

1 **Assessment of the Glenohumeral joint's active and passive**
2 **axial rotational range**

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11 **Abstract**

12 **Background:** Assessment of the range of axial rotation of the Glenohumeral joint will
13 improve understanding of shoulder function, with applications in shoulder rehabilitation and
14 sports medicine. However, there is currently no complete description of motion of the joint.
15 The study aims to develop a reliable protocol to quantify the internal and external axial
16 rotations of the Glenohumeral joint during active and passive motion at multiple humeral
17 positions.

18 **Methods:** Optical motion tracking was used to collect kinematic data from 20 healthy
19 subjects. The humerus was positioned at 60°, 90° and 120° of humero-thoracic elevation in
20 the Coronal, Scapular and Sagittal planes. Internal and external rotations were measured at
21 each position for active and passive motion, where intra-subject standard deviations were
22 used to assess variations in internal-external rotations.

23 **Results:** The protocol showed intra-subject variability in the axial rotational range of less
24 than 5° for active and passive rotations at all humeral positions. Maximum internal rotation
25 was shown to be dependent on humeral position, where a reduced range was measured in the
26 Sagittal plane ($p < 0.001$) and at 120° elevations ($p < 0.001$). Conversely, maximum external
27 rotations were not affected by humeral position.

28 **Conclusion:** The results describe normal ranges of internal-external rotation of the
29 Glenohumeral joint at multiple humeral positions. The protocol's low variability means it
30 could be used to test whether shoulder pathologies lead to changes in axial rotational range at
31 specific humeral positions.

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33 **Keywords:** Glenohumeral joint, Kinematics, Shoulder, Reliability, Axial rotation, Active,
34 Passive

35

36 **Introduction**

37 The range of axial (internal-external) rotation of the Glenohumeral joint (GHJ) is important
38 in the assessment of shoulder function. For example, shoulder disorders such as posterior
39 impingement^{28,31,38}, instability^{8,20}, rotator cuff tears¹⁴ and SLAP lesions³⁹ exhibit increased
40 internal rotations and decreased external rotation. Axial rotations of the GHJ are also used as
41 an outcome measure in the evaluation of rehabilitation^{11,15,30} and assist in the diagnosis of
42 injuries and post-surgical outcomes such as rotator cuff repair¹⁴. Limitations to the range of
43 internal and external rotation of the GHJ have been shown to influence overhead sports
44 performance^{2,9,21} and ability to complete activities of daily living^{18,34}. Stability of the GHJ is
45 provided primarily by the muscles of the rotator cuff during active motion and by a
46 combination of capsular (ligamentous) and tendinous restraints during passive motion⁵. The
47 limits of normal motion of the joint are defined by both active and passive restraints, leading
48 to large variation in the range of axial rotation between individuals²⁵. These restraints are
49 susceptible to injury during maximum internal and external rotations³², where a greater range
50 of axial rotation of the GHJ can be associated with a greater risk of upper extremity
51 injury^{15,36}.

52 Clinical assessments of internal and external rotations aim to assess passive axial rotational
53 range of the GHJ by using the clinician's judgement to define the end range of motion.
54 However, this does not quantify the torque applied³⁸; meaning assessments are subjective and
55 have poor reproducibility⁶. Furthermore, the range of motion should be assessed at multiple
56 elevation angles and elevation planes as the range of axial rotation at different humeral
57 positions could be dependent on shoulder pathology. A number of studies in the literature
58 report the axial range of motion of the GHJ, showing that the range is dependent on the
59 elevation angle^{17,37}, elevation plane^{17,29,37} and form of motion (active and passive rotations)²⁹.
60 However, these previous studies have not provided a comprehensive description of the

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61 normal range of axial rotation of the GHJ during active and passive motion when the
62 humerus is positioned at multiple elevation angles and elevation planes.

63 The normal range of movement of the joint is currently not fully described for active and
64 passive motion, mainly due to the large range of motion and multiple degrees of freedom of
65 the shoulder. Previous studies have quantified the maximum humeral elevation in multiple
66 planes, showing that healthy participants can achieve elevations of over 120° relative to the
67 thorax^{1,17}. They have also shown significant interactions between the elevation angle of the
68 humerus and the angle of axial rotation, meaning the humeral elevation affects the internal
69 and external rotations of the shoulder¹⁷. The interaction between the degrees of freedom, the
70 translation of the scapula and soft tissue artefacts have led to large variations in the measured
71 internal and external rotations of the GHJ^{4,29}.

