TD_{50}(1)$ was the tolerance dose for a homogeneous
166 irradiation to an organ which would result in 50 % risk of complication, while $TD_{50}(v)$ was the tolerance dose of a
167 homogeneous irradiation to a partial volume v of an organ. $TD_{50}(1)$, n and m were 39.8, 0.97 and 0.12 respectively in the
168 study by Dawson et. al. [20]. This model was used to calculate the NTCP in this study.

169

170 **Uncomplicated Tumor Control Probability (UTCP) Model**

171 Uncomplicated tumour control probability (UTCP) is one of the most common measure of therapeutic gain [10,11,25,26]. It
172 was defined as:

$$173 \quad UTCP = TCP \cdot (1 - NTCP) \quad (7)$$

174 The fitted TCP model of our institution and the NTCP model based on Dawson et. al. would be used to form a UTCP model
175 for evaluation of treatment outcome. The variation of the treatment outcome with tumour mean BED, as well as with the
176 ratio between tumour mean BED and normal liver mean BED (T/N BED ratio) were analysed. The T/N BED ratio was defined
177 as:

$$178 \quad T/N \text{ BED ratio} = \frac{\text{Tumour mean BED (Gy)}}{\text{Normal Liver mean BED (Gy)}} \quad (8)$$

179 A similar concept had been used to describe uptake of radiopharmaceutical in liver [12,13]. However, BED dose ratio was
180 used instead of radiopharmaceutical uptake ratio in this study. The value of this BED dose ratio depends on the size the
181 tumour and its location inside the liver as demonstrated in Fig 1. For example, a small planning target volume (PTV) located
182 at the peripheral of the liver will lead to a lower normal liver mean BED and a higher T/N BED ratio resulting in a higher

183 UTCP, while a large PTV near the center of the liver will lead to a higher normal liver mean BED and a lower T/N BED ratio
184 resulting in a lower UTCP.

185

186 **Fig 1. Effect of PTV size and location on liver mean dose.** (a) For the same PTV mean dose, the normal liver mean dose
187 should be smaller if the PTV volume is smaller (the case on the right hand side). (b) For the same PTV mean dose, the normal
188 liver mean dose should be smaller if the PTV was located at a more peripheral region (the case on the right hand side).

189

190 **Uncomplicated Tumour Control Efficiency (UTCE)**

191 To facilitate the analysis of the UTCP of current dose prescription scheme, a new concept of Uncomplicated Tumour Control
192 Efficiency (UTCE) was introduced:

$$193 \text{ UTCE} = \frac{\text{UTCP}}{\text{Max UTCP achievable}} \quad (9)$$

194 The value of UTCE had to be between 0 and 1. A UTCE value of 1 implied that the theoretical maximum UTCP of the
195 corresponding T/N BED ratio was achieved.

196

197 **Results**

198 **TCP model**

199 The fitted TCP model using local clinical data was shown in Fig 2. The bins have different number of patients.

200 Bin1 (>110 Gy_{BED}): 19 patients

201 Bin2 (85 – 110 Gy_{BED}): 11 patients

202 Bin3 (70 – 85 Gy_{BED}): 11 patients

203 Bin4 (<70 Gy_{BED}): 10 patients

204 The error bars represent 2 standard deviation of the distribution of the BED with respect to the mean BED of the bin. The
205 fitted value of D₅₀ was found to be 72.3 Gy_{BED} with the 95% confidence interval between 59.6Gy_{BED} and 86.7Gy_{BED}. The fitted
206 k value was found to be 3.46 with the 95% confidence interval between 1.63 and 5.70. Lausch et. al. reported a 2Gy
207 Equivalent D₅₀ of 53Gy (63.6Gy_{BED}) for a 6-month TCP model [7]. Jang et. al. reported a 3-fraction D₅₀ of 34.9Gy (75.5Gy_{BED})
208 for a 2-year TCP model [8]. Our result representing a 5-fraction D₅₀ was found to be more comparable to the one reported
209 for the 3-fraction D₅₀ studies.

210

211 **Fig 2. TCP model of HCC SBRT fitted with local clinical data.**

212

213 **UTCP model**

214 A UTCP Model of HCC SBRT was formed by combining TCP Model fitted based on local clinical data and NTCP model of
215 Dawson et al for different tumor mean BED to normal liver mean BED ratio (T/N BED ratio) in Fig 3. The optimal tumour
216 mean BED and the theoretical achievable maximum UTCP value with T/N BED ratio were shown in Fig 4 and Fig 5 respectively.

217 It was observed that the values of the optimal tumour mean BED increased almost linearly with the T/N BED ratio in Fig 4.
218 From Fig 5, it was shown that the higher the T/N BED ratio, the higher the maximum UTCP could be achieved with an optimal
219 tumour mean BED. The maximum UTCP was close to 1 when T/N BED ratio was 5, compared to 0.24 when T/N BED ratio
220 was 1.

221

222 **Fig 3. UTCP model of HCC SBRT formed by combining the TCP model of local clinical data and the NTCP model of Dawson**
223 **et al.**

224 **Fig 4. Tumor mean BED to achieve maximum UTCP versus T/N BED ratio.**

225 **Fig 5. Maximum UTCP achievable versus T/N BED ratio.**

226

227 The tumour mean BED of the patients who were prescribed according to RTOG 1112 mean liver dose prescription method
228 (Table 2) [14] were compared to the optimal tumour mean BED to achieve maximum UTCP (Fig 6). For T/N BED ratio less
229 than 2.9, the actual tumour mean BED correlated the optimal tumour mean BED with Pearson correlation coefficient of
230 0.962. When the T/N BED ratio approached 2.9, the prescription dose reached the highest level by following the RTOG 1112
231 method. As a result, the tumour mean BED did not increase anymore with further increase in T/N BED ratio greater than
232 2.9, indicating that the actual given mean doses to the tumour were lower than the optimum values. Fig 7 illustrated the
233 comparison between the UTCP of the patients with the maximum UTCP achievable. It can be observed that the estimated
234 UTCP of the patients were in general lower than the maximum achievable values especially when T/N BED ratios greater

235 than 2.9. Fig 8 showed the plot of UTCE versus T/N BED ratio for the HCC SBRT cases in our institution, where the average
236 UTCE was 0.90 ± 0.08 . This implied that there was a potential to improve the treatment outcome for this group of patients
237 by further increasing the prescription dose such that the UTCE could be closer to one.

238

239 **Fig 6. Tumor mean BED versus T/N BED ratio for HCC SBRT local cases.**

240 **Fig 7. UTCP versus T/N BED ratio for HCC SBRT local cases.**

241 **Fig 8. UTCE versus T/N BED ratio for HCC SBRT local cases.**

242

243 **Discussion**

244 A likely reason that the HyTEC Liver TCP paper [9] did not find evidence of dose-response relationship for primary liver
245 tumour might be the incomplete reporting of results in the published literature to enable data pooling, as emphasized in
246 the lessons of QUANTEC [23,24]. In particular, there were not many reported prescriptions substantially below $100\text{Gy}_{\text{BED}}$,
247 and very few of them were as low as 60Gy_{BED} like we had (Fig 2). The tumour mean dose and tumour control outcome per
248 patient, as well as mean liver dose and liver toxicity outcome per patient in this study were shown in S1 Table in an additional
249 file.

250

251 UTCP had been used in other investigations together with parameters such as quality adjusted life years (QALY) to predict

252 the overall outcome of the different treatment plans [25]. It had been applied to other SBRT evaluations such as non-small
253 cell lung cancer [26]. With its usefulness, building local UTCP model and using it to evaluate HCC SBRT treatments locally as
254 well as to seek room for potential dose escalation were the purpose of this study.

