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1 **Feasibility of preference-driven radiotherapy dose treatment planning to**
2 **support shared decision making in anal cancer**

3

4 **Running title**

5 Feasibility of preference-driven radiotherapy dose planning for anal cancer

6

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19

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22

23

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29 Jensen, M.D., Ph.D.

30

31 **Abstract**

32

33 *Purpose/Objective:* Chemo-radiotherapy is an established primary curative
34 treatment for anal cancer, but clinically equal rationale for different target doses
35 exists. If joint preferences (physician and patient) are used to determine
36 acceptable trade-offs in radiotherapy treatment planning, multiple dose plans
37 must be simultaneously explored. We quantified the degree to which different
38 toxicity priorities might be incorporated into treatment plan selection, to
39 elucidate the feasible decision space for shared decision making in anal cancer
40 radiotherapy.

41

42 *Materials and Methods:* Retrospective plans were generated for 22 anal cancer
43 patients. Multi-criteria optimisation handles dynamically changing priorities
44 between clinical objectives while meeting fixed clinical constraints. Four unique
45 dose distributions were designed to represent a wide span of clinically relevant
46 objectives: *high dose preference* (60.2Gy tumour boost and 50.4Gy to elective
47 nodes with physician-defined order of priorities), *low dose preference* (53.75Gy
48 tumour boost, 45Gy to elective nodes, physician-defined priorities), *bowel*
49 *sparing preference* (lower dose levels and priority for bowel avoidance) and
50 *bladder sparing preference* (lower dose levels and priority for bladder
51 avoidance).

52

53 *Results:* Plans satisfied constraints for target coverage. A senior oncologist
54 approved a random subset of plans for quality assurance. Compared to a high
55 dose preference, bowel sparing was clinically meaningful at the lower
56 prescribed dose (median change in V_{45Gy} : 234 cm³; inter-quartile range
57 [66;247]; $p < 0.01$) and for a bowel sparing preference (median change in V_{45Gy} :
58 281 cm³; [73;488]; $p < 0.01$). Compared to a high dose preference, bladder
59 sparing was clinically meaningful at the lower prescribed dose (median change
60 in V_{35Gy} : 13.7%-points; [0.3;30.6]; $p < 0.01$) and for a bladder sparing preference
61 (median change in V_{35Gy} : 30.3%-points; [12.4;43.1]; $p < 0.01$).

62

63 *Conclusion:* There is decision space available in anal cancer radiotherapy to
64 incorporate preferences, although trade-offs are highly patient-dependent. This
65 study demonstrates that preference-informed dose planning is feasible for
66 clinical studies utilising shared decision making.

67

68 **Introduction**

69

70 Chemo-radiotherapy is well established as the primary curative treatment
71 modality for anal cancer; however an optimum radiotherapy treatment dose has
72 not yet been established [1]. Scandinavian prescriptions to the primary tumour
73 and involved nodes are 54-60Gy as simultaneous integrated boost (SIB) with
74 45-50Gy to elective nodes, using per fraction doses of 1.8-2.0Gy daily.
75 Meanwhile, most UK centres [2, 3] would prescribe 50.4-53.2Gy to the primary
76 tumour and involved nodes as SIB, with 40Gy to the elective nodes, in 28
77 fractions.

78

79 Higher dose levels have not been unequivocally shown to be clinically superior,
80 and adverse radiotherapy-related events are common even when using highly
81 conformal delivery techniques [4, 5, 6, 7]. At lower doses, the risk of adverse
82 events may be reduced, presumably at the cost of increased risk of local
83 recurrence. However, tumour control and normal-tissue complication models
84 are currently not of sufficient sophistication for fully radiobiology-based risk
85 assessment [8]. At present, dose-volume metrics continue to be used as one of
86 several key criteria for radiotherapy planning and treatment selection.

87

88 When clinically equal rationale for several different treatment approaches
89 exists, it is natural to propose that *preferences* could have a significant role in
90 designing personalised treatments. Specifically in radiotherapy treatment

91 planning, preferences are expected to be important when determining the
92 prioritisation of clinical objectives since there are inherent *trade-offs* between
93 competing objectives.