72 The study aims to establish the differences between active and passive axial rotational range
73 at multiple humeral elevation angles and elevation planes. Consequently, the study will
74 establish a baseline for the normal active and passive axial rotational range of the GHJ. To
75 measure the rotations of the shoulder, the study also develops an improved, protocol with low
76 variability for quantifying the axial rotational range of the GHJ.

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79 **Materials and Methods**

80 *Data collection*

81 This diagnostic study of the axial rotations of the GHJ in a non-pathological group was
82 granted ethics approval by the University of Surrey ethics committee and all subjects gave
83 informed consent.

84 Kinematic data of the scapula and humerus was collected from ten male and ten female
85 subjects (age: 27 ± 6 years; weight: 70 ± 18 kg; forearm length: 33 ± 7 cm) who had no history
86 of shoulder pathology or instability. Internal and external rotations of the GHJ were measured
87 for the subject's dominant arm as arm dominance has no significant effect on the axial
88 rotations of the GHJ in a non-pathological group^{4,32}. Internal-external rotations were
89 measured when the humerus was elevated at 60° , 90° and 120° in the Coronal, Scapular and
90 Sagittal planes relative to the thorax. The Scapular plane was defined as 30° anterior to the
91 Coronal plane. The order of humeral elevations and elevation planes used in the protocol was
92 randomised to avoid bias.

93 The experimental setup used in the study is shown in Figure 1. A tripod was used to maintain
94 the plane of elevation and humeral elevation angle during axial rotation of the humerus. A
95 splint was attached securely to the arm using Velcro straps which flexed the elbow at 90° to
96 allow the humero-thoracic elevation angle and elevation plane to be controlled and to ensure
97 passive and active rotations occurred along the axial rotation axis of the humerus. The tripod
98 supported the splint on a pin joint at the distal end of the humerus, ensuring the humerus' axis
99 of rotation passed through the GHJ. A three-point harness and lateral supports restrained the
100 thorax whilst the subject was seated. An inclinometer (SignalQuest, Lebanon, NH, USA),
101 attached to the splint was used to measure the angle of rotation about two axes, representing
102 the elevation angle and the axial rotation angle of the humerus, relative to the direction of
103 gravity ($\pm 3^\circ$). The inclinometer's measure of the elevation angle was displayed in real-time to

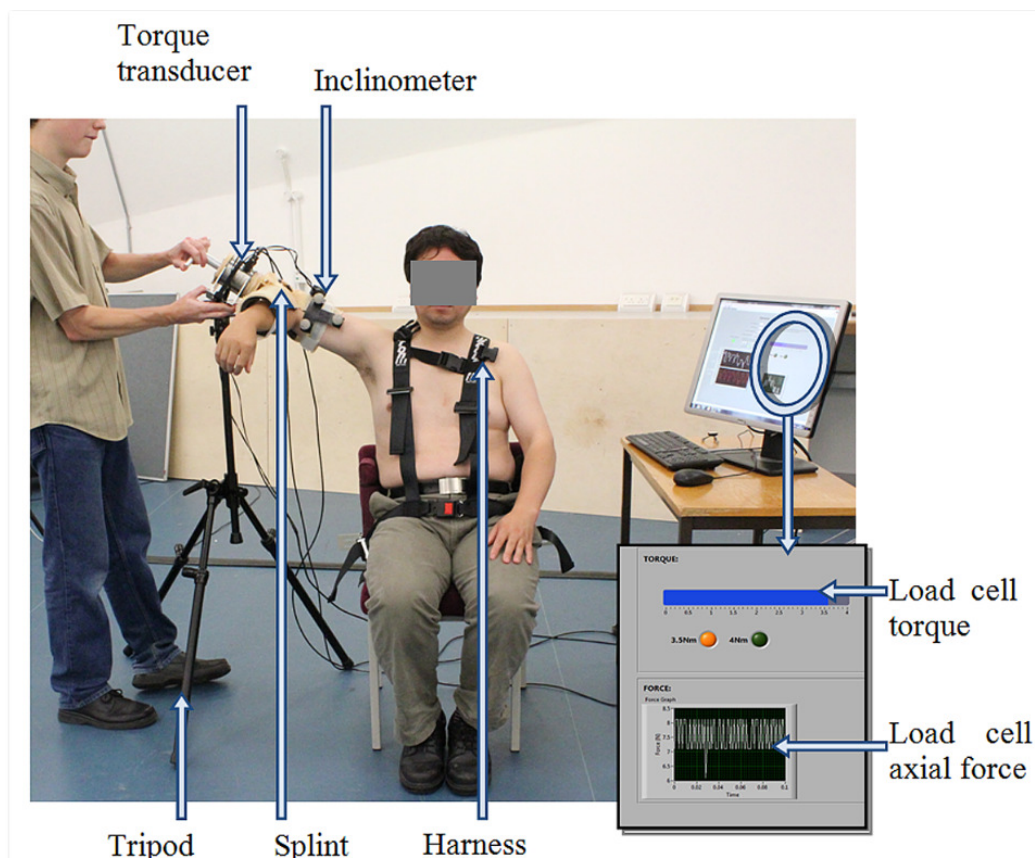
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104 allow the observer to set the humeral elevation to the required angle; whilst floor markers
105 were used to define the plane of humeral elevation.

