

Feasibility of an alternative method to estimate glenohumeral joint center from videogrammetry measurements and CT/MRI of patients

Ehsan Sarshari^{a,b}, Matteo Mancuso^c, Alexandre Terrier^b, Alain Farron^d,
Philippe Mullhaupt^{a,*}, Dominique Pioletti^b

^a*Automatic Control Laboratory, Ecole Polytechnique Fédérale de Lausanne (EPFL),
Station 9, CH-1015 Lausanne, Switzerland*

^b*Laboratory of Biomechanical Orthopedics, Ecole Polytechnique Fédérale de Lausanne
(EPFL), Switzerland*

^c*Laboratory of Movement Analysis and Measurement, Ecole Polytechnique Fédérale de
Lausanne (EPFL), Switzerland*

^d*Service of Orthopaedic Surgery and Traumatology, Lausanne University Hospital and
University of Lausanne (CHUV), Switzerland*

Abstract

Videogrammetry is commonly used to record upper limb motions. However, it cannot track the glenohumeral joint center (GH). GH is required to reconstruct upper limb motions. Therefore, it is often estimated by separately measuring scapula motions using scapular kinematics measurements-devices (SKMD). Applications of SKMD are neither straightforward nor always noninvasive. Therefore, this work investigates the feasibility of an alternative method to estimate GH from videogrammetry using a CT/MRI image of subject's glenohumeral joint and without requiring SKMD. In order to evaluate the method's accuracy, its GH estimations were compared to reference GH trajectories. The method was also applied to estimate scapula configurations and reconstruct an abduction motion measured by videogrammetry. The accuracy of GH estimations were within 5 mm, and the reconstructed motion was in excellent agreement with reported *in vivo* measurements.

Keywords: upper limb kinematics, glenohumeral joint center, videogrammetry, multi-segment optimization, scapular kinematics

1. Introduction

2 Videogrammetry tracks trajectories of skin-fixed markers placed on palpa-
3 ble bony landmarks [49]. It is not possible to palpate and measure GH using

*Corresponding author.

Email address: philippe.muellhaupt@epfl.ch (Philippe Mullhaupt)

4 videogrammetry. However, GH is required to reconstruct upper limb motions
5 [27, 37].

6 Several methods have been developed to estimate GH, namely: formal [5,
7 12, 15, 17, 40, 50] and predictive methods [6, 26, 33, 39]. Formal methods
8 estimate GH by finding either the closest point to all humerus instantaneous
9 helical axes [5, 12, 40, 50] or the center of a sphere passing through humerus
10 markers [15, 17]. Predictive methods estimate GH either through regressive
11 equations between scapula markers and GH [6, 26, 33] or generic offsets from
12 scapula markers [6, 39]. Formal methods estimate GH more accurately and
13 are preferred over predictive methods whose accuracy drops significantly during
14 arm motions [6, 12]. However, the main limitation of formal methods is their
15 dependency on SKMD.

16 Due to soft tissue artifacts only two landmarks, angulus acromialis (AA) and
17 acromioclavicular (AC), of the scapula can be practically tracked by videogram-
18 metry [24, 31]. SKMD is therefore used to measure scapula motions. Several
19 SKMD have been proposed, including intracortical bone-fixed pins [22], regres-
20 sive equations [8–10, 16, 18, 19], scapula locator fixtures [32, 36], and acromion
21 markers-tree [45]. However, applications of SKMD are neither straightforward
22 nor always non-invasive.

23 Therefore, this study aims at investigating the feasibility of an alternative
24 method to estimate GH from videogrammetry using a CT/MRI of subject’s
25 glenohumeral joint and without requiring SKMD. Provided GH estimations,
26 trigonum scapulae (TS) and angulus inferior (AI) of scapula are consequently
27 estimated defining the scapula configurations. The method’s accuracy is evalu-
28 ated by comparing its GH estimations to reference GH trajectories. The method
29 is then applied to reconstruct an abduction motion measured by videogramme-
30 try and compare the reconstructed motion to reported *in vivo* measurements.

31 2. Methods

32 2.1. Kinematic model

33 A kinematic model of the upper limb is developed from MRI scans (T1-
34 weighted sequences, 3-T, 0.9 mm isotropic spatial resolution) of the hemi-thorax
35 of a healthy male subject (29 year, 186 cm, 85.5 Kg) (Fig. 1a). It consists of
36 six rigid bodies: thorax, clavicle, scapula, humerus, ulna, and radius (rigidly
37 tied with hand). It has five joints, including three ball-and-socket joints for
38 sternoclavicular (SC), acromioclavicular (AC), and glenohumeral (GH) joints
39 and two hinge joints for humeroulnar (HU) and radioulnar (RU) joints (Fig.
40 1b,c). Two holonomic constraints restrict TS and AI to glide over ribcage. This
41 results in nine degrees of freedom. Fourteen bony landmarks are identified from
42 the MRI scans to define bone-fixed frames and joints coordinates following ISB
43 recommendations [51]. The landmarks are: incisura jugularis (IJ), processus
44 xiphoideus (PX), 7th cervical vertebra (C7), 8th thoracic vertebra (T8), SC, AC,
45 AA, TS, AI, GH, humerus medial epicondyle (EM), humerus lateral epicondyle
46 (EL), radial styloid (RS), and ulnar styloid (US). Given that the GH is not a

47 bony landmark, its position is defined as the center of a sphere fitting the glenoid
 48 fossa [47]. To this end, a MATLAB (The MathWorks, Natick, MA, USA) routine
 49 [44] is used to fit a sphere on the fossa surface obtained by segmentation of MRI
 50 in Amira (FEI Visualization Sciences Group, Bordeaux, France). Thorax is the
 51 inertial frame. Eleven generalized coordinates ($\mathbf{q} = [q_1 \dots q_{11}]^T$) are considered
 52 to uniquely define each joint configuration. Forward kinematic map (ξ) of the
 53 kinematic model defines inertial coordinates of the j^{th} landmark (\mathbf{x}_j) for given
 54 joint configurations (Eq. 1).

