

Methodology and development of a machine learning probability calculator Data heterogeneity limits ability to predict recurrence after arthroscopic Bankart repair

the Machine Learning Consortium; al., et.

DOI [10.1002/ksa.12443](https://doi.org/10.1002/ksa.12443)

Publication date 2024

Document Version Final published version

Published in Knee Surgery, Sports Traumatology, Arthroscopy

Citation (APA)

the Machine Learning Consortium, & al., E. (2024). Methodology and development of a machine learning probability calculator: Data heterogeneity limits ability to predict recurrence after arthroscopic Bankart repair. Knee Surgery, Sports Traumatology, Arthroscopy. <https://doi.org/10.1002/ksa.12443>

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DOI: 10.1002/ksa.12443

SHOULDER

Methodology and development of a machine learning probability calculator: Data heterogeneity limits ability to predict recurrence after arthroscopic Bankart repair

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Funding information

This research received no specific grant from any funding agency in the public, commercial or not‐for‐profit sectors.

Abstract

Purpose: The aim of this study was to develop and train a machine learning (ML) algorithm to create a clinical decision support tool (i.e., ML‐driven probability calculator) to be used in clinical practice to estimate recurrence rates following an arthroscopic Bankart repair (ABR).

Methods: Data from 14 previously published studies were collected. Inclusion criteria were (1) patients treated with ABR without remplissage for traumatic anterior shoulder instability and (2) a minimum of 2 years follow‐ up. Risk factors associated with recurrence were identified using bivariate logistic regression analysis. Subsequently, four ML algorithms were developed and internally validated. The predictive performance was assessed using discrimination, calibration and the Brier score.

Results: In total, 5591 patients underwent ABR with a recurrence rate of 15.4% ($n = 862$). Age < 35 years, participation in contact and collision sports, bony Bankart lesions and full-thickness rotator cuff tears increased the risk of recurrence (all $p < 0.05$). A single shoulder dislocation (compared to multiple dislocations) lowered the risk of recurrence ($p < 0.05$). Due to the unavailability of certain variables in some patients, a portion of the patient data had to be excluded before pooling the data set to create the algorithm. A total of 797 patients were included providing information on risk factors associated with recurrence. The discrimination (area under the receiver operating curve) ranged between 0.54 and 0.57 for prediction of recurrence.

For affiliations refer to page 9.

Abbreviations: ABR, arthroscopic Bankart repair; ACL, anterior cruciate ligament; ALPSA, anterior labrum periosteal sleeve avulsion; AUC, area under the receiver operating curve; CI, confidence interval; GLAD, glenolabral articular disruption; GTF, greater tuberosity fracture; HAGL, humeral avulsion of the glenohumeral ligament; IGHL, inferior glenohumeral ligament lesion; ML, machine learning; OR, odds ratio; RCT, rotator cuff tear; ROC, receiver operator characteristic; SLAP, superior labrum from anterior to posterior; TRIPOD, transparent reporting of a multivariable prediction model for individual prognosis or diagnosis (TRIPOD).

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Conclusion: ML was not able to predict the recurrence following ABR with the current available predictors. Despite a global coordinated effort, the heterogeneity of clinical data limited the predictive capabilities of the algorithm, emphasizing the need for standardized data collection methods in future studies.

Level of Evidence: Level IV, retrospective cohort study.

KEYWORDS

arthroscopic Bankart repair, artificial intelligence, dislocation, machine learning algorithm, recurrence, shoulder instability