255

256 Current dose prescription protocol based on RTOG1112 were evaluated using the UTCP model built from local clinical cases
257 with the NTCP model proposed by Dawson et al to assess if maximum theoretical UTCP had been achieved and if there were
258 any room for dose escalation. For cases with T/N BED ratio greater than 2.9, most of the cases already reached the highest
259 level of dose prescription following the RTOG 1112 scheme (100Gy_{BED} corresponding to 50 Gy physical dose). Therefore,
260 there was no more increase in the tumour mean BED with further increase in the T/N BED ratio above the value of 2.9 in
261 Fig 6. The prescription BED seemed to be far below the values to achieve optimal UTCP.

262

263 In order to achieve higher UTCP values, the prescription dose was increased using a new dose prescription scheme in Table
264 4. For T/N BED ratio between 2.1 and 3.7, the prescription dose was the optimal dose to achieve maximum UTCP (Fig 4). For
265 T/N BED ratio less than 2.1, the optimal dose that achieved maximum UTCP would lead to NTCP greater than 5% which was
266 the maximum acceptable local tolerance of normal liver NTCP. Therefore, an iso-NTCP approach with NTCP equal to 5% was
267 used for dose prescription for T/N BED ratio less than 2.1 (Fig 9). For T/N BED ratio larger than 3.7, a maximum dose was
268 also set at 170 Gy_{BED} (corresponding to about 70 Gy physical dose) such that it resulted in at least 95% TCP. The TCP curve
269 entered a relatively flat region for dose larger than 170 Gy_{BED} and the increase in TCP is less than 0.1% per Gy_{BED}.

270 **Table 4. Proposed HCC SBRT dose prescription method**

T/N BED Ratio	Prescription Dose (Gy _{BED})
< 2.1	Max dose such that NTCP = 5%
2.1 – 3.7	Dose to achieve optimal UTCP (Fig 4)
> 3.7	170 Gy _{BED}

271 *Remarks: Dose should be reduced if dose limits of organs at risk were exceeded

272

273 **Fig 9. NTCP versus T/N BED ratio using the new prescription dose scheme.**

274

275 The new prescribed doses of 51 patients following the rules in Table 4 were compared with the original dose scheme under
276 RTOG1112. It was found that the increase in tumour mean BED ranged from 1% to 44%. In general, higher T/N BED ratio
277 resulted in a higher percentage increase of tumour mean BED (Fig 10). It was because the cases with low T/N BED ratio
278 usually had higher normal liver mean BED, limiting the potential to increase dose prescription. Also, the higher T/N BED
279 ratio cases were originally limited by the RTOG 1112 highest dose prescription level of 50Gy, which was far from the optimal
280 prescription dose to achieve theoretical maximum UTCP. With the new prescription dose scheme, the prescription dose
281 could be increased up to 70 Gy (corresponding to 170 Gy_{BED}).

282

283 **Fig 10. Percentage increase in tumor mean BED using the new dose prescription scheme.**

284

285 Interestingly, the percentage increase in TCP versus T/N BED ratio (range from 1% to 54%) in Fig 11 showed a different
286 pattern when compared with the percentage increase in tumor mean BED versus T/N BED ratio in Fig 10 under the new
287 dose prescription scheme. The lower T/N BED ratio resulted in a higher percentage increase in TCP (Fig 11). It was because
288 the dose prescriptions were generally low for low T/N BED ratio cases due to limitation by normal liver mean BED. The TCP
289 curve was steep at low dose range in Fig 2 and therefore a relatively small increase in tumour BED could lead to a large
290 increase in TCP. Finally, the UTCE of the cases using the new scheme was calculated and shown in Fig 12. The results were
291 very close to one except those with T/N BED less than 2.1 due to the limit of 5% NTCP under the new dose prescription
292 scheme (Fig 9). The average UTCE of the 51 cases using the new dose scheme was boosted up to 0.99 ± 0.03 , comparing to
293 0.90 ± 0.08 of the RTOG 1112 dose prescription scheme.

294

295 **Fig 11. Percentage increase in TCP using the new dose prescription scheme.**

296 **Fig 12. UTCE versus T/N BED ratio using the new prescription dose scheme.**

297

298 **Limitations**

299 The TCP model used to combine with NTCP model for UTCP model generation in this study was based on local clinical data

300 of 51 cases with less than 1-year median follow-up time, targeting for an end point of 6-month local control only. Local
301 control for 1 year or more could be achieved if more clinical data with longer follow-up time was available. This could
302 improve the credibility of the model and enrich our understanding on the clinical outcome of HCC SBRT.

303

304 In addition, NTCP of organs at risk (OAR) other than normal liver was not included in deriving the UTCP model in this study.
305 A more comprehensive UTCP model could be developed to include the NTCP of other OARs in future study. Also, the effect
306 of patient movement and setup error was not considered in this study. In addition, Dawson's NTCP data which was used in
307 present study, was derived from another patient cohort. The NTCP predicted may or may not be entirely homogenous with
308 our own patient cohort. Further clinical study would be required to verify this in the future.

309

310 **Conclusion**

311 There was a dose-response relationship for the patients undergoing HCC SBRT in our institution. A TCP model fitted with
312 clinical data of local HCC SBRT patients was combined with a published NTCP model to form a new UTCP model. Current
313 dose prescription method used in our institution was analyzed using the newly established UTCP model to evaluate if
314 theoretical maximum UTCP was achieved for the targeted T/N BED ratios. It was suggested that there could be a potential
315 to increase the current planned prescription dose for HCC SBRT to obtain higher UTCP. A new dose prescription scheme was
316 proposed accordingly in this study and further clinical trials would be required to validate the proposed dose prescription
317 scheme in the future.

318 **List of Abbreviations**

319 4DCT: Four-dimensional computed tomography

320 AAA: Anisotropic analytical algorithm

321 BCLC: Barcelona Clinic Liver Cancer

322 BED: Biologically effective dose

323 CT: Computed tomography

324 DVH: Dose volume histogram

325 FFF: Flattening filter free

326 GTV: Gross tumor volume

327 HCC: Hepatocellular Carcinoma

328 ITV: Internal target volume

329 LKB: Lyman-Kutcher-Burman

330 MR: Magnetic Resonance

331 NTCP: Normal tissue complication probability

332 PTV: Planning target volume

333 RILD: Radiation-induced liver damage

- 334 RTOG: Radiation Therapy Oncology Group
- 335 SBRT: Stereotactic body radiotherapy
- 336 TCP: Tumor control probability
- 337 TD: Tolerance dose
- 338 T/N: Tumour to normal tissue
- 339 UTCE: uncomplicated tumor control efficiency
- 340 UTCP: uncomplicated tumor control probability

341

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396

397 **Additional Files**

398 **Filename:** Additional File 1.docx

399 **File format:** Microsoft Word (.docx)

400 **Title:** S1 Table

401 **Description:** GTV mean BED, control outcome, liver-GTV mean BED and toxicity outcome per patient. (1=yes, 0 = no)