$$\begin{aligned} \xi : C_s \subset R^{11} &\mapsto W_s \subset R^3 \\ \xi(\mathbf{q}(t)) &= \mathbf{x}_j(t), \quad j = \{C7, \dots, \text{RS}\}_{1 \times 14} \\ \Phi_{\text{TS}}(\mathbf{q}(t)) &= 0 \\ \Phi_{\text{AI}}(\mathbf{q}(t)) &= 0 \end{aligned} \quad (1)$$

55 Where, C_s and W_s are coordinate and work spaces [42]. The holonomic con-
 56 straints ($\Phi_{\text{TS}} = 0$ and $\Phi_{\text{AI}} = 0$) represent kinematic relationships between
 57 scapula and thorax (Eq. 2). The constraints restrict TS and AI to always lie on
 58 two different ellipsoids approximating ribcage and the underlying soft tissues of
 59 each one of TS and AI.

$$\begin{aligned} \Phi_{\text{TS}}(\mathbf{q}(t)) &= ({}^t\mathbf{TS}(t) - {}^t\mathbf{e}_0)^T E_{\text{TS}} ({}^t\mathbf{TS}(t) - {}^t\mathbf{e}_0) - 1 = 0 \\ \Phi_{\text{AI}}(\mathbf{q}(t)) &= ({}^t\mathbf{AI}(t) - {}^t\mathbf{e}_0)^T E_{\text{AI}} ({}^t\mathbf{AI}(t) - {}^t\mathbf{e}_0) - 1 = 0 \end{aligned} \quad (2)$$

60 Where, the left-hand side subscript t denotes that the landmarks are in thorax
 61 frame. The centers of the two ellipsoids coincide and are at ${}^t\mathbf{e}_0$. **A single ellipsoid**
 62 **centered at ${}^t\mathbf{e}_0$ is first fitted to the ribcage. Then, starting from this ellipsoid,**
 63 **adjustments are made to fit one ellipsoid to AI and another ellipsoid to TS.** The
 64 ellipsoids including TS and AI have matrices E_{TS} and E_{AI} , respectively [25].

65 2.2. Estimation of GH

66 Ball-and-socket approximation of the glenohumeral joint implies that GH is
 67 a point shared between scapula and humerus (Fig. 2). Therefore, its positions
 68 as a point either on scapula or humerus should result in the same point in thorax
 69 frame (${}^t\mathbf{GH}$). This can be concisely written as

$$\underbrace{{}^t_h R(\alpha) {}_h\mathbf{GH} + {}^t\mathbf{EM}}_{{}^t\mathbf{GH} \text{ as a point on humerus}} = \underbrace{{}^t_s R(\beta) {}_s\mathbf{GH} + {}^t\mathbf{AC}}_{{}^t\mathbf{GH} \text{ as a point on scapula}} \quad (3)$$

70 Where, ${}^t_h R(\alpha)$ and ${}^t_s R(\beta)$ are rotation matrices from humerus and scapula frames
 71 to thorax frame defined in Eq. 4 using Rodrigues' rotation formula [1]. The
 72 left-hand side subscripts h and s specify that the landmarks are in humerus and
 73 scapula frames, respectively. Constants ${}_h\mathbf{GH}$ and ${}_s\mathbf{GH}$ are obtained from sub-
 74 ject's CT/MRI. From a CT of the subject to be studied ${}_{\text{CT}}\mathbf{GH}$, ${}_{\text{CT}}\mathbf{EM}$, ${}_{\text{CT}}\mathbf{EL}$
 75 that are the landmarks in the CT or MRI coordinate system can be obtained for
 76 a single arm configuration. Then, ${}_h\mathbf{GH}$ is defined as ${}_h\mathbf{GH} = {}^h_{\text{CT}}R {}_{\text{CT}}\mathbf{GH}$. The
 77 rotation matrix ${}^h_{\text{CT}}R$ from the CT or MRI coordinate system to the humeral

78 coordinate system is obtained following the ISB recommendations [51]. Simi-
 79 larly, ${}^s\mathbf{GH}$ is obtained as ${}^s\mathbf{GH} = {}^s_{CT}R ({}_{CT}\mathbf{GH} - {}_{CT}\mathbf{AC})$. The rotation matrix
 80 ${}^s_{CT}R$ from the CT or MRI coordinate system to the scapula coordinate system
 81 is obtained following the ISB recommendations.

$$\begin{aligned} {}^t_hR(\alpha) &= \mathbf{d}_h\mathbf{d}_h^T + \cos\alpha(I - \mathbf{d}_h\mathbf{d}_h^T) + \sin\alpha[\mathbf{d}_h] \\ {}^t_sR(\beta) &= \mathbf{d}_s\mathbf{d}_s^T + \cos\beta(I - \mathbf{d}_s\mathbf{d}_s^T) + \sin\beta[\mathbf{d}_s] \end{aligned} \quad (4)$$

82 Where, $\mathbf{d}_h = {}^t\mathbf{EM} - {}^t\mathbf{EL}$ and $\mathbf{d}_s = {}^t\mathbf{AC} - {}^t\mathbf{AA}$, and α and β are unknown
 83 rotation angles of humerus and scapula around \mathbf{d}_h and \mathbf{d}_s . The cross product
 84 matrices of \mathbf{d}_h and \mathbf{d}_s are denoted by $[\mathbf{d}_h]$ and $[\mathbf{d}_s]$, respectively.

85 Equation 3 can be solved for α and β for each frame of measurements us-
 86 ing nonlinear root-search methods (e.g. Matlab `fminsearch`). The resulting α
 87 and β provide two estimations for GH in thorax frame (${}^t\mathbf{GH}$). Given that the
 88 measured positions of AC, AA, EM, and EL are subject to soft-tissue artifacts,
 89 the resulting two estimations of ${}^t\mathbf{GH}$ might come apart. Therefore, the follow-
 90 ing optimization is casted to minimize the distance between the resulting two
 91 estimations by compensating effects of soft-tissue artifacts on EM and EL.

$$\begin{aligned} \min_{\boldsymbol{\mu}}. \quad & ({}^t\mathbf{GH}_{e_h}(\alpha, \boldsymbol{\mu}) - {}^t\mathbf{GH}_{e_s}(\beta))^2 \\ \text{s.t.} \quad & |\boldsymbol{\mu}| \leq C \end{aligned} \quad (5)$$

92 Where, ${}^t\mathbf{GH}_{e_h}$ and ${}^t\mathbf{GH}_{e_s}$ are the resulting estimations obtained through humerus
 93 and scapula frames, respectively. The decision variable $\boldsymbol{\mu}$ is a 3×1 vector added
 94 to \mathbf{d}_h to compensate soft-tissue artifacts. It is bounded by C to vary according
 95 to reported values for EM and EL soft-tissue artifacts ($C = 3$ cm [23]).

