

**Precision modeling of the IBA Universal Nozzle double scattering mode
at the University Proton Therapy Dresden**

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2 Precision modeling of the IBA Universal Nozzle double 3 scattering mode at the University Proton Therapy Dresden 4 for Monte Carlo simulation

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17 **ABSTRACT:** Monte Carlo (MC) simulations are indispensable for many research and advanced
18 clinical questions in proton therapy (PT). However, the necessary site-specific modeling of a double
19 scattering (DS) PT system is extensive and challenging and requires a clear strategy. This work
20 describes a comprehensive method for precise and accurate modeling of a DS nozzle that minimizes
21 additional measurement effort. A detailed model of the IBA universal nozzle is created within the
22 TOPAS simulation framework. This model is subsequently fine-tuned using a step by step procedure
23 to match the same dose profiles used for the commissioning of the treatment planning system. In the
24 proposed bottom-up approach, the geometry of beam-shaping elements is first adjusted to measured
25 quantities and then the beam and model properties are optimized using iterative methods. The
26 resulting dose distributions are validated with a set of independent measurement data to estimate
27 the achieved quality. The resulting simulated dose distributions agree well with the data and
28 show residual range differences of maximum 0.6 mm. The shape of the SOBP plateau regions is
29 accurately reproduced with a spread of the residuals below 1% (i.e., near to the statistical limit)
30 over a large part of the machine settings. The simulated lateral dose profiles, although not directly
31 included in the optimization, match the shape of the validation data better than 0.14 mm. The
32 minimal measurement effort and high-precision proton field modeling make this method attractive,
33 in particular, for retrospective beam modeling needed in clinical outcome or relative biological
34 effectiveness studies after DS treatment.

35 **KEYWORDS:** Algorithms and Software for radiotherapy, Models and simulations, Microdosimetry
36 and nanodosimetry

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28 **1 Introduction**

29 Proton therapy is an important modality in radiation oncology as its unique physical properties
30 allow to minimize dose to healthy tissue while achieving highly conformal tumor target coverage.
31 However, protons, as heavy charged particles, stop and scatter within the patient and make dose
32 calculation in proton therapy particularly challenging compared to conventional photon therapy.
33 The gold standard of dose calculations in proton therapy is the Monte Carlo method (MC) as it
34 maps the stochastic nature of proton scattering and stopping most precisely [1]. MC simulations can

1 provide more information about various physical processes induced by the radiation than analytical
2 algorithms. Thus, they are indispensable for many medical physics research questions.

3 Recently, there is an intensive debate on the variability of the clinical relative biological
4 effectiveness (RBE) [2–4]. Considerable efforts are made to correlate early and late radiation
5 responses that have been observed within the last five to ten years with the delivered proton
6 radiation [5–9]. This requires an accurate and systematic retrospective simulation of large patient
7 cohorts treated during the last decade. Besides dose, the simulation of beam quality parameters
8 (e.g., linear energy transfer) is an essential input for RBE and normal tissue complication probability
9 modeling as well as for the biological optimization of proton plans [10].

10 There are mostly two techniques in clinical use to generate laterally extended proton treatment
11 fields from the initial mono-energetic pencil beam leaving the accelerator: pencil beam scanning
12 (PBS) and passive scattering (PS). In PBS, the target volume is scanned using a large number of sin-
13 gle Bragg peaks of varying energy which are deflected with dipole magnets. In PS, the initial beam
14 is laterally scattered via a combination of scatter elements with optimized geometrical shapes. The
15 often used combination of two scatterers is referred to as double scattering (DS). The longitudinal
16 field extension is achieved by ridge filters or range modulator wheels (RMW). The creation of a
17 MC simulation model for a clinical double scattering nozzle requires the implementation of all the
18 beam shaping components.

19 Several groups have implemented PS systems in MC simulation [11–15]. The accuracy of
20 the simulations depends on how well the beam generation and delivery are duplicated. Most work
21 reported in literature uses manufacturer blueprints to model the parts of the nozzle directly relevant
22 for the proton field shape [11–13, 15]. But, this alone is insufficient for most use cases as the
23 simulation should rather model the actual radiation field than the design field of the machine. Most
24 importantly, there are machining tolerances that lead to various deviations of the real components
25 compared to the design. Consequently, the manufacturers have to introduce adjustable parameters
26 to meet the beam specifications at each treatment site. These parameters allow to compensate
27 for manufacturing tolerances and enable the operators to readjust a machine to always generate
28 identical fields in case of component replacements. At the same time, these intentional degrees of
29 freedom lead to a multitude of possible machine settings that result in a distinctive radiation field for
30 each treatment place. Therefore, recreating the radiation fields specific to a certain treatment place
31 requires to understand the origin of these variations and how to include them in the simulation.

32 The possibility to adjust the simulation and the achievable precision also depend on the
33 availability of suitable measurements of the actual treatment field. Such measurements are time
34 consuming and interfere with patient treatment. Therefore, the amount of required input data plays
35 a significant role for the practicability of an optimization method.

36 The scattering nozzles by IBA are used at many different proton therapy centers and several
37 optimization techniques for their simulation have been presented in the literature. The optimization
38 of the proton beam properties at the entrance of the beam delivery system is described in [12]. That
39 the beam current modulation can be used to match the plateau region of the spread out Bragg peak
40 (SOBP) was demonstrated in [16]. The adjustment of the starting point on the RMW has been
41 reported in [17]. Similar approaches are described in [15, 18]. While there is overlap between the
42 described distinct procedures, a comprehensive approach that covers all aspects of a site specific
43 adjustment would be highly desirable.

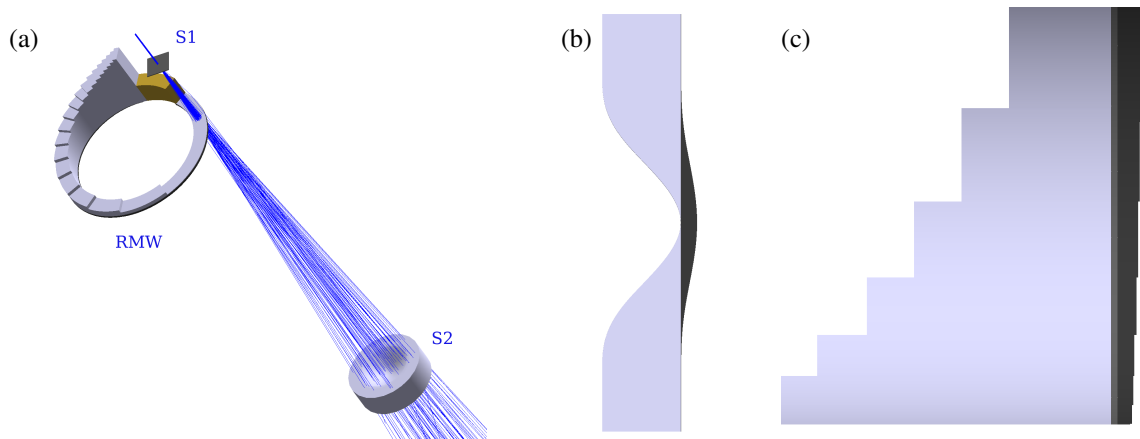


Figure 1. Implementation of double scattering (DS) in the IBA universal nozzle. Parts made of lead, plastic, and aluminum are colored in black, light gray, and dark grey, respectively. (a) Sketch of the first scatterer (S1), one track of the range modulator wheel (RMW), and second scatterer (S2) arrangement. Lines show 100 simulated protons passing through the DS system. (b) Cross section of the S2. (c) Side view of the RMW (not to scale). The plastic (low-Z material) and lead (high-Z) steps are shown on the left and right, respectively. The steps sit on the two sides of an aluminum disk depicted in dark gray.