Figures

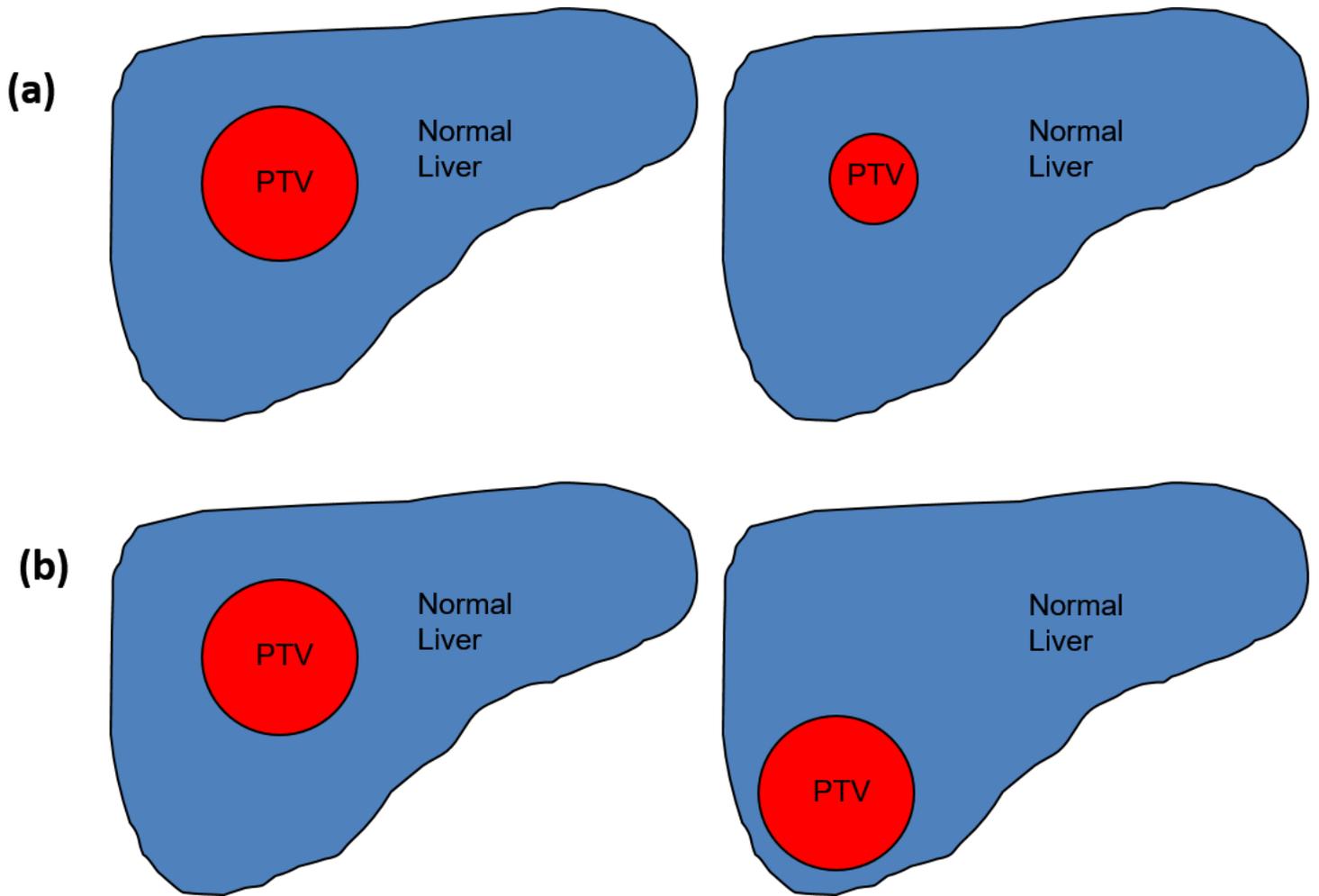


Figure 1

Effect of PTV size and location on liver mean dose. (a) For the same PTV mean dose, the normal liver mean dose should be smaller if the PTV volume is smaller (the case on the right hand side). (b) For the same PTV mean dose, the normal liver mean dose should be smaller if the PTV was located at a more peripheral region (the case on the right hand side).

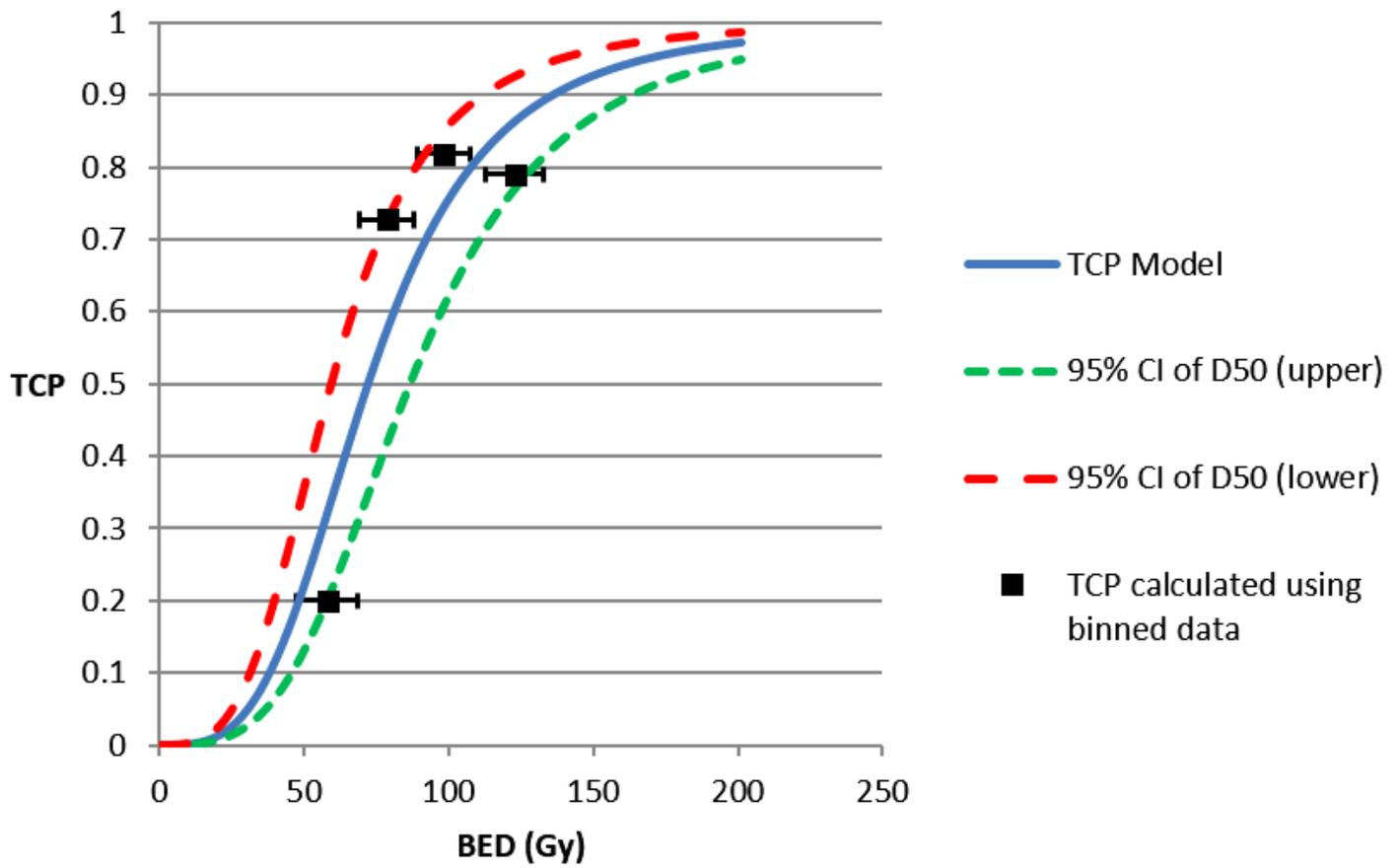


Figure 2

TCP model of HCC SBRT fitted with local clinical data.