96 Estimated GH together with measured AC and AA provide three points
 97 on scapula. Therefore, TS and AI are readily estimated, given that they also
 98 belong to the same bone segment. The resulting GH, TS, and AI estimations
 99 are used in Section 2.3 to reconstruct the shoulder kinematics including scapula
 100 configuration.

101 It is worth noting that Eq. 3 has an intuitive geometrical interpretation. In
 102 fact, it estimates GH by intersecting four spheres centered at AC, AA, EM, and
 103 EL. Their radii can be defined from a single CT/MRI scan of the glenohumeral
 104 joint of the subject to be studied. This intersection can be defined using the
 105 intersection theory of quadric surfaces [25].

106 2.3. Multi-segment optimization

107 Multi-segment optimization finds joint angles (\mathbf{q}_i) for each frame of measure-
 108 ments (i) such that the overall distance between the measured markers (\mathbf{x}_{e_j})
 109 and their associating landmarks (\mathbf{x}_{m_j}) is minimized, while satisfying the for-
 110 ward kinematics map (Eq. 6). Estimations of GH, TS, and AI are considered

111 on behalf of their missing measured trajectories.

$$\begin{aligned}
 & \min_{\mathbf{q}_i} \quad \sum_j (\mathbf{x}_{m_{j,i}}(\mathbf{q}_i) - \mathbf{x}_{e_{j,i}})^T W (\mathbf{x}_{m_{j,i}}(\mathbf{q}_i) - \mathbf{x}_{e_{j,i}}) \\
 & \text{s.t.} \quad \Phi_{\text{TS}}(\mathbf{q}_i) = 0 \\
 & \quad \quad \Phi_{\text{AI}}(\mathbf{q}_i) = 0
 \end{aligned} \tag{6}$$

112 Where, $j = \{\text{C7}, \dots, \text{RS}\}_{1 \times 14}$, and W is a positive definite weighting-matrix
 113 that can be used to account for different amount of soft-tissue artifacts occur
 114 at each marker [2]. For simplicity, W is set to the identity matrix here. This
 115 optimization is a nonlinear programming problem [4] that can be solved using
 116 iterative methods e.g. Matlab `fmincon`.

117 2.4. Accuracy

118 A numerical method [21], called minimal coordinates approach, is used to
 119 virtually generate trajectories for all fourteen model’s landmarks during forward
 120 flexion. The minimal coordinates approach is indeed the only available method
 121 that can plan the upper limb motions **from a limited** measurement data [21].
 122 In the minimal coordinates approach, the shoulder girdle contact constraint is
 123 replaced by a novel parallel mechanism that results in a minimal set of gen-
 124 eralized coordinates. The resulting minimal coordinates are independent and
 125 considerably simplify motion planning. The accuracy of the minimal coordinates
 126 approach has been already investigated in [20] against *in vivo* measurements of
 127 [13]. An arm motion from the arm neutral position to 150° flexion is simulated
 128 using the minimal coordinates approach. **To this end, the scapular minimal**
 129 **coordinates corresponding to beginning and end of the motion are chosen as per**
 130 **[20] such that the model bony landmarks match the bony landmarks reported**
 131 **in [13] for only beginning and end of the motion. Until 30° arm elevation, the**
 132 **scapular minimal coordinates are kept constant at the values for the beginning**
 133 **and then are varied with a linear function of time until end of the motion. The**
 134 **definition of the arm minimal coordinates are trivial using a linear function of**
 135 **time until 150° flexion.** Eventually, GH of the virtually generated trajectories
 136 is considered as the reference GH (${}_t\mathbf{GH}_r$). Soft-tissue artifacts are numerically
 137 produced and added to the trajectories. Soft-tissue artifacts are defined accord-
 138 ing to [7, 43] as $a \sin \omega t + \phi$, where a lies between 1 cm to 3 cm, and ω and
 139 ϕ are smaller than 4 Hz and 2π , respectively. The resulting trajectories are
 140 considered as pseudo-measurements. The method is used to estimate GH from
 141 the pseudo-measurements.

142 The accuracy results are presented in terms of the distance d between esti-
 143 mated GH (${}_t\mathbf{GH}_e$) and ${}_t\mathbf{GH}_r$ for each frame of data.

144 2.5. Motion reconstruction from videogrammetry

145 Eleven bony landmarks are palpated using skin-fixed markers on the same
 146 subject, including IJ, PX, C7, T8, SC, AC, AA, EM, EL, RS, and US (Fig. 1d).
 147 The markers trajectories are recorded for 10 trials using an 8-camera VICON
 148 videogrammetry at 100 Hz, while the subject is performing an abduction motion

149 in scapula plane with a fully extended forearm. The recorded data of each trial
 150 is low-passed filtered [49]. Then, means and standard deviations (σ) of the
 151 filtered trajectories for the 10 trials are obtained.

152 The method is used to estimate GH and consequently TS and AI. Then,
 153 multi-segment optimization is used to reconstruct the motion in terms of the
 154 joints angles. Sensitivity of the joints angles ($\mathbf{q}(\Delta\mathbf{x})$) to markers variations
 155 around their means ($\Delta\mathbf{x}$) are also approximated by a first order approximation
 156 (Eq. 7) [14].

$$\mathbf{q}(\Delta\mathbf{x}) = \mathbf{q}^* + M^{-1}N\Delta\mathbf{x} + O(|\Delta\mathbf{x}|) \quad (7)$$

157 Where, \mathbf{q}^* is solution of the multi-segment optimization associated with mea-
 158 surements means. The matrices M and N are defined as follows.