106 At each humeral position, data was collected for three cycles of active and passive internal-
107 external rotation, starting with the forearm directed anteriorly. Subjects practiced internal and
108 external rotations at each humeral position before data was collected to precondition the
109 internal structures of the shoulder and thus reduce variability in the measured range³⁷.

110 During active rotations, subjects were instructed to rotate their arm as far as possible without
111 feeling discomfort. They selected a comfortable speed of active rotation at the start of the
112 protocol, which was maintained for all humeral positions using a metronome as a guide¹⁴.

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115 Figure 1: Data collection during passive axial rotations at 120 humeral elevation in the
116 coronal plane, showing manual torque application and the real-time display of the computed
117 torque applied to the humerus.

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119 Passive axial rotational range was evaluated when a torque of up to 4Nm was applied to the
120 humerus internally and externally in order to define a threshold value for the end range of
121 motion^{26,29}. The torque was applied manually and slowly increased from zero to 4Nm unless
122 the subject expressed discomfort, in which case the applied torque was not increased any
123 further. A load cell (Applied Measurements Ltd., Aldermaston, UK) attached to the distal end
124 of the splint was used to measure the applied torque. LabVIEW (National Instruments,
125 Newbury, UK) was used to compute the torque applied to the GHJ using the load cell
126 measurements and the inclinometer readings for the axial rotation angle to correct for the
127 torque caused by the weight of the forearm. The resulting torque was displayed in real-time in
128 LabVIEW (Figure 1) to allow the observer to view the torque applied at the GHJ, ensuring it
129 did not exceed the 4Nm threshold. The load cell also recorded the force applied along the
130 humeral axis, which was displayed in real-time to ensure the compressive force was minimal
131 (less than 0.3N); hence would not adversely affect the axial rotational range²⁷.

132 An optoelectronic system (Qualisys, Gothenburg, Sweden) consisting of 11 cameras, running
133 at 200 Hz, was used to track the motion of the scapula and humerus. Markers were placed at
134 palpated landmarks on the humerus and scapula during static subject calibration, allowing
135 their local coordinate systems to be defined⁴⁰. The glenohumeral centre of rotation was
136 estimated using least squares to define the humerus coordinate frame¹⁶. The scapula
137 landmarks were measured using the Scapula locator²⁴; whilst the motion of the scapula and
138 humerus were tracked using technical clusters. The scapula cluster was positioned at the
139 junction between the acromion and the scapula spine to minimise the effects of skin
140 artefact³⁵. The locations of the technical clusters were defined relative to the local coordinate
141 systems of the humerus and scapula at each humeral position^{13,33}.

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142 Following static calibration, data was collected during three cycles of internal and external
143 rotation of the humerus. Each cycle started from the neutral position when the forearm was
144 directed anteriorly in Coronal and Scapular plane movements or medially in the Sagittal
145 plane.

