A recognized paradigm shift exists in modern-day health care, with a transition from surgeon-driven treatment decisions based on clinical experience to a focus on improved patient engagement with a shared decision-making process. As such, patient perception and patient satisfaction are becoming important components of health care outcomes. In an era of public reporting and pay-for-performance, orthopedic surgeons need to better understand the association between patient-reported outcome (PRO) measures and patient satisfaction. Reimbursement for health care services is routinely being linked to patient satisfaction as part of third-party reimbursement initiative programs. However, there is little guidance as to which PRO measures should be used or which values relate to a patient being satisfied following surgery.

Responsiveness and Internal Validity of Common Patient-Reported Outcome Measures Following Total Shoulder Arthroplasty

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abstract

The Constant–Murley (Constant) score, Western Ontario Osteoarthritis of the Shoulder (WOOS) index, American Shoulder and Elbow Surgeons (ASES) score, and Single Assessment Numeric Evaluation (SANE) score are commonly used to assess patient-reported function following shoulder surgery. However, psychometric properties for these tools are mostly unknown for patients with primary glenohumeral arthritis who have undergone anatomic total shoulder arthroplasty (TSA). The purposes of this study were to (1) compare the responsiveness and internal validity between the 4 patient-reported outcomes (PROs) and (2) identify PRO score values associated with patient satisfaction after TSA. A total of 234 primary TSAs were performed for primary glenohumeral osteoarthritis with a 2-year or greater follow-up. The Constant score, WOOS index, ASES score, SANE score, and patient satisfaction were assessed preoperatively and 2 to 5 years postoperatively. Effect sizes, standardized response means, and relative efficiency were calculated to determine responsiveness, and internal validity was determined via the presence of floor and/or ceiling effects. Receiver operator characteristic (ROC) curves were constructed to identify the minimum outcome score that could correctly identify a satisfied patient. At final follow-up, 88% of patients were satisfied. The PROs had large effect sizes and standardized response means (≥0.83). The minimum score that most correctly identified a patient as satisfied was 78 for ASES score, 18 for WOOS index, 73 for Constant score, and 58 for SANE score. However, the ASES score, WOOS index, and SANE score had marked postoperative ceiling effects, whereas the Constant score was the most responsive and internally valid tool. These results suggest that the Constant score should serve as the primary PRO for patients with primary glenohumeral arthritis, whereas the WOOS index, ASES score, and SANE score could be supplementary assessments.

There has also been a lack of consensus and great variability in the application of PROs in shoulder research over the past decade.

Selecting and interpreting PRO instruments to assess the patient’s perception of his or her pain and ability to physically function can be challenging because many instruments exist.

Shoulder pain and function have been assessed using joint-specific, disease-specific, and other, more generalized, global assessments. The American Shoulder and Elbow Surgeons (ASES) score in a commonly used joint-specific PRO instrument. The ASES score has known psychometric properties that were established in patients primarily treated nonoperatively for various shoulder conditions. The 11-question, Likert scale–designed ASES score has a reported administration time of 3 to 5 minutes, with an additional 2 minutes for scoring. The ASES score has been used frequently as one of the postsurgical PRO measures in total shoulder arthroplasty (TSA), although psychometric assessments have not often focused on the usefulness of the measure in TSA patients.

The Constant–Murley shoulder (Constant) score incorporates both patient subjectivity and clinical objectivity (specifically strength and range of motion), has established psychometric properties, and has often been used in studies focused on outcomes following TSA. The time to complete the Constant score assessment is between 5 and 7 minutes, with approximately 2.5 minutes reserved for the patient component.

Disease-oriented measures have also been advocated for assessing patient outcomes following TSA, specifically the Western Ontario Osteoarthritis of the Shoulder (WOOS) index. The WOOS index contains 19 questions characterized by a visual analog scale design. Previous authors have noted that the time to administer the WOOS index is approximately 10 minutes, with the ease of scoring the instrument described as moderate due to the manual measurement required for each answered question and the resultant calculation.