$$M = \begin{bmatrix} \nabla^2 L & \nabla\Phi_{\text{TS}} & \nabla\Phi_{\text{AI}} \\ \nabla\Phi_{\text{TS}} & 0 & 0 \\ \nabla\Phi_{\text{AI}} & 0 & 0 \end{bmatrix}, \quad N = \left[-\frac{\partial}{\partial\Delta\mathbf{x}}(\nabla L) \quad -\frac{\partial\Phi_{\text{TS}}}{\partial\Delta\mathbf{x}} \quad -\frac{\partial\Phi_{\text{AI}}}{\partial\Delta\mathbf{x}} \right]^T \quad (8)$$

159 Where, L is Lagrangian of the multi-segment optimization (Eq. 6).

160 The results consist of eleven joints angles, including axial rotation, de-
 161 pression/elevation, protraction/retraction of SC, posterior/anterior tilt, down-
 162 ward/upward rotation, protraction/retraction of AC, axial rotation, adduc-
 163 tion/abduction, flexion/extension of GH, extension/flexion of HU, and prona-
 164 tion/supination of RU joints. Joints angles are presented in thorax frame along
 165 arm abduction angle, except for HU and RU joints, which are given with respect
 166 to their proximal joints. Angles sensitivities to $\pm 1\sigma$ markers variations are also
 167 illustrated.

168 3. Results

169 3.1. Accuracy

170 The distance d was less than 1 mm until 20% of arm flexion and reached 5
 171 mm at 60% of the movement (Fig. 3).

172 3.2. Motion reconstruction from videogrammetry

173 Clavicular elevation and retraction increased by 16° and 26° during arm
 174 elevation, despite its axial rotation, and were equally (about 13°) affected by
 175 landmarks variations (Fig. 4).

176 Scapular posterior tilt increased by 5° from an anteriorly tilted configuration.
 177 Scapular upward rotation increased from a neutral position to 30° . Scapular pro-
 178 traction decreased by 7° . The landmarks variations affected posterior/anterior
 179 tilt by 5° , downward/upward rotation by 13° , and protraction/retraction by 6° .

180 Humerus rotated externally by 49° from an internally orientated position.
 181 Abduction increased by 68° , and flexion increased by 30° . Axial rotation and
 182 adduction/abduction were almost 250% more sensitive to landmarks variations
 183 than flexion/extension angle.

184 Forearm flexed 6° from full extension, and RU supination increased by 9°
185 (palm of the hand faced anteriorly). Compared to other joint angles, forearm
186 illustrated the highest sensitivities to landmarks variations: (17° and 22° for
187 HU and RU joints, respectively).

188 4. Discussion

189 The aim of this study was to develop a method to estimate GH from videogram-
190 metry using a CT/MRI of subject’s glenohumeral joint and without requiring
191 SKMD. The method accuracy was verified, and the method was applied to re-
192 construct a videogrammetry-based measured motion.

193 The accuracy decreased towards the end of motion that could be associated
194 with increase in the simulated soft-tissue artifacts. The increasing trend consid-
195 ered for soft-tissue artifacts was consistent with previous *in vivo* observations
196 [7, 43]. Compared to the application of a reported predictive method [6] on the
197 same pseudo-measurements, GH estimation was improved around 85% with our
198 method. The choice of the predictive method [6] among the available predictive
199 methods in the literature could be justified by the following main reasons. First,
200 contrary to most of the predictive methods [33, 51], it did not require trajecto-
201 ries of TS or AI. Trajectories of TS and AI could be only either measured using
202 SKMD or estimated based on GH trajectories. Second, it was indeed among
203 the few predictive methods whose accuracy and inter-individual reliability have
204 been assessed against other established predictive methods [26, 33, 39, 51] as
205 well as *in vivo* GH measurements.

206 Application of the method to videogrammetry measurements followed by
207 multi-segment optimization provided joint angles that were consistent with re-
208 ported *in vivo* [28, 48] and numerical studies [34, 41].

209 Clavicular axial rotation was overlooked in our motion reconstruction, whereas
210 several *in vivo* studies reported 0° to 30° variations [28, 38]. Clavicular axial
211 rotation could be enforced using an extra constraint on q_1 in Eq. 6 [46]. How-
212 ever, given few weak muscles attached to the clavicle, underestimating its axial
213 rotation could only have negligible effects on musculoskeletal models outcomes
214 [35].

215 AC joint angles were in good agreement with *in vivo* measurements [28, 48]. Nor-
216 malized root mean square error (NRMSE) [30] between the estimated scapular
217 posterior/anterior tilt and the measurements of [48] and [28] were 0.99 and 0.91,
218 respectively. The NRMSE between the estimated scapular downward/upward
219 rotation and the measurements was consistent with the results of [48] (NRMSE
220 above 0.77). The zero downward rotation estimated by our model placed scapula
221 in a rest position for the beginning of motion and was commonly reported
222 [29, 34], although the angle reported in [28] was -16° . Estimated scapular pro-
223 traction/retraction was consistent with both *in vivo* measurements of [28, 48]
224 (NRMSE above 0.81).

225 The forearm joint angles had the highest sensitivities to variations in mark-
226 ers trajectories. This could be explained by propagation of the errors intro-
227 duced through proximal bone segments. The sensitivity analysis investigated

228 the sensitivity of the resulting joint angles to the recorded variations in markers
229 trajectories. Although this provided valuable information about the reliabil-
230 ity of the resulting joint angles, a more detailed sensitivity study was required
231 to investigate influences of positioning each individual marker. Provided this,
232 special attention could be paid to more robustly capture the trajectories of the
233 influential markers.

234 The effects of soft-tissue artifacts on GH estimations were compensated by
235 an optimization. The optimization accounted for merely EM and EL soft-tissue
236 artifacts, since AC and AA were subject to relatively negligible amount of soft-
237 tissue artifacts [3, 11, 34]. In addition, from a mathematical point of view, it
238 was possible to introduce a second decision variable into the optimization for
239 AC and AA soft-tissue artifacts. However, this could result in an indeterminate
240 optimization with infinite solutions. In order to uniquely solve this indetermi-
241 nate optimization, complementary information on the ratio of EM-EL to AC-
242 AA soft-tissue artifacts was required. Application of a cluster attached to the
243 humerus could potentially reduce the amount of soft-tissue artifacts, requiring
244 less correction from the optimization.