1 This work describes a comprehensive method for achieving a precise and accurate modeling of
 2 the IBA universal nozzle operated in passive DS mode. It focuses on how to assess and implement
 3 site-specific parameters of such a system in a simulation using a step-wise procedure. Additionally,
 4 the method tries to minimize the number of dedicated measurements required as input for the
 5 optimization by reusing existing data sets such as the data recorded to commission the treatment
 6 planning system (TPS). This makes it especially suitable for the setup of retrospective studies.

7 2 Methods

8 The University Proton Therapy Dresden (UPTD) utilizes a treatment system manufactured and
 9 operated by Ion Beam Applications SA (IBA, Louvain-la-Neuve, Belgium). The system features a
 10 360 degree rotating gantry and an IBA universal nozzle in a single treatment room. The universal
 11 nozzle can be operated in single scattering, DS, or PBS mode. For this work, we discuss only the
 12 operation in DS mode.

13 2.1 Double scattering implementation in the IBA universal nozzle

14 In general, a DS system consists of a flat first scatterer (S1) that widens the Gaussian lateral beam
 15 distribution and a second scatterer (S2) with a radially varying scattering power to flatten the lateral
 16 beam distribution. Figure 1(a) illustrates how protons pass through the implemented DS mode of
 17 the IBA universal nozzle; a combination of a S1, RMW, and contoured S2. A description how such
 18 a DS system works and how the necessary dimensions can be calculated can be found in [19]. The
 19 specific implementation of IBA uses a contoured S2 made of two materials as shown in figure 1(b).
 20 A high-Z material is used to define the radially varying scattering power. A second, low-Z material
 21 homogenizes the radial variation of the energy loss in the S2 to avoid a lateral variation in proton
 22 range.

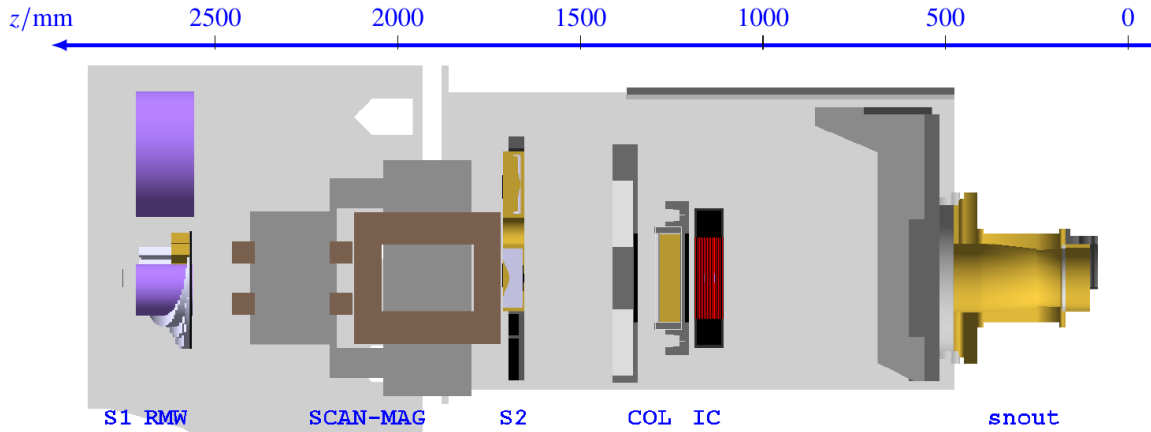


Figure 2. Cross-section of the geometrical model of the IBA universal nozzle. Protons enter the nozzle from the left and pass through the first scatterer (S1), the selected range modulator wheel (RMW), the two scanning magnets (SCAN-MAG), the second scatterer (S2), the two collimators (COL), and the ionization chamber (IC). The protons exit the nozzle through the snout that has placeholders for patient specific apertures and a range compensator. The snout sits on a movable structure that allows the adjustment of the distance between patient and beam exit. Structural parts that enclose the different components are shown in light gray. The scale shows the distance from the ISO center of the rotating gantry.

1 To extend the radiation field in longitudinal direction, the IBA nozzle contains a RMW that
 2 rotates at constant speed through the beam. The RMW consists of steps of increasing height, which
 3 reduce the range of the passing protons in proportion. Consequently, each step generates a Bragg
 4 peak of a certain depth in water. The width of the steps is chosen such that the statistics of the
 5 individual Bragg peaks superimpose to a flat SOBP. The steps are made from a low-Z material to
 6 minimize the additional scattering and sit on an aluminum carrier disk. Additionally, each low-Z
 7 step is complemented by a small high-Z step to keep the scattering power constant over the full
 8 wheel rotation. Figure 1(c) displays the sandwich structure of this arrangement. The RMW adds
 9 scattering and is therefore placed near to the dedicated S1 foils. In combination, they act as a virtual
 10 S1 and provide together the required scattering power of a S1 in the DS system.

11 A DS system works only optimal for one specific proton energy, due to the energy-dependent
 12 scattering and energy loss of protons. Therefore, the IBA universal nozzle combines 6 S1, 5 range
 13 modulator tracks, and 3 S2 to provide DS for proton ranges from 4.6 g/cm² to 28.4 g/cm². The
 14 overall range is divided into 8 major range intervals, called options. For each option, a specific
 15 combination of range modulator track and S2 is defined. Within each option, the combination of
 16 S1 depends on the selected range. Additionally, each option has 3 sub ranges that use different
 17 BCM patterns to achieve more flat SOBPs. The length of the SOBP plateau, i.e. the modulation,
 18 is adjusted by switching the beam off before the RMW completes a full rotation. More detailed
 19 descriptions of similar IBA nozzles can be found elsewhere [11, 13, 18].

20 2.2 IBA universal nozzle model

21 A simulation model of the IBA universal nozzle installed at UPTD is implemented using the
 22 TOPAS software platform [20] as a simulation framework. All simulations have been performed
 23 with TOPAS version 3.0p1 and the default physics settings. Figure 2 shows a cross section through

1 the geometrical model. All components have been constructed using information from the original
2 manufacturer blueprints. Components that directly interact with the beam such as the scatterers,
3 the RMWs, or the ionization chamber have been recreated to the smallest known details. Elements
4 that constrain the proton path like collimators, snout, and the structural parts of the assembly are
5 implemented with less details, but ensuring that the aperture is matched correctly. Additionally
6 to all DS components, the PBS magnets are included as these significantly restrict the aperture
7 between range modulator and S2. The model allows for the simulation of time-dependent aspects
8 of the nozzle such as RMW rotation and BCM [21].

9 **2.3 Measurements of the dose distribution and their simulation**

10 For the commissioning (section 2.4) and validation (section 2.5) of the model, the simulated and
11 measured data have to be compared. All dose distributions shown in this work have been measured
12 with ionization chambers in an IBA blue phantom 2. This water phantom provides a scanning system
13 that can position the ionization chamber with a relative precision of 0.1 mm in three dimensions [22].
14 Different ionization chambers are used for longitudinal and lateral measurements. The depth dose
15 distribution is measured with a PTW Advanced Marcus Chamber (0.02 ccm). The lateral dose
16 distribution is measured with a PTW Dosimetry Diode PR with an active volume of $1\text{ mm}^2 \times 40\text{ }\mu\text{m}$.
17 The beam is directed into the phantom from the top to avoid that the beam passes a wall of the
18 phantom. The ionization chambers are manually aligned to the water surface and a precision better
19 than 0.3 mm is typically achieved. Each measured curve corresponds to a single scan.

20 A careful design of the scoring volumes in simulation is important to avoid a bias of the results,
21 especially in regions with a steep slope like the distal or lateral edges. It would be ideal to score
22 the dose in a volume identical to the sensitive volume of the measurement. Due to the very small
23 sensitive volumes, this is prohibitive due to the computing power necessary to reach a reasonable
24 statistical accuracy. Therefore, bigger bin sizes have to be chosen for the simulation and the resulting
25 values will represent an average over this bigger volume.