INTRODUCTION

Anterior shoulder dislocations are a common problem, with estimated rates in the United States of 0.24 per 1000 person-years [\[30, 50\]](#page-11-0). Determining the most appropriate treatment (e.g., conservative treatment, labral repair such as arthroscopic Bankart repair [ABR] or a bone block procedure) is critical to maximize the chances of success [7–[9,](#page-10-0) [48](#page-10-0)]. However, there is high heterogeneity and variation in evaluated risk factors between studies [[42, 45](#page-11-1)]. Taking these factors into account during the decision‐making process therefore remains challenging. Several tools have been created to guide physicians in clinical decision‐making, such as the ISIS score, but these tools do not provide a patient-specific probability [[3\]](#page-10-1). Furthermore, the ISIS score prediction tool, which assigns points based on age with a cut‐off value of 20 years indicating a decreased risk of recurrent dislocation, is likely too simplistic. This is because the risk of recurrence significantly decreases beyond 20 years of age [[11\]](#page-10-2). Recently, a prediction model was created to predict infection of tibial shaft fractures after intramedullary nailing based on patient‐specific factors using artificial intelligence [[17\]](#page-10-3). This innovative tool enables physicians to enter risk factors into an online machine learning (ML) driven probability calculator and get a patient‐specific probability of infection. ML (i.e., artificial intelligence) has proven to be useful as clinical prediction models in several other orthopaedic studies [[24, 27, 36\]](#page-10-4). As multiple events are needed per potential risk factor to acquire enough power for analysis, a large sample size is needed to build a patient‐specific algorithm to predict recurrent shoulder instability following a Bankart repair [[2\]](#page-10-5). Therefore, an algorithm built on multicenter cohorts is necessary to maximize generalizability.

The aim of this study was to develop and train an ML algorithm to create a clinical decision support tool (i.e., ML‐driven probability calculator) to be used in clinical practice to estimate recurrence rates following an ABR.

MATERIALS AND METHODS

Guidelines

This study was performed according to the TRIPOD statement and the Guidelines for Developing and Reporting Machine Learning Predictive Models in Biomedical Research: A Multidisciplinary View [[5, 16](#page-10-6)].

Outcome measures and definitions

The primary outcome measure was recurrent shoulder instability following primary ABR without remplissage with a minimum follow‐up of 2 years. Shoulder instability was defined as either a complete dislocation or subluxation [\[1](#page-9-0)]. Remplissage was excluded to focus solely on evaluating primary ABR, as including remplissage would increase heterogeneity.

Patient selection

Patients were selected from studies that evaluated risk factors for recurrence following ABR. Inclusion criteria were (1) patients treated with ABR without remplissage for traumatic anterior shoulder instability and (2) a minimum of 2 years follow‐up. Exclusion criteria include (1) patients who have undergone previous stabilization procedures and/or other surgical procedures than ABR to the ipsilateral shoulder and (2) patients with posterior, multidirectional or voluntary habitual instability. Relevant studies were identified up to September 2021 through a systematic approach searching the following databases using search terms described by Verweij et al.: PubMed, Embase/Ovid, Cochrane Database of Systematic Reviews/Wiley, Cochrane Central Register of Controlled Trials/Wiley, CINAHL/Ebsco, and Web of Science/Clarivate [\[45\]](#page-11-2). All authors of the relevant studies were contacted and asked to contribute by providing individual anonymized patient data. Ultimately, 14 out of 30 relevant studies provided their databases of patients treated between January 2000 and December 2020 (Table [1\)](#page-3-0) [[6, 14, 15, 19, 20,](#page-10-7) 31–[33, 37, 38, 43, 47, 49\]](#page-10-7).

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Abbreviations: ALPSA, anterior labrum periosteal sleeve avulsion; FU, follow‐up; GLAD, glenolabral articular disruption; GTF, greater tuberosity fracture; HAGL, humeral avulsion of the glenohumeral ligament; IGHL, אטטולאשונטוס. Aroneviations. Archeo, antenion rabitum periostea sieeve avuision, די כי השוטישיטן, שופווטומום a
inferior glenohumeral ligament; mo, months; n, number; RCT, rotator cuff tears; SLAP, superior labrum from ant inferior glenohumeral ligament; mo, months; n, number; RCT, rotator cuff tears; SLAP, superior labrum from anterior to posterior.