245 A major limitation of this study was that only one subject was recorded.
246 More subjects could allow a better evaluation of the method, specially its per-
247 formance in dealing with inter-individual differences. Given that the method re-
248 quired a CT/MRI scan of the subject’s glenohumeral joint, it could be expected
249 that the method inherently considered inter-individual differences. Another lim-
250 itation was the dependency of the method on subject’s CT/MRI. The CT/MRI
251 is often performed during subjects’ routine clinical examinations. Therefore, it
252 would not widely affect practical applications of the method for subject-specific
253 modeling. **Another potential limitation of the method could be due to the high**
254 **error sensitivity of the direction connecting EL and EM and/or AC and AA,**
255 **given the short distances between them. Therefore, special care was taken in**
256 **this study in placing the markers on these bony landmarks. In addition, an**
257 **additional marker on the Capitulum would help in compensating the error in**
258 **direction connecting EL and EM.**

259 The resulting GH estimations and scapula kinematics were compared to
260 those of a commonly used predictive method and *in vivo* measurements, re-
261 spectively. These partially confirmed the feasibility of the present method as
262 an alternative approach to estimate the GH and scapula kinematics without
263 SKMD. Indeed, direct comparisons of the method estimations with measure-
264 ments from SKMD such as scapula locator and acromion cluster could enrich
265 the confidence into the method estimations.

266 In conclusion, the method provided estimations for GH, TS, and AI with suf-
267 ficient accuracy using a CT/MRI scan of subject’s glenohumeral joint and with-
268 out requiring SKMD. Provided GH, TS, and AI estimations, a videogrammetry-
269 based measured motion was reconstructed using multi-segment optimization
270 which resulted in scapula configurations that were in good agreement with re-
271 ported *in vivo* measurements. **The developed method would be used to retro-**
272 **spectively study kinematics of a cohort of patients using a scaled-generic shoul-**
273 **der musculoskeletal model. A generic motion data would be scaled to each one**

274 ~~of the patients whose CT/MRI were available as a part of their routine clinical~~
275 ~~examination. In such retrospective studies that access to the patients and~~
276 ~~performing patient specific kinematic measurements with SKMD could face dif-~~
277 ~~ficulties, the developed method would be considered as an alternative solution,~~
278 ~~despite its limitations.~~

279 Acknowledgment

280 This project was supported by the Swiss National Science Foundation [143704].

281 References

- 282 [1] Baruh, H., 1999. Analytical dynamics. WCB/McGraw-Hill Boston.
- 283 [2] Begon, M., Dal Maso, F., Arndt, A., Monnet, T., 2015. Can optimal marker
284 weightings improve thoracohumeral kinematics accuracy? *Journal of biomechanics* 48 (10), 2019–2025.
285
- 286 [3] Blache, Y., Dumas, R., Lundberg, A., Begon, M., 2017. Main component of soft
287 tissue artifact of the upper-limbs with respect to different functional, daily life
288 and sports movements. *Journal of biomechanics* 62, 39–46.
- 289 [4] Boyd, S., Vandenberghe, L., 2004. Convex optimization. Cambridge university
290 press.
- 291 [5] Camomilla, V., Cereatti, A., Vannozzi, G., Cappozzo, A., 2006. An optimized
292 protocol for hip joint centre determination using the functional method. *Journal*
293 *of biomechanics* 39 (6), 1096–1106.
- 294 [6] Campbell, A., Lloyd, D., Alderson, J., Elliott, B., 2009. Mri development and
295 validation of two new predictive methods of glenohumeral joint centre location
296 identification and comparison with established techniques. *Journal of biomechanics* 42 (10), 1527–1532.
297
- 298 [7] Cheze, L., Fregly, B., Dimnet, J., 1995. A solidification procedure to facilitate
299 kinematic analyses based on video system data. *Journal of biomechanics* 28 (7),
300 879–884.
- 301 [8] De Groot, J., Brand, R., 2001. A three-dimensional regression model of the shoul-
302 der rhythm. *Clinical Biomechanics* 16 (9), 735–743.
- 303 [9] de Groot, J. H., Valstar, E. R., Arwert, H. J., 1998. Velocity effects on the
304 scapulo-humeral rhythm. *Clinical Biomechanics* 13 (8), 593–602.
- 305 [10] Dickerson, C. R., Chaffin, D. B., Hughes, R. E., 2007. A mathematical muscu-
306 loskeletal shoulder model for proactive ergonomic analysis. *Computer methods in*
307 *biomechanics and biomedical engineering* 10 (6), 389–400.
- 308 [11] Duprey, S., Naaim, A., Moissenet, F., Begon, M., Chèze, L., 2017. Kinematic
309 models of the upper limb joints for multibody kinematics optimisation: An
310 overview. *Journal of biomechanics* 62, 87–94.