146 *Evaluating the variation in internal-external rotations*

147 The intra-subject standard deviations for the range of axial rotation were used to assess the
148 variation in the internal- external rotations. This was determined using the three repeat cycles
149 of internal-external rotation collected at each humeral position.

150 The intra-session and inter-session variability were also evaluated for the axial rotational
151 range. Data collection at each humeral position was repeated in the same session for ten
152 subjects at the end of the data collection protocol. This allowed the intra-session variability to
153 be quantified. The remaining ten subjects attended a repeat data collection session, two weeks
154 after their initial session. The protocol was repeated during the second session, allowing the
155 inter-session variability to be evaluated.

156 *The axial rotational range of the GHJ*

157 Angles of rotation of the humerus relative to the scapula were computed using Euler
158 sequence $YX'Y''^{40}$ to quantify the internal and external rotations of the GHJ, allowing the
159 active and passive motion to be compared at each humeral position. A three-factor repeated
160 analysis of variance (ANOVA) was used to establish if there were significant differences in
161 the internal and external rotations at different humeral elevations (60° , 90° and 120°),
162 elevation planes (Coronal, Scapular and Sagittal) and forms of motion (active and passive).
163 Where differences were found, a Posthoc test with Bonferroni correction was applied in order
164 to establish the significance of each of the independent factors. The significance level was set
165 at $p=0.05$.

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166 The humero-thoracic angles of axial rotation were also computed using Euler sequence
167 $YX'Y''$,⁴⁰, allowing the humero-thoracic and glenohumeral angles of rotation to be compared
168 in order to determine how the rotations of the scapula affected the quantified axial rotations
169 of the shoulder.
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172 **Results**

173 *Evaluating the variation in internal-external rotations*

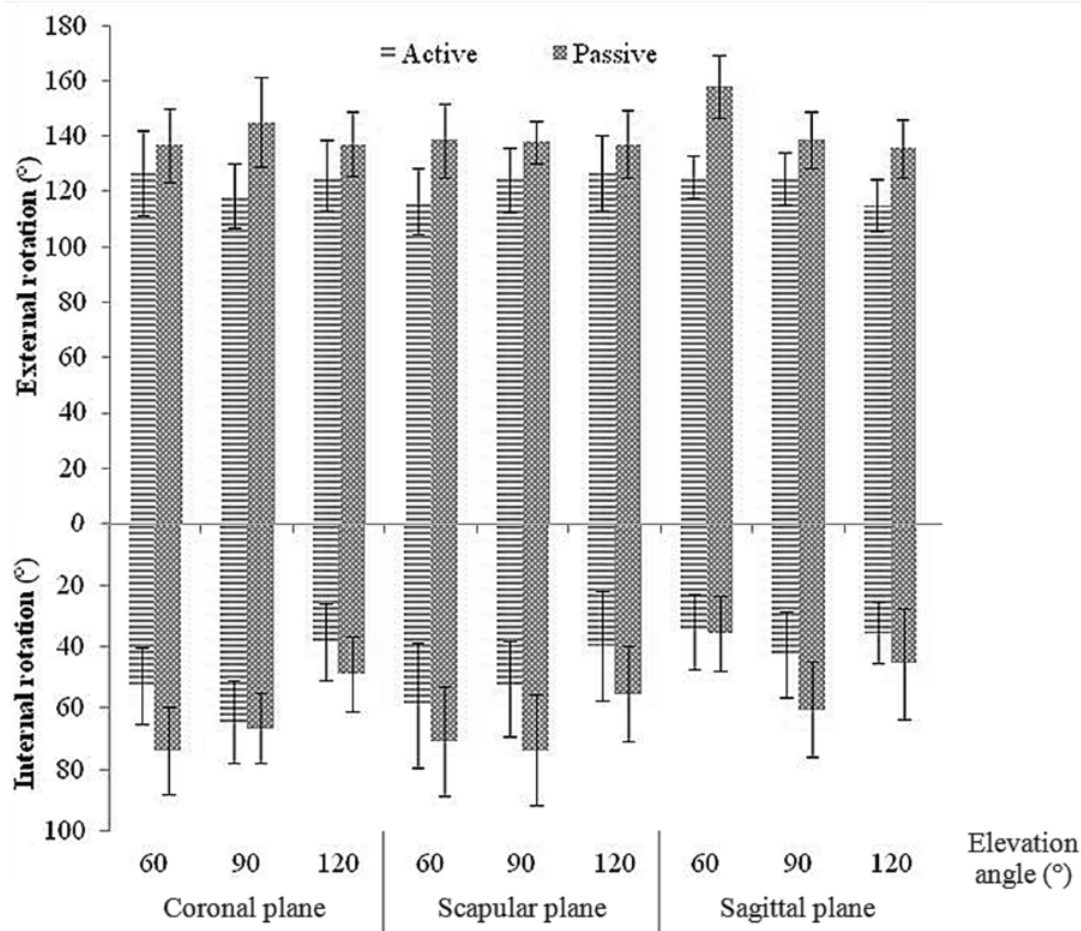
174 We developed a protocol to quantify active and passive axial rotations of the GHJ and
175 determined the effect of humeral plane and elevation angle on the range of axial rotation.
176 Intra-subject variability in the active axial rotational range was less than 5° and passive
177 rotational range was less than 4° for all humeral positions. The intra-session and inter-session
178 variability of the axial rotational range were also shown to be low as these were less than 6°
179 for active and passive rotations.