94

95 In a Shared Decision Making (SDM) paradigm [9, 10], a patient and their
96 treating physician *both* bring their individual preferences and desired treatment
97 outcomes directly into a structured consultation, and thus arrive at a treatment
98 decision together. Ideally, SDM consultations should be supported by
99 information about the necessary trade-offs in clinical outcomes pertaining to
100 clinically equipoise choices.

101

102 There is a genuine gap in anal cancer radiotherapy in the range of clinically
103 equipoise tumour doses, such that the joint preferences of the physician and the
104 patient might be used to determine which trade-offs are acceptable when
105 designing an individually customized treatment plan.

106

107 The typical approach of inversely-planned intensity modulated radiotherapy
108 (IMRT) requires a planner to iterate many times through a fixed list of *a priori*
109 clinical objectives, usually defined according to a physician's priorities, until a
110 single clinically acceptable plan found [11].

111

112 Multi-criteria optimisation® (MCO) is a novel dose planning approach [12, 13]
113 that allows dynamically variable (i.e. floating) clinical objectives while always

114 satisfying fixed clinical constraints, such as a minimum dose to the tumour
115 volume. This process permits a planner to navigate over a large number of pre-
116 computed optimal plans by only adjusting the *relative importance* among the
117 floating objectives while always satisfying the fixed constraints, and hence the
118 effect of prevailing preferences and their consequential trade-offs can be
119 interactively visualised.

120

121 We studied the degree to which individual preferences for toxicity risks might
122 be incorporated into treatment plan selection by changing the relative
123 prioritization of tumour dose and various OARs (focusing on bowel and
124 bladder), in order to elucidate the feasible decision space for SDM in anal cancer
125 radiotherapy.

126

127 **Materials and Methods**

128

129 *Patients*

130 Eleven consecutive men treated with (chemo-)radiotherapy for anal cancer
131 between July 2012 and November 2015 were selected for this study, and 11
132 women were approximately case-matched to these by the American Joint
133 Committee on Cancer (AJCC) T and N staging. Exclusion criteria were: previous
134 pelvic surgery, focal electron radiation monotherapy and metastatic disease.
135 The 22 patients were representative for anal cancer cohorts as seen in routine
136 clinical practice and as reported in other studies [5, 14]; patient summary

137 characteristics are given in Table 1 (and a full list of characteristics are given in
138 Table e1 in the online supplementary materials).

139

140 *Radiotherapy treatment planning*

141 The delineations of anal tumour (PTV-T), involved nodes (PTV-P), elective nodal
142 (PTV-N) planning target volumes and OARs were done by experienced radiation
143 oncologists, in accordance with Danish Anal Cancer Group (DACG) guidelines
144 [15] based on the atlas by Roels et al. [16]. Delineation details are provided in
145 the online Appendix e2 in the supplementary materials.

146

147 Using MCO, mathematically feasible treatment plans were pre-computed prior
148 to interactive planning. We navigated to four unique dose distributions that
149 represented a wide span of clinically-relevant treatment objectives: (i) a *high*
150 *dose* preference in which the anal tumour and involved nodes were prescribed
151 60.2Gy as SIB with 50.4Gy to elective nodes in 28 fractions, and using a
152 physician-defined order of priorities for OAR sparing; (ii) a *low dose* preference
153 that has the same order of priorities as the high dose preference, but the target
154 dose was reduced to 53.75Gy in the anal tumour and involved nodes as SIB and
155 45Gy to elective nodes in 25 fractions; (iii) a *bowel sparing* preference with
156 same target dose as for the low dose preference, but with maximum OAR
157 importance assigned to bowel dose reduction; and lastly (iv) a *bladder sparing*
158 preference with same target dose as for the low dose preference but with
159 maximum OAR importance assigned to bladder dose reduction. The list of

160 prescriptions is summarized in Table 2. Figure 1 gives examples (in sagittal
161 view) of the above four different dose distributions observed in one female
162 patient. When a dose distribution was found that matched the intended
163 preference, final plan optimization and accurate dose computation was
164 performed.

165

166 Fixed clinical constraints were such that the minimum clinical target volume
167 (CTV) dose was at least 95% of the prescribed dose, and more than 98% of the
168 planned target volume (PTV) received at least 95% of the prescribed dose.

169 Floating clinical objectives included: bowel V_{45Gy} range (0 - 300cm³), bowel V_{30Gy}
170 range (0 - 600cm³), bladder V_{50Gy} range (0 - 20%) and bladder V_{35Gy} range (0 -
171 75%) [17, 18, 19]. A complete list of objectives is provided (see online Appendix
172 e2, Table e5).