- 311 [12] Ehrig, R. M., Taylor, W. R., Duda, G. N., Heller, M. O., 2006. A survey of
312 formal methods for determining the centre of rotation of ball joints. *Journal of*
313 *biomechanics* 39 (15), 2798–2809.
- 314 [13] El Habachi, A., Duprey, S., Cheze, L., Dumas, R., 2015. A parallel mechanism
315 of the shoulder—application to multi-body optimisation. *Multibody System Dy-*
316 *namics* 33 (4), 439–451.
- 317 [14] Fiacco, A. V., 1976. Sensitivity analysis for nonlinear programming using penalty
318 methods. *Mathematical programming* 10 (1), 287–311.
- 319 [15] Gamage, S. S. H. U., Lasenby, J., 2002. New least squares solutions for estimating
320 the average centre of rotation and the axis of rotation. *Journal of biomechanics*
321 35 (1), 87–93.
- 322 [16] Grewal, T.-J., Dickerson, C. R., 2013. A novel three-dimensional shoulder rhythm
323 definition that includes overhead and axially rotated humeral postures. *Journal*
324 *of biomechanics* 46 (3), 608–611.
- 325 [17] Halvorsen, K., 2003. Bias compensated least squares estimate of the center of
326 rotation. *Journal of Biomechanics* 36 (7), 999–1008.
- 327 [18] Högfors, C., Peterson, B., Sigholm, G., Herberts, P., 1991. Biomechanical model
328 of the human shoulder joint—ii. the shoulder rhythm. *Journal of biomechanics*
329 24 (8), 699–709.
- 330 [19] Holzbaur, K. R., Murray, W. M., Delp, S. L., 2005. A model of the upper extrem-
331 ity for simulating musculoskeletal surgery and analyzing neuromuscular control.
332 *Annals of biomedical engineering* 33 (6), 829–840.
- 333 [20] Ingram, D., 2015. Musculoskeletal model of the human shoulder for joint force
334 estimation.
- 335 [21] Ingram, D., Engelhardt, C., Farron, A., Terrier, A., Müllhaupt, P., 2016. Mod-
336 elling of the human shoulder as a parallel mechanism without constraints. *Mech-*
337 *anism and Machine Theory* 100, 120–137.
- 338 [22] Karduna, A. R., McClure, P. W., Michener, L. A., Sennett, B., 2001. Dynamic
339 measurements of three-dimensional scapular kinematics: a validation study. *Jour-*
340 *nal of biomechanical engineering* 123 (2), 184–190.
- 341 [23] Klopčar, N., Lenarčič, J., 2006. Bilateral and unilateral shoulder girdle kinematics
342 during humeral elevation. *Clinical Biomechanics* 21, S20–S26.
- 343 [24] Lempereur, M., Brochard, S., Burdin, V., Rémy-Néris, O., 2010. Difference be-
344 tween palpation and optoelectronics recording of scapular motion. *Computer*
345 *methods in biomechanics and biomedical engineering* 13 (1), 49–57.
- 346 [25] Levin, J. Z., 1979. Mathematical models for determining the intersections of
347 quadric surfaces. *Computer Graphics and Image Processing* 11 (1), 73–87.
- 348 [26] Lloyd, D., Alderson, J., Elliott, B., 2000. An upper limb kinematic model for the
349 examination of cricket bowling: A case study of mutiah muralitharan. *Journal of*
350 *sports sciences* 18 (12), 975–982.

- 351 [27] Lu, T.-W., O’connor, J., 1999. Bone position estimation from skin marker co-
352 ordinates using global optimisation with joint constraints. *Journal of biomechanics*
353 32 (2), 129–134.
- 354 [28] Ludewig, P. M., Phadke, V., Braman, J. P., Hassett, D. R., Cieminski, C. J.,
355 LaPrade, R. F., 2009. Motion of the shoulder complex during multiplanar humeral
356 elevation. *The Journal of Bone and Joint Surgery. American volume.* 91 (2), 378.
- 357 [29] MacLean, K. F., Chopp, J. N., Grewal, T.-J., Picco, B. R., Dickerson, C. R., 2014.
358 Three-dimensional comparison of static and dynamic scapular motion tracking
359 techniques. *Journal of Electromyography and Kinesiology* 24 (1), 65–71.
- 360 [30] MatlabDocumentation, 2012. Goodness of fit between test and reference data.
361 URL <https://ch.mathworks.com/help/ident/ref/goodnessoffit.html>
- 362 [31] Matsui, K., Shimada, K., Andrew, P. D., 2006. Deviation of skin marker from
363 bone target during movement of the scapula. *Journal of Orthopaedic Science*
364 11 (2), 180–184.
- 365 [32] McQuade, K. J., Smidt, G. L., 1998. Dynamic scapulohumeral rhythm: the effects
366 of external resistance during elevation of the arm in the scapular plane. *Journal*
367 *of Orthopaedic & Sports Physical Therapy* 27 (2), 125–133.
- 368 [33] Meskers, C., Van der Helm, F. C., Rozendaal, L., Rozing, P., 1997. In vivo esti-
369 mation of the glenohumeral joint rotation center from scapular bony landmarks
370 by linear regression. *Journal of biomechanics* 31 (1), 93–96.
- 371 [34] Naaim, A., Moissenet, F., Duprey, S., Begon, M., Cheze, L., 2017. Effect of
372 various upper limb multibody models on soft tissue artefact correction: A case
373 study. *Journal of biomechanics* 62, 102–109.
- 374 [35] Prinold, J. A., Masjedi, M., Johnson, G. R., Bull, A. M., 2013. Musculoskeletal
375 shoulder models: a technical review and proposals for research foci. *Proceedings*
376 *of the Institution of Mechanical Engineers, Part H: Journal of Engineering in*
377 *Medicine* 227 (10), 1041–1057.
- 378 [36] Prinold, J. A., Shaheen, A. F., Bull, A. M., 2011. Skin-fixed scapula trackers:
379 a comparison of two dynamic methods across a range of calibration positions.
380 *Journal of biomechanics* 44 (10), 2004–2007.
- 381 [37] Roux, E., Bouilland, S., Godillon-Maquinghen, A.-P., Bouttens, D., 2002. Evalua-
382 tion of the global optimisation method within the upper limb kinematics analysis.
383 *Journal of biomechanics* 35 (9), 1279–1283.
- 384 [38] Sahara, W., Sugamoto, K., Murai, M., Tanaka, H., Yoshikawa, H., 2007. The
385 three-dimensional motions of glenohumeral joint under semi-loaded condition
386 during arm abduction using vertically open mri. *Clinical Biomechanics* 22 (3),
387 304–312.
- 388 [39] Schmidt, R., Disselhorst-Klug, C., Silny, J., Rau, G., 1999. A marker-based mea-
389 surement procedure for unconstrained wrist and elbow motions. *Journal of Biome-*
390 *chanics* 32 (6), 615–621.