Finally, the Single Assessment Numeric Evaluation (SANE) score has been advocated as a convenient measure of patient physical function because of its single question design. However, a noted limitation of the SANE measure is that the psychometric properties, such as reliability and validity, have not been thoroughly examined. Recent literature has reported the SANE score to be correlated with the Rowe and ASES scores and to be predictive of the results from other shoulder-specific outcome measures in military personnel. However, its usefulness for TSA outcomes has not been concretely established.

To date, the relationship between commonly used upper extremity PRO tools and patient satisfaction after anatomic TSA has not been evaluated. In addition, psychometric properties for these tools are mostly unknown for patients with primary glenohumeral arthritis who have undergone anatomic TSA. Therefore, the primary purpose of this study was to compare the responsiveness and internal validity of the ASES score, Constant score, WOOS index, and SANE score in patients with primary glenohumeral arthritis. It was hypothesized that the ASES score would demonstrate superior responsiveness and internal validity when compared with the Constant score, WOOS index, and SANE score. The secondary purpose was to identify PRO score values for these outcome questionnaires that are associated with patient satisfaction after anatomic TSA to provide a target value for postsurgical goal setting.

**Materials and Methods**

All patients who underwent primary anatomic TSA for the treatment of primary glenohumeral osteoarthritis with a minimum of 2-year follow-up were identified in a prospective shoulder arthroplasty registry. A single surgeon (T.B.E.) performed all procedures at a high-volume orthopedic hospital. All patients who underwent revision surgery or had an intra- or postoperative complication were excluded.

The Constant score, the ASES score, the WOOS index, the SANE score, and patient satisfaction were assessed preoperatively and 2 to 5 years postoperatively. All patients included in this study completed all self-reported outcome measures both pre- and postoperatively. Patient satisfaction was determined by asking the patient to rate themselves as being “very satisfied,” “satisfied,” “dissatisfied,” or “very dissatisfied.” Similar to previous studies, patients who were very satisfied or satisfied were categorized as being satisfied for the purposes of this study. Patients who were very dissatisfied or dissatisfied were considered dissatisfied. Patients were provided the outcome measures by a member of the research team. Patients completed the questionnaires without assistance from the medical provider at the time of surgery scheduling but were permitted to ask questions at any time.

The Aequalis, Aequalis Ascend, and Aequalis Ascend Flex (Tornier, Bloomington, Minnesota) anatomic TSA systems were used. The TSA surgical technique is well described, and a standardized rehabilitation protocol was followed. All patients were prospectively enrolled in a shoulder arthroplasty outcomes registry, and the senior author (T.B.E.) performed all examinations. A handheld goniometer was used to calculate range of motion (ROM) measurements. A handheld digital dynamometer was used to measure strength of abduction (Chatillon Digital Force Gauge 200 lbf; AMETEK, Inc, Largo, Florida).

**Statistical Analyses**

Summary statistics for demographic items were calculated and reported as means and standard deviations for continuous variables, whereas frequencies and percentages were reported for categorical variables.
**Responsiveness.** Effect sizes, standardized response means, and relative efficiency were calculated to establish responsiveness of each outcome tool.\(^{33-35}\) Effect size was calculated by dividing the mean change score for each outcome tool by the standard deviation of the preoperative score for each tool (ie, mean change in ASES score pre- to postoperatively/preoperative ASES standard deviation). Cohen defined effect sizes as small (\(d=0.2\)), medium (\(d=0.5\)), and large (\(d=0.8\)).\(^{36,37}\)

The standard response mean (SRM) is an additional measure of responsiveness that is calculated by dividing the mean change score for an outcome tool by the standard deviation of the change score of the same tool.\(^{34}\) The relative efficiency was derived from the resultant t-score as provided by paired \(t\) tests that compared the preoperative score for an outcome tool to the postoperative score. Relative efficiency was calculated by dividing the t-score for one PRO by the t-score of another PRO tool and then squaring the resultant value.\(^{34}\)

A relative efficiency value greater than 1 indicated that an outcome tool was more responsive compared with another.\(^{34}\)

**Internal Validity.** Floor and ceiling effects were defined as the number of patients who achieved the lowest (floor) and highest (ceiling) possible score for each outcome tool.\(^{38}\) If 15% or more of the patients had either the lowest or highest score for an instrument, floor and/or ceiling effects were considered to be present.\(^{38,39}\)

**Patient Satisfaction.** Receiver operator characteristic (ROC) curves were constructed to determine the minimum outcome score value that could best predict patient satisfaction. The area under the curve (AUC), percentage correctly classified, and positive and negative likelihood ratios for each outcome instrument are reported. Odds ratios were calculated to determine the odds of a patient being satisfied based on the results derived from the ROC curve. Statistical analyses were performed using STATA 13.1 (StatCorp, LP, College Station, Texas) and SPSS Statistics (IBM, Armonk, New York), with \(P<.05\) being considered statistically significant.