180 *The axial rotational range of the GHJ*

181 Assessment of the active and passive rotations illustrated how the internal and external
182 rotations were affected by the humeral elevation angle and plane. The results showed that the
183 axial rotational range at 120° elevation was significantly lower than at 60° and 90° elevations
184 ($p < 0.001$). The range was also significantly lower in the Sagittal plane ($p < 0.001$) compared
185 to the other two planes; whilst there was no significant difference between the range achieved
186 in the Coronal and Scapular planes. Furthermore, the passive axial rotational range was
187 shown to be significantly greater than the corresponding active rotation at all humeral
188 positions ($p < 0.001$), as illustrated in Figure 2.

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Axial rotations of the Glenohumeral joint



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191 Figure 2: A plot of the mean internal and external GHJ rotations for active and passive
 192 motion, with the intersubject standard deviations at each humeral position. Internal-external
 193 rotations are defined relative to the neutral position, when the forearm was directed anteriorly
 194 or medially.

195

196 Internal rotations of the GHJ were also shown to vary with humeral position, where these
 197 differences were comparable to those observed for the axial rotational range. The results
 198 showed that internal rotations in the Sagittal plane were significantly smaller than those in the
 199 Coronal and Scapular planes ($p < 0.001$); whilst there was no significant difference in the
 200 internal rotations achieved in the Coronal and Scapular planes. Furthermore, a significantly
 201 reduced internal rotation was achieved at 120° humeral elevation ($p < 0.001$); whilst there was
 202 no significant difference in the internal rotations achieved at 60° and 90° elevation.

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203 Furthermore, internal rotations achieved during passive motion were significantly greater
204 than those achieved during active motion ($p < 0.001$). This shows that the elevation plane,
205 elevation angle and motion (active and passive) have significant influence on the internal
206 rotation of the GHJ, which subsequently has a significant influence on the axial rotational
207 range. Maximum internal rotation at 60° humeral elevations in the Sagittal plane were
208 however not achieved whilst the subject was seated.

209 Conversely, humeral elevation plane and elevation angle were shown to have no significant
210 influence on the external rotation of the GHJ, although, passive rotations were shown to lead
211 to a significant increase in the external rotation compared to the active external rotation
212 ($p < 0.001$). A summary of the variation in internal and external rotations of the GHJ are
213 illustrated in Figures 2 and 3 and a summary of the p-values for the independent factors when
214 quantifying the axial rotational range are shown in Table I.

215 The motion of the scapula was shown to affect the quantified rotations of the shoulder, since
216 humero-thoracic internal rotations were more than 10° greater than the quantified
217 glenohumeral axial rotations ($p < 0.05$) at all humeral positions. Conversely, external rotations
218 were not affected by scapula motion as no significant differences were found ($p > 0.64$).

219

220 **Discussion**

221 Quantifying the internal and external rotations of the GHJ is important in order to improve
222 understanding of shoulder motion. This study develops a protocol with low variation to
223 quantify the axial rotational range of the GHJ to establish how humeral plane and elevation
224 angle affect the maximum internal and external rotations during active and passive motion.
225 The internal and external rotations quantified using the protocol are then used to describe the
226 normal range of motion of the GHJ.