- 391 [40] Schwartz, M. H., Rozumalski, A., 2005. A new method for estimating joint pa-
392 rameters from motion data. *Journal of biomechanics* 38 (1), 107–116.
- 393 [41] Seth, A., Matias, R., Veloso, A. P., Delp, S. L., 2016. A biomechanical model of the
394 scapulothoracic joint to accurately capture scapular kinematics during shoulder
395 movements. *PloS one* 11 (1), e0141028.
- 396 [42] Siciliano, B., Khatib, O., 2008. *Springer handbook of robotics*. Springer Science
397 & Business Media.
- 398 [43] Taylor, W. R., Ehrig, R. M., Duda, G. N., Schell, H., Seebeck, P., Heller, M. O.,
399 2005. On the influence of soft tissue coverage in the determination of bone kine-
400 matics using skin markers. *Journal of Orthopaedic Research* 23 (4), 726–734.
- 401 [44] Terrier, A., Ston, J., Larrea, X., Farron, A., 2014. Measurements of three-
402 dimensional glenoid erosion when planning the prosthetic replacement of os-
403 teoarthritic shoulders. *The bone & joint journal* 96 (4), 513–518.
- 404 [45] van Andel, C., van Hutten, K., Eversdijk, M., Veeger, D., Harlaar, J., 2009.
405 Recording scapular motion using an acromion marker cluster. *Gait & posture*
406 29 (1), 123–128.
- 407 [46] van der Helm, F. C., Pronk, G. M., 1995. Three-dimensional recording and de-
408 scription of motions of the shoulder mechanism. *Journal of biomechanical engi-
409 neering* 117 (1), 27–40.
- 410 [47] Veeger, H., 2000. The position of the rotation center of the glenohumeral joint.
411 *Journal of biomechanics* 33 (12), 1711–1715.
- 412 [48] Warner, M., Chappell, P., Stokes, M., 2012. Measuring scapular kinematics during
413 arm lowering using the acromion marker cluster. *Human movement science* 31 (2),
414 386–396.
- 415 [49] Winter, D. A., 2009. *Biomechanics and motor control of human movement*. John
416 Wiley & Sons.
- 417 [50] Woltring, H., Huiskes, R., De Lange, A., Veldpaus, F., 1985. Finite centroid and
418 helical axis estimation from noisy landmark measurements in the study of human
419 joint kinematics. *Journal of biomechanics* 18 (5), 379–389.
- 420 [51] Wu, G., Van der Helm, F. C., Veeger, H. D., Makhsous, M., Van Roy, P., An-
421 glin, C., Nagels, J., Karduna, A. R., McQuade, K., Wang, X., et al., 2005. Isb
422 recommendation on definitions of joint coordinate systems of various joints for
423 the reporting of human joint motion—part ii: shoulder, elbow, wrist and hand.
424 *Journal of biomechanics* 38 (5), 981–992.

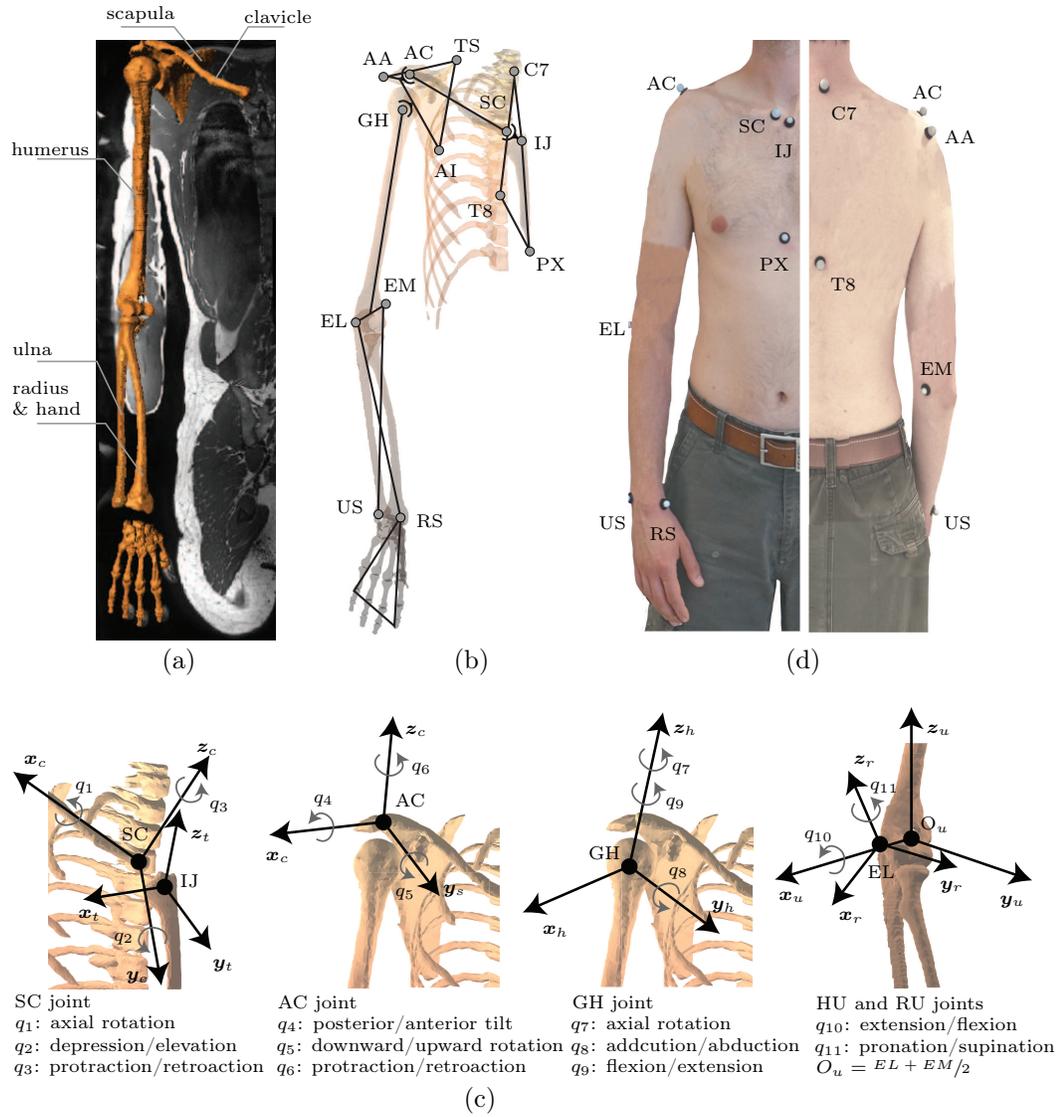


Figure 1: (a) Subject's MRI was used to develop the kinematic model. (b) Fourteen landmarks are considered. (c) Eleven generalized coordinates are considered ($\mathbf{q} = [q_1 \dots q_{11}]^T$). (d) VICON videogrammetry is used to track eleven skin-fixed markers.