26 In case of the depth profile, the dose is scored in a cylinder with the same diameter as
27 the ionization chamber active volume diameter. A longitudinal bin width of 0.5 mm is a good
28 compromise between statistical accuracy and bias due to the integration over a volume larger than
29 in the measurement. To keep this bias to a minimum, the bin centers of the simulation are aligned
30 with the measurement positions.

31 The lateral dose profile was scored in cubes of 0.5 mm edge length. The centers of the cubes
32 were aligned with the measurement positions.

33 **2.4 Commissioning of the simulation model**

34 The model generated from the blueprints represents the reference design of the IBA universal nozzle.
35 The real life nozzle differs significantly from this idealized representation. Materials are produced
36 with slightly fluctuating densities and processing tolerances inevitably lead to variations in the
37 physical dimensions of the components. This makes it necessary to have adjustable parameters in
38 the design. These parameters need to allow for enough freedom so that the operators can optimize
39 the proton field shape to fulfill clinical requirements and reproduce the once established reference
40 field after component exchanges.

Table 1. Machine parameters that affect the proton field shape. Three different types are distinguished: manufacturing tolerance, machine specific setting, and beam quality. The column method specifies whether the treatment place-specific adjustment was done based on measurement or through optimization. The used data sources are either data sets recorded for the setup of the TPS, which contain the first pristine Bragg peak (PP1) and the spread out Bragg peak (SOBP), or measurements done by the manufacturer or the user.

Name	Type	Affects	Variability	Method	Data source
1st scatterer thickness	tolerance	range	6	meas	manufacturer
2nd scatterer composition	tolerance	range	3		
RMW composition	tolerance	range, SOBP flatness	5		
component spacing	setting	field shape	fixed	meas	user
RMW start angle	setting	modulation	5	opt	SOBP
beam current modulation	setting	SOBP flatness	3×8	opt	SOBP
beam energy offset	setting	range	8	opt	PP1
beam energy spread	beam	distal edge	energy	opt	PP1
beam width	beam	field shape	energy	meas	manufacturer

1 The production variations combined with the selected operational parameters lead to a treatment
 2 place specific proton field shape. A good simulation, similar to a TPS, has to reproduce this
 3 characteristic field. Consequentially, the data sets recorded to adjust the TPS can be reused to
 4 commission and validate the simulation.

5 This section describes the parameters that influence the proton field shape and methods how
 6 these can be inferred from different sources. Table 1 summarizes the relevant parameters and how
 7 they are treated in this work. Figure 3 sketches the procedure in form of a flowchart. The details of
 8 this procedure are described in the following paragraphs.

9 **2.4.1 Adjustments from measurements**

10 The first step after creating the geometrical model from blueprints is the adjustment of the nom-
 11 inal dimensions using measured values wherever possible. The manufacturer measures several
 12 parameters during the setup of the machine, e.g., the water equivalent thickness (WET) of the six
 13 S1 sheets allowing for the calculation of their actual thickness. This modification of the S1 is
 14 especially important as the relative manufacturing tolerances on such thin sheets are rather large.
 15 Additionally, the number of combinations is much higher than the available reference data points
 16 for the full field. This makes it impossible to optimize the properties of the first scatter from field
 17 measurements.

18 The situation is different for the S2 and RMW manufacturing tolerances, as these are composed
 19 of several materials. While measurements of the WET of the S2 and the first step of the RMW exist,
 20 it is unclear to which of the materials potential differences should be assigned. Therefore, these
 21 are ignored in this step. Instead, the resulting effects on the range and scattering are expected to
 22 be compensated during the later optimization of the option-dependent energy offset and the beam
 23 energy spread.

24 The only dedicated measurement done for this work is a measurement of the distances between
 25 the components and the absolute position towards the iso-center. This is necessary, as the position
 26 in beam direction can be adjusted for components such as the RMW which is not reflected in the
 27 technical drawings. The beam width at the entrance to the nozzle, also provided by the manufacturer,

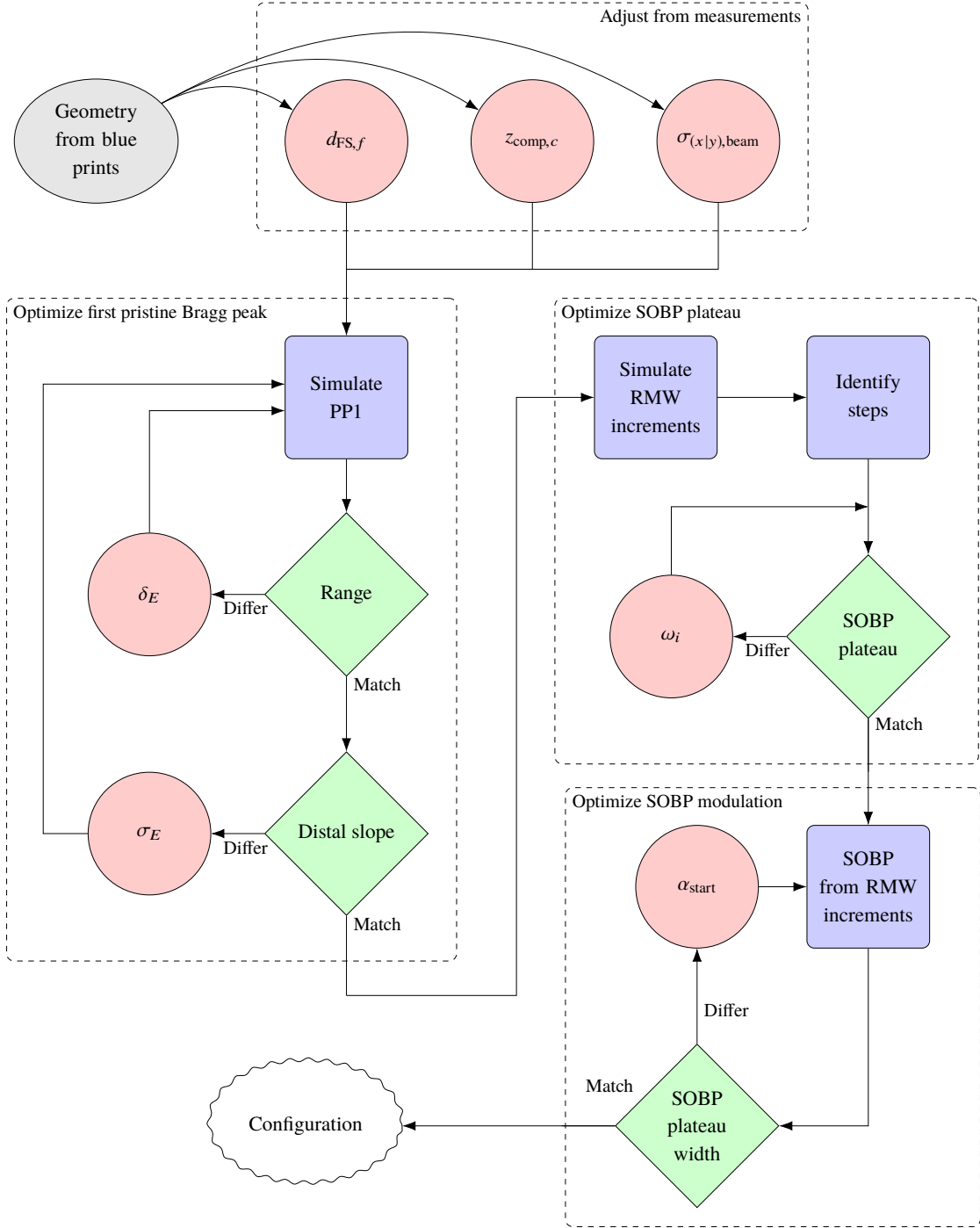


Figure 3. Flowchart of the optimization procedure to modify the simulation configuration generated from blueprints to match the treatment place. First, the thickness $d_{S1,f}$ of each of the six first scatterer foils, the longitudinal position $z_{comp,c}$ of each component c , and the spatial width of the beam $\sigma_{(x|y),beam}$ in x and y direction are adjusted from measurements (section 2.4.1). Then, the beam energy offset δ_E and beam energy spread σ_E are optimized using the measurements of the first pristine Bragg peak (PP1) (section 2.4.2). Subsequently, the range modulator wheel (RMW) step weights ω_i are derived by fitting the shape of the spread out Bragg peak (SOBP) plateau (section 2.4.3). Finally, the beam start angle α_{start} on the RMW is adjusted (section 2.4.4).

