

1 **Development of a prognostic model for patients with shoulder**
2 **complaints in physiotherapy.**

3

4 Karel, Y.H.J.M.^{a,b}, Verhagen, A.P.^b, Thoomes-de Graaf, M.^b, Duijn, E.^d, van den
5 Borne, M.P.J.^e, Beumer, A.^e, Ottenheijm, R.P.G.^f, Dinant, G.J.^f, Koes, B.W.^b,
6 Scholten-Peeters, G.G.M.^{a,c}

7

8 ^a Faculty of Health, Research group Diagnostics, Avans University of Applied Sciences, Breda, The
9 Netherlands

10 ^b Department of General Practice, Erasmus Medical Center, Rotterdam, The Netherlands

11 ^c Faculty of Behavioral and Movement Sciences, MOVE research Institute Amsterdam, VU University
12 of Amsterdam, Amsterdam, The Netherlands

13 ^d Department of Human Anatomy, Vrije Universiteit Brussel, Brussels, Belgium

14 ^e Department of orthopedic surgery, Amphibia Hospital, Breda, The Netherlands

15 ^f Department of Family Medicine, CAPHRI School for Public Health and Primary Care, Maastricht
16 University, Maastricht, The Netherlands

17

18

19

20

21 Corresponding author:

22 Yasmine Karel

23 Avans University of Applied Sciences

24 Hogeschoollaan 1, 4818 CR Breda

25 The Netherlands

26 Tel: +31(6)13533708

27 e-mail: yhjm.karel@avans.nl

28

29

30 Counts

31 Abstract: 226

32 Full text: 2908

33 Tables: 3

34 Figures: 3

35

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29

Counts

Abstract: 228

Full text: 3095

Tables: 3

Figures: 3

1 **Abstract**

2 *Background:* Health care providers need prognostic factors to distinguish between
3 patients who are likely to recover compared to the ones that do not.

4 *Objective:* To describe the clinical course and identify prognostic factors of recovery,
5 in patients with shoulder pain at 26 weeks follow-up.

6 *Design:* A prospective cohort study was carried out in the Netherlands including 389
7 patients consulting a physiotherapist with a new episode of shoulder pain.

8 *Method:* Patients were followed for 26 weeks. Potential predictors were selected from
9 the literature, together with the use of diagnostic ultrasound and working alliance and
10 evaluated in multivariable regression analysis. Multiple imputation was used to
11 handle missing data and bootstrap methods for internal validation.

12 *Results:* Recovery rate was 60% for the total population and 65% for the working
13 population after 26 weeks. Short duration of complaints, lower disability scores,
14 having a paid job, better working alliance and no feelings of depression/anxiety were
15 associated with recovery. In the working population only duration of complaints and
16 disability remained in the final model. The area under the receiver operator curve
17 (AUC) was 0.67 for the final model of the total population and 0.63 for the working
18 population. After internal validation the AUC was corrected to 0.66 and 0.63.

19 *Limitations:* External validation should be done prior to the use in clinical practice.

20 *Conclusion:* Results from this study indicate that several factors can predict recovery.

21

22 *Keywords:* Prognosis, Shoulder pain, Recovery, Course, Prospective cohort study,
23 Primary care.

24

25

26

27

1 **Introduction**

2 Shoulder complaints are common in western societies and belong to the top 3 of most
3 occurring musculoskeletal complaints.¹ Prevalence rates in the Netherlands range
4 from 6.9 to 48% in primary care.²⁻⁴ About 13% of the patients with shoulder pain who
5 visit the general practitioner are referred to physiotherapy.⁴ In the Netherlands
6 patients can visit the physiotherapist without a referral since 2006 and 41% of patients
7 in physiotherapy care used direct access in 2013.⁵

8

9 Examining patients with shoulder pain is complex because history taking and physical
10 examination have limited validity for diagnosing the patho-anatomical origin of
11 symptoms. Knowledge about prognostic factors can help the physiotherapist by
12 informing the patient about the expected prognosis and, when indicated, in treatment
13 decisions or referral to other health care professionals.^{6,7} Duration of symptoms, high
14 levels of pain and the presence of co-morbidities have been identified as predictors of
15 poor recovery by patients consulting a General Practitioner (GP).⁷⁻¹¹ Because of the
16 difficulty in diagnosing patients with shoulder pain, physiotherapists are increasing
17 the use of diagnostic ultrasound to assist their clinical decision-making. Nevertheless,
18 the diagnostic and prognostic consequences of using diagnostic ultrasound remains
19 unknown.^{12,13} Furthermore, recent literature suggest patient's prognosis to be
20 influenced by the therapeutic relationship, frequently referred to as "working
21 alliance".¹⁴

22

23 Health care providers need prognostic factors to distinguish between patients who are
24 likely to recover compared to the ones that do not, i.e. the patients which have a high
25 risk of developing chronic shoulder pain. Prognostic factors for shoulder pain have
26 been identified in general practice and only duration of complaints, disability score
27 and age have been identified in a physiotherapy setting.^{7,15} Although patients visiting
28 general practice might be similar in type and severity of complaints compared to the
29 patients in physiotherapy practice, the moment of seeking health care and the
30 treatment provided in both settings is different for most patients. In this study we aim
31 to identify prognostic factors of recovery, including the use of diagnostic ultrasound
32 and working alliance, for patients with shoulder pain in physiotherapy practice.

33

34

1 **Methods**

2 *Study Design*

3 This study was a prospective cohort study with a follow-up of 26 weeks in
4 physiotherapy practice of patients with non-specific shoulder complaints. Details of
5 the study design were published in 2013.¹⁶ The Medical Ethics Committee of the
6 Erasmus Medical Center approved the study protocol (MEC-2011-414).

7

8 *Study Population*

9 From November 2011 to November 2012 physiotherapists recruited consecutive
10 patients. Patients that consulted the physiotherapist were eligible for the study when
11 they suffered from shoulder pain, were aged ≥ 18 years and had adequate
12 understanding of the Dutch language. Patients were excluded if they had serious
13 pathologies (infection, cancer or fracture), previous surgery of the shoulder in the last
14 12 months, or received diagnostic imaging techniques such as musculoskeletal
15 ultrasound, magnetic resonance imaging or X-ray of the shoulder in the 3 months
16 prior to start of the study. All patients provided written informed consent.

17

18 *Procedures*

19 During first consultation patients received study information and signed the consent
20 form. This was sent to the researchers together with patients' name and e-mail
21 address. Next, baseline questionnaires were sent to the e-mail address or post address
22 when patients did not have e-mail. Follow-up questionnaires were sent 6, 12 and 26
23 weeks after the start of the treatment. A maximum of 2 reminders were sent when no
24 response was received after 3 and 5 days.

25

26 *Candidate predictors*

27 Prognostic factors for recovery for patients with shoulder pain were extracted from
28 the literature and consisted of sociodemographic variables and clinical
29 characteristics.^{7,10,17-19} Sociodemographic variables were age (continuous), gender,
30 level of education (low = no education, primary school or lower vocational school,
31 medium = lower general secondary school or middle vocational school, high = higher
32 general secondary school, higher vocational school or university), employment status
33 (paid job yes/no) and job description (physically heavy work, static repetitive work or
34 work with awkward postures; yes/no).