Data extraction

Variables that could be extracted from the fourteen provided databases included age, sex, type of sport, number of preoperative dislocations, anterior labrum periosteal sleeve avulsion (ALPSA), Bankart, glenolabral articular disruption (GLAD), Perthes, superior labrum from anterior to posterior (SLAP), greater tuberosity fracture, inferior glenohumeral ligament lesion (IGHL), humeral avulsion of the glenohumeral ligament (HAGL), bony Bankart and Hill −Sachs lesions, full and partial thickness rotator cuff tears (RCTs) and number of anchors. To create a high ‐quality algorithm, data re finement was necessary to include as many patients as possible whilst including as many clinically relevant variables as possible, all of which had to be present in every patient included in the algorithm. This re finement was achieved through discussions among the authors. Four categories of sports were included: no sport/no contact, contact sport (de fined as a sport where a person makes contact with people or objects constantly, with less force than collision sports including sports with high risk of hitting the ground or water with force, such as gymnastics and skiing), collision sport (de fined as a sport where a person purposely hits or collides with other people or objects with great force) and sports with overhead throwing (de fined as a sport where the person uses their upper arm and shoulder in an overhead movement to hit a ball toward the (opposing) team). Patients were classi fied in these di fferent sports categories either by the authors providing the database or the first author (S.H.S.) of the current study. A bony Bankart was de fined as a fracture of the glenoid involving the anterior labrum and glenoid rim [[34\]](#page-11-3). A Hill-Sachs lesion was defined as an impression fracture of the posterolateral humeral head [[34\]](#page-11-3). Subluxations were defined as the feeling of a dislocation that can be (spontaneously) reduced without the need for a radiographically confirmed dislocation [\[1\]](#page-9-0).

Identi fication of predictors using bivariate logistic regression analysis

To assess the association between predictors and recurrence, bivariate logistic regression analyses were performed. All variables provided by the authors with at least one event and non-event were included (age, sex, type of sport, number of preoperative dislocations, ALPSA, Bankart, GLAD, Perthes, SLAP, HAGL, bony Bankart and Hill-Sachs lesions, full and partial thickness RCTs and number of anchors) to determine the association with recurrence. With ordinal variables, the highest value was used as reference in all the analyses. The bivariate logistic regression analyses were performed using Statistical Package for Social Sciences

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statistical analyses were performed using R‐studio version 1.1.463 (R‐studio). The research fellow (L.H.) who performed these analyses was blinded to the origin of the data. RESULTS **Patients** A total of 14 databases were provided and 5591 patients who received an ABR without remplissage were included. Databases originated from Europe, South and North America and Asia (Tables [1](#page-3-0) and [2](#page-6-0)). Of the 5591 patients, 4797 were males (86%) and the mean age at surgery was 27 (ranged: $15-60$, $SD \pm 7.8$) years. Bivariate logistic regression analyses According to the bivariate logistic regression analyses, age <35 years, participation in contact and collision sports, bony Bankart lesions and full‐thickness RCTs were associated with a higher risk of recurrence following an ABR (Table [3](#page-7-0)). One pre‐operative dislocation had a lower risk of recurrence. All other investigated variables did not demonstrate an association with recurrence following an ABR (Table [4\)](#page-8-0). Three (HAGL lesion, greater tuberosity fracture and IGHL lesion) of the seventeen analyzed variables only had one event or nonevent and could therefore not be analyzed with bivariate logistic regression. ML algorithm ML PROBABILITY CALCULATOR FOR ABR
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> The algorithm was run with a total of 797 patients. The trained algorithms (Support Vector Machine, Neural Network, Bayes Point Machine and Logistic Regression) predicted recurrence following an ABR with an AUC ranging from 0.54 to 0.57. The predictive performance based on the AUC, calibration (calibration slope and calibration intercept) and Brier score is shown in Table [4](#page-8-0).

DISCUSSION

The most important finding of this study was that ML was not able to predict recurrence following ABR with the current available predictors. Despite a global coordinated effort, combining data sets was difficult due to the heterogeneity in definitions and used variables of the clinical data.

There are a few major advantages of ML algorithms above conventional scoring systems. First, these algorithms can consider a wide range of individual patient factors beyond simple demographic characteristics like

software (version 24, SPSS; IBM). A p value of <0.05 was considered significant.