227 *Evaluating the variation in internal-external rotations*

228 As the variability was less than 4% and 2% of the axial rotational range for active and passive
229 rotations respectively, the protocol can be considered reliable for quantifying the axial
230 rotational range of the GHJ. Internal rotations were however limited for all subjects in the
231 study when the humerus was elevated at 60° in the Sagittal plane as they were in the seated
232 position. Consequently, there was significantly lower variation and no considerable
233 difference between the active and passive internal rotations at this position. Similarly, internal
234 rotations at 90° elevation in the Sagittal plane were limited for two subjects as a result of
235 greater forearm length.

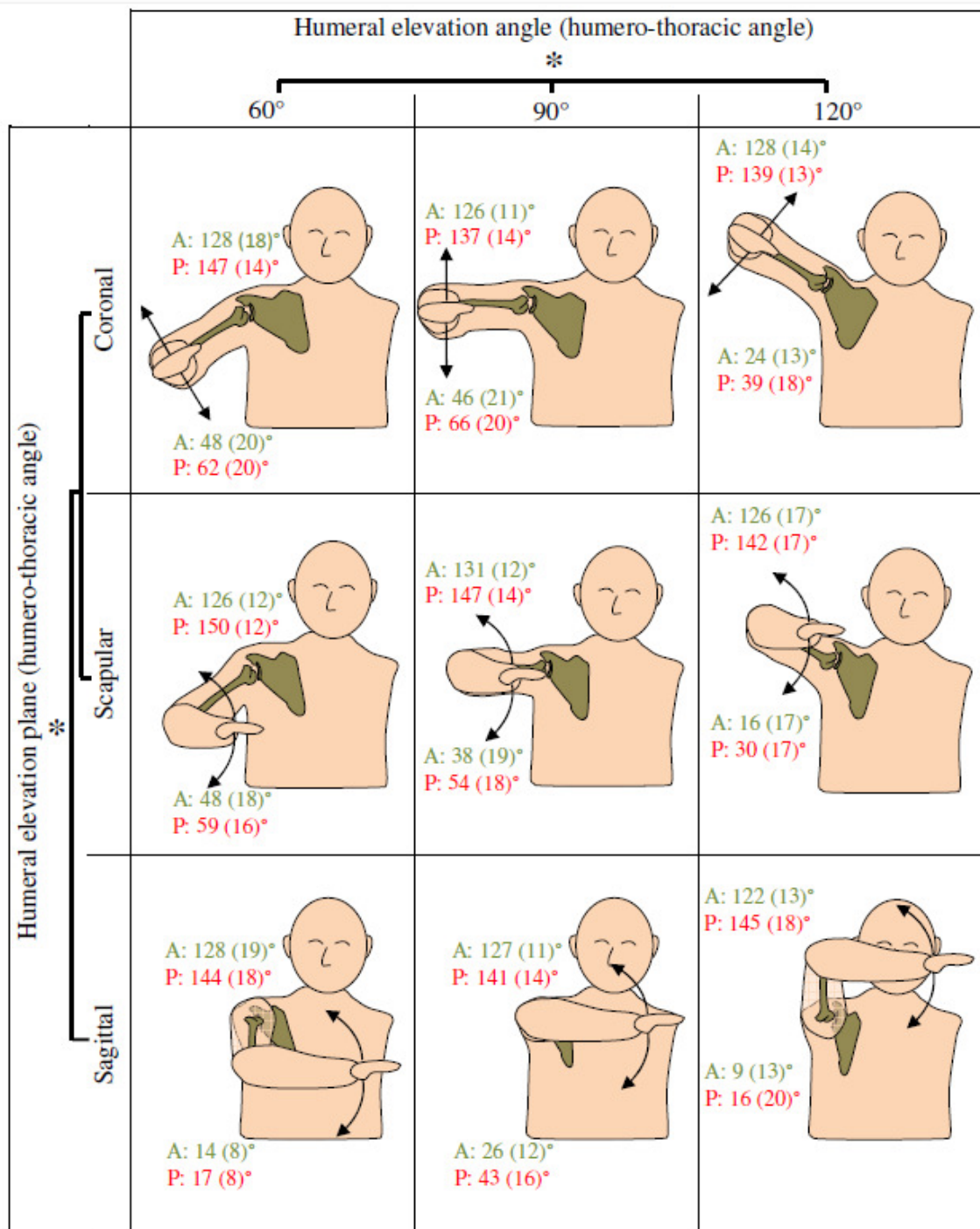
236 Most subjects were comfortable with 4Nm of torque application. One subject expressed
237 discomfort at 3.5Nm, although it was assumed the subject had achieved maximum rotation
238 when 3.5Nm was applied²⁶. However, one subject expressed discomfort at 2.5Nm when the
239 humerus was elevated at 120° in the Sagittal plane meaning this may have affected their
240 maximum internal and external rotations. Shoulder impingement could be a potential
241 contributor towards discomfort, meaning this observation could benefit clinical diagnosis of
242 shoulder disorders.