1 Clinical characteristics were duration of complaints (months), previous episode of
2 shoulder pain (yes/no), pain intensity at baseline (11-point numeric rating scale, NRS-
3 11), and co-morbidity of arm (elbow/wrist/hand), back or neck (yes/no), sick leave
4 due to shoulder complaint (yes/no), and increase of complaints during work (yes/no).
5 The shoulder complaint was considered work related when patients with a paid job
6 answered “yes” to one of the following three questions: (1) Do the complaints worsen
7 or return during activities at work? (2) Have you adapted or reduced your activities at
8 work because of your complaints? (3) Do the complaints diminish after several days
9 off work?²⁰

10 The Dutch Shoulder Pain and Disability Index (SPADI) consist of five items
11 assessing pain and eight items assessing disability. The score ranges from 0 to 100%
12 with a high score indicating more functional disability. The questionnaire has good
13 validity and reliability.²¹

14 Additionally, we assessed working alliance, the use of diagnostic ultrasound (yes/no)
15 and the anxiety/depression dimension of the EuroQOL five dimensions as possible
16 prognostic factors. Working alliance was measured with the Flemish (Dutch) version
17 of the Working Alliance Inventory (WAV-12) and was assessed after 6 weeks. This
18 questionnaire has three subscales designed to assess three primary components of the
19 working alliance: 1) how closely client and therapist agree on and are mutually
20 engaged in the goals of treatment, 2) how closely client and therapist agree on how to
21 reach the treatment goals and 3) the degree of mutual trust, acceptance, and
22 confidence between client and therapist. Patients score on a 5-point scale ranging
23 from rarely to always. This scale is validated in patients receiving psychotherapy in
24 Belgium.^{22,23}

25 The EuroQOL 5 dimensions-3L (EQ-5D) was used to measure health related quality
26 of life. Little is known about the prognostic value of psychosocial factors. Therefore
27 we used one dimension focusing on the emotional and social functioning, questioning
28 the patient whether he or she was anxious or depressed (not, moderate or extremely).
29 The EQ-5D is a valid and reliable generic instrument for measuring health related
30 quality of life.^{24,25}

31

32 *Outcome measures*

33 The primary outcome measure was the Global Perceived Effect (GPE) scale and
34 measures whether the patient rates it’s condition as improved or deteriorated since the

1 start of the physiotherapy treatment. It uses a 7-point Likert scale scoring and ranges
2 from ‘worse than ever’ to ‘fully recovered’. Patients were to be considered recovered
3 when they scored ‘strongly improved’ or ‘completely recovered’.^{24,26}

4 The secondary outcome measure were: 1) pain severity and was measured with the 11
5 point Numeric Rating Scale (NRS) ranging from no pain (0) to intolerable pain (10)
6 and 2) disability measured with the Shoulder Pain And Disability Index (SPADI)
7 ranging from no disability (0) to complete disability (100).

8

9 *Sample size*

10 Based on the literature about 40% of the patients with shoulder pain will recover
11 within 6 months.^{9,27,38} We aimed to include 12 prognostic variables in our prognostic
12 model. Based on the 1 in 10 rule of 10 events per variable, a total of 120 events are
13 needed in the smallest outcome (recovered or not).²⁸ Adjusting for about 20% missing
14 values, the total population should comprise a minimum of 360 subjects.

15

16 *Statistical Analysis*

17 First we performed a descriptive analysis by calculating frequencies for categorical
18 variables and means with standard deviations (SD) for continuous variables at 6, 12
19 and 26 weeks. In case the data was not normally distributed median scores and the
20 interquartile range were reported. Multiple imputation was used in case of missing
21 data. Predictor variables and the outcome were included in the multiple imputation
22 and was done separately for primary and secondary outcome measures.²⁹⁻³¹ A total of
23 20 datasets were created and regressions analysis was done in all datasets. Pooled
24 estimates were calculated according to Ruben’s rule.³² All assumptions (linearity
25 between independent variables and log odds and multicollinearity (>0.80) for
26 continuous variables) were checked before model building. Univariable and
27 multivariable regression were reported for the total population and working
28 population separately, because several work related variables (job demands and
29 psychosocial factors at work) are found to be related to recovery in the working
30 population specifically.^{20,33} Unadjusted associations were checked between each
31 candidate predictor and the outcome for significant contribution to the outcome
32 (P>0.2). All candidate predictors derived from the literature were included in the
33 multivariate regression analysis (full model). Multiple logistic regression analysis was
34 used to determine which baseline variables were predictors of recovery at 26 weeks

1 (using the GPE). Next, a backward selection procedure was used to determine which
2 variables were kept in the model (final model). A variable was selected when the
3 variable appeared statistically significant in 12 out of 20 imputed models.³⁴ A p-value
4 of <0.05 was considered statistically significant. The reliability of the multivariable
5 model was determined with the Hosmer-Lemeshow goodness-of-fit statistic.³⁵
6 Discriminative ability of the models was assessed using the area under the receiver-
7 operating characteristic curve (AUC-ROC). An area under the curve (AUC), of 0.5
8 indicates poor discrimination above chance, 0.7 indicates fair discrimination, 0.8
9 indicates acceptable discrimination, whereas an AUC of 1.0 indicates perfect
10 discrimination.³⁵ Optimal models were classified as those that yielded the highest
11 AUC. Calibration of the model predictions was assessed by the amount of overlap
12 between the predicted individual probabilities against the observed recovery. The
13 same 12 predictors used for logistic regression modeling were used for linear
14 regression modeling with pain as outcome to evaluate if the model would be similar
15 for a secondary outcome measure. **Only pain was used as a secondary outcome**
16 **measure in the regression model because the SPADI and NRS scores were highly**
17 **correlated (α 0.87).**
18 We performed internal validation for the primary outcome measure by bootstrapping
19 in order to correct for overfitting. A total of 1000 new datasets were created by
20 random drawing samples from the dataset and we assessed the AUC.³⁶ The
21 performance in the bootstrap sample represents estimation of the apparent
22 performance, and the performance in the original sample represents test performance.
23 The difference between these is an estimate of the optimism in the apparent
24 performance. The optimism is subtracted from the apparent performance to estimate
25 the internally validated performance.³⁷ All imputed datasets were bootstrapped and
26 the AUCs were averaged to get the apparent performance. Statistical analyses were
27 performed by using SPSS 22.0 software. Bootstrap analyses were done with R
28 software.³⁸

29
30

31 **Results**

32 *Study population*

1 In total 412 patients fulfilled the eligibility criteria of which 389 gave informed
2 consent and thus entered the cohort. From the 389 patients 366 (94%) returned the
3 baseline questionnaire. After 26 weeks 272 (70%) returned the questionnaire (figure
4 1). There were 11% missing values. There were no statistically significant differences
5 in baseline characteristics in patients with or without missing data.
6 Baseline characteristics of the study population were described in table 1 together
7 with missing data. The population consisted of 170 men (45%), the mean age was
8 49.9 (SD=13.2), 261 (71%) had a paid job and the median duration of their
9 complaints was 12 weeks (IQR=6-26). The working population did not significantly
10 differ from the total population except concerning disability (SPADI). All patients
11 received physiotherapy treatment.