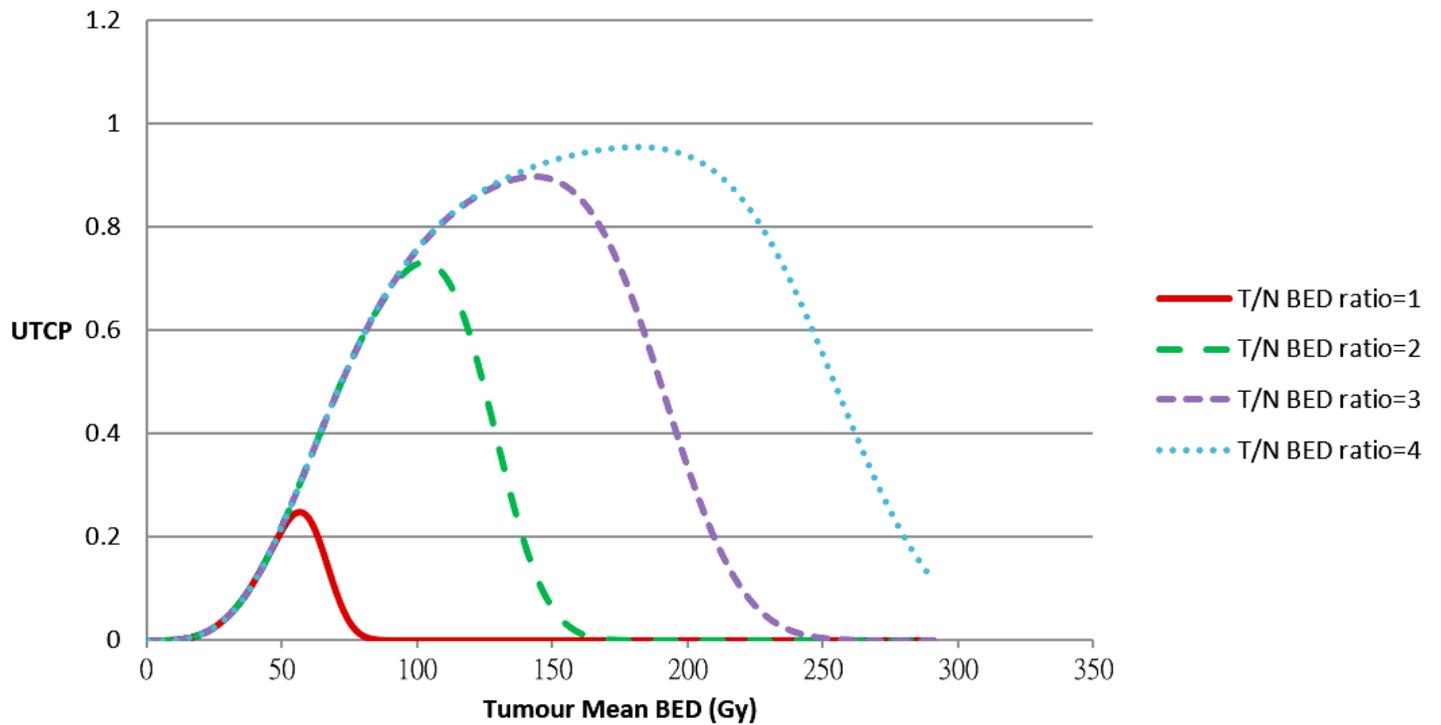


Figure 3

UTCP model of HCC SBRT formed by combining the TCP model of local clinical data and the NTCP model of Dawson et al.

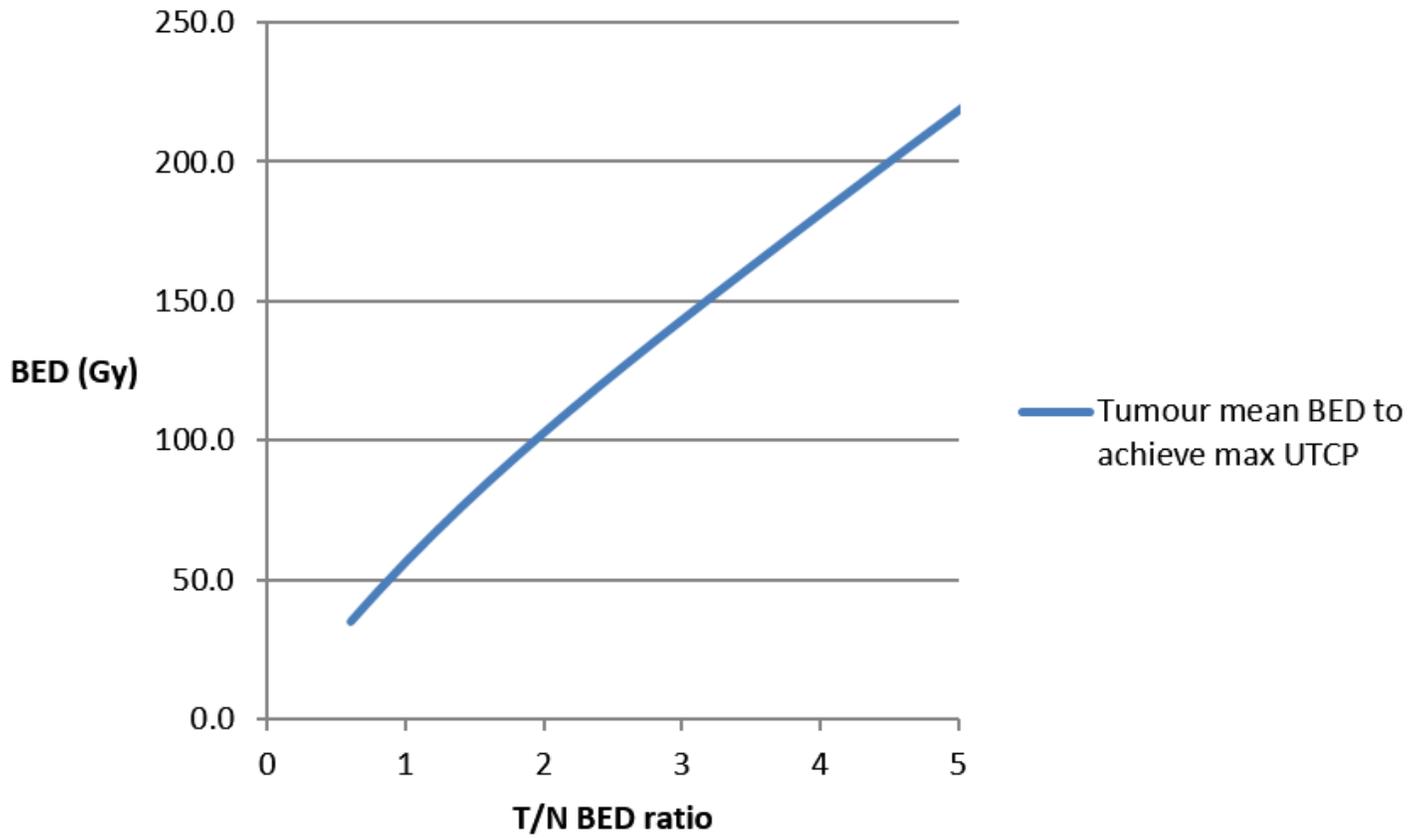


Figure 4

Tumor mean BED to achieve maximum UTCP versus T/N BED ratio.