173

174 Within the bowel sparing and the bladder sparing preferences, we used the OAR
175 dose-volume metrics in the high dose preference as a ceiling limit for the other
176 simulated preferences (bladder and bowel, respectively). OAR over-doses (if
177 any) in the high dose preference were reviewed and approved by a senior
178 radiation oncologist. Absolute volumes were used for the bowel dose metrics. A
179 dose “hot spot” was defined as any region exceeding 107% of the prescribed
180 dose to PTV-N that was located outside of PTV-T.

181

182 All treatment plans were made in RayStation ® v4.7.2 (RaySearch Laboratories)
183 using a pencil-beam approximation for the pre-computation of feasible plans
184 followed by collapsed-cone convolution for the accurate dose. An 8-field 6MV
185 IMRT technique was used assuming treatment on an Elekta Agility delivery
186 system (Elekta AB, Stockholm, Sweden).

187

188 *Analysis*

189 Cumulative dose-volume histograms for each plan were exported to R statistical
190 software (v3.2.3) for analysis. We examined dose-volume metrics for the
191 abovementioned target coverage and OAR sparing. A plan conformity index
192 (PCI) was used to quantify how absolute volumes of high dose were affected by
193 changing the relative importance among OARs:

194

$$195 \quad PCI = \frac{(volume\ in\ PTV - N\ receiving\ at\ least\ 95\% \ of\ prescribed\ dose)}{(volume\ in\ whole\ body\ receiving\ at\ least\ 95\% \ of\ prescribed\ dose)}$$

196

197 Our analysis addresses only the *differences* between feasible dose distribution
198 arising within the same patient due to applying different preferences. Two-
199 sided non-parametric paired tests of significance of differences were applied to
200 selected DVH metrics. Statistical significance was assumed when $p < 0.01$, but
201 no additional corrections were applied for multiple hypothesis testing.

202

203

204

205 **Results**

206

207 For plan quality assurance, a random selection of 25% of final dose distributions
208 were reviewed with a senior radiation oncologist to ensure overall clinical
209 quality and plan consistency. Fixed clinical constraints for target coverage were
210 always met. Our results focussed on the trade-off between DVH metrics of OARs,
211 as well as the PCI. Dose metrics for the four treatment regimens for bowel V_{45Gy} ,
212 bladder V_{35Gy} and PCI are listed in Table 3. Further results are summarized in
213 Table e5 in the online supplementary materials.

214

215 Figure 2 illustrates an example of the differences in dose distribution for one
216 female patient, shown in the transverse slices intersecting the middle of the
217 bladder (insets a and c) and bowel (insets b and d), respectively. The qualitative
218 differences in the OARs can be quite marked, given the same target volume
219 coverage in all cases. Here, the bowel sparing preference has resulted in a high
220 dose region that overlaps the least amount of bowel but encompasses much of
221 the bladder. Conversely, the bladder sparing preference allows a “gap” to be
222 sculpted around the bladder at the expense of more exposure in the bowel.

223

224 Figure 3 demonstrates (for 2 men and 2 women) that feasible dose distributions
225 can also be created anywhere in between the maximally OAR-sparing
226 preferences. Every data point was a unique dose distribution that originated
227 from the same pre-computed set of feasible plans. The difference arose only

228 from changing the relative importance of the floating objectives. In this example,
229 the data points traced out patient-specific optimality curves (i.e. Pareto fronts)
230 projected onto a simple 2-dimensional surface corresponding to the DVH
231 metrics “bowel V_{45Gy}” and “bladder V_{35Gy}”. In actuality, the complete set of all
232 feasible plans resides in a highly multi-dimensional space corresponding to the
233 total number of clinical objectives.

234

235 The available space for trade-offs was highly specific to each patient, however
236 the summary statistics of the cohort also show the consistent trend, as shown in
237 Figure 4. Changing from the high dose preference to the low dose preference
238 resulted in a median difference of 37 cm³ bowel sparing (range [0;220 cm³],
239 p<0.01) at V_{30Gy} and 234 cm³ ([66;467 cm³], p<0.01) at V_{45Gy}. The median
240 changes from a high dose preference to a bowel sparing preference were 128
241 cm³ ([14;331 cm³], p<0.01) and 281 cm³ ([73;488 cm³], p<0.01), for V_{30Gy} and
242 V_{45Gy}, respectively. The median *change* in bowel sparing at V_{45Gy} due to the low
243 dose preference was statistically significant and clinically meaningful, since an
244 objective was to limit the *total* bowel volume irradiated to 45Gy below 300cm³.