12

13 *Clinical course*

14 After 6 weeks follow-up 118 (41%) patients were recovered; 152 (57%) after 12
15 weeks and 164 (60%) after 26 weeks. Recovery rates in the working population were
16 slightly higher; 91 patients recovered after 6 weeks (46%), 110 (60%) after 12 weeks
17 and 119 (65%) after 26 weeks.

18 Median (IQR) SPADI score decreased from 49.5 (29-65) at baseline to 16.9 (3.9-
19 43.0) at 26 weeks (Figure 2) and the NRS median score (IQR) decreased (Figure 3)
20 from 6 (4-7) to 2 (1-5). For the working population, the disability score decreased
21 from 44.9 (27-61) at baseline to 12.7 (3-35) at 26 weeks and pain score decreased
22 from 6 (4-7) to 2 (0-5)

23

24 **Please insert Figure 2**

25 **Please insert Figure 3**

26

27 **Predictors and model evaluation**

28 *All predictors*

29 For all variables included in the model the variance inflation factors were < 1.5 and
30 correlation coefficients <0.8, suggesting that linearity and multicollinearity was not a
31 problem. In the univariable regression analysis, 8 factors were related (P<0.20) with
32 recovery at 26 weeks (Table 2). There was only one patient who scored “very
33 anxious/depressed” on the depression score of the EQ-5D and therefore this answer

1 option was combined with ‘moderately depressed’ and the EQ-5D was thus
2 dichotomized in the regression analysis.

3

4 First we tested a model that included all prognostic variables (n=12) selected from the
5 literature (Table 2). The R^2 was 0.17 and the ROC curve demonstrated a fair
6 discriminating ability for the regression model with an AUC of 0.70 (95% CI 0.36-
7 1.03) and correctly classified 66% of patients. The model in the working population
8 resulted in similar results (see table 2). The R^2 for the working population was 0.19
9 and the AUC was 0.72 (95% CI 0.37-1.10) and the model correctly classified 69% of
10 patients.

11

12 **Insert table 2**

13

14 *Backward regression analysis.*

15 Results from the backward regression resulted in a model where: a short duration of
16 complaints, lower disability score, having a paid job, no feelings of
17 depression/anxiety and high working alliance were related to recovery (table 3). The
18 R^2 was 0.12 and the AUC was 0.67 (95% CI 0.34-1.0) and the model correctly
19 classified 65% of patients.

20 In the working population we found identical results (table 3). The final model
21 showed a short duration of complaints and low disability scores were related to
22 recovery. The R^2 was 0.05 and the AUC was 0.63 (95% CI 0.25-1.00) and the model
23 correctly classified 67% of patients.

24

25 *Secondary outcome*

26 Using pain as outcome resulted in a model including duration of complaints, recurrent
27 episode and disability score in both the total ($R^2=0.13$) and working population
28 ($R^2=0.15$).

29

30 **Insert table 3**

31

32 *Internal validation*

33 Bootstrap method to assess optimism was checked in all prediction models (full and
34 final model after backward elimination) for the primary outcome measure.

1 Discriminative ability decreased in all models after bootstrap. The apparent
2 performance (bootstrap corrected AUC) of the full model in the total population
3 decreased from 0.70 to 0.67. The expected optimism for the AUC of the total
4 population in the full model was 0.024 and 0.0409 in the working population.
5 Optimism of the final model in the total population was 0.008 and 0.002 in the
6 working population (table 3).

7
8

9 **Discussion**

10 Our study showed that a short duration of complaints, not having feelings of
11 depression or anxiety, having a paid job, a better working alliance and a low disability
12 score were predictors of recovery after 6 months. Duration of complaints and
13 disability were also predictors of recovery in the working population. In the prediction
14 model for pain a recurrent episode of shoulder pain, short duration of complaints and
15 low disability scores, were the predictors in the final model.

16

17 In this prognostic cohort study 60% of patients reported to be recovered after 6
18 months. This is slightly higher than the 21-51% reported by studies in GP
19 practice.^{9,27,39}

20 In line with previous research we found that a shorter duration of symptoms and
21 lower disability scores were significantly associated with recovery.^{7,10,15,40-42}

22 Other prognostic models found the predictors; age, gender,¹⁰ repetitive movement⁹
23 and co-morbidities,^{9,20,27,43} which we included as possible predictor but did not remain
24 in the final model. The reason that we did not find co-morbidity to be a predictor
25 might be due to the difference in defining co-morbidity. Like this study, one study
26 formulated co-morbidity as musculoskeletal (yes/no)²⁰ but others only measured
27 concomitant low back pain⁹ or concomitant neck pain²⁷. **Furthermore, we only asked
28 for the co-morbidities around the shoulder region. Several studies have shown that
29 other co-morbidities (like obesity, headache) also has an impact on individual's
30 ability to recover.**⁴⁴⁻⁴⁶

31 Contrary to our findings, previous studies have not found a significant association of
32 psychosocial factors and shoulder complaints.⁷ However, in studies including patients
33 with complaints of the arm, neck and shoulder psychosocial factors appear to have a
34 predictive effect on patient outcome.²⁰ This effect has not been found in the literature

1 specific for patients with only shoulder pain. We included only one item about
2 depression and anxiety from the EQ-5D. This variable was dichotomized which might
3 contribute to a loss of information. However the variable remained in the final model.
4 One other study found catastrophizing at baseline to be a predictor of function.⁴⁴
5 Working alliance remained in the final model as well.

6 It has been suggested that patient reported outcome measures, such as recovery and
7 pain, are sensitive to the effect of interactions between patients and treatment
8 providers.⁴⁷ One review has shown that a good working alliance can improve
9 treatment outcomes.¹⁴ Also, good working alliance scores might result in higher levels
10 of adherence.⁴⁸ Treatment adherence is important to achieve optimal treatment
11 outcomes and it is widely accepted that a lack of adherence to long-term therapies
12 result in poor treatment outcomes and high costs of health care. The argument is that a
13 good working alliance could help patients to adhere to the treatment regime.⁴⁸ A good
14 working alliance is partially determined by the communication between the patient
15 and therapist. For that reason effective communication should be an essential skill that
16 therapists need to master in order to improve health care.

17 Various other studies suggest that working alliance is associated with recovery in
18 physical rehabilitation settings, but more research is needed to determine the strength
19 of the possible relationship between the therapeutic alliance and recovery.¹⁴
20

21 Strength of this study is that we evaluated the prognostic value of two new variables,
22 working alliance and the use of diagnostic ultrasound, upon variables that were
23 described before. Furthermore the number of potential prognostic variables was not
24 large, leading to more valid statistical derivations.^{49,50} There is a possibility that
25 variables not mentioned in the literature were left out of this model but might have
26 been significant predictors in our population.

