

# Cervical spine alignment following lumbar pedicle subtraction osteotomy for sagittal imbalance

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## Abstract

**Purpose** The alignment of the cervical spine is of primary importance to maintain horizontal gaze and contributes to the functional outcome of patients. Cervical spine alignment after correction of major sagittal imbalance has rarely been reported in the literature.

**Methods** Retrospective review of 31 consecutive patients with sagittal plane deformities operated by lumbar pedicle subtraction osteotomy. Pre-operative and 3 months post-operative full-length radiographies were analyzed for spinopelvic and cervical-specific parameters.

**Results** There was a significant increase in lumbar lordosis (LL), thoracic kyphosis, and sacral slope. There was also a significant decrease in pelvic tilt, pelvic incidence minus LL, knee flexion and sagittal vertical axis. The cervical analysis revealed that there was no significant difference between pre- and post-operative global cervical lordosis (CL) angle and external auditory meatus (EAM) tilt. There was a significant decrease of C7 slope and distal CL, while a significant increase in occipito-C2 (OC2) angle was observed.

**Conclusion** LL restoration decreased the need of compensation at the pelvis and thoracic spine. The distal CL and C7 slope decreased because there was no need for

compensation at this level after the surgery, but the proximal cervical spine takes a slightly flexed position to maintain horizontal sight. EAM tilt measures the head position toward C7, and is close to 0° even in severe cases. Changes of this parameter after surgery are insignificant, probably due to the balance between upper and lower cervical segments; when one of these segments shifts backward the other shifts forward and the result is a balanced head over C7.

**Keywords** Cervical alignment · Pedicle subtraction osteotomy · Sagittal alignment · Adult spinal deformity · Lumbar

## Introduction

The cervical region is of particular importance as it allows for the widest range of motion relative to the rest of the spine while simultaneously providing support for the mass of the head. The high degree of mobility and dynamic nature of the region lends itself to compensation that is associated with changes in global spinal alignment [1]. Perhaps the most dramatic example of these compensatory changes occurs following adult spinal deformity surgery [2, 3]. Although the greatest improvement in alignment occurs within the instrumented and fused spinal segments, alterations can occur beyond the fused segments. These reciprocal changes may generate a more homeostatic and natural alignment. However, unintended overcorrection or unforeseen alterations outside of the surgical region may compromise sagittal alignment with a substantial negative impact on pain and quality-of-life scores [4–6].

Reciprocal changes outside of the fused segments have previously been reported for the thoracic, lumbar and

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pelvic regions [7–11]. It has also been noted that changes in global spinal alignment following surgery affect the alignment of the cervical region [12–15]. Multiple studies have demonstrated that a compensatory decrease in cervical lordosis occurs in adult spinal deformity patients following lumbar pedicle subtraction osteotomy [12, 14]. It is theorized that these compensatory changes occur in the cervical region in an effort to maintain horizontal gaze. Maintaining functional alignment is a key component in minimizing overall energy expenditure [13, 14].

There remains a paucity of literature on how different segments within the cervical spine achieve this new conformation. Previous studies that identify a decrease in cervical lordosis following lumbar pedicle osteotomy do not report on occipito-cervical radiographic parameters [12, 14]. Of particular interest is determining whether compensation to maintain horizontal gaze occurs primarily in the upper or lower segments. Such analysis would help surgeons predict which cervical segments contribute most to functional alignment following lumbar pedicle subtraction osteotomy. This study aims to explore these compensatory changes in occipito-cervical radiographic parameters.

## Materials and methods

### Study design and inclusion criteria

The medical records and radiographs of 31 consecutive patients treated at a single institution from April, 2010 to June, 2012 with pedicle subtraction osteotomy for lumbar hypolordosis were retrospectively examined. Database inclusion criteria included patients over the age of 40 with thoracic kyphosis (TK) less than 60°. Exclusion criteria included neuromuscular, neoplastic, rheumatologic, and/or infectious etiologies of sagittal imbalance.

### Radiographic measurements