245

246 In the bladder, going from the high dose preference to the low dose preference
247 resulted in a median difference of 13.7 percentage points ([0.3; 30.6], p<0.01) at
248 V_{35Gy}. The median change from a high dose preference to a bladder sparing
249 preference was 30.3 percentage points ([12.4; 43.1], p<0.01). The median
250 *change* in bladder sparing at V_{45Gy} due to the bladder sparing preference was

251 statistically significant and clinically meaningful, since an objective was to limit
252 the *total* bladder irradiated to 35Gy below 75%. Median differences for bladder
253 V_{50Gy} in the low dose, bowel sparing and bladder sparing preferences were an
254 average of 7.9 percentage points lower than the high dose preference, and were
255 not significant.

256

257 To further illustrate that planning trade-offs generally operate on multiple
258 clinical objectives at the same time, we found that the relative volume of dose
259 “hotspots” in the PTV-N (but outside the PTV-T) increased in all of the plans
260 with the lower prescription dose. This impacted on the PCI; the median PCI was
261 lowest in the bladder sparing preference (0.68 [0.66; 0.70]) compared to all the
262 others (0.71 [0.69; 0.74]), but this change in PCI was not statistically significant.

263

264 **Discussion**

265

266 In this study, we explored multiple simultaneously optimal plans per patient.
267 We thereby simulated the range of possible preferences for competing trade-
268 offs implicit in radiotherapy dose planning. Specifically, re-distribution of doses
269 and differential OAR sparing was feasible by using MCO to navigate over a large
270 set of pre-computed plans. This study investigated the impact of changing the
271 total prescribed dose on OARs, and the further impact of prioritising the sparing
272 of OARs (specifically bowel and bladder). Differential sparing of other OARs

273 (reproductive organs, pelvic bones) were considered but has not been
274 comprehensively quantified.

275

276 To date, there is no clinical evidence that conclusively points out a single dose
277 level as being clinically superior for anal cancer. Guidelines and clinical trials
278 addressed a wide range of prescribed doses and fractionations [1]. The low dose
279 preference we have simulated here is close to the upper limit of prescribed
280 doses used elsewhere [2, 20, 21]. We estimated from published models [22] that
281 the lower dose prescription might reduce the 2-year tumour control probability
282 by less than 1% for early stage tumours, and approximately 5% for late stage
283 tumours. A limitation associated with this model-based estimate is that control
284 outcomes are assumed to depend on tumour size, but not on other aspects of
285 tumour biology.

286

287 All of the abovementioned chemo-radiotherapy prescribed doses has been
288 associated with significant pelvic toxicity. While it is currently not possible to
289 quantitatively predict which impact our observed changes in dose distribution
290 might have on the absolute risks for acute and late toxicities, there is growing
291 clinical evidence from cohort studies (anal cancer as well as other pelvic
292 cancers) that irradiation of the bowel and the bladder in the range of 30-50Gy
293 indeed correlates with acute and late treatment-related morbidity [17, 18, 19,
294 23].

295

296 The above conditions suggest that anal cancer radiotherapy is a natural setting
297 for SDM, where physicians and patients would incorporate their joint
298 preferences into radiotherapy dose planning, and thereby arrive at a more
299 individually personalised treatment plan. For example, they may opt for a low
300 dose preference to reduce the likelihood of experiencing the most severe pelvic
301 toxicities while accepting an increased chance of disease progression as a trade-
302 off. However, a different patient-physician pair may opt for the higher dose level
303 to maximise the chance of tumour control while viewing an increased chance of
304 severe pelvic toxicities as an acceptable compromise.