27 In the model the use of diagnostic US was added as a dichotomous variable. This is
28 because we assumed that a more specific diagnosis, as found using diagnostic US,
29 leads to a more specific treatment and should lead to better patient outcomes. The low
30 number of patients with an US diagnosis limited our ability to perform any additional
31 analysis.

32 The percentage of missing values for the outcome was 30% after 6 months follow-up.
33 Missing data was handled adequately with multiple imputations, although the large
34 amount of missing data for working alliance might influence the validity of the data.

1 The model's performance is likely to be overestimated in the developmental dataset.
2 Therefore we assessed the amount of optimism and corrected by using bootstrapping
3 techniques to internally validate the model. The expected optimism after internal
4 validation was small in all but one model. The optimism in the full model of the
5 working population was substantial, probably due to the relatively small sample size.
6 Similar levels of optimism have been observed earlier in smaller sample sizes.^{50,51}

7 **Furthermore the performance of the final model was not very good. Several 95% CI's**
8 **around the AUC estimates crossed the 0.50 threshold indicating a high likelihood of**
9 **poor discrimination.**

10

11 All patients received physiotherapy treatment but it consisted of several treatment
12 modalities resulting in heterogeneity. Besides heterogeneity in treatment, patients
13 with more severe complaints are more likely to receive more treatment sessions thus
14 possibly influencing recovery status.

15

16 *Future research.*

17 Based on the relatively low AUC scores the prognostic model could be improved by
18 possibly adding other psychosocial factors besides depression/anxiety and evaluate if
19 the physiotherapy treatment and the number of treatment sessions could cause
20 interaction effects. Hardly any prognostic models are routinely used in clinical
21 practice, probably because most have not been externally validated.⁵² It is crucial to
22 quantify the performance of a prognostic model in different populations before
23 applying it in daily practice. Since prognostic models in primary care for patients with
24 shoulder pain seem to have similar performance estimates the next step might be to
25 externally validate a high quality model with appropriate performance/discrimination
26 in a new dataset.^{9,53,54}

27

28 **Conclusion**

29 We developed and internally validated a model predicting recovery of patients with
30 shoulder complaints in physiotherapy practice. Other variables should be evaluated to
31 improve predictive capacity of the model and next the model should be externally
32 validated before it can be used in clinical practice. In daily practice physiotherapists
33 constantly predict the risk or probability of an individual to recover. Based on the
34 predicted prognosis they inform individual patients about the course of the disease or

1 the choice for further treatment. Knowledge of the predictors described in literature
2 can be informative for the physiotherapist for their prognostic potential. When a
3 model performs well at external validation it will probably be a useful tool, as it may
4 enhance communication. Nevertheless its impact on patient outcomes should be
5 assessed using a clinical trial design.

6

7 **Acknowledgements**

8 We thank Caspar Looman for statistical support

9 We thank all the physiotherapists and patients for participating in this study

10

11

12 **Funding**

13 Authors declare no conflict of interest.

14 This study is funded by SIA-RAAK. The ministry of education has made this funding

15 available for the innovation and promotion of research. This study is partly funded by

16 a program grant of the Dutch Arthritis Foundation.

1 **References**

- 2 [1] Picavet, H., & Schouten, J. Musculoskeletal pain in the Netherlands:
3 prevalences, consequences and risk groups, the DMC3-study. *Pain*
4 2003;102(1-2):167-178.
- 5 [2] Luime, J., Koes, B., Hendriksen, I., Burdorf, A., Verhagen, A., Miedema, H., &
6 Verhaar, J. Prevalence and incidence of shoulder pain in the general
7 population; a systematic review. *Scandinavian Journal of Rheumatology*
8 2004;33:73-81.
- 9 [3] Feleus, A., Bierma-Zeinstra, S., Miedema, H., Bernsen, R., Verhaar, J., & Koes,
10 B. Incidence of non-traumatic complaints of arm, neck and shoulder in general
11 practice. *Manual Therapy* 2008;13(5):426-33.
- 12 [4] Kooijman, M., Swinkels, I., van Dijk, C., de Bakker, D., & Veenhof, C. Patients
13 with shoulder syndromes in general and physiotherapy practice: an
14 observational study. *BMC Musculoskeletal Disorders* 2013;14(128).
- 15 [5] Barten, DJA., Verberne, LDM., Koppes, LLJ. Zorg door de fysiotherapeut –
16 aanmelding [Internet]. NIVEL Zorgregistraties eerste lijn; 2015 [cited 2015
17 august 23]. Available from: www.nivel.nl/node/3097
- 18 [6] Dinant, GJ., Buntinx, F., Butler, CC. The necessary shift from diagnostic
19 to prognostic research. *BMC Family Practice* 2007;13(8):53.
- 20 [7] Kuijpers, T., Van der Windt, D., Van der Heijden, G., & Bouter, L.
21 Systematic review of prognostic cohort studies in shoulder disorders. *Pain*
22 2004;109:420-431.
- 23 [8] Keijsers, E., Feleus, A., Miedema, H., Koes, B., & Bierma-Zeinstra, S.
24 Psychosocial factors predicted nonrecovery in both specific and nonspecific
25 diagnoses at arm, neck, and shoulder. *Journal of Clinical Epidemiology*
26 2010;63:1370-79.
- 27 [9] Kuijpers, T., van der Windt, D., Boeke, A., Twisk, J., Vergouwe, Y., Bouter, L., &
28 van der Heijden, G. Clinical prediction rules for the prognosis of shoulder pain
29 in general practice. *Pain* 2006;120(3):276-285.
- 30 [10] Kennedy, C., Manno, M., Hogg-Johnson, S., Haines, T., Hurley, L., McKenzie,
31 D., & Beaton, D. Prognosis in soft tissue disorders of the shoulder: predicting
32 both change in disability and level of disability after treatment. *J Am Phys*
33 *Ther Assoc* 2006;86(7):1018-1032.
- 34 [11] Bruls, VE., Bastiaenen, CH., de Bie, RA. Prognostic factors of
35 complaints of arm, neck, and/or shoulder: a systematic review of prospective
36 cohort studies. *Pain* 2015;156(5):765-99.
- 37 [12] Hanchard, N., Lenza, M., Handoll, H., & Takwoingi, Y. Physical tests for
38 shoulder impingements and local lesions of bursa, tendon or labrum that may
39 accompany impingement. *The Cochrane Database of systematic reviews*
40 2013;30(4).
- 41 [13] Wright, A., Wassinger, C., Frank, M., Michener, L., & Hegedus, E. Diagnostic
42 accuracy of scapular physical examination tests for shoulder disorders: a
43 systematic review. *British Journal of Sports Medicine* 2013;47(13):886-92.
- 44 [14] Hall, A., Ferreira, P., Maher, C., Latimer, J., & Ferreira, M. The influence of the
45 therapist-patient relationship on treatment outcome in physical rehabilitation:
46 a systematic review. *Physical Therapy* 2010;90(8):1099-110.
- 47 [15] Chester, R., Shepstone, L., Daniell, H., Sweeting, D., Lewis, J., Jerosch-Herold,
48 C. Predicting response to physiotherapy treatment for musculoskeletal
49 shoulder pain: a systematic review. *BMC Musculoskeletal Disorders*
50 2013;14(203).