Development and internal validation of ML algorithms

The aim was to include at least 1000 patients in the algorithm, but this would lead to inclusion of only four variables with a total sample size of 1621 [\[44](#page-11-4)]. After careful consideration as described in 'data extraction', the variables included were sex, age at time of surgery, type of sport, bony Bankart, Hill−Sachs and number of pre‐operative dislocations and subluxations, leaving a total of 797 patients collected from four databases [31–[33, 43\]](#page-11-5). The database was split into a train (80%, $n = 638$) and test data set (20%, $n = 159$) stratified on the outcome (recurrence) $[4, 29]$. To build the algorithm, first a random forest algorithm was used to assess the overall importance of the variables (identifying which variables contribute most to predicting the risk of recurrence). Then, four algorithms (support vector machine, neural network, Bayes point machine, and logistic regression) were developed and internally validated as prediction models using the six variables described above. These algorithms were chosen based on prior ML studies and their binary classification capabilities [\[46\]](#page-11-6). To train the algorithms in recognizing patterns related to recurrence following an ABR, 10-fold cross-validation was performed for each ML algorithm.

Performance metrics

The predictive performance was assessed using the discrimination measured by the area under the receiver operator characteristic (ROC)‐curve, calibration (calibration slope, calibration intercept) and Brier score (overall model performance) [[40](#page-11-7)]. The ROC curve plots the sensitivity (true positive rate) against 1 − specificity (false‐positive rate). The AUC ranges from 0.50 to 1.0 with 1.0 indicating the highest discriminating score and 0.50 indicating the lowest discriminating score. This differentiates between patients who had the outcome of interest (i.e., recurrence) from those who did not. Calibration was evaluated by analyzing the calibration slope and calibration intercept of a calibration curve. This assessment measures the association between the observed outcome and the predicted probability. A model with calibration intercepts of zero and calibration slopes of one is defined as a perfect model [[39\]](#page-11-8). Overall performance—incorporating both discrimination and calibration—was assessed with the Brier score (zero is a perfect score and one is the lowest possible score) [\[40\]](#page-11-7). An extended description of the methods on the ML algorithms was previously published [\[44](#page-11-4)]. These

TABLE 2 Risk factors with corresponding number of databases, patient numbers and recurrence rates.

		Provided databases (n)		Patients (n) Recurrence (%)
	Age (y)	14	5591	15.4
	Sex	14	5591	15.4
	Female		794	13.7
	Male		4797	15.6
	Soft tissue lesions		5081	
	ALSPA	4	471	14.7
	Bankart	4	538	10.4
	GLAD	3	381	20.7
	IGHL	1	82	14.6
	Perthes	3	470	14.7
	SLAP	4	479	18.2
	Bony lesions			
	Bony Bankart	8	1776	15.1
	GTF	$\overline{4}$	540	10.4
	HAGL	3	294	12.9
	Hill-Sachs	9	1952	15.9
	Rotator cuff tear			
	Full thickness	6	830	14.9
	Partial thickness	5	725	14.6
	Type of sport	12	5081	14.9
	Contact		3752	16.0
	Collision		338	15.4
	Overhead throwing		204	7.4
	No sport		787	11.0
	Pre-operative dislocations (n)	7	1054	13.2
	0		156	12.2
	1		286	8.0
	$\overline{\mathbf{c}}$		135	16.3
	3		78	20.5
	$\overline{4}$		122	14.8
	≥ 5		277	14.8
	Number of anchors (n)	4	435	18.2
	$\mathbf{1}$		$\mathbf{1}$	$\mathbf 0$
	$\overline{2}$		19	21.1

TABLE 2 (Continued)

Abbreviations: ALPSA, anterior labrum periosteal sleeve avulsion; GLAD, glenolabral articular disruption; GTF, greater tuberosity fracture; HAGL, humeral avulsion of the glenohumeral ligament; IGHL, inferior glenohumeral ligament; n, number; SLAP, superior labrum from anterior to posterior; y, years.