1 has no strong influence on the field shape [16]. However, the use of an unrealistic initial beam
2 width parameter might lead to artifacts from neighboring tracks when the beam is not contained on
3 a single range modulator track.

4 **2.4.2 Optimization of the pristine Bragg peaks**

5 The data set recorded for the commissioning of the TPS contains the dose distribution of the first
6 pristine Bragg peak (PP1) for each of the 24 machine sub-options. The range and the width of the
7 PP1 depend on the proton energy and the energy spread, respectively. Hence, these data are used
8 to adjust the option-dependent beam energy offset δ_E and the beam energy spread σ_E .

9 The measured and simulated PP1 are generated by switching off the beam while it is still on
10 the first step of the RMW. Both PP1 curves are fitted around the peak with the analytical Bragg
11 peak function developed by Bortfeld [23] and normalized to the maximum value of the fit to avoid
12 normalization uncertainties due to the limited number of measurement points and simulation bins.

13 The proton range is evaluated at the position where the dose falls to 80% after the dose
14 maximum (R_{80}). The energy offset δ_E is iteratively adjusted in the simulation until the difference
15 between measured and simulated range are less than 0.5 mm.

16 To assess the width of the peak, five additional dose points are considered: $R_{p,70}$, $R_{p,80}$, $R_{p,90}$,
17 R_{90} , R_{20} . The three points that are denoted with the letter p are located on the rising (proximal)
18 slope while the other two and R_{80} sample the falling (distal) slope. For each dose point, the
19 separation between simulation and measurement is calculated, e.g. $\Delta R_{80} = R_{\text{sim},80} - R_{\text{meas},80}$.
20 In a second step, the variation is calculated for the 3 dose points on each side of the peak as
21 $\delta = \sqrt{\sum_i (\Delta R_i - \sum_i \Delta R_i / 3)^2}$ where i runs over 20, 80, and 90 for the distal side and over p70, p80,
22 and p90 for the proximal side. The value of σ_E is then iteratively altered in the simulation until
23 the two δ -values reach a minimum. As a change of the peak width also affects R_{80} , the range is
24 checked after each step and re-optimized if the deviations exceed the threshold of 0.5 mm. The loop
25 is repeated until the three distal dose points agree within 0.5 mm with the measured value.

26 Afterwards, the option-dependent energy offset is calculated as the average of the three sub-
27 option δ_E values. The optimized beam energy spread values are tabulated as function of the
28 requested range. The actual σ_E is then interpolated between the two values derived from the
29 measured PP1 with the nearest ranges.

30 **2.4.3 Optimization of the SOBP plateau**

31 An SOBP is the superposition of several pristine Bragg peaks of different range. The width of the
32 RMW step defines the base weight of the individual peaks. On top of these base weights, the shape
33 of the SOBP plateau is adjusted by changing the number of protons in the individual peaks. In
34 clinical treatment, this is done by modulating the beam current during the irradiation. This beam
35 current modulation (BCM) serves a dual purpose. It extends the range that can be covered by a
36 single RMW track by compensating the slope that is introduced by operating away from the optimal
37 point. Additionally, it allows to mitigate manufacturing imperfections of the RMW steps [24].
38 However, the simulated RMW steps are ideal without inter-step variations and, hence, the original
39 BCM applied in treatment are unsuitable for simulation. In fact, it is possible to achieve an improved
40 agreement of the dose distributions by adjusting the step weights in simulation to mimic the residual
41 imperfections of the actual measured field [16].

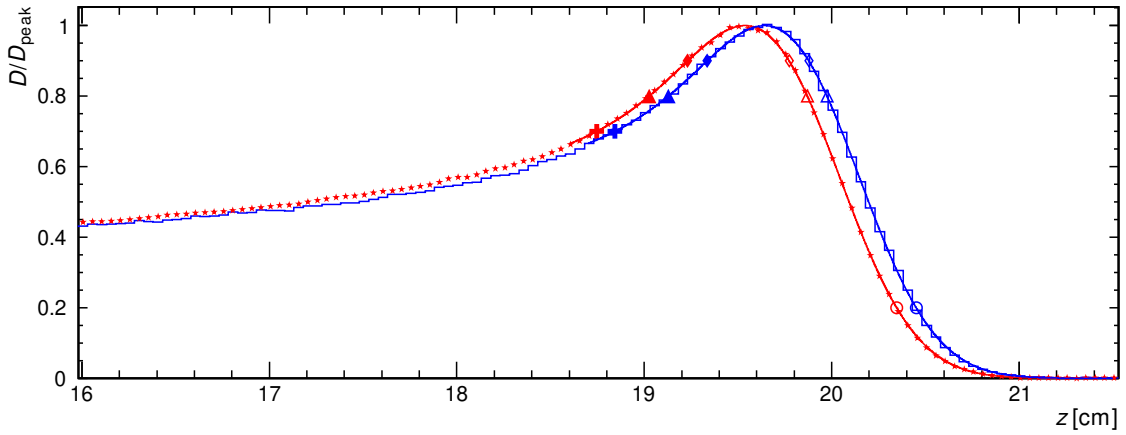


Figure 4. Measured (red stars) and simulated (blue histogram) dose distribution of the first pristine Bragg peak (PP1) before optimisation of range and width. The lines show the result of fits with the Bortfeld function. The dose points used in the evaluation of the range and width of the distribution are marked with the following symbols: $R_{p,70}$ full cross, $R_{p,80}$ full triangle, $R_{p,90}$ full diamond, R_{90} open diamond, R_{80} open triangle, and R_{20} open circle.

1 The TPS commissioning data set contains records of the dose profile for SOBPs of different
2 plateau modulation widths, which are measured in the same configuration like the PP1. For each
3 of the 24 sub-ranges, all employing individual BCM functions, one dose profile with the maximum
4 allowed plateau modulation width is recorded. This dose profile is recreated in simulation with
5 the scoring configuration described in section 2.3. Within this simulation, the RMW rotation is
6 subdivided into 256 increments of 1.4 degree, which is the granularity of the accelerator BCM.
7 This choice is made to match the accuracy of the beam off position in simulation with the one in
8 a clinical treatment. This high angular resolution is also necessary to include the transition of the
9 beam spot over the RMW step edges. But, it is not suitable for the optimization of the step weights.
10 Due to the idealized model of the RMW track, all simulation points where the beam spot falls fully
11 onto one step give indistinguishable results and consequently do not form a linear independent base.
12 Therefore, it is necessary to combine all points from one RMW step before the weights can be
13 optimized. A simple method to identify the step edges in the simulated data is to look at the change
14 in the Bragg peak range versus the rotation increment. This is illustrated in figure 5. The angular
15 ranges of the steps are in principle also known from the design, but using the simulation data avoids
16 inconsistencies.