- 1 [16] Karel, Y., Scholten-Peeters, W., Thoomes-de Graaf, M., Duijn, E., Ottenheijm,
2 R., van den Borne, M., .et.al. Current management and prognostic factors in
3 physiotherapy practice for patients with shoulder pain: design of a prospective
4 cohort study. *BioMedCentral Musculoskeletal Disorders* 2013;14(62).
- 5 [17] Holtermann, A., Hansen, J., Burr, H., & Sogaard, K. Prognostic factors for long-
6 term sickness absence among employees with neck-shoulder and low-back
7 pain. *Scand J Work Environ Heal* 2010;36(1):34-41.
- 8 [18] Zengh, X., Simpson, J., van der Windt, D., & Elliott, A. Data from a study of
9 effectiveness suggested potential prognostic factors related to the patterns of
10 shoulder pain. *Journal of Clinical Epidemiology* 2005;58(8):823-830.
- 11 [19] Ginn, K., & Cohen, M. Conservative treatment for shoulder pain: prognostic
12 indicators of outcome. *Archives of physical medicine and. Rehabilitation*
13 2003;85(8):1231-1235.
- 14 [20] Karels, C., Bierma-Zeinstra, S., Burdorf, A., Verhagen, A., Nauta, A., & Koes,
15 B. Social and psychological factors influenced the course of arm, neck and
16 shoulder compaints. *Journal of Clinical Epidemiology* 2007;60:839-848.
- 17 [21] Thoomes-de Graaf, M., Scholten-Peeters, G., Duijn, E., Karel, Y., Koes, B., &
18 Verhagen, A. The Dutch Shoulder Pain and Disability Index (SPADI): a
19 reliability and validation study. *Quality of Life Research* 2014;24(6):1515-9.
- 20 [22] Stinckens, N., Ulburghs, A., & Claes, L. De werkalliantie als sleutelement in
21 het therapie gebeuren; meting met behulp van de WAV-12, de
22 nederlandstalige verkorte versie van working alliance inventory. *Tijdschrift*
23 *Klinische Psychologie* 2009;39:44-60.
- 24 [23] Hatcher, R., & Gillaspay, J. Development and validation of a revised short
25 version of the working alliance inventory. *Psychotherapy Research*
26 2006;16:12-15.
- 27 [24] Kamper, S., Ostelo, R., Knol, D., Maher, C., de Vet, H., & Hancock, M. Global
28 perceived effect scales provided reliable assessments of health transition in
29 people with musculoskeletal disorders, but ratings are strongly influenced by
30 current status. *Journal of Clinical Epidemiology* 2010;63(7):760-766.
- 31 [25] Brooks, R. EuroQol: the current state of play. *Health Policy* 1996;37(1):53-72.
- 32 [26] Bekkering, G., Hendriks, H., & Van Tulder, M. Prognostic factors for low back
33 pain patients referred for physiotherapy. *Spine* 2005;30(16):1881-1886.
- 34 [27] Van der Windt, D., Koes, B., Boeke, A., Deville, W., De Jong, B., & Bouter, L.
35 Shoulder disorders in general practice: prognostic indicators of outcome.
36 *British Journal of General Practitioners* 1996;46:519-523.
- 37 [28] Peduzzi, P., Concato, J., Kemper, E., Holford, T.R. & Feinstein, A.R. A
38 simulation study of the number of events per variable in logistic
39 regression analysis. *Journal of Clinical Epidemiology* 1996;49(12):1373-9.
- 40 [29] Moons, K., Donders, R., Stijnen, T., & Harrell, F. J. Using the outcome for
41 imputation of missing predictor values was preferred. *Journal of Clinical*
42 *Epidemiology* 2006;59:1092-1101.
- 43 [30] Janssen, K., Vergouwe, Y., Donders, A., Harrell, F. J., Chen, Q., Grobbee, D., &
44 Moons, K. Dealing with Missing Predictor Values When Applying Clinical
45 Prediction Models. *Clinical Chemistry* 2009;55(5).
- 46 [31] van Buuren, S., Boshuizen, HC., Knook, DL. Multiple imputation of
47 missing blood pressure covariates in survival analysis. *Statistics in Medicine*
48 1999;18(6):65-92.
- 49 [32] Marshall, A., Altman, D., Holder, R., & Royston, P. Combining estimates of
50 interest in prognostic modelling studies after multiple imputation: current

- 1 practice and guidelines. *BMC Medical Research Methodology* 2009;9(57).
2 doi:10.1186/1471-2288-9-57
- 3 [33] Hesselman Borg, J., Westerståhl, M., Lundell, S., Madison, G., Aasa, U.
4 Longitudinal study exploring factors associated with neck/shoulder pain at 52
5 years of age. *Journal of Pain Research* 2016;24(9):303-10
- 6 [34] Heymans, M., van Buuren, S., Knol, D., van Mechelen, W., & de Vet, H.
7 Variable selection under multiple imputation using bootstrap in a prognostic
8 study. *BMC Medical Research Methodology* 2007;7(33). doi:10.1186/1471-
9 2288-7-33
- 10 [35] Hosmer, D., Lemeshow, S., & Sturdivant, R. *Applied Logistic Regression*. New
11 Jersey: John Wiley & Sons; 2013.
- 12 [36] Steyerberg, E., Harrell Jr, F., Borsboom, J., Eijkemans, M., Vergouwe, Y., &
13 Habbema, J. Internal validation of predictive models: Efficiency of some
14 procedures for logistic regression analysis. *Journal of Clinical Epidemiology*
15 2001;54(8):774–781.
- 16 [37] Efron, B., & Tibshirani, R. *An introduction to the bootstrap*. Monographs on
17 statistics and applied probability. New York: Chapman & Hall; 1993.
- 18 [38] R Core Team. *R: A language and environment for statistical computing*; 2012.
19 Available from R Foundation for Statistical Computing: [http://www.R-](http://www.R-project.org/)
20 [project.org/](http://www.R-project.org/)
- 21 [39] Croft, P., Pope, D., & Silman, A. The clinical course of shoulder pain:
22 prospective cohort study in primary care. Primary Care Rheumatology Society
23 Shoulder Study Group. *British Medical Journal* 1996;313:601-602.
- 24 [40] Mintken, P., Cleland, J., Carpenter, K., Bieniek, M., Keirns, M., & Whitman, J.
25 Some factors predict successful short-term outcomes in individuals with
26 shoulder pain receiving cervicothoracic manipulation: a single-arm trial.
27 *Physical Therapy* 2010;90(1):26-42.
- 28 [41] Engebretsen, K., Grotle, M., Bautz-Holter, E., Ekeberg, O., & Brox, J. Predictors
29 of shoulder pain and disability index (SPADI) and work status after 1 year in
30 patients with subacromial shoulder pain. *BMC Musculoskeletal Disorders*
31 2010;11(218).
- 32 [42] Deutscher, D., Horn, S., Dickstein, R., Hart, D., Smout, R., Gutvirtz, M., &
33 Ariel, I. Associations between treatment processes, patient characteristics, and
34 outcomes in outpatient physical therapy practice. *Clinical Rheumatology*
35 2009;90(8):1349-63.
- 36 [43] Thomas, E., van der Windt, DA., Hay, EM., Smidt, N., Dziedzic, K., Bouter,
37 LM., Croft, PL. Two pragmatic trials for shoulder disorders in primary care:
38 generalisability, course and prognostic indicators. *Annals of Rheumatic*
39 *Diseases* 2005;64(7):1056-61.
- 40 [44] Bingefors, K., Isacson, D. Epidemiology, co-morbidity, and impact on health-
41 related quality of life of self-reported headache and musculoskeletal pain – a
42 gender perspective. *European Journal of Pain*. 2004;8(5):435-50
- 43 [45] Coronado, RA., Alappattu, MJ., Hart, DL., George, SZ. Total number and
44 severity of comorbidities do not differ based on anatomical region of
45 musculoskeletal pain. *Journal of Orthopaedics Sports and Physical Therapy*
46 2011;41(7):477-85
- 47 [46] George, SZ., Beneciuk, JM., Bialosky, JE., Lentz, TA., Zeppeiri, G jr., Pei, Q.,
48 Qu, SS. Development of a Review-of-Systems Screening Tool for
49 Orthopaedic Physical Therapists: Results from the Optimal Screening for
50 Prediction of Referral and Outcome (OSPRO) Cohort. *Journal of Orthopaedics*