305

306 In this context, it would be unduly restrictive to consider only one radiotherapy
307 treatment plan based on a static list of *a priori* clinical objectives. This is because
308 a static list does not elegantly manage preferences that may vary between
309 physicians, between patients, and even change over a course of treatment as
310 different circumstances either arise or recede. The ability to redistribute dose
311 between OARs is essential for incorporating preferences about certain types of
312 toxicity [24], and further studies are required to quantify the clinical impact of
313 modifying dose-volume metrics. Therefore our MCO planning study is an
314 essential adjunct to current and planned clinical trials (see, for example,
315 *ClinicalTrials.gov* ID NCT02785263).

316

317 To examine the feasibility of redistributing dose between OARs in the pelvic
318 area, we simulated additional OAR-sparing preferences at the lower dose level.

319 Multiple OARs were considered, including reproductive organs and pelvic
320 bones, but we focussed on the dominant trade-offs that involved the bowel and
321 bladder. This is reasonable given these are the largest OARs at closest proximity
322 to the treated volumes. Our study has mainly focussed on the effect of different
323 guiding preferences on the trade-off between dose-volume metrics in these two
324 OARs. We found that there is potential to spare clinically significant bowel and
325 bladder volumes irradiated up to 45Gy and 35Gy, respectively.

326

327 The intended clinical objective of 15Gy average dose to whole testes was met for
328 all but one. Opportunities for dose manipulation in MCO were extremely limited
329 in general, because the testes were generally outside the limits of the IMRT
330 fields and therefore mean doses were well under 15Gy.

331

332 The intended clinical objective of $V_{50Gy} < 50\%$ to the penile bulb was also
333 satisfied for every plan except one with a high dose preference. Changing from a
334 high dose preference to a low dose preference reduced V_{50Gy} by a median of 21.6
335 percentage points ([13.8;25.0], $p > 0.01$). We also considered the feasibility to
336 shift dose away from the penile bulb. However, the trade-off for penile bulb
337 sparing appeared to be higher dose to the bowel and very much higher doses to
338 the bladder.

339

340 The vagina was not delineated at the time of the original treatment planning and
341 delivery. In cases where the vagina was retrospectively delineated, the upper

342 and middle parts of the vagina were consistently located adjacent to the internal
343 iliac nodes that had been included in the CTV-T. Therefore, sparing of the vagina
344 was not feasible without violating the fixed clinical constraints on the CTV.
345 Sparing of the vagina might require the use of temporary prosthetic inserts to
346 displace the vagina away from the CTV [25].

347

348 There was only very limited possibility of manipulating the dose in the femoral
349 heads; this was because the unwanted exposure of these OARs was low to begin
350 with. In the high dose preference, the median V_{50Gy} volumes in the femoral
351 heads were 0.29% [0.02; 0.95] on the right side and 0.14% [0.05; 0.65] on the
352 left side. These reduced to a median value of 0% in all of the low dose
353 preferences.

354

355 The median V_{50Gy} relative volume in the sacral bone was 12.7% in the high dose
356 preference plans, which was reduced to 0% for all plans at the low dose
357 prescription. The median V_{45Gy} was also reduced from 45.3% to 20.0%
358 respectively. The sacral bone was always located immediately adjacent to the
359 posterior boundary of the nodal CTV. It is presently unclear whether the
360 irradiation of the sacral bone could be reduced further, with the IMRT approach,
361 without excessive dose penalty to bowel and bladder.

362

363 We observed that the available space for differential OAR sparing was highly
364 patient-dependent. In some patients, it proved impossible to spare one OAR at

365 the expense of another. The trade-offs between OARs were also observed to
366 impact on dose uniformity and dose conformality (PCI). The sensitivity of the
367 PCI to bladder sparing preference was presumed to be due to the bladder being
368 tightly confined on almost all sides by the PTV-N.

369

370 At present, we do not have a method for predicting (before commencing
371 treatment planning) the space in which trade-offs would be possible for any
372 given patient. However, the cohort statistics suggests that we should expect
373 some degree of freedom to prioritise certain clinical objectives in most patients.
374 As a study of 22 representative anal cancer patients with a broad range of
375 disease stages, we expect that the overarching conclusions of our analysis to be
376 robust.

377

378 While we do not yet know the exact proportion, characteristics or anatomical
379 complexities of patients who might participate in a study of SDM in anal cancer,
380 studies have shown that prostate cancer patients have a high level of preference
381 for active participation in decision making [26] and, more pertinently, they may
382 have marked prioritisation for higher quality of life rather than potential gains
383 in survival [27]. It is currently unclear whether the same preferences appear
384 among anal cancer patients, but we only know of one SDM clinical study in anal
385 cancer to date that is actively recruiting (PC-Anal-01, NCT02785263).