17 After the identification of the step edges, the dose versus depth histograms are summed up for
18 each RMW step. These histograms represent the pristine Bragg peaks and form a suitable base for
19 the optimization procedure. Subsequently, the dose distributions of the individual Bragg peaks are
20 summed bin by bin applying one weight per RMW step. The dose D_j in a given range bin j is then
21 given by

$$D_j = \sum_i \omega_i D_{i,j}, \quad (2.1)$$

22 where ω_i is the weight for the given RMW step i and $D_{i,j}$ the dose of bin j in the dose histogram

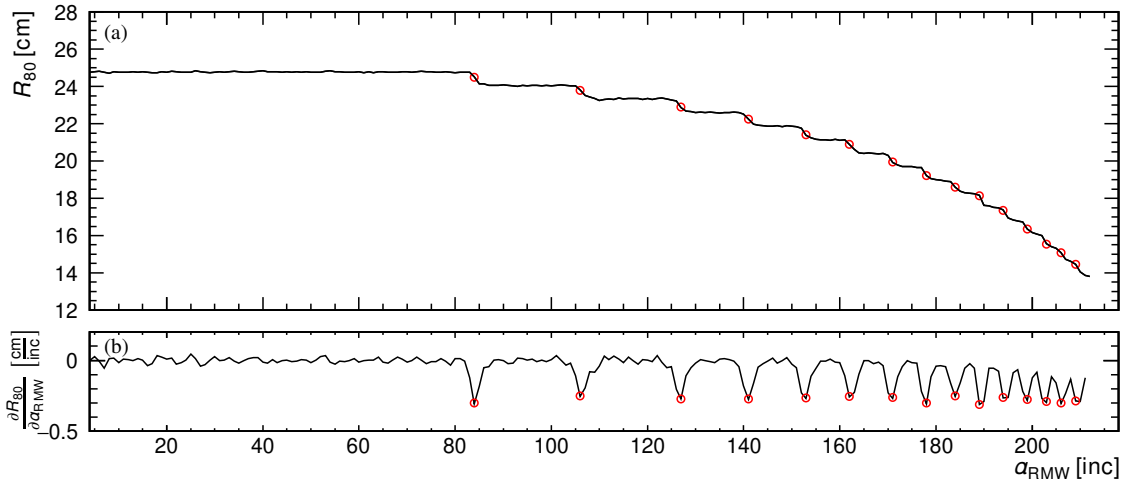


Figure 5. (a) Bragg Peak range R_{80} as a function of the range modulator wheel (RMW) angle α_{RMW} . The red circles indicate the position of the identified step edges. (b) Derivative of R_{80} . The RMW step edges can be derived from the peaks. The identified positions are marked with red circles.

1 of the RMW step i . This allows to use a standard χ^2 -fit to match the simulated to the measured
 2 dose distribution and extract the ω_i that are used to construct the BCM-function in simulation. To
 3 increase the stability of the procedure, the fit range is restricted to the plateau region between R_{min}
 4 and R_{80} . Best results are achieved with an individual selection of R_{min} around the proximal 90%
 5 dose point. Figure 6 shows the pristine Bragg peaks and the simulated dose distribution before and
 6 after the fit procedure for one of the machine options.

7 2.4.4 Optimization of the plateau width

8 The width of the SOBP plateau is determined by the requested modulation parameter M_{req} . It
 9 controls the angular position where the beam is switched off during one RMW rotation. The
 10 angular position α_{start} where the beam switches on is one parameter that has to be adjusted by the
 11 operators during machine commissioning. In consequence, this leads to a RMW track-dependent
 12 offset between the actual plateau width and M_{req} .

13 To include this offset into the simulation, the dose profile using the angular resolved simulation
 14 data from section 2.4.3 is used. The curve that corresponds to a certain M_{req} smaller than the
 15 maximum are created by summing the increments in the associated range and compared to the ones
 16 recorded for TPS commissioning. Then, the number of increments that have to be removed or added
 17 to match the plateau width are estimated. The result is translated to α_{start} . It should be noted that it
 18 will be necessary to re-optimize the last step weights in case a positive offset is found.

19 2.5 Validation of the simulation

20 The simulation configuration is optimized on data points that are chosen to cover all major variations
 21 expected in the radiation fields generated by an IBA universal nozzle. However, these measurements
 22 represent only a small sample of the phase space of possible radiation fields the system can generate.
 23 Therefore, it is important to validate the results with independent measurements to ensure that the

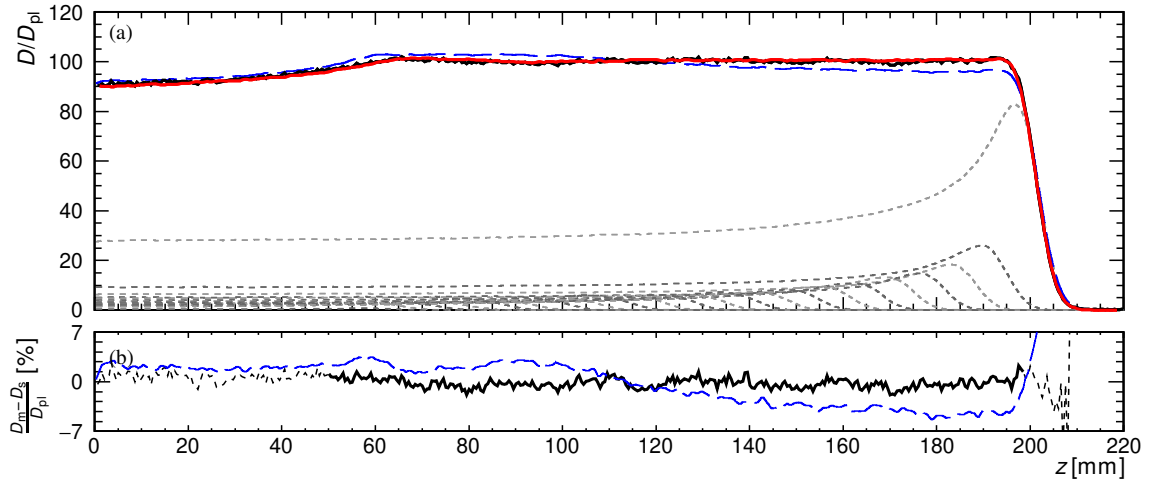


Figure 6. (a) Simulated SOBP dose distribution before (blue dashed line) and after optimization (black line) of the pristine Bragg peak weights. The red line shows the measured SOBP shape. The individual Bragg peaks are indicated as dashed gray lines. (b) Residual between the simulated and measured dose distribution. The blue dashed line shows the deviations before the optimization. The deviations after optimization are depicted with a line of black color. The line is drawn solid in the range used for the weight optimization, otherwise a dashed line is used.

1 simulation model represents all possible requested range R_{req} and modulation M_{req} combinations.
 2 Such a data set already exists since it is required for TPS validation, too.

3 The validation data set contains both depth dose curves and lateral dose profiles. For this work,
 4 one depth dose curve with medium modulation length is evaluated for each of 24 sub-options. The
 5 lateral dose profiles are compared for two different M_{req} in each of the eight options. Depending on
 6 the size of the SOBP plateau, the lateral dose profile is sampled at three or four different depths.

7 2.5.1 Depth dose profile

8 To validate the depth dose profile, the simulated and the measured data sets are normalized to the
 9 average dose in the region between $R_{req} - 0.6 \cdot M_{req}$ and $R_{req} - 0.25 \cdot M_{req}$. For each curve, the depths
 10 of the dose points $R_{p,98}$, R_{90} , R_{80} , and R_{20} are identified as shown in figure 7 (a) and differences
 11 between measurement and simulation are calculated. The difference at the 90% points, ΔR_{90} , is
 12 taken as measure for the range difference. The difference in modulation ΔM is calculated, where
 13 $M = R_{90} - R_{p,98}$. To understand if the slopes of the two curves match, the three ΔR values are
 14 plotted at -1, 0, and 1 abscissa and the slope s_{dist} between the range differences is calculated.

15 The success of the SOBP plateau optimization is validated in the depth interval between
 16 $R_{req} - 0.9 \cdot M_{req}$ and $0.95 \cdot R_{req}$. This choice excludes the regions of the proximal and distal slope
 17 where differences are dominated by the separately measured range shift and do not corroborate
 18 shape differences. The residual between the two curves is calculated in the given depth interval,
 19 and filled into a histogram. The resulting distribution is then fit with a Gaussian. The width σ_{pl} of
 20 the Gaussian indicates how well the simulated curve matches the measured.

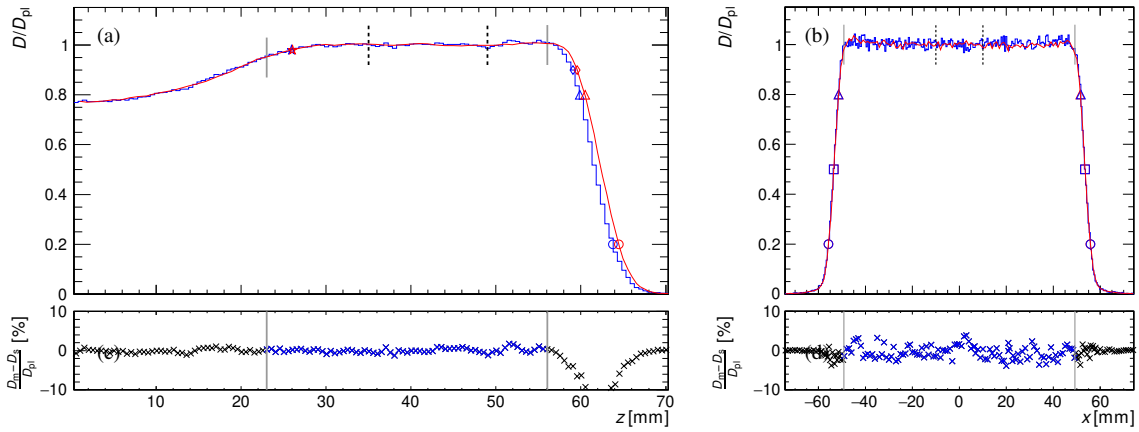


Figure 7. Validation of the depth dose distribution (a) and the lateral field shape (b). The blue histograms show the simulated field shape. The measured data are displayed by a red line. Each data set is normalized to the average value in the range between the vertical dashed black lines. Gray solid lines indicate the boundaries of the plateau regions. The markers indicate the different dose points used to evaluate the distal and lateral shapes: 20% (circle), 50% (square), 80% (triangle), 90% (diamond), and 98% (star). Blue and red markers belong to simulated and measured data, respectively. The residual between simulated and measured data is shown as crosses in (c) and (d). The residual points that are within the plateau region, indicated by blue color, are used to evaluate the plateau flatness.

1 2.5.2 Lateral dose profile

2 The lateral dose profiles are normalized in the range -1 cm to 1 cm before the 20%, 50%, and 80%
3 dose points are identified on both lateral slopes (Figure 7 (b)). The widths W_{20} , W_{50} , and W_{80} are
4 calculated as the difference between the corresponding right and left dose points. Furthermore, the
5 penumbra $P=x_{80}-x_{20}$ is calculated as a measure for the steepness of the slopes.

6 The lateral plateau region is defined as the range where the normalized dose is above 98% in
7 the measured data. Analogously to section 2.5.1, the spread σ_{pl} in the plateau region is calculated
8 for the lateral profile too.

9 2.5.3 Estimation of the statistical uncertainty

10 It is important to know the statistical uncertainty of the measurements and simulations to interpret
11 the size of σ_{pl} described in section 2.5.1 and section 2.5.2. These can be estimated from the data
12 if a suitably smooth section can be identified. For example, the region before the plateau is a good
13 candidate in the case of the depth dose profiles. Here, the shallow parts of the individual Bragg
14 peaks superpose to a function with moderate curvature and without structure. Such a shape can be
15 well described by a polynomial function. Then, the differences between the measurement points
16 and the fitted function should be of purely statistical nature and their spread is a good estimate for
17 the statistical resolution σ_{stat} .

18 In the case of the depth dose profile, the region between 5 mm and $0.7 \cdot (R_{req} - M_{req})$ is fitted
19 with a polynomial function of 3rd degree. The distribution of the residual from all fields is then
20 fitted with a Gaussian function to extract σ_{stat} . In the case of the lateral dose distribution, σ_{stat} is
21 extracted in a similar way, but in the range from -10 mm to 10 mm. The center of the plateau might

1 exhibit a slight curvature, but as long as one stays away from the field edges it is sufficiently smooth.
2 In both cases, these procedures are done separately for the simulated and measured curves.

3 **3 Results and Discussion**

4 **3.1 Required data**

5 Table 1 lists the relevant parameters that have, apart from the blueprints, an influence on the actual
6 field shape and the data sources from which these parameters can be derived. At an operating proton
7 therapy center, most of these data are already available. The WET of the S1 and the beam width at
8 the nozzle entrance are measured during machine setup and can be provided by the manufacturer.
9 The depth dose distributions used in the optimization procedure are measured for the commissioning
10 of the TPS. Here, only a subset of the depth dose distributions available at UPTD was used: the PP1
11 and the SOBP with maximum modulation for each of the 24 sub-options to model the field shape,
12 and three SOBP with shorter than maximum modulation for each of the eight options to identify the
13 start angle. The determination of the geometrical distances between the components of the nozzle
14 (i.e., the only measurement) was performed parasitically during a regular maintenance slot of the
15 accelerator. In consequence, the described method can be performed without any impact on patient
16 treatment.

17 **3.2 Evaluation of depth dose profile**

18 Figure 8 summarizes the results from the comparison of simulated and measured depth dose curves.
19 Two data sets are evaluated. First, the residual differences between reference data and simulation
20 are shown. Second, the quality of the simulation is validated at machine settings not used during
21 optimization.

22 **3.2.1 Range**

23 The residual range differences between the reference data and the optimized simulation are within
24 ± 0.3 mm for all except 2 range settings (figure 8(a)). Only in option 8, the differences between
25 the three values from the sub-ranges exceeded 0.5 mm. Therefore, the option-dependent energy
26 offset for this option was calculated as an average of the two closer values. This is done to avoid
27 an eventual bias due to a potentially bad measurement in one of the sub-ranges. The maximum
28 deviation of 0.7 mm is then found for the excluded value.

29 The results from the validation data break up into two distinct classes. The deviations in options
30 6 to 8 are of similar size as found for the reference data. This indicates a very good modeling of the
31 different nozzle components and, thus, that the results can be extrapolated. The results for options 2
32 to 5 show a clear negative offset between simulation and measurement. To understand the source of
33 this deviation, commonalities between these machine options and between the measured data sets
34 have been investigated. Different range modulator tracks and S2 are used in these options. Some
35 of these tracks and scatterers are also used, in different combinations, in the unaffected options.
36 Therefore, their modeling can be excluded as the source of the observed deviation. The reference
37 data were measured in several individual measurements performed on different days. This makes
38 a common bias in the input data to the optimization unlikely. The only connection that could be

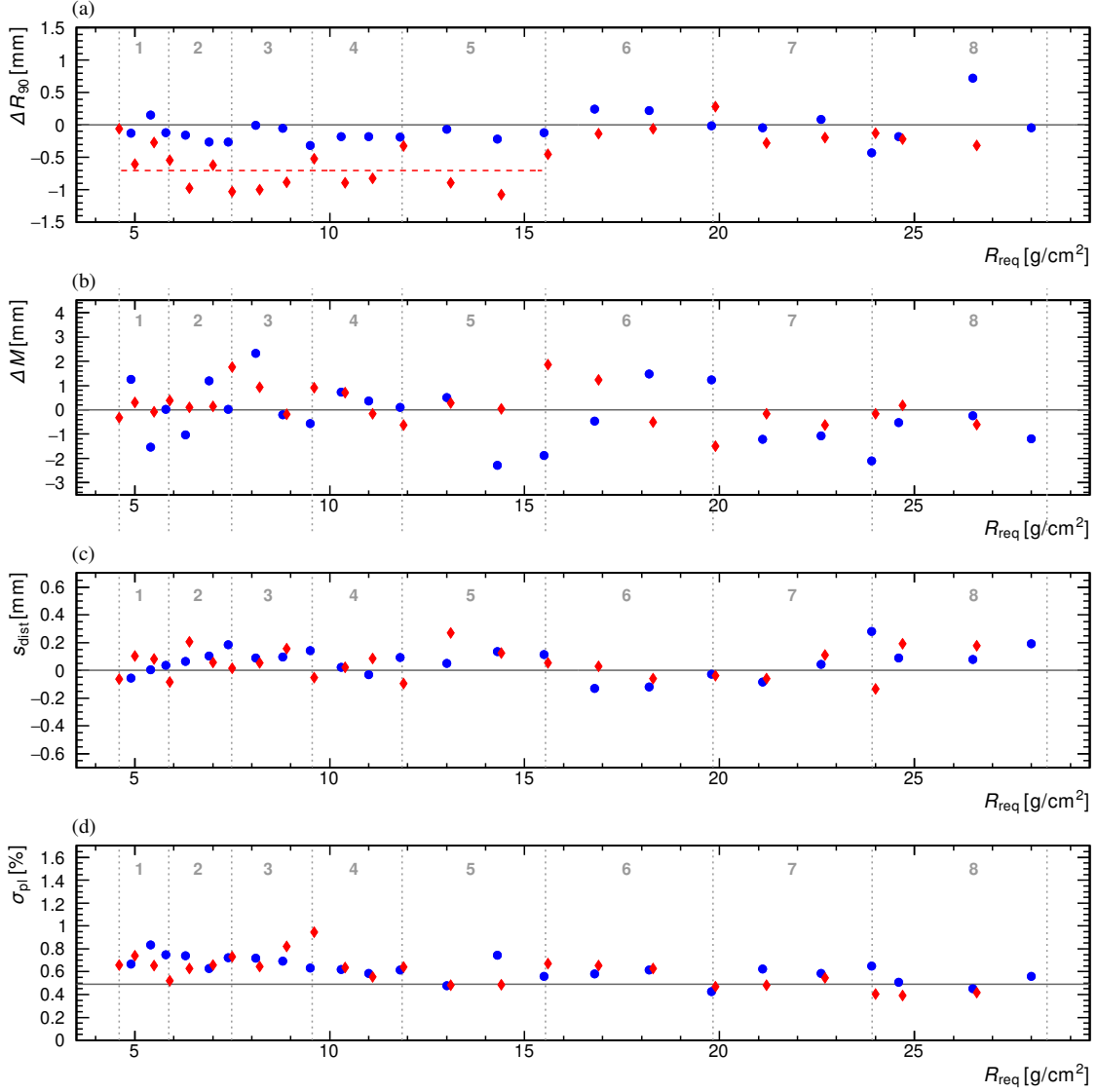


Figure 8. Results for the depth dose profiles. Deviations between simulated and measured data of R_{90} (a), M (b), s_{dist} (c), and σ_{pl} (d). Blue circles show the reference data used to optimize the model. Red diamonds show the independent validation data. The gray numbers and vertical lines indicate the ranges of the eight double scattering options. The solid horizontal lines indicate the ideal value. The dashed red line in (a) indicates the average shift of R_{90} for option 1 to 5.

1 identified is that the validation data for options 1 to 5 were all collected in a single measurement
 2 campaign spanning one shift. Therefore, a bias in the validation measurements seems to be the
 3 most likely cause for the observed range shift. The average shift of R_{90} for options 1 to 5 is 0.7 mm.
 4 Using this shift as an alternative reference for the first five options, the matching of the range is
 5 typically better than 0.3 mm with only two settings exceeding this value and a maximum deviation
 6 of 0.6 mm. The bias in the validation data set should be verified with additional measurements.
 7 Nevertheless, even without the baseline shift for options 1 to 5, the maximum observed deviation

1 of 1.1 mm is still sufficient for many applications.

2 **3.2.2 Modulation**

3 The simulated modulation matches the measured within 2.5 mm for the reference data and better
4 than 2 mm for the validation data. The difference in the two data sets is due to their different
5 modulation width. The reference data is recorded with the maximum modulation setting. The
6 validation data uses shorter SOBP widths. Two effects make it harder to get exact results for longer
7 modulations. First, the BCM weights are less constraint for the last BCM steps and therefore
8 inherently fluctuating stronger. Second, the proximal slope of the curve is flatter which increases
9 the influence of statistical fluctuations on the calculation of $R_{p,98}$.

10 **3.2.3 Distal slope**

11 For the distal slope, both, the reference and the validation measurements, are well modeled (fig-
12 ure 8 (b)) with deviations to the simulations being typically below 0.2 mm and a maximum deviation
13 of 0.27 mm. This means that the range spread of the protons is well reproduced. It also shows that
14 it is sufficient to only optimize the energy spread, while a separate treatment of the scattering power
15 uncertainties of the RMW and the S2 is unnecessary.

16 **3.2.4 Plateau region**

17 The evaluation of the plateau shows that the shape is matched quite accurately. The combined
18 variation in the plateau region, σ_{pl} , including methodological and statistical variation, is below 1%
19 for all tested settings (figure 8 (c)). Furthermore, σ_{pl} is near to the statistical limit over a large part of
20 the machine settings. The slight increase in σ_{pl} for low range settings coincides with the observation
21 that it is more difficult to find a stable solution for the fit of the step weights (section 2.4.3). This is
22 expected to some degree as all fields are sampled with the same spatial resolution. In consequence,
23 dose distributions with short ranges have significantly less measurement points that constrain the
24 fit.

25 **3.3 Lateral dose profile**

26 No lateral dose distributions are used in the assessment of the simulation model parameters.
27 Therefore, the validation of the lateral field shape can be used as an independent test of the
28 simulation model quality. The results have been studied for trends and systematic effects that
29 indicate missing details in the geometrical description.

30 In general, the lateral shapes are matched very well (table 2). No significant differences between
31 the machine options can be observed. The steep slopes at the field edges are reproduced in detail
32 and the simulated penumbras match the measurements. Also, the plateau is perfectly matched
33 within the statistical resolution of the method. Small but statistically significant deviations can only
34 be observed for the field widths in the y -direction. The simulated fields are 0.14 mm wider in the
35 y -direction than the measured ones. At the same time, the resulting differences for the x -direction
36 are compatible with zero. This difference of the two directions comes from an asymmetry that
37 is present in the measured field shapes which is not reproduced in the simulation. The source of
38 this discrepancy could be due to the description of the beam at the start of the simulation, which

Table 2. Results of the lateral validation. The average values μ and the spread σ are reported for the differences of the field width ΔW , the differences in left and right penumbra ΔP_r and ΔP_l , and the spread of the differences in the plateau σ_{pl} . ΔW is calculated for three different dose levels: 20%, 50%, and 80% of the plateau dose. Values are shown separately for x - and y -direction.

Value	Direction	ΔW_{20} (mm)	ΔW_{50} (mm)	ΔW_{80} (mm)	ΔP_l (mm)	ΔP_r (mm)	σ_{pl} (%)
μ	x	-0.01 ± 0.02	-0.02 ± 0.02	-0.03 ± 0.02	0.02 ± 0.02	-0.05 ± 0.03	1.37 ± 0.04
μ	y	0.15 ± 0.02	0.09 ± 0.02	0.18 ± 0.02	-0.02 ± 0.02	0.01 ± 0.02	1.40 ± 0.03
σ	x	0.09 ± 0.02	0.11 ± 0.02	0.10 ± 0.02	0.11 ± 0.02	0.17 ± 0.03	0.24 ± 0.04
σ	y	0.14 ± 0.02	0.10 ± 0.02	0.15 ± 0.03	0.12 ± 0.02	0.09 ± 0.02	0.19 ± 0.03

Table 3. Number of simulated initial protons and simulated dose in plateau region. The factor n in the pristine Bragg peak data set indicates that these have to be simulated multiple times during the iterative procedure.

Data set	Number of configurations	Initial protons		Plateau dose (Gy)	
		min	max	min	max
pristine Bragg peaks	$24 \times n$	0.9e9	1.2e9		
angular resolved SOBP	24	1.3e9	2.8e9	1.0e-3	2.7e-3
validation	48	3.0e8	4.8e8	2.2e-4	7.3e-4

Table 4. Measured statistical resolution of the plateau region in simulation and measurement. The third column represents the calculated combined resolution. All values are in %.

	σ_{stat} (%)		
	Simulation	Measurement	Combined
depth	0.46 ± 0.01	0.166 ± 0.004	0.49 ± 0.01
lateral	1.19 ± 0.04	0.70 ± 0.04	1.39 ± 0.04

1 is currently assumed to be symmetric and perfectly aligned with the geometrical axis. Due to its
2 small absolute size, no further investigation of the source of the deviation has been undertaken.

3 3.4 Statistical resolution

4 Table 3 gives an overview of the extent of simulations performed for the different steps of the
5 optimization as well as the evaluation of the results. For the validation data set, described in
6 section 2.5, the statistical fluctuations are evaluated. The results are summarized in table 4. It
7 should be noted that the current number of protons in the validation data set is insufficient to
8 reproduce the precision of the corresponding measurements. Therefore, the overall resolution of
9 the comparison is dominated by the statistical error of the simulation. Roughly 3 to 8 times more
10 particles would have to be simulated to match the two resolutions.

11 The pristine Bragg peaks and the angular resolved SOBP components, which are used in the
12 optimization procedures described in section 2.4, are simulated with an increased number of protons
13 to avoid any limitation by statistical fluctuations in the optimization.

3.5 Comparison to previous works

The presented modeling approach was developed along the working principles of the IBA universal nozzle. Naturally, its methodology overlaps with previously reported work in this field. But, the focus on the optimization of the nozzle model makes this the most comprehensive and detailed description of such a methodology. A key difference to previously reported work is a special focus on avoiding bias by binning and normalization. The first is minimized by selecting a binning compatible with the sensitivity of the measurement devices (section 2.3). The second is averted by using a fit with the Bortfeld function to normalize the first pristine Bragg peaks (section 2.4.2), which is so far unique. Furthermore, the method tries to achieve the best matching to the measured depth dose curve by an optimization of the BCM. It is also the first work that presents an analysis of the statistical power of the SOBPs shape matching.

The validation with measurements shows that the chosen strategy can improve the conformity of the simulation with the actual dose distributions compared to previous work. The range and modulation are matched with maximum deviations of 0.6 mm and 2.5 mm, respectively. The deviations in the plateau dose profile are smaller than 1%. The lateral field width is reproduced better than 0.15 mm and the penumbra agrees within the statistical resolution.

For comparison, the most extensively described IBA system is the one installed at the Massachusetts General Hospital (MGH) [11, 12, 25, 26]. The detail of their geometrical model is comparable to the one described here except that no support structures seem to be included. Also, the optimized parameter sets are comparable except that they used the actual BCM functions which they did not optimize. An agreement for range and modulation of +1-2 mm and ± 3 mm, respectively, are reported. The field width and plateau are matched within $\pm 3\%$ [26]. Another example is the modelling of the IBA system at the National Cancer Center in Korea (KNCC) for which results have been reported [15, 27]. The setup seems very similar to the MGH setup. The achieved accuracy in range and modulation, reported for a limited number of fields, is ± 0.8 mm. The dose profile is matched within $\pm 2\%$. For both examples, it cannot be distinguished if the larger deviations in the flat part of the dose profile are due to differences in the optimization or due to the invested computational time as no statistical sensitivity analysis is presented.

A similar approach was followed in [28]. The reported agreement of range and modulation are 0.5 mm and 5 mm, respectively. The matching of the SOBPs plateau is reported as within 2% and the lateral penumbra is matched within 0.5 mm.

Another notable difference between the presented and previous models using Geant4/TOPAS is the high level of detail of the geometrical description, which includes passive components such as housing and structural plates. This allows for extending the simulation to predict the stray radiation field dominated by neutrons [29]. Compared to simulations with the Monte Carlo N-Particle Transport eXtended software (MCNPX), this reduces the effort in model building as MCNPX does not support variable geometries. For example, a model of Proton Therapy Center of Institut Curie in France was created using MCNPX [30] to simulate the neutron field [13]. Only one point per RMW step is simulated and transitions over step edges are not included.

1 3.6 Relevance and perspective

2 The presented modeling approach facilitates the implementation of MC models in passive scattering
3 proton therapy. These models are currently highly demanded for analyzing larger retrospective
4 clinical PT datasets. In particular, detailed studies to precisely assess the potential impact of
5 a variable clinical proton RBE are performed. They require, however, high-precision dose and
6 LET simulations in patients that are based on accurate model calibration using water phantom
7 measurements. The applicability of the presented model for retrospective clinical variable RBE
8 studies was successfully demonstrated [7]. Besides the frequently used LET, a full MC model
9 allows for calculating more sophisticated quantities relevant for radiobiology including the beam
10 quality Q, which may improve the direct comparability of clinical RBE values in particle therapy
11 with different ions [31].

12 The commissioned MC model has been used to implement an independent treatment ver-
13 ification tool to avoid additional measurements [32]. Relevant dose deviation between MC an
14 pencil-beam based clinical TPS can occur, since pencil beam algorithms underestimate Bragg peak
15 degradation [33] in heterogeneous patient anatomies as found, e.g., in lung tumor irradiation. Ad-
16 ditionally, lung tumors often have a large breathing motion amplitude, which remains an important
17 inclusion criterion for passive scattering proton therapy as a robust technique mitigating tumor
18 motion uncertainties and interplay effects. Furthermore, the MC model improves the assessment
19 of radiation exposure due to scattered and secondary particles produced by the interaction within
20 the nozzle and the patient also outside of the field, which is essential for radiotherapy, e.g., during
21 pregnancy [34].

22 In addition to treatment plan dose verification in patients, the presented approach has been
23 applied to water phantom dose verification and to determine absolute dose values. This may
24 reduce measurement effort in machine and patient-specific quality assurance and improves the cost
25 effectiveness of passive scattering proton therapy. In particular, absolute dose measurements to
26 obtain the field-specific monitor units for patient treatment require time-consuming measurement
27 efforts, as they are performed separately for each treatment field. The potential of the implemented
28 MC precision model in absolute dose prediction has been demonstrated elsewhere [32].

29 4 Conclusion

30 In this study, a comprehensive Monte Carlo modeling approach for double scattering treatments
31 is presented. It is applied to an IBA universal nozzle within the simulation framework TOPAS.
32 The approach compensates for manufacturer uncertainties using an iterative optimization of initial
33 beam energy and -fluence distributions based on precise commissioning measurements in a water
34 phantom. The resulting high precision in treatment field simulations and the minimization of the
35 required measurement effort by reusing available commissioning data make this method attractive
36 for modeling of double scattering treatments. Its application for independent patient treatment plan
37 verification, biological modeling and absolute dose predictions has already been demonstrated.

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