1 Sports and Physical Therapy 2015;45(7):512-26

2 [47] De Bruijn, C., de Bie, R., Geraets, J., Goossens, M., van den Heuvel, W., van den
3 Heijden, G., et.al. Effect of an education and activation programme on
4 functional limitations and patient-perceived recovery in acute and sub-acute
5 shoulder complaints – a randomized clinical trial. *BMC Musculoskeletal*
6 *Disorders* 2007;8(112).

7 [48] Abdel-Tawaba, N., Roter, D. The relevance of client-centered communication to
8 family planning settings in developing countries: lessons from the Egyptian
9 experience. *Soc Sci Med.* 2002;54:1357–1368

10 [49] Schönberger, M., Humle, F., Zeeman, P., Teasdale, TW. Working alliance and
11 patient compliance in brain injury rehabilitation and their relation to
12 psychosocial outcome. *Neuropsychol Rehabil.* 2006;16:298–314.

13 [50] Peduzzi, P., Concato, J., Kemper, E., Holford, T., & Feinstein, A. A simulation
14 study of the number of events per variable in logistic regression analysis.
15 *Journal of Clinical Epidemiology* 1996;49:1373-1379.

16 [51] Steyerberg, E., Bleeker, S., Moll, H., Grobbee, D., & Moons, K. Internal and
17 external validation of predictive models: A simulation study of bias and
18 precision in small samples. *Journal of Clinical Epidemiology* 2003;56:441-
19 447.

20 [52] Steyerberg, E., Harrell Jr, F., Borsboom, J., Eijkemans, M., Vergouwe, Y., &
21 Habbema, J. Internal validation of predictive models: Efficiency of some
22 procedures for logistic regression analysis. *Journal of Clinical Epidemiology*
23 2001;54(8):774–781.

24 [53] Collins, GS., Reitsma, JB., Altman, DG., Moons, KGM. Transparent
25 reporting of a multivariable prediction model for individual prognosis or
26 diagnosis (TRIPOD): the TRIPOD statement. *BMC Medicine* 2015;13(1).

27 [54] Vergouw, D., Heymans, MW., de Vet, HCW., van der Windt, DAWM., van der
28 Horst, HE. Prediction of persistent shoulder pain in general practice:
29 Comparing clinical consensus from a Delphi procedure with a statistical
30 scoring system. *BMC Family Practice* 2011;12(63).

31
32

1 **Table 1 Baseline characteristics**

| Baseline characteristics | Total population (n=389) | Working population (n=261) | Available data (%) |
|---|-----------------------------|-------------------------------|-----------------------|
| <u>Sociodemographic</u> | | | |
| Age (years) mean (SD) | 49.9 (13.2) | 45 (10.7) | 374 (96) |
| Male, n (%) | 170 (45) | 121 (46) | 376 (97) |
| Educational level, n (%) | | | |
| Low | 40 (11) | 16 (6) | 366 (94) |
| Medium | 199 (54) | 142 (56) | |
| High | 127 (35) | 98 (38) | |
| Paid work, n (%) | 261 (71) | - | 368 (95) |
| Full time, n (%) | - | 136 (53) | 257 (98) |
| Job description, n (%) | | | |
| Physically heavy work | - | 64 (25) | 258 (99) |
| Static repetitive work | - | 88 (34) | |
| Work in awkward postures | - | 11 (37) | |
| Work related complaints, n (%) | - | 167 (69) | 238 (91) |
| Sick leave, n (%) | - | 40 (16) | 257 (98) |
| <u>Clinical characteristics</u> | | | |
| Duration in weeks, med (IQR) | 12 (6-26) | 12 (5-26) | 371 (95) |
| Recurrent episode, n (%) | 158 (43) | 111 (44) | 364 (94) |
| Dominant side affected, n (%) | 224 (61) | 159 (62) | 369 (95) |
| Comorbidity, n (%) | 236 (65) | 156 (60) | 364 (94) |
| Pain score NRS, med (IQR) | 6.0 (4-7) | 6.0 (4-7) | 373 (96) |
| SPADI, med (IQR) | 49.5 (29-65) | 44.9 (27-61) | 367 (94) |
| <u>Psycho-social characteristic</u> | | | |
| Fear/depression EQ5D, n (%) | | | |
| not anxious/depressed | 300 (83) | 209 (83) | 360 (93) |
| moderately | 59 (16) | 42 (16) | |
| anxious/depressed | | | |
| extremely | 1 (0) | 0 (0) | |
| anxious/depressed | | | |
| <u>Other</u> | | | |
| Diagnostic US performed, n (%) | 122 (31) | 67 (26) | 389 (100) |
| Working alliance, mean (SD) | 45.3 (9.1) | 46.7 (9.6) | 87 (22) |
| N number, SD standard deviation, IQR Interquartile range, med median, NRS Numeric Rating Scale, SPADI Shoulder Pain and Disability Index, EQ-5D EuroQOL 5 Dimensions, US Ultrasound | | | |