386

387 One study [28] found that anal cancer patients experience the least involvement
388 in decisions regarding their treatment compared to other patient groups,
389 therefore further work is required to facilitate clinical investigations in this
390 area. In current clinical consultations, a report by Kunneman et al. [29] shows
391 that physicians do not discuss treatment options with their patients. Concerns
392 about SDM persist, such as a patient's ability to comprehend trade-offs or
393 abandoning a patient to make the final decision on their own [30]. Other studies
394 highlight the need for specific interventions [31] that address understanding of
395 preference-sensitive treatment choices, effective management of difficult
396 emotions and active listening to elucidate preferences. The literature on patient
397 regret after participating in an active treatment decision is presently
398 inconclusive, but van Tol-Geerding et al. [32] shows that providing clear
399 information about potential trade-offs (such as a decision aid) may actually
400 lower the level of decision regret, even in patients experiencing severe side
401 effects.

402

403 In regards to practical logistics for treatment planning, we found that the MCO-
404 based approach was an efficient method to explore and visualise the inherent
405 trade-offs between competing clinical objectives. The MCO module provided an
406 intuitive user interface to design dose distributions according to shifting
407 relative importance between clinical objectives. Derivation of an initial plan
408 typically required 3 - 4 hours of intensive planning time per patient. The pre-

409 computation of all feasible plans, final optimization of a preferred plan and
410 accurate dose computation required 1- 1.5 hour per additional plan.

411

412 **Conclusion**

413

414 For 22 representative patients with various stages of anal cancer suitable for
415 chemo-radiotherapy treatment, we have shown that incorporating preferences
416 into the treatment plan is feasible while maintaining clinically acceptable
417 constraints. A central theme in our results was the inherent trade-off in the dose
418 distributions resulting from prioritization of one clinical objective above others.
419 The dominant trade-off in these IMRT plans involved the bowel and the bladder.
420 Although trade-offs were highly patient-specific, we were nonetheless able to
421 efficiently create preference-informed dose distributions that would support a
422 shared decision-making approach in anal cancer treatment. However, in view of
423 the knowledge gaps remaining in regards tumour control and normal tissue
424 toxicity, further investigations of dose prescription and dose re-distribution in
425 the pelvic region are required.

426

427

428

429

430

431

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548 **Figure legends.**

549 Figure 1. Dose distribution for one female patient in sagittal view for four regimens
550 a) high dose, b) low dose, c) bowel sparing, and d) bladder sparing. Dose color wash
551 shows the two dose levels and the 45 Gy isodose (bowel optimization objective).
552 Red: (95% of 60.2 Gy). Yellow: (95% of 50.4 Gy). Green: 45 Gy. Orange: (95% of
553 53.75 Gy). Turquoise: 95% of 45 Gy).

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555 Figure 2. Dose distribution for a female patient in transversal view. Bowel sparing
556 regimen at the planes of the bladder a) and the bowel b). Bladder sparing regimen at
557 the planes of the bladder c) and the bowel d). Dose color wash, Green: 45 Gy (bowel
558 optimization objective). Turquoise: (95% of 45 Gy). Also shown are the Clinical
559 Target Volume (CTV-N), Planning Target Volume (PTV-N), vagina, femoral heads,
560 bowel and bladder. e) DVH for the same patient, illustrating the dose to the bowel
561 and bladder for the different low dose plan regimens. Black is PTV-T, green is PTV-
562 N, red is bladder and blue is bowel. Full line: low dose regimen plan; dashed line:
563 bladder sparing regimen plan; dotted line: bowel sparing regimen plan.

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565 Figure 3. Pareto fronts for two male patients and two female patients; each connected
566 set of points represents a set of dose plans for a single patient. Each data point
567 corresponds to one dose plan, with the position of the point determined by the bowel
568 $V_{45\text{Gy}}$ and bladder $V_{35\text{Gy}}$ for that specific plan.

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570 Figure 4. Box-Whisker-Plots for a) Bowel V_{45Gy} , b) Bladder V_{35Gy} and c) Plan
571 Conformity Index. Outliers are indicated by individual dots.

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