### RESULTS

#### Demographic Summary

A total of 234 patients (153 men, 81 women) were identified for inclusion in this study. Demographic variables are reported in Table 1. Mean follow-up for this series was 3±1 years (range, 2-5 years). Of the 234 TSAs performed, 207 (88%) patients reported being satisfied, whereas 27 (12%) patients were not satisfied at final follow-up. Mean total scores significantly improved for the all PRO measures between the preoperative visit and the most recent follow-up (all \(P<.001\)) (Table 2).

#### Responsiveness

The responsiveness metrics are reported in Table 3. The outcome tools with the highest effect size and standardized response means were the WOOS index (effect size=3.0, SRM=2.4) and Constant score (effect size=2.9, SRM=2.4), whereas the SANE score was the least responsive (effect size=1.5, SRM=0.83). The relative efficiency values for the outcome tools are provided in Table 4, with the Constant score being the most responsive (relative efficiency >1) compared with all other outcome tools in this study.

#### Internal Validity

A low ceiling effect was noted with the Constant score (3% of patients had the highest possible score), whereas marked postoperative ceiling effects were identi-
Floor effects were not noted with any of the 4 PRO tools.

Patient Satisfaction

The ROC analysis results are detailed in Table 5. The AUC for each outcome instrument was 0.74 or greater, suggesting high ability to predict satisfaction. However, each outcome instrument was determined to have positive likelihood ratios that would result in small changes from pre- to post-test probability when using the threshold values to predict satisfaction (positive likelihood ratios: ASES score=2.04, Constant score=1.85, WOOS index=1.74, and SANE score=1.34).

Discussion

Selecting and interpreting PRO instruments to assess the patient’s perception of his or her pain and ability to physically function can be challenging. Many instruments exist and it is unclear which instruments are preferred. To help alleviate some of the clinician burden associated with interpreting outcome scores, this study aimed to compare the responsiveness and internal validity of commonly used PROs and establish minimum scores that could identify a patient as being satisfied following anatomic TSA. Overall, the PROs examined in this study were responsive, having large effect sizes and SRMs (all greater than 1).

The primary hypothesis that the ASES score would have superior responsiveness and internal validity compared with the other outcome instruments examined in this study was rejected. Conversely, the Constant score and WOOS index were the most responsive; however, the Constant score demonstrated the best relative efficiency and was the only outcome tool to have almost no floor or ceiling effects. These results suggest that the Constant score should serve as the primary PRO for TSA for patients with primary glenohumeral arthritis, whereas the WOOS index, ASES score, and SANE score could serve as supplementary assessment measures.

There are noted limitations with this study. First, not all existing PROs were examined in this study. It is possible that...
an outcome measure not used in this study may have a stronger correlation to patient satisfaction or higher psychometric results. Second, not all PROs distributed in this study have undergone rigorous psychometric assessment for patients with primary glenohumeral arthritis until now. Future investigations should attempt to replicate this study with similar methodology and patient population to confirm the results. Finally, previous reports have suggested that a sex and age adjusted Constant score be used to account for confounding variables that may influence the interpretation of the traditional Constant score. However, the adjusted Constant score was originally derived from a group of subjects without shoulder pathology, so the current authors did not believe it would be appropriate to include the adjusted score in the current study’s analysis. Several strengths of the study are also highlighted. The study consisted of a large homogeneous cohort of patients with the same preoperative diagnosis and the same surgical treatment. All procedures were performed by the same surgeon using the same surgical technique and postoperative rehabilitation protocol. Furthermore, all of the data was collected prospectively in a shoulder arthroplasty registry.