2
3

1 Table 2. Univariable & multivariable associations with recovery at 26 weeks.

| Prognostic factors | Total population (n=389) | | Working population (n=261) | |
|-------------------------------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|
| | OR [95% CI] | | OR [95% CI] | |
| | Beta | | Beta | |
| | Univariable | Multivariable | Univariable | Multivariable |
| <u>Sociodemographic variables</u> | | | | |
| Age (years) | 0.98[0.96-1.00]**† -0.017 | 0.99 [0.96-1.02] † -0.008 | 0.99 [0.97-1.02] † -0.006 | 1.01 [0.98-1.05] † 0.009 |
| Female | 0.9 [0.6-1.6] -0.058 | 1.1 [0.6-2.0] 0.307 | 0.9 [0.5-1.7] -0.072 | 2.0 [0.7-5.3] 0.690 |
| Educational level | | | | |
| Low | 1.0 | 1.0 | 1.0 | 1.0 |
| Medium | 0.7 [0.3-1.8] -0.348 | 0.4 [0.2-1.1] 0.486 | 0.6 [0.1-2.6] -0.451 | 0.5 [0.1-2.2] -0.696 |
| High | 0.9 [0.4-2.2] -0.078 | 0.5 [0.2-1.2] 0.499 | 0.8 [0.2-3.5] -0.101 | 0.7 [0.1-3.1] -0.391 |
| <u>Clinical characteristics</u> | | | | |
| Duration in weeks | 0.99[0.99-1.00]** † -0.006 | 0.99 [0.99-0.99]** † -0.006 | 0.99 [0.99-1.00]** † -0.005 | 0.99 [0.99-1.00]** † -0.007 |
| Recurrent episode (no) | 1.7 [1.0-2.7]** 0.506 | 1.4 [0.8-2.5] 0.329 | 1.8 [0.9-3.4]** 0.562 | 1.5 [0.8-3.1] 0.435 |
| Comorbidity (no) | 1.3 [0.7-2.4] 0.270 | 1.0 [0.5-2.1] 0.012 | 1.1 [0.6-2.1] 0.111 | 0.9 [0.4-2.0] -0.084 |
| Pain score NRS | 0.9 [0.8-1.0]** -0.133 | 1.0 [0.8-1.2] 0.010 | 0.9 [0.8-1.0]* -0.120 | 1.0 [0.8-1.3] -0.004 |
| Disability score, SPADI | 0.98 [0.97-1.00]** † -0.017 | 0.99 [0.97-1.00] † -0.014 | 0.98 [0.97-1.00]** † | 0.98 [0.96-1.01] † -0.017 |
| <u>Work related characteristics</u> | | | | |
| Paid work (no) | 0.5 [0.3-0.9]** -0.667 | 0.6 [0.3-1.2] -0.583 | | |
| Full time (no) | | | 0.6 [0.3-1.2]* -0.472 | 0.5 [0.2-1.2] -0.799 |
| Job description | | | | |
| Physically heavy work | | | 0.8 [0.3-1.7] -0.276 | 0.9 [0.4-2.3] -0.091 |
| Static repetitive work | | | 1.1 [0.5-2.4] 0.142 | 1.4 [0.6-3.4] 0.352 |
| Work in awkward postures | | | 1.0 [0.2-4.4] 0.094 | 2.0 [0.3-12.1] 0.710 |

| | Total population (n=389) | | Working population (n=261) | |
|--|---------------------------------|------------------------|-----------------------------------|-------------------------|
| | OR [95% CI] | | OR [95% CI] | |
| | Beta | | Beta | |
| Other | | | 1.0 | 1.0 |
| Work related complaints (no) | | | 0.5 [0.2-1.8] -0.538 | 0.4 [0.1-1.6] -0.834 |
| Sick leave (no) | | | 0.9 [0.3-2.4] 0.225 | 1.3 [0.5-3.9] 0.295 |
| <u>Psycho-social characteristics</u> | | | | |
| Fear/depression, EQ5D, No feelings of anxiety/depression | 1.9 [1.0-3.3]** 0.518 | 2.0 [0.9-4.0] 0.655 | 1.9 [0.9-4.0]* 0.532 | 1.8 [0.7-4.3] 0.566 |
| <u>Other</u> | | | | |
| Diagnostic US performed (no) | 1.5 [0.9-2.4]* 0.394 | 1.2 [0.7-2.2] 0.174 | 1.4 [0.8-2.7] 0.340 | 1.3 [0.6-2.8] 0.264 |
| Working alliance | 1.0 [1.0-1.1] 0.010 | 1.0 [0.9-1.1] 0.010 | 1.0 [1.0-1.1] 0.010 | 1.0 [0.9-1.1] 0.009 |
| OR: Odds Ratio, CI: Confidence Interval, SPADI: Shoulder Pain and Disability Index, NRS: Numeric Rating Scale, EQ-5D: EuroQOL 5 Dimensions ** P <0.10 * P <0.20 † rounded off with 2 decimals because of small CI | | | | |

1

2

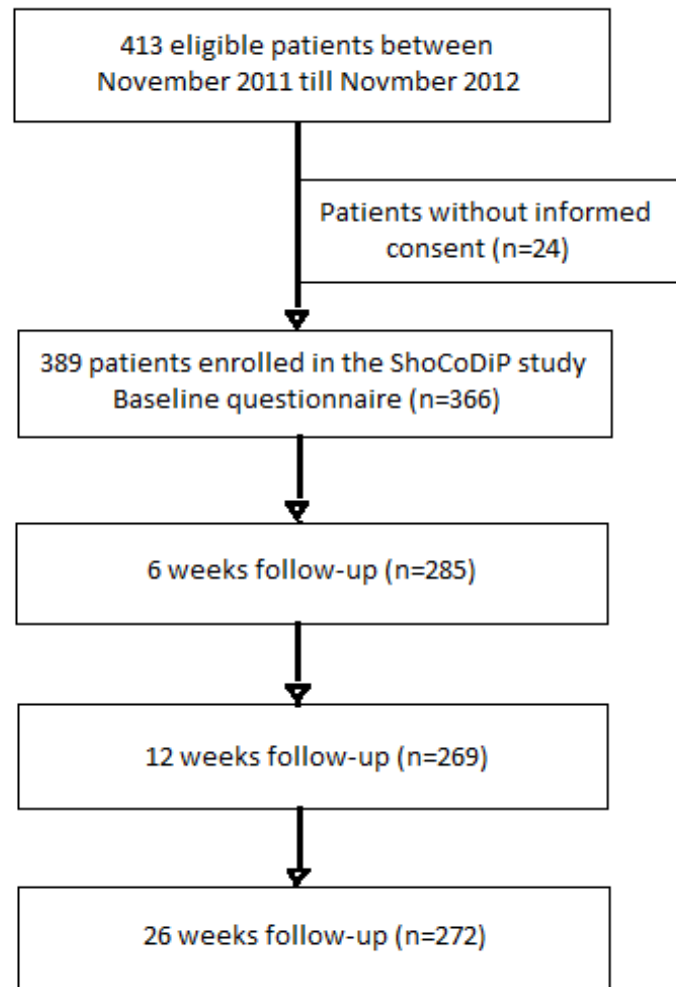
1 **Table 3 Final model; results from backward logistic regression**