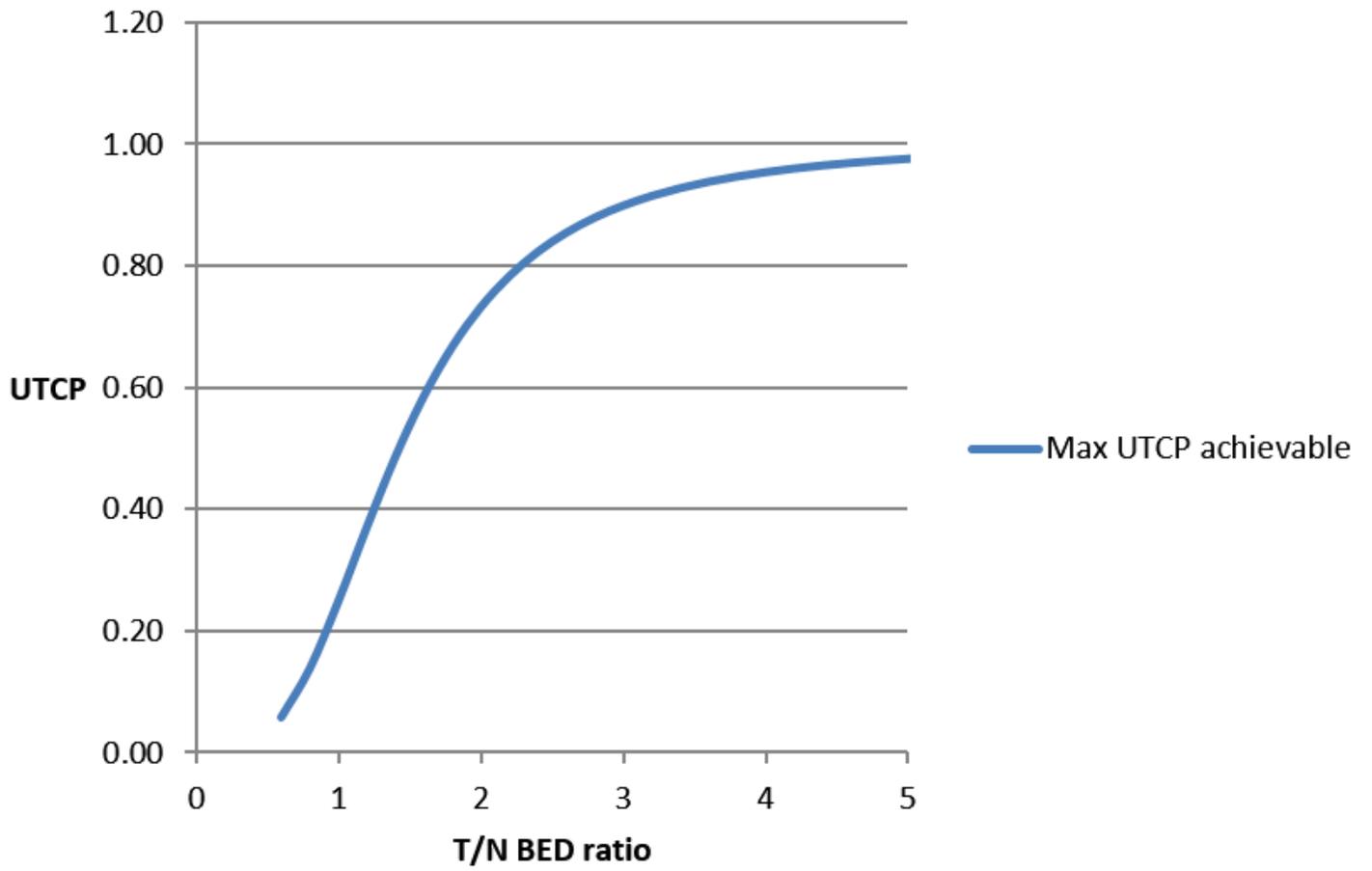


Figure 5

Maximum UTCP achievable versus T/N BED ratio.

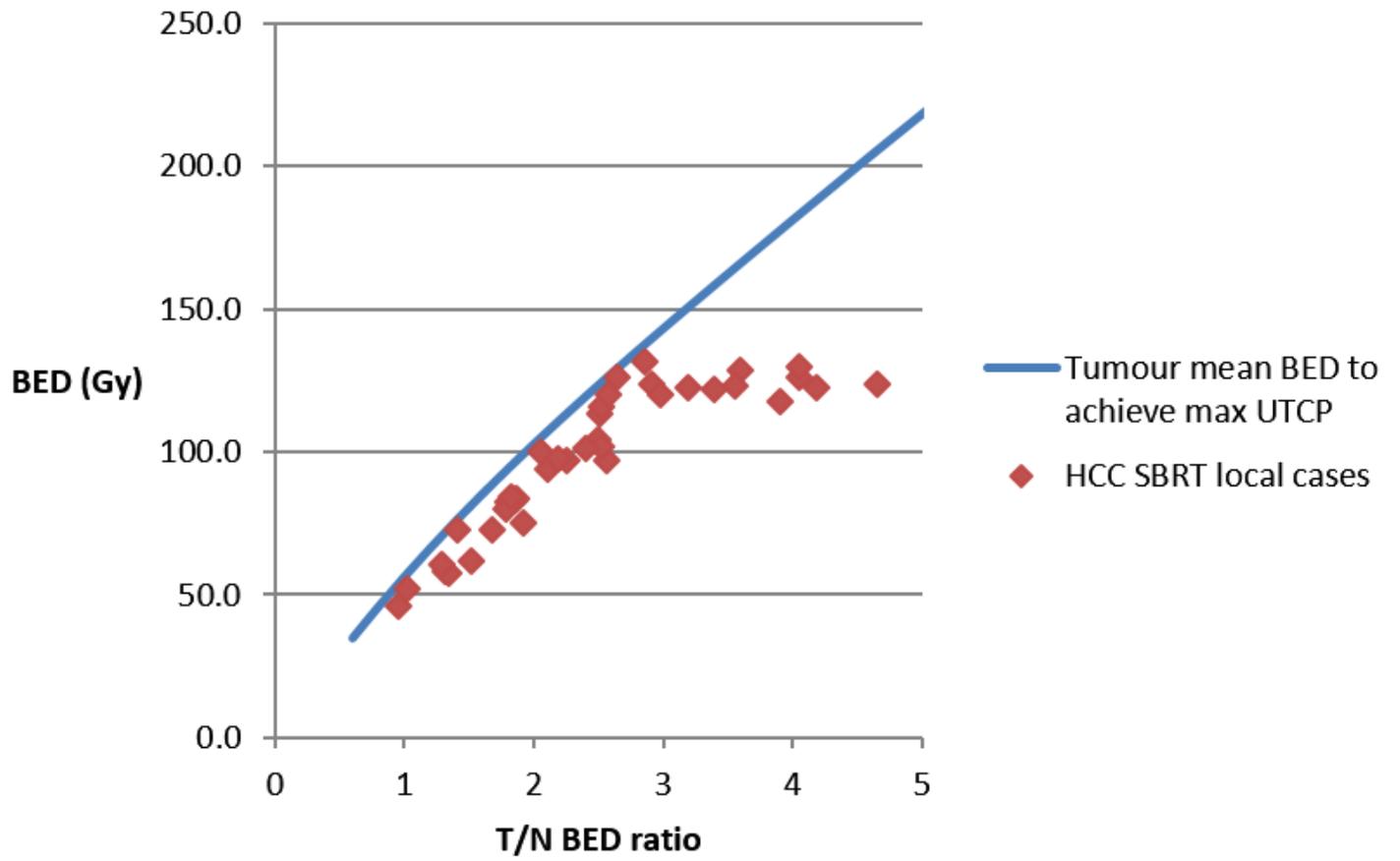


Figure 6

Tumor mean BED versus T/N BED ratio for HCC SBRT local cases.