The current study hypothesized that the ASES score would demonstrate superior responsiveness and internal validity compared with the Constant score, WOOS index, and SANE score due to the ASES score being often used as one of the PROs in TSA patients. In addition, one group examined the usefulness and validity of multiple PROs, finding both the Constant and ASES scores after TSA to be adequately responsive for patient assessment. However, the current study found the Constant score to be less responsive, although as with the ASES and SANE scores, it demonstrated ceiling effects (>15% of the patient sample had the highest possible scores) but the Constant score did not. This suggests that although it would not be inappropriate to use the WOOS index, ASES score, or SANE score in clinical practice, there may be instances where some patients’ perception of pain and/or physical function may exceed the highest score over time, thus not allowing progress to be accurately gauged.

Previous work has suggested that patient satisfaction after TSA for primary glenohumeral osteoarthritis appears to be driven by subjective (patient-oriented) factors rather than objective (clinician-oriented) factors. However, because the Constant score was found to be the most responsive instrument and to have both low floor and ceiling effects in the current study, it is possible that the design of the Constant score may help balance the information obtained from both clinician- and patient-oriented assessments, thus allowing it to have stronger internal validity.

For example, the Constant score incorporates both patient subjectivity and clinical objectivity, whereas the WOOS index and ASES score are exclusively based on patient perception. These differences in instrument design (ie, the lack of an objective component with the WOOS index and ASES score) may be contributing to the high ceiling effects within those tools. Although the current study identified threshold values for each outcome tool, the positive likelihood ratios, which attempt to provide clinicians with an estimate of how much change will occur from pre-to post-test, suggest that as individual assessments of patient status, there will be small changes to the post-test probability of identifying a patient as satisfied (positive likelihood ratios=1.3-2.0). In other words, the threshold values would have minimal clinical utility as individual determinants of patient satisfaction. As such, clinicians should not base clinical judgments about patient status solely on either subjective or objective findings as isolated entities but should use an integrative approach comprised of assessments for both patient perception and physical task performance.

Finally, although the SANE score has been advocated as a convenient measure of a patient’s global perception of his or her shoulder because of its single question design, it was found to be the least responsive compared with the other PRO measures in the current study. On further inspection of the data, 25% of patients reported a SANE score that was opposite that of their satisfaction status. For example, 11% of unsatisfied patients reported a SANE score of 86 or higher, whereas 14% of the satisfied patients reported a score of 10 or less. This implies that patients may have inadvertently inverted the scale where the lowest score indicating complete disability would be interpreted as ideal (and vice versa).

To further investigate the impact this misinterpretation may have had on the results, the authors revisited the data, converting the potentially misinterpreted value to its expected value based on each patient’s satisfaction response. For example, if a patient reported being “satisfied” or “very satisfied” following surgery but reported a SANE value of 10, the SANE value was converted to 90. This was performed for all occurrences where a patient reported being satisfied and had a SANE score of 10 or less. Conversely, patients who reported being “unsatisfied” or “very unsatisfied” and had a SANE score of 86 or greater the value was converted to 14 or less as mathematically appropriate. After the conversions were performed, the average postoperative SANE score increased from a 69 to an 86. This suggests that, although convenient to implement, patients must be properly educated on how to respond to a single question outcome measure. Based on these findings, it is recommended that distribution of the SANE
score occur with direct patient interaction to address any potential confusion or concern with the meaning of the question and that examiners should review the scores with the patient to ensure accuracy.

**CONCLUSION**

With the initiative of pay-for-performance entering health care systems, there is a need to assist clinicians with PRO selection and interpretation because patient perception has become an integral piece of the treatment process. All of the measures examined in this study may serve as adequate PRO assessment options for patients undergoing anatomic TSA; however, the Constant score was the most responsive outcome tool. When selecting a PRO, both completion and scoring burden should be considered, as well as understanding that complementary subjective and objective information appears to better relate to patient satisfaction compared with individual subjective or objective assessments of pain and/or physical function. The minimum values for each PRO identified in this study could be used for postsurgical goal setting purposes but clinicians should treat each patient based on individual presentation and needs.

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