age [\[21\]](#page-10-9). This allows for a more personalized assessment of recurrence risk, taking nuanced variations in patient characteristics, soft tissue and bony lesions, and other relevant variables into account. Second, unlike current scoring systems such as the ISIS score and the Nonoperative Instability Severity Index Score, ML algorithms are highly accurate in finding complex relationships and patterns within large data sets rather than relying on predefined rules or cutoffs [[3, 10, 41](#page-10-1)]. They may therefore be more suitable in the analysis of risk factors potentially leading to more accurate predictions. Furthermore, ML does not use human‐selected statistical models. Rather, the algorithm is designed in a data‐driven manner, erasing human errors like picking the wrong statistical model [\[12\]](#page-10-10). Another major benefit of ML is the ability to learn from its own mistakes (incremental learning) during clinical use [\[25\]](#page-10-11). Data can be continuously added to improve its algorithm [\[25\]](#page-10-11).

ML is becoming increasingly important in orthopaedics. Various models have been successfully designed, such as a model for identifying clinical features related to RCTs and the development of a predictive model for infection in tibial shaft fractures following intramedullary nailing [\[13, 17](#page-10-12)]. However, the effectiveness of ML algorithms may be limited compared to traditional logistic regression methods [\[26\]](#page-10-13). A study using data from the Norwegian Knee Ligament Registry (>60,000 patients) failed to develop a clinical calculator that is superior to previously created models with conventional statistics for the risk of revision surgery following anterior cruciate ligament (ACL) reconstruction $[18]$. One possible explanation suggested by the authors is the substantial amount of missing pre‐operative data. The current study also faced challenges due to poor data quality, including missing or incomplete information. Additionally, variability in the number of patients per variable (ranging from 82 to 5591) and the number of variables per patient (ranging from 3 to 30) required careful selection of databases for the development of the algorithm. Only four databases totalling 797 patients were included, falling short of the desired sample size for sufficient outcomes. Furthermore, important variables, such as the size of the bony Bankart and Hill−Sachs lesions and whether these

TABLE 3 Results of the bivariate logistic regression analyses for the different variables in relation to recurrence.

(Continues)

TABLE 3 (Continued)

Abbreviations: ALPSA, anterior labrum periosteal sleeve avulsion; CI, confidence interval; GLAD, glenolabral articular disruption; n, number; OR, odds ratio; SLAP, superior labrum from anterior to posterior; X indicates reference value; y, years.

TABLE 4 Performance of machine learning algorithms in predicting recurrence $(n = 797)$.

		Predictive performance			
	AUC	Calibration slope	Calibration intercept	Brier score	
Trained algorithms					
Bayes point machine	0.57	0.49	-1.00	0.106	
Logistic regression	0.54	0.46	0.46	0.106	
Neural network	0.54	0.32	0.32	0.109	
Support vector machine	0.54	0.36	0.36	0.106	

Abbreviation: AUC, area under the receiver operative characteristics curve.

lesions are on‐track or off‐track, could not be included despite their established association with an increased risk of recurrence [\[35\]](#page-11-9).

Nevertheless, the previously mentioned advantages of ML algorithms above scoring systems in the treatment of shoulder instability highlight the need for further improvement of methodology for these studies. A practical guide, such as the one describe by Oeding et al. may guide physicians in the design and development of future ML models [\[22, 23](#page-10-15)]. However, to build large global data sets, it is essential to ensure that the data is suitable for pooling. To achieve this, a more universal agreement on what should be measured and how it should be measured has to be established. An important aspect in developing a robust algorithm is data labelling. This proved to be challenging in this study. As definitions differ extensively in current literature, it is plausible that there was a variation in definitions in the provided databases [\[1, 34](#page-9-0)]. This problem could be addressed by reaching a consensus on definition of a global Core Baseline Set. Within the present study, three variables were identified as predictors for recurrence following an ABR using a Random‐Forest algorithm. These predictors (number of pre‐operative dislocations, age at operation and Type of Sport) should therefore be integrated into a Core Baseline Set. In addition, a prior meta‐analysis identified bony lesions, ALPSA lesions and a surgical delay exceeding 6 months as additional risk factors that may be a valid addition to the Core Baseline Set [\[45](#page-11-2)]. Finally, what physicians consider to be important outcomes following treatment does not always correspond with what patients consider important [\[28\]](#page-11-10). Involving patients in defining what factors are important to investigate might improve the overall success rate of the treatment.