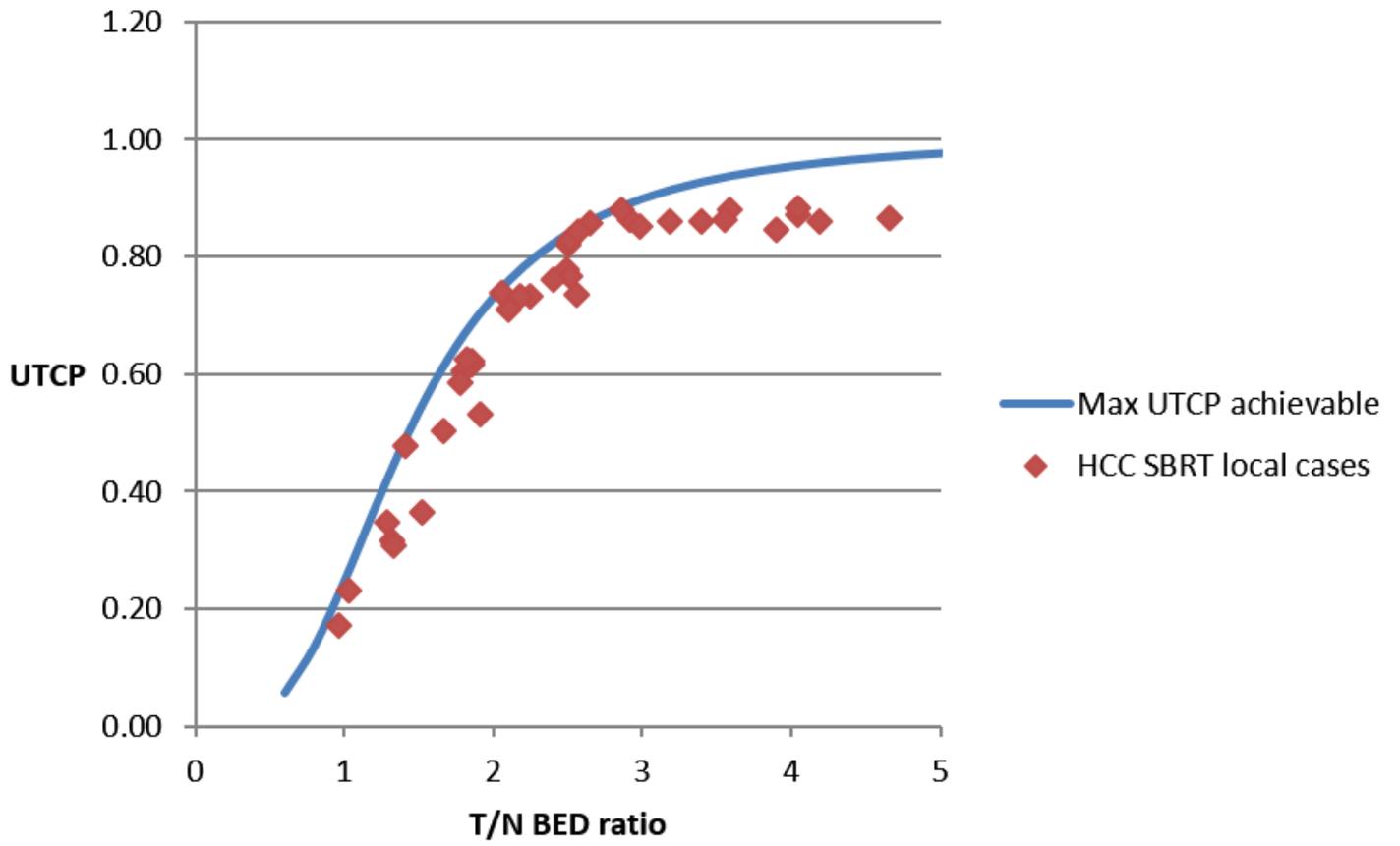


Figure 7

UTCP versus T/N BED ratio for HCC SBRT local cases.

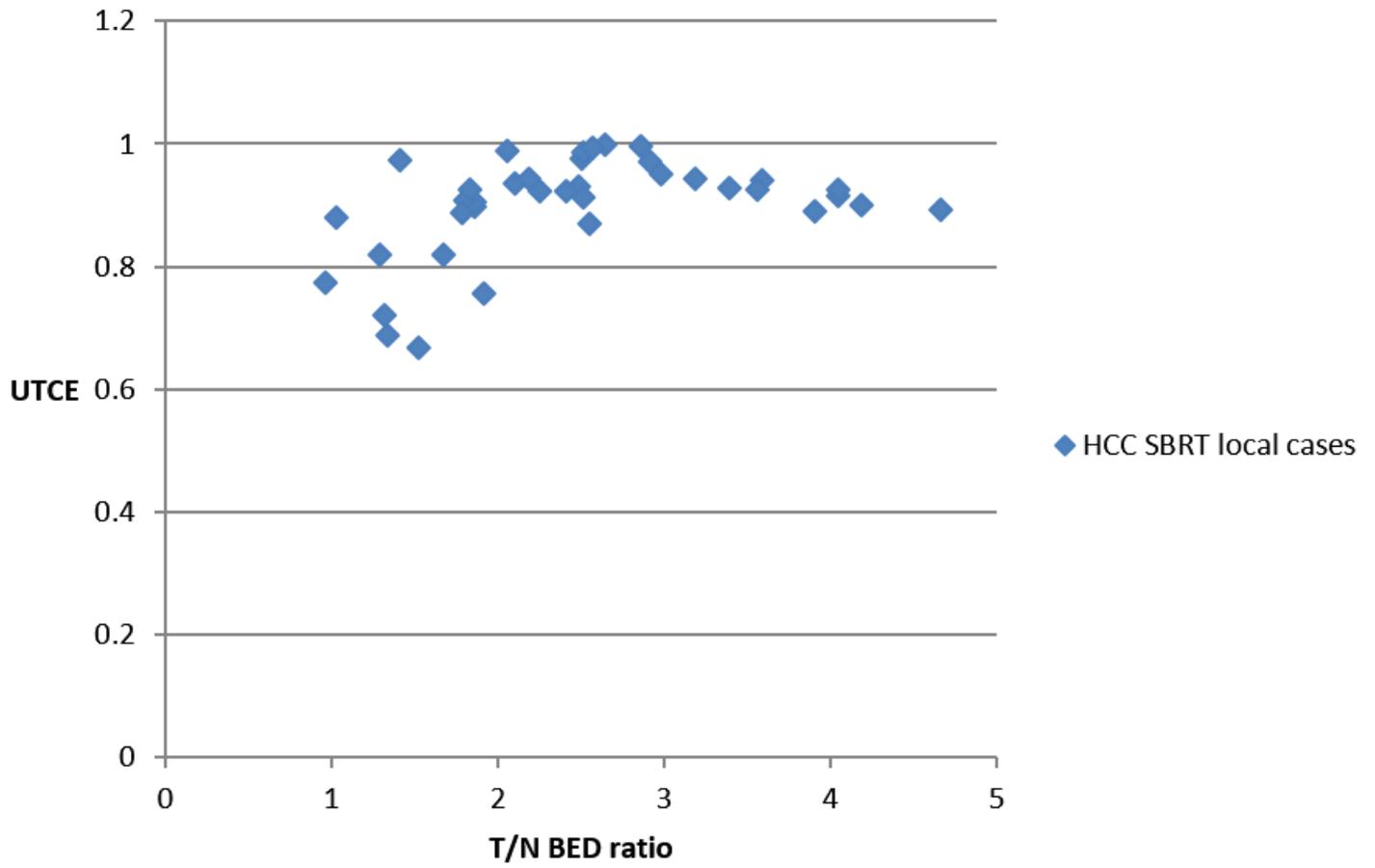


Figure 8

UTCE versus T/N BED ratio for HCC SBRT local cases.