| Final model after Backward Wald regression for recovery | | | | |
|--|-------------------------------------|-------------|---------------------------------------|-------------|
| | Total population (n=389) | | Working population (n=261) | |
| | OR [95% CI] | Beta | OR [95% CI] | Beta |
| Duration in weeks | 0.99 [0.99-1.00]* † | -0.007* | 0.99 [0.99-1.00]* † | -0.006* |
| Disability score, SPADI | 0.99 [0.97-1.00]* † | -0.014* | 0.98 [0.97-1.00]* † | -0.017* |
| Paid work (no) | 0.6 [0.3-1.0]* | -0.592* | | |
| Fear/depression, EQ5D, No Feelings of anxiety/depression | 1.8 [0.9-3.6] | 0.588 | | |
| Working Alliance | 1.0 [0.9-3.6] | 0.004 | | |
| Performance measures | | | | |
| R ² | 0.12 | | 0.05 | |
| AUC | 0.67 | | 0.63 | |
| Bootstrapped AUC | 0.66 | | 0.63 | |
| Final model after Backward Wald regression for pain | | | | |
| | | | | |
| Recurrent episode (no) | NA | 0.738* | NA | 0.779* |
| Duration in weeks | NA | 0.004* | NA | 0.005 |
| Disability score, SPADI | NA | 0.031* | NA | 0.034* |
| Performance Measures | | | | |
| R ² | 0.13 | | 0.15 | |
| OR odds ratio, CI confidence interval, SPADI Shoulder Pain And Disability Index, EQ5D EuroQol 5 dimensions, AUC Area Under the Curve, R ² R Squared | | | | |
| * p-value <0.05 | | | | |
| † rounded off with 2 decimals because of small CI | | | | |

2

3

1

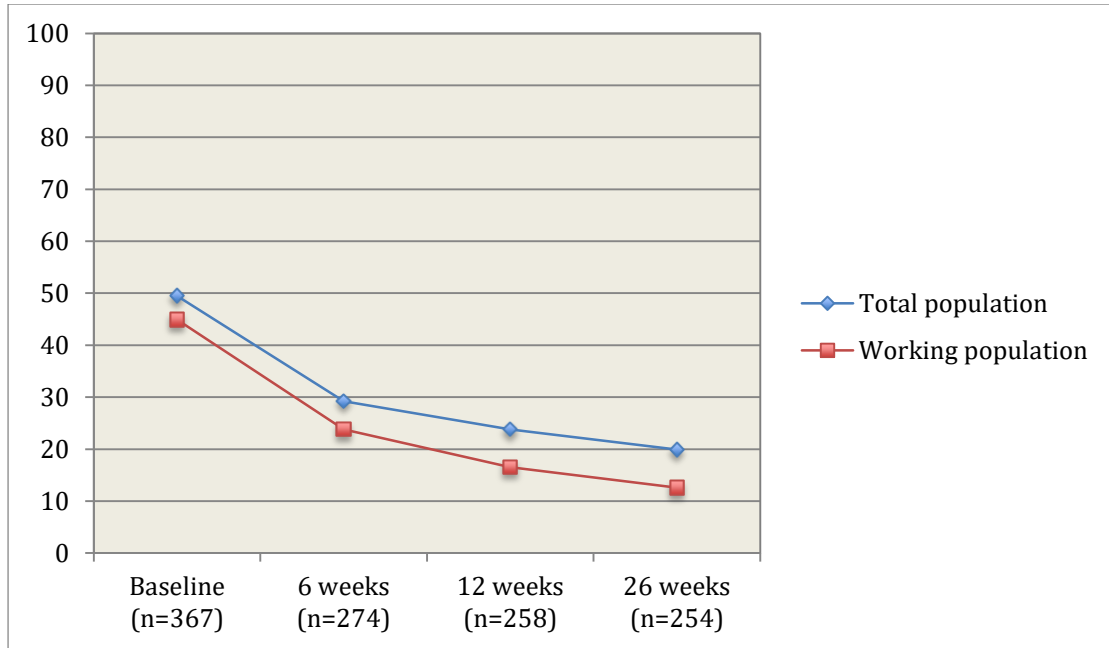


2

3 **Fig. 1. Flow diagram**

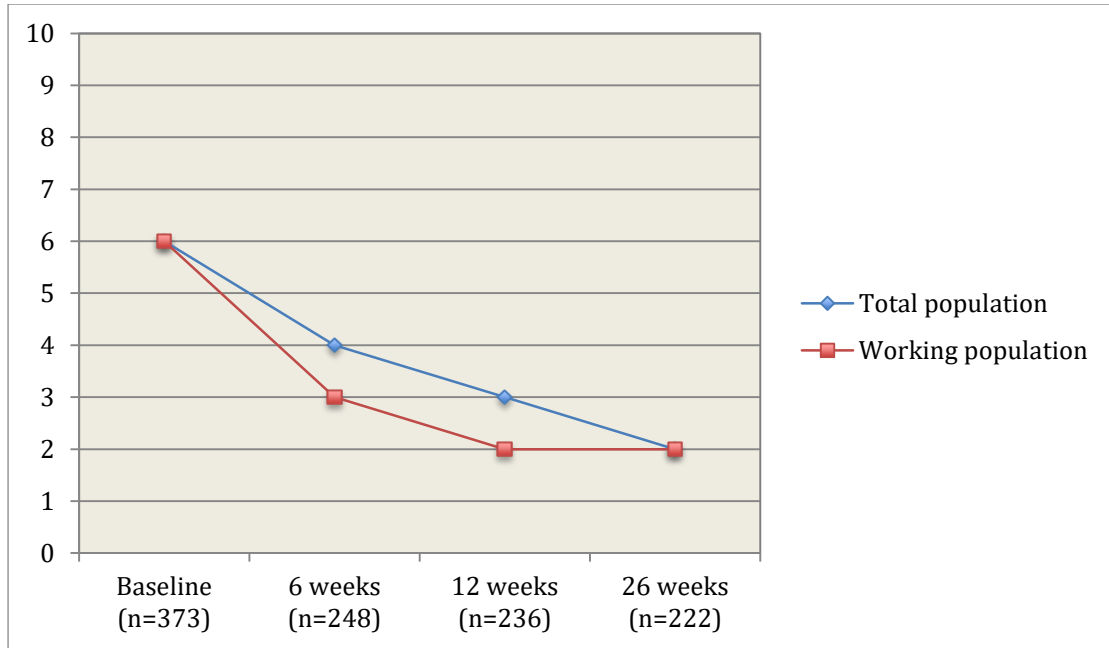
4

5



1
2
3
4
5
6

Fig. 2. Median scores of disability (SPADI) at baseline, 6, 12 and 26 weeks follow-up.



1
2
3
4
5

Fig. 3. Median scores of pain severity (NRS-11) at baseline, 6, 12 and 26 weeks follow-up.