Limitations

The current study must be interpreted within the context of several limitations. Firstly, the retrospective nature of data collection posed a significant challenge. As previously mentioned, the utilized databases exhibited variations in the investigated variables, and certain important variables, such as the size of glenoid

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bone loss and the size of Hill−Sachs lesions, could not be examined. Moreover, some variables were associated with only a single event, further complicating the analysis. To ensure the development of a reliable algorithm, it was imperative to include databases with identical variables. However, due to these discrepancies, only four databases encompassing a total of 797 patients could be incorporated into the algorithm, falling short of the intended number required for robust outcomes.

CONCLUSION

Machine learning was not able to predict the recurrence following ABR repair with the current available predictors. Despite a global coordinated effort, the heterogeneity of clinical data limited the predictive capabilities of the algorithm emphasizing the need for standardized data collection methods in future studies.

AUTHOR CONTRIBUTIONS

Sanne H. van Spanning: Initiation and protocol development, design, drafting or revising work, final approval, data acquisition and extraction, data analysis and interpretation. Lukas P. E. Verweij: Initiation and protocol development, design, drafting or revising work, final approval, data analysis and interpretation. Laurent A. M. Hendrickx: Drafting or revising work, final approval, data analysis and interpretation. Laurens J. H. Allaart: Drafting or revising work, final approval, design, data analysis and interpretation. George S. Athwal: Drafting or revising work, final approval, data analysis and interpretation. Thibault Lafosse: Drafting or revising work, final approval, data analysis and interpretation. Laurent Lafosse: Drafting or revising work, final approval, data analysis and interpretation. Job N. Doornberg: Drafting or revising work, final approval, data analysis and interpretation. Jacobien H. F. Oosterhoff: Drafting or revising work, final approval, data analysis and interpretation. Michel P. J. van den Bekerom: Initiation and protocol development, design, drafting or revising work, final approval, data analysis, interpretation. Geert Alexander Buijze: Initiation and protocol development, design, drafting or revising work, final approval, data analysis, interpretation and supervision. Sanne H. van Spanning, Lukas P. E. Verweij, Laurent A. M. Hendrickx, Laurens J. H. Allaart, George S. Athwal, Thibault Lafosse, Laurent Lafosse, Job N. Doornberg, Jacobien H. F. Oosterhoff, Michel P. J. van den Bekerom and Geert Alexander Buijze: Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

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CONFLICT OF INTEREST STATEMENT

Dr. Laurens J. H. Allaart reports personal fees from Stryker, ConMed, Exatech, PercisionOS, Parvizi Surgical Innovation and Reach Orthopedics and has a patent pending to Exatech, ConMed and Stryker. Dr. Geert Alexander Buijze reports grants from SECEC, Vivalto Sante, personal fees from Depuy‐Synthes. Dr. Michel P. J. van den Bekerom reports grants for clinical and research fellowships supported by Smith and Nephew. Dr. Laurent Lafosse reports personal fees from Stryker, Smith and Nephew, Depuy. Dr. Thibault Lafosse reports personal fees from Stryker, Smith and Nephew, Depuy. The other authors have nothing to disclose. None of the fees above were related to the current study.

DATA AVAILABILITY STATEMENT

The data that support the findings of this study are available on request from the corresponding author. The data are not publicly available due to restrictions from the original authors. Data can only be shared after obtaining agreement from the original authors who provided the data.

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How to cite this article: van Spanning, S. H., Verweij, L. P. E., Hendrickx, L. A. M., Allaart, L. J. H., Athwal, G. S., Lafosse, T. et al. (2024) Methodology and development of a machine learning probability calculator: Data heterogeneity limits ability to predict recurrence after arthroscopic Bankart repair. Knee Surgery, Sports Traumatology, Arthroscopy, 1–11. <https://doi.org/10.1002/ksa.12443>