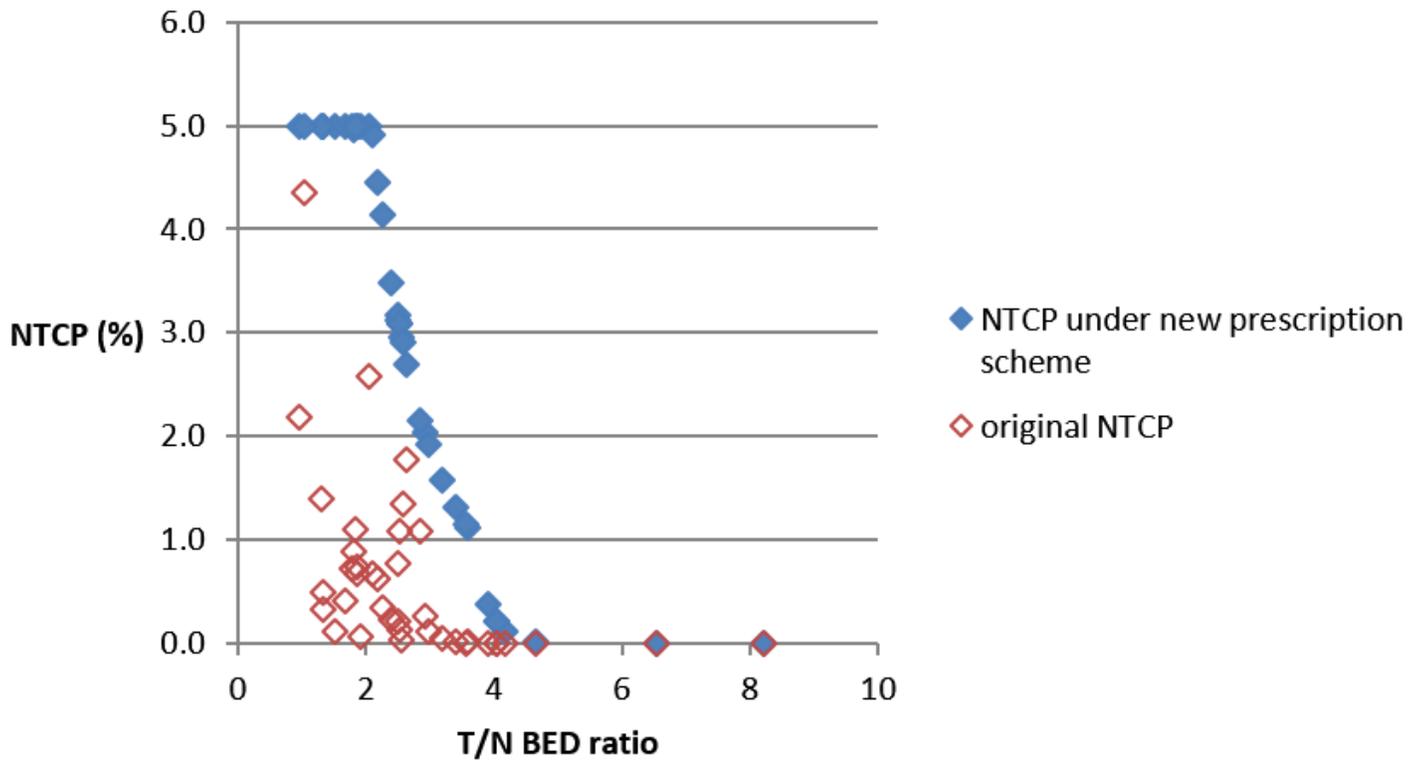


Figure 9

NTCP versus T/N BED ratio using the new prescription dose scheme.

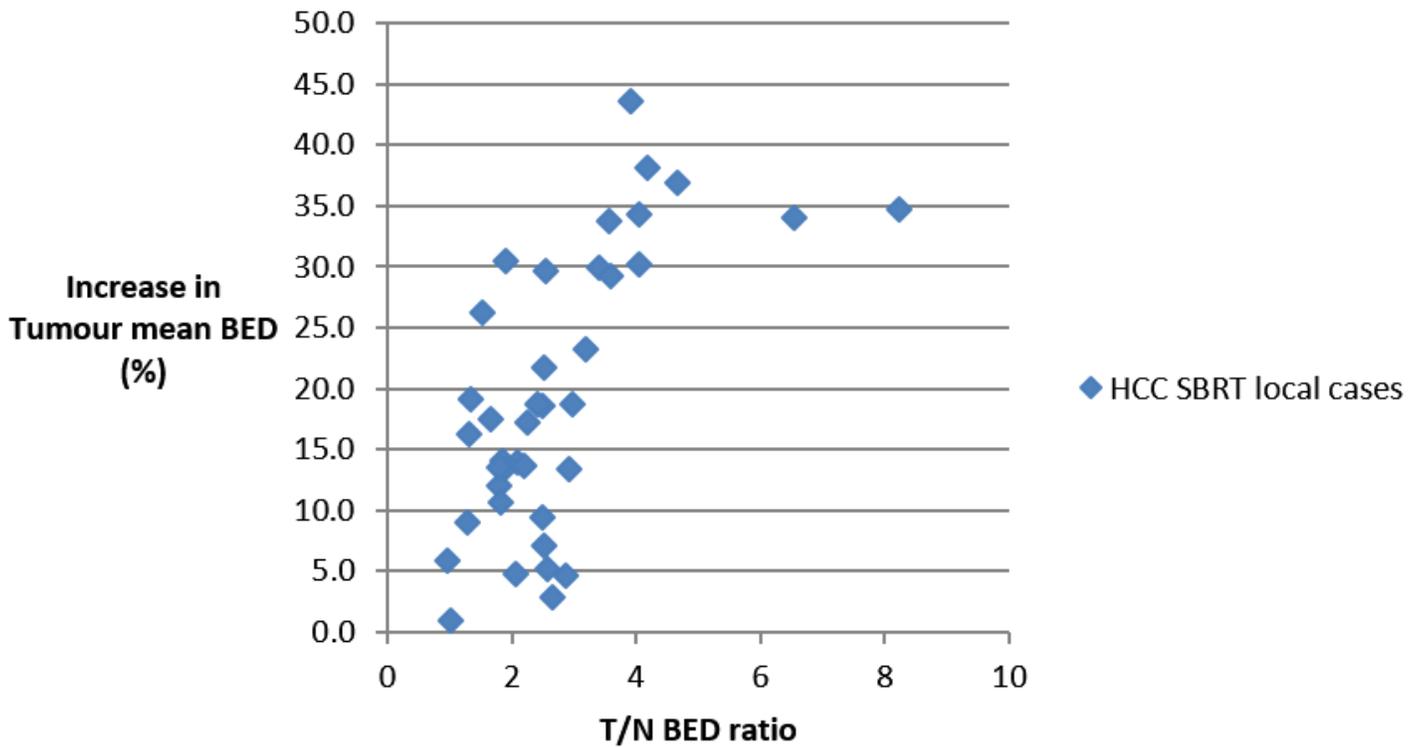


Figure 10

Percentage increase in tumor mean BED using the new dose prescription scheme.