243 The variation in the internal-external rotations was reduced by re-calibrating the cluster
244 location at each humeral position, to account for the effects of skin artefact as the humeral

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245 elevation and plane angles were changed^{13,33}. The humeral cluster was attached to the rigid
 246 splint, which was securely strapped to the arm; this used the common assumption that the
 247 splint provided secure rotational stability³.

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250 Figure 3: An illustration of the average and intersubject variation of the maximum internal
 251 and external rotations of the GHJ for active and passive motion at each humeral position.
 252 Angles are defined as rotations of the humerus (relative to the scapula) from the neutral
 253 position (when the forearm was directed anteriorly or medially).

254

255 Table 1: P values for the independent factors in quantifying the maximum axial rotations of
 256 the GHJ

	Factor						
	Elevation	Plane	Motion	Plane × Elevation	Elevation × Motion	Plane × Motion	Plane × Elevation × Motion
Internal rotation	<0.001	<0.001	<0.001	<0.001	0.7	0.014	<0.001
External rotation	0.018	0.359	<0.001	<0.001	0.013	0.041	<0.001
Axial range	<0.001	<0.001	<0.001	0.001	0.066	0.092	0.046

257

258 The torque application during passive rotations further reduced the variation in the maximum
 259 internal-external rotation; whereas maximum active rotations were affected by the subject's
 260 perception of their maximum range. The reduced variability for passive rotations could be
 261 because the subject's muscles were relaxed. Although the muscle activity was not monitored
 262 during motion, subjects practiced passive internal-external rotation prior to data collection
 263 and were reminded to remain relaxed throughout the motion.

264 Subjects were seated during the protocol to allow the thorax to be restrained and humero-
 265 thoracic elevation and plane angle controlled. Restraining the thorax and controlling the
 266 position of the humerus reduced the degrees of freedom of the GHJ and was shown to
 267 significantly reduce the thorax translations and rotations; improving consistency and reducing
 268 variation in the quantified axial rotations of the GHJ. However, the restraint chair was shown
 269 to limit the maximum internal rotation at some humeral positions and the range of humero-
 270 thoracic elevation that could be achieved. This meant the humeral elevation angle could not

271 be less than 60°; whilst the range of motion of the shoulder meant the maximum elevation
272 that could be achieved in the three elevation planes was 130°¹⁷.

273 The protocol developed in this study could benefit clinical assessments, since the
274 inclinometer provides a simple, fast method of measuring the axial rotation and elevation of
275 the humerus relative to gravity. The kinematic data showed that the inclinometer defined the
276 elevation of the humerus to within 3° of the true humero-thoracic angle of elevation and
277 measured the range of axial rotation to within 3° of the true humero-thoracic angle of axial
278 rotation. The inclinometer's measurements relative to gravity were comparable to the
279 kinematic angles measured relative to the thorax as the lateral restraints maintained the thorax
280 position to within 3° in the medial-lateral direction and 1° in the anterior-posterior direction.
281 The setup would therefore enable both active and passive rotations to be assessed at multiple
282 humeral elevation angles and elevation planes, although the reliability of the setup in clinic
283 needs to be assessed. This could provide a novel approach to measuring the axial rotational
284 range of the humerus in clinic, allowing the range to be compared at multiple humeral
285 positions. It could therefore provide a technique for the assessment of shoulder disorders, as
286 specific pathologies could lead to differences in the normal range of axial rotation at specific
287 humeral positions.