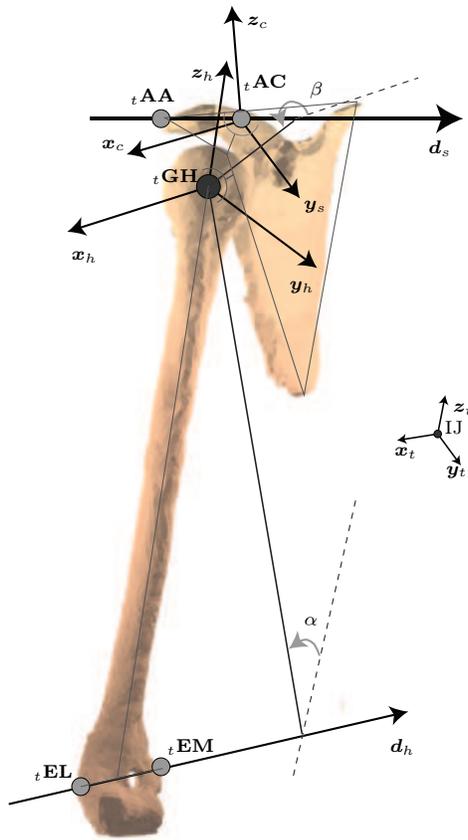


Figure 2: GH belongs to both humerus and scapula. The estimated ${}^t\mathbf{GH}$ lies on the intersection of two line segments in planes perpendicular to \mathbf{d}_h and \mathbf{d}_s . These two line segments form two angles (α and β) with respect to reference axes that can be found by solving Eq. 3.

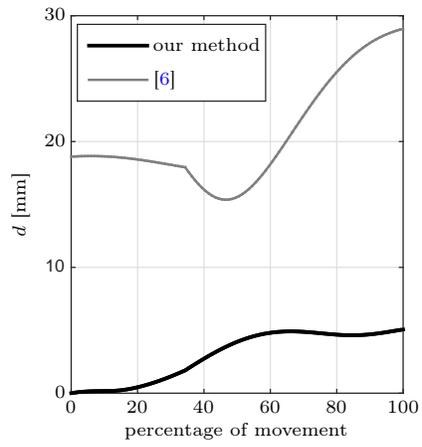


Figure 3: Method accuracy, distance d of the estimated GH to its reference position during arm flexion. The model developed in [6] was directly applied in this study to the same pseudo-measurements, and the corresponding results were presented.

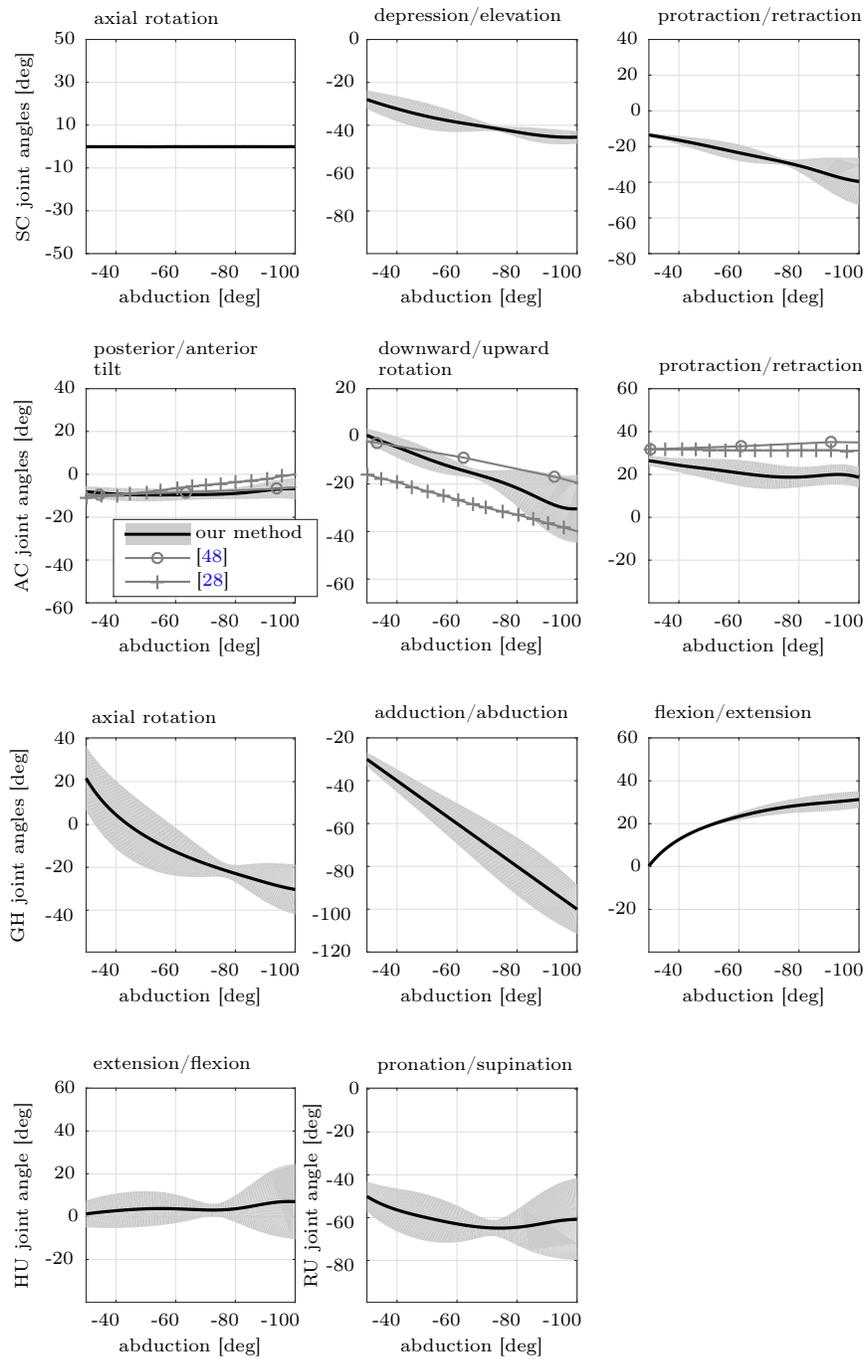


Figure 4: Motion reconstruction, the measured abduction motion was reconstructed in terms of 11 joint angles. The angles sensitivities to $\pm 1\sigma$ landmarks variations were presented as the shaded area. The AC joint angles measured *in vivo* by [28, 48] were also presented, given the importance of the scapula kinematics.