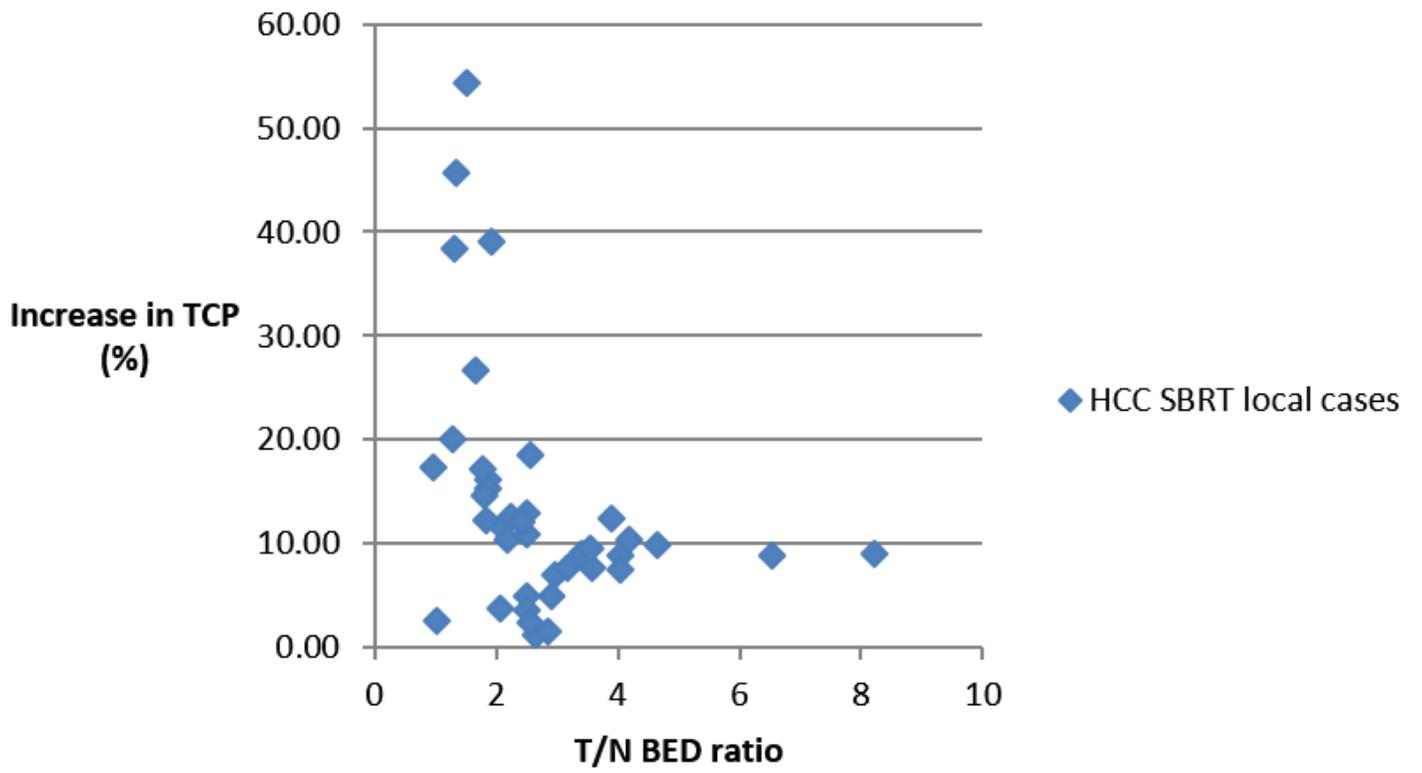


Figure 11

Percentage increase in TCP using the new dose prescription scheme.

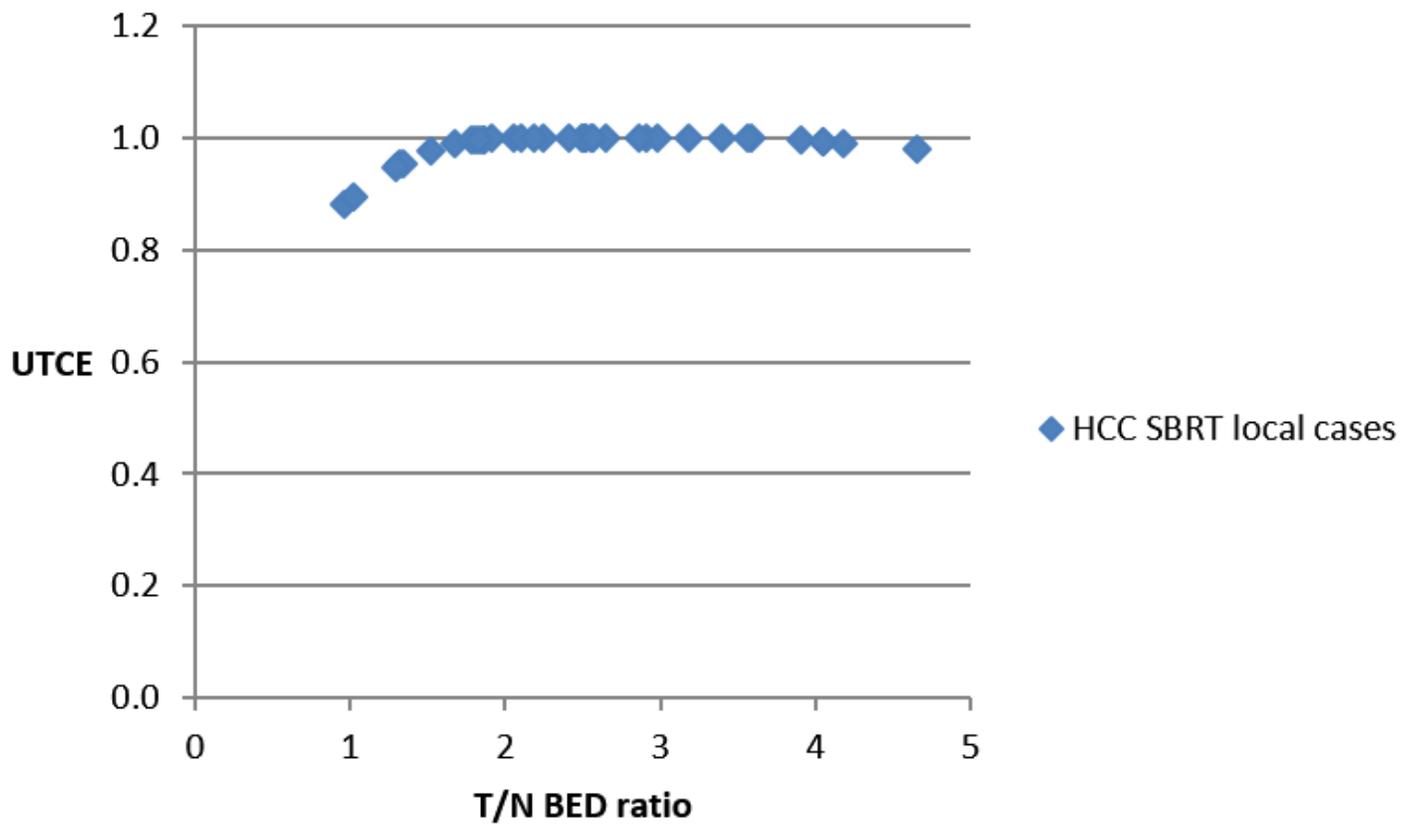


Figure 12

UTCE versus T/N BED ratio using the new prescription dose scheme.

Supplementary Files

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