288 *The axial rotational range of the GHJ*

289 The assessment of the active axial rotations of the GHJ illustrates that the range is
290 significantly influenced by the humeral plane and elevation angle¹⁷; which is also shown for
291 passive axial rotations. Previous studies have also reported that a reduced axial rotational
292 range is achieved in the Sagittal plane^{17,29} and at 120° humeral elevations^{17,37} and confirm
293 this is dominated by the angle of internal rotation. Meanwhile, McCully *et al.* confirm that
294 passive axial rotational range is greater than the corresponding active range²⁹.

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295 Clinical assessments of the shoulder measure the humero-thoracic angles of axial rotation,
296 meaning the measured axial rotations are affected by the translations and rotations of the
297 scapula. The results showed that the humero-thoracic internal rotations were significantly
298 greater than the quantified rotations of the GHJ, demonstrating how the motion of the scapula
299 enables a greater range of shoulder motion to be achieved²².

300 Although there are a relatively small number of participants in the non-pathological group,
301 this is shown to be comparable to previous studies investigating the kinematics of the
302 shoulder^{4,17}. Participants were however recruited from a younger age group, meaning the
303 range of motion baseline may not be able to be extrapolated to older age groups. The
304 quantified angles of axial rotation from the kinematic data were assumed to represent the true
305 angles of rotation of the humerus relative to the scapula, as skin artefact and translations and
306 rotations of the scapula were considered to have negligible effect on the measured rotations
307 of the GHJ following re-calibration of the marker locations at each humeral position.
308 Consequently, the kinematic data can be used to quantify the internal-external rotations of the
309 GHJ whose variation could be a result of differences in bony and ligamentous constraints. To
310 further develop understanding of the mechanisms responsible for limiting the axial rotations
311 of the GHJ, future studies should consider the capsular and ligamentous constraints of the
312 joint and quantify the axial rotations of the GHJ for specific shoulder pathological conditions,
313 such as rotator cuff injuries.

314 Rotator cuff muscle forces are primarily responsible for maintaining stability by compressing
315 the GHJ¹² during active rotations. This limits the translations of the humeral head on the
316 glenoid^{19,25}, meaning joint conformity is likely to limit the active axial rotational range.
317 During passive rotations the humeral head can translate on the glenoid at the extremes of
318 motion, allowing a greater axial rotational range to be achieved²⁵. Therefore, the length and
319 elasticity of the Glenohumeral ligaments^{10,25} and bony constraints such as the humeral

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320 tuberosity and the acromion^{1,7} are likely to limit the passive axial rotational range. These
321 constraints are also likely to affect the range that can be achieved at multiple humeral
322 positions. For example, the reduced passive axial rotational range at 120° humeral elevation
323 could be because shoulder ligaments are stretched more at higher elevations³⁷. Meanwhile,
324 the reduced active axial rotational range at higher humeral elevations could be due to joint
325 conformity and contact between the humeral tuberosity and the acromion¹. Similarly, the
326 reduced range of internal-external rotation in the Sagittal plane may be due to a reduced
327 contact area of articular cartilage at the GHJ²³. Consequently, differences in joint conformity
328 could lead to variation in active rotational range between individuals; whilst differences in
329 bone geometry and ligament length could be responsible for the variation in the passive
330 rotational range²⁵.

331

332 **Conclusion**

333 The protocol used in this study evaluates the axial rotational range of the GHJ with low
334 variation; providing a greater understanding of shoulder motion for a normal subject group
335 and how its range of motion is dependent upon humeral position during active and passive
336 motion. Quantifying the axial rotational range of the GHJ at multiple humeral positions
337 demonstrated that there were reduced internal rotations at higher humeral elevation angles;
338 whilst internal rotations were also significantly reduced in the Sagittal plane. The results of
339 the study can be used to describe the normal range of internal-external rotation of the GHJ in
340 a normal population. This benefits understanding of shoulder pathologies which affect the
341 structures of the shoulder, as these can affect the stability and range of the GHJ. Furthermore
342 the study proposes a method of assessing the axial rotational range of the GHJ in clinic,
343 providing a novel approach to diagnosing clinical disorders.

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