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Clinical relevance of augmented statistical shape model of the scapula in the glenoid region

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31 ABSTRACT

32 Objective: To illustrate a) whether a statistical shape model (SSM) augmented with anatomical landmark set(s) performs better fitting and provides improved clinical relevance over non-33 34 augmented SSM and b) which anatomical landmark set provides the best augmentation strategy for predicting the glenoid region of the scapula. Methods: Scapula SSM was built using 27 dry 35 bone CT scans and augmented with three anatomical landmark sets (16 landmarks each) 36 resulting in three augmented SSMs (aSSM_{proposed}, aSSM_{set1}, aSSM_{set2}). The non-augmented and 37 three augmented SSMs were then used in a non-rigid registration (regression) algorithm to fit to 38 six external scapular shapes. The prediction error by each type of SSM was evaluated in the 39 glenoid region for the goodness of fit (mean error, root mean square error, Hausdorff distance 40 and Dice similarity coefficient) and for four anatomical angles (Critical shoulder angle, lateral 41 acromion angle, glenoid inclination, glenopoar angle). Results: Inter- and Intra-observer 42 reliability for landmark selection was moderate to excellent (ICC>0.74). Prediction error was 43 significantly lower for SSM_{non-augmented} for mean (0.9mm) and root mean square (1.15mm) 44 distances. Dice coefficient was significantly higher (0.78) for aSSM_{proposed} compared to all other 45 SSM types. Prediction error for anatomical angles was lowest using the *a*SSM_{proposed} for critical 46 shoulder angle (3.4°) , glenoid inclination (2.6°) , and lateral acromion angle (3.2°) . Conclusion 47 and Significance: The conventional SSM robustness criteria or better goodness of fit do not 48 guarantee improved anatomical angle accuracy which may be crucial for certain clinical 49 applications in pre-surgical planning. This study provides insights into how SSM augmented 50 51 with region-specific anatomical landmarks can provide improved clinical relevance.

52

53 Keywords: iterative closest point, SSM robustness, shoulder surgery, registration

54 INTRODUCTION

55 Statistical shape models (SSMs) describe an average shape distribution within a certain population [1, 2]. SSMs provide a method to quantify the shape of an object using only a limited 56 57 number of parameters which then allows a three-dimensional (3D) morphometric analysis of an object using automatic shape annotation. Such annotated models then can be effectively used in 58 59 computer-aided orthopedic surgeries [3-5] or in pre-surgical planning [6-8] for fitting the patient's bone shape. Despite these facts, it is still not clear whether the use of such models has 60 improved clinical relevance in pre-surgical planning or treatment applications [9], specifically 61 62 for glenohumeral surgery planning.

For glenohumeral surgical procedures, surgeons typically rely on virtual palpations or anatomical 63 measures using medical images [10-14]. Recently, scapula SSMs are used in pre-surgery 64 65 planning to automatically determine anatomical measures of interest [15, 16]. However, SSMs can be effective only if they can improve clinically relevant measures. For the glenoid region, 66 four anatomical angle measures are frequently associated with the clinical assessment of the 67 shoulder pathology and frequently referred to by surgeons and clinicians. These include Critical 68 shoulder angle (CSA) [17], Glenoid inclination [18], Lateral acromion angle [19], and 69 70 Glenopolar angle [20, 21]. The classic metrics used to evaluate the computational robustness of the SSM (Specificity, generality, and compactness) [22, 23] do not necessarily guarantee the 71 desired accuracy in anatomical angle measurements that are clinically relevant [24]. 72 Furthermore, shape fitting algorithms typically use a certain set of anatomical landmarks during 73 the fitting process without considering the clinical relevance or efficacy of using such landmarks 74 75 sets.

76 The objective of this study was to illustrate a) whether an SSM augmented with anatomical 77 landmarks performs better fitting and provides improved clinical relevance over non-augmented SSM and b) which anatomical landmark sets provide best augmentation strategy. For the scope 78 of this study, two types of measures were evaluated 1) measure of the goodness of fit (three-79 dimensional distance errors) for predicting the glenoid region of scapular bone, and 2) measure 80 of accuracy to predict the anatomical angles associated with this region. We hypothesize that a 81 82 categorical landmark selection process based on the glenoid region as a region of interest would 83 improve the clinical relevance of the scapular SSM in terms of goodness of fit and anatomical angle predictions. Objectives of the study were achieved by comparing the use of non-augmented 84 85 SSM with three augmented SSMs for illustrating improvements in the two measures. One of the three augmented SSMs was proposed earlier [6] but whether it improves the overall measures of 86 87 clinical relevance in surgical planning of the glenoid region was not reported.

88

89 METHODS

Thirty-three dry scapulae bones were acquired from a local hospital's anatomy department. CT 90 scans were acquired using the SIEMENS SOMATOM Definition AS scanner (Siemens 91 Healthcare, Forchheim, Germany) with a resolution of 0.96mm X 0.96mm X 0.6mm. A 92 radiologist checked all the images for any signs of trauma (exclusion criteria). A scapula SSM 93 built with a set of 27 bones using previously published IMCP-GMM (Iterative Median Closest 94 Point-Gaussian Mixture Model) methodology [6, 25] was adopted in this study. This SSM will 95 be referred to as SSM_{non-augmented} throughout this study. Computational robustness of the SSM_{non-} 96 augmented has been reported earlier through the measures of generality, specificity, and 97

98 compactness [25]. Briefly, compactness measures dimensionality reduction and reports model's 99 ability to use as few shape parameters as possible to cover shape variability [23]. Generality 100 measures a model's ability to represent unseen instances of the class of object [23]. This property 101 highlights the capability of a model to fit to a new shape. Specificity measures the model's 102 ability to generate instances of the species of objects similar to those in the training set [23].

103

104 Augmented SSM creation for comparisons

To fulfill the objectives of the study, three augmented SSMs were created: aSSMproposed, 105 aSSM_{set1}, aSSM_{set2}. To create an augmented SSM, the SSM_{non-augmented} was supplemented with 106 additional set of 16 anatomical landmarks and their deformation field in the training dataset [6]. 107 The aSSM_{proposed} was augmented with a proposed set of 16 clinically relevant anatomical 108 landmarks to map scapular shape [6] with previously evaluated inter- and intra-observer 109 reliability for each landmark selection [6]. This landmark set consisted six anatomical landmarks 110 in the glenoid cavity region and four landmarks on the acromion region (Figure 1). To illustrate 111 the best augmentation strategy to improve fitting quality and clinical relevance, two more sets of 112 augmented SSMs (aSSM_{set1} and aSSM_{set2}) having 16 anatomical landmarks each were created 113 (Figure 1). Specifically, aSSM_{set1} landmarks were selected without considering the clinical 114 significance of their anatomical locations but covering the entire scapula shape (Figure 1). For 115 aSSM_{set2}, no anatomical landmarks were selected in the glenoid cavity region (as against six 116 landmarks in the *a*SSM_{proposed} and three landmarks in *a*SSM_{set1}) (Figure 1). 117

118

119

INSERT Figure 1 about here

120 Inter- and intra-observer reliability analysis for anatomical landmark selection for set1 and set2 was performed on all 27 internal instances by two independent observers. For the intra-observer 121 reproducibility evaluation, each observer repeated the landmark selection process two times per 122 set. A time interval of 60 to 72 hours was allowed to expire between the trials while the order of 123 instance selection was also randomized. Inter-observer reliability was defined by ICC, using a 124 two-way mixed effects (choice of observers) analysis of variance (ANOVA) [26]. Intra-observer 125 126 reproducibility was also defined by ICCs, using a two way ANOVA and considering the choice of the observer as fixed effects [26]. The standard error of measurement (SEM = SD * $\sqrt{(1-ICC)}$, 127 where SD is the standard deviation of the whole set of measures) was quantified for each set of 128 129 landmark measurements. All the ICCs were obtained using Statistica (StatSoft, Inc., Paris, France). 130

131

132 **Prediction error evaluation**

Prediction error was determined by fitting each of the augmented SSMs (aSSM_{proposed}, aSSM_{set1}, 133 and aSSM_{set2}) and SSM_{non-augmented} to six external scapulae (not used in SSM building) and 134 comparing the predicted shape with the original shape (manually segmented from the CT scans) 135 for fitting quality and predicting anatomical angle measures in the glenoid region. The glenoid 136 region of the scapula was identified by cutting the scapula through its surgical neck as previously 137 described [27, 28]. The capability of aSSM_{proposed} to fit to the glenoid region was compared with 138 aSSM_{set1} and aSSM_{set2} and SSM_{non-augmented}. A standard deformable model fitting algorithm (non-139 rigid iterative closest point) [29] was created in SCALISMO, an open source toolbox for creating 140 and evaluating statistical shape algorithms [30]. The algorithm was performed in three steps: 1) 141 Matching the mesh centroids of the mean shape of each SSM type under evaluation with each of 142

the external scapular shape, 2) Rigid alignment of each SSM type to each of the external scapular
shapes using the set of landmarks and fifteen iterations of rigid iterative closest point algorithm
[31], and 3) one-time non-rigid regression (non-rigid iterative closest point algorithm) to nonrigidly deform the rigidly aligned SSM to the external shape [31, 32].

Clinical relevance was individually sought in the measures of the goodness of fit and anatomical 147 angle predictions between the original glenoid region identified in the external scapulae and its 148 predicted counterpart. The goodness of fit was quantified using three distance measures (mean 149 distance, root mean square (RMS) distance, maximum (Hausdorff) distance [33]) and a similarity 150 151 measure (Dice coefficient). Four anatomical measures associated with glenoid region were also selected. These include 1) Critical shoulder angle [34, 35], 2) Glenoid inclination [18], 3) Lateral 152 acromion angle [36], and 4) glenopolar angle [37]. Differences between the original scapular 153 shape and the predicted shape for each of the measures described above were first determined for 154 each SSM type and termed as the prediction error. Prediction error for distance measures 155 obtained from SSM_{non-augmented}, aSSM_{set1}, and aSSM_{set2} was compared with aSSM_{proposed} using 156 paired student's T-tests. Prediction error for anatomical angle measures was qualitatively 157 compared using absolute mean differences. 158

159 **RESULTS**

160 Intra-observer reproducibility and inter-observer reliability

Both the observers successfully completed the reliability tests for anatomical landmark selection for both the sets ($aSSM_{set1}$, $aSSM_{set2}$). Moderate to excellent (ICC>0.73) intra- and interobserver reliability was found for all X, Y and Z coordinates (Annexure I - Table 1, Table 3, and Table 5). The ICC for inter-observer reliability ranged from 0.74 to 0.98 for all the coordinates (Annexure I - Table 1). The ICC for intra-observer reproducibility for all the observers ranged
from 0.79 to 0.96 for all the coordinates (Annexure I - Table 3 and Table 5). The SEM ranged
from 0.05mm to 0.39mm for all intra- and inter-observer measurements (Annexure I – Table 2,
Table 4, Table 6).

169

INSERT Figure 2 about here

170

171 Prediction error

The fitting algorithm was able to successfully deform each of the SSMs to the six external 172 scapular shapes (Figure 2). Prediction error for all the distance measures (goodness of fit) was 173 significantly lower for SSM_{non-augmented} than the three augmented SSMs (Figure 3) except for 174 175 Hausdorff distance. Dice coefficient was significantly higher (0.78) for aSSM_{proposed} compared to all other SSM types (Figure 3). Prediction error for anatomical angles was lowest using the 176 $aSSM_{proposed}$ for critical shoulder angle (3.4°), glenoid inclination (2.6°), and lateral acromion 177 angle (3.2°) (Table 1, Table 2, and Table 3). Whereas, for the glenopolar angle, the absolute 178 mean difference was lowest using 179 SSM_{non-augmented}

180 (1.5°) (Table 4).

INSERT Figure 3 about here

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182

183 **DISCUSSION**

184 This preliminary study highlighted the importance of using the scapula SSM augmented with 185 categorically selected anatomical landmarks for the glenoid region, in pre-surgery planning tools. The results of this study reported that $SSM_{non-augmented}$ performed better in the goodness of fit measures whereas $aSSM_{proposed}$ performed better in determining anatomical angle measures that are clinically relevant. In doing so, this study also illustrated improvements in anatomical angle predictions when mapping of the glenoid region by anatomical landmarks was increased stepwise from landmark set 2 (no glenoid landmarks) to set 1 (three glenoid landmarks) and to proposed set (six glenoid landmarks).

Results of ICCs for landmark selection achieved similar levels for all the three landmark sets, which provided another indirect reliability measure. Also, both the reliability measures were lower for landmarks that were not anatomically defined (landmarks 8, 10, and 15 in set1 or landmarks 3, 5, 7, 9, and 10 in set2). Thus, we do not recommend selecting these landmarks when creating an augmented SSM.

197 The significantly higher levels of goodness of fit measures using SSM_{non-augmented} can be attributed to the model fitting process. The non-rigid deformation step (step 3) was aimed at 198 finding the closest shape variation of the SSM to the target external shape. During this step, the 199 landmarks used for the rigid alignment in step 2 of the process were used to compute a 200 conditional distribution of the shape and subsequently build a posterior shape model that 201 202 represents the original SSM [38]. While using non augmented SSM, we can choose any or all mesh points of the mean mesh of the SSM_{non-augmented} to create this conditional distribution. For 203 the purpose of this study, we used all the mesh points to build the posterior model. Thus, the 204 overall goodness of fit (mean error, RMS error, Hausdorff distance, and Dice score) was better 205 using non-augmented SSM. However, as hypothesized, this goodness of fit did not necessarily 206 reflect higher accuracy in predicting the anatomical angle measures. 207

208 Anatomical angles quantified in this study have been previously reported to have clinical 209 relevance during surgery (or surgery-planning). Higher CSA and Glenoid inclination angle are associated with osteoarthritis (OA) and rotator cuff tears and surgical aim is to reduce these 210 angles [17, 18]. Low lateral acromion angle is associated with full thickness supraspinatus tears 211 and surgical procedures avoid keeping this angle low post-surgery [19]. Glenohumeral 212 angulation deformities and shortening of the scapular neck are associated with scapular neck 213 214 fractures and assessed with glenopolar angle in AP radiographs [21, 37]. For the treatment of 215 extra-articular scapular neck fractures, most common recommendation is to keep glenopolar angle less than 20° [20, 39, 40]. Results of prediction error in determining anatomical angle 216 217 measures highlighted higher performance of the *a*SSM_{proposed} while revealing a pattern of fitting. For SSM_{non-augmented}, prediction errors were on both the negative and positive side of the original 218 angle value for all the angles. But for augmented SSMs, the glenoid inclination was almost 219 220 always overpredicted and the glenopolar angle was almost always underpredicted. This could be attributed to the position of landmarks in the augmented SSMs constraining the fitting in these 221 regions and making it over or under predict. 222

State-of-the-art glenoid pre-surgery planning tools incorporate automatic 3D reconstruction of medical images using scapula SSMs. The fitting algorithm uses intensity information or landmark information derived from images. In these cases, anatomical landmarks play a crucial role either by providing an initial alignment or generating a posterior model for a recursive fitting algorithm. The objectives and results of this preliminary study do not intend to prove that *a*SSM_{proposed} has sufficient accuracy for its use in a pre-surgical planning tool. However, it provides a clear distinction and a necessary rationale and validation for not relying only on the 230 goodness of fit or SSM robustness (generality, specificity, compactness) measures when using231 the SSM for pre-surgical planning.

232

This study posed certain limitations: 1) the sample sufficiency in building the scapula SSM with 27 dry bones was not evaluated, which could reflect in errors while fitting the SSM to new data. 2) prediction error and related clinical relevance was illustrated in only six external instances which may not cover all the variations of the glenoid region. Thus, further evaluations in the statistical stability of the SSM and completeness in terms of sample sufficiency are warranted.

238 PERSPECTIVES AND CONCLUSIONS

Evaluating the efficacy of the fitting algorithm was not in the scope of this study. Since similar 239 240 fitting algorithm and related parameters were used across the four SSM types in terms of initiation, level of fitting, and the number of vertices, the fitting errors were deemed equal and 241 not affecting the analysis. Future efforts will be focused on enhancing the accuracy of fitting 242 algorithms. Furthermore, checking the accuracy of partial or missing data was not in the scope of 243 this paper, however, the augmented SSM would be used in this context in future studies. In 244 conclusion, the utility of SSM for its use in clinical applications is an under-evaluated problem. 245 The goodness of fit and prediction errors in anatomical measures reported in this study presents 246 247 the rationale of using augmented SSMs in the clinical setting and has a direct correlation with clinical accuracy. This study also lays a foundation for the development of an accurate and 248 reliable methodology for the automatic segmentation of bone structures from medical images. 249

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- 253 Ethical approval: Not required

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369	Table 1: Prediction error in the critical shoulder angle in terms of individual angle differences
370	between angle obtained from the original shape and the angle predicted by each SSM type.

Anatomical Measure	Critical Shoulder Angle (°)								
Scapula Name	Original Scapula	SSM _{non-} augmented	Prediction error	aSSM proposed	Prediction error	aSSM _{set1}	Prediction error	aSSM _{set2}	Prediction error
Scap1	27.6	24.5	-3.1	26.0	-1.6	29.2	1.6	26.6	-1.0
Scap2	47.2	34.9	-12.3	35.9	-11.3	32.7	-14.5	33.1	-14.1
Scap3	27.7	32.7	5.0	28.4	0.7	29.0	1.3	28.3	0.6
Scap4	34.0	31.7	-2.3	32.7	-1.3	33.4	-0.6	31.9	-2.1
Scap5	36.6	33.5	-3.1	34.2	-2.4	33.1	-3.5	31.4	-5.2
Scap6	27.0	31.4	4.4	30.3	3.3	31.0	4.0	30.7	3.7
Mean Measure	33.35	31.45		31.25		31.40		30.33	
SD	7.17	3.32		3.39		1.80		2.22	
Absolute Mean Difference		5.03		3.43		4.25		4.45	
Min difference		2.30		0.70		0.60		0.60	
Max difference		12.30		11.30		14.50		14.10	

Table 2: Prediction error in the glenoid inclination angle in terms of individual angle differences
between angle obtained from the original shape and the angle predicted by each SSM type.

Anatomical Measure	Glenoid inclination (°)								
Scapula Name	Original Scapula	SSM _{non-} augmented	Prediction error	aSSM proposed	Prediction error	aSSM _{set1}	Prediction error	aSSM _{set2}	Prediction error
Scap1	68.0	73.7	5.7	71.0	3.0	69.0	1.0	71.3	3.3
Scap2	80.5	83.8	3.3	79.5	-1.0	83.6	3.1	83.3	2.8
Scap3	72.5	71.7	-0.8	73.0	0.5	74.4	1.9	78.9	6.4
Scap4	70.6	67.6	-3.0	74.6	4.0	79.8	9.2	80.3	9.7
Scap5	69.1	70.3	1.2	74.7	5.6	73.6	4.5	76.5	7.4
Scap6	73.6	71.8	-1.8	74.8	1.2	76.6	3.0	84.0	10.4
Mean Measure	72.38	73.15		74.60		76.17		79.05	
SD	4.09	5.11		2.57		4.65		4.30	
Absolute Mean Difference		2.63		2.55		3.78		6.67	
Min difference		0.80		0.50		1.00		2.80	
Max difference		5.70		5.60		9.20		10.40	

Table 3: Prediction error in the lateral acromion angle in terms of individual angle differencesbetween angle obtained from the original shape and the angle predicted by each SSM type.

Anatomical Measure	Lateral acromion angle (°)								
Scapula Name	Original Scapula	SSM _{non-} augmented	Prediction error	aSSM proposed	Prediction error	aSSM set1	Prediction error	aSSM set2	Prediction error
Scap1	93.8	99.9	6.1	87.0	-6.8	88.2	-5.6	100.0	6.2
Scap2	82.2	86.7	4.5	84.6	2.4	87.1	4.9	88.8	6.6
Scap3	76.6	81.3	4.7	80.2	3.6	86.5	9.9	86.9	10.3
Scap4	76.1	81.8	5.7	78.6	2.5	81.5	5.4	85.1	9.0
Scap5	85.5	82.2	-3.3	87.1	1.6	88.3	2.8	83.6	-1.9
Scap6	89.1	83.7	-5.4	86.4	-2.7	83.3	-5.8	87.9	-1.2
Mean Measure	83.88	85.93		83.98		85.82		88.72	
SD	6.39	6.50		3.37		2.55		5.33	
Absolute Mean Difference		4.95		3.27		5.73		5.87	
Min difference		3.30		1.60		2.80		1.20	
Max difference		6.10		6.80		9.90		10.30	

Table 4: Prediction error in the glenopolar angle in terms of individual angle differences

411 between angle obtained from the original shape and the angle predicted by each SSM type.

Anatomical Measure	Glenopolar angle (°)								
Scapula Name	Original Scapula	SSMnon- augmented	Prediction error	aSSM proposed	Prediction error	aSSM set1	Prediction error	aSSM set2	Prediction error
Scap1	36.6	37.5	0.9	34.5	-2.1	38.2	1.6	34.9	-1.7
Scap2	47.4	42.4	-5.0	42.2	-5.2	37.7	-9.7	37.8	-9.6
Scap3	39.2	38.8	-0.4	36.9	-2.3	36.9	-2.3	32.8	-6.4
Scap4	44.2	44.1	-0.1	38.0	-6.2	34.4	-9.8	32.6	-11.6
Scap5	43.6	41.4	-2.2	36.1	-7.5	39.3	-4.3	35.7	-7.9
Scap6	39.5	39	-0.5	36.2	-3.3	34.8	-4.7	29.4	-10.1
Mean Measure	41.75	40.53		37.32		36.88		33.87	
SD	3.64	2.29		2.42		1.77		2.66	
Absolute Mean Difference		1.52		4.43		5.40		7.88	
Min difference		0.10		2.10		1.60		1.70	
Max difference		5.00		7.50		9.80		11.60	

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Figure 1: Three landmark sets used for augmenting the scapula SSM. Each landmark set contains 16 anatomically placed landmarks. First column shows proposed landmark set with six landmarks mapping the glenoid cavity and four mapping the acromion. Second column shows Set1 landmarks with three landmarks mapping the glenoid cavity and rest of them mapping the scapular edges. Third column shows Set2 landmarks with no landmarks in the glenoid cavity region.

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Figure 2: Sample goodness of fit in the glenoid region for three augmented SSMs. Red color
indicates original shape while the transparent green color indicates predicted shape after
performing one-time non-rigid deformation for each augmented SSM. Two views for each fit are
shown for each fitting where: A) Fitting result for *a*SSM_{proposed}, B) Fitting results for *a*SSM_{set1},
and C) Fitting results for *a*SSM_{set2}.

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Figure 3: Comparing the four SSMs (non-augmented SSM, augmented SSM proposed, augmented SSM set1, and augmented SSM set2) for their fitting quality to predict the glenoid region. The graph shows the performance of each SSM type quantified using the mean measures of distance and similarity from six external scapulae. Error bars on each column indicate +/-1 SD from the mean value. Significance was established when $p \le 0.05$ and indicated using * above the bar graph. RMS: Root Mean Square distance, Hausdorff: Hausdorff distance metric used to report maximum distance between original and predicted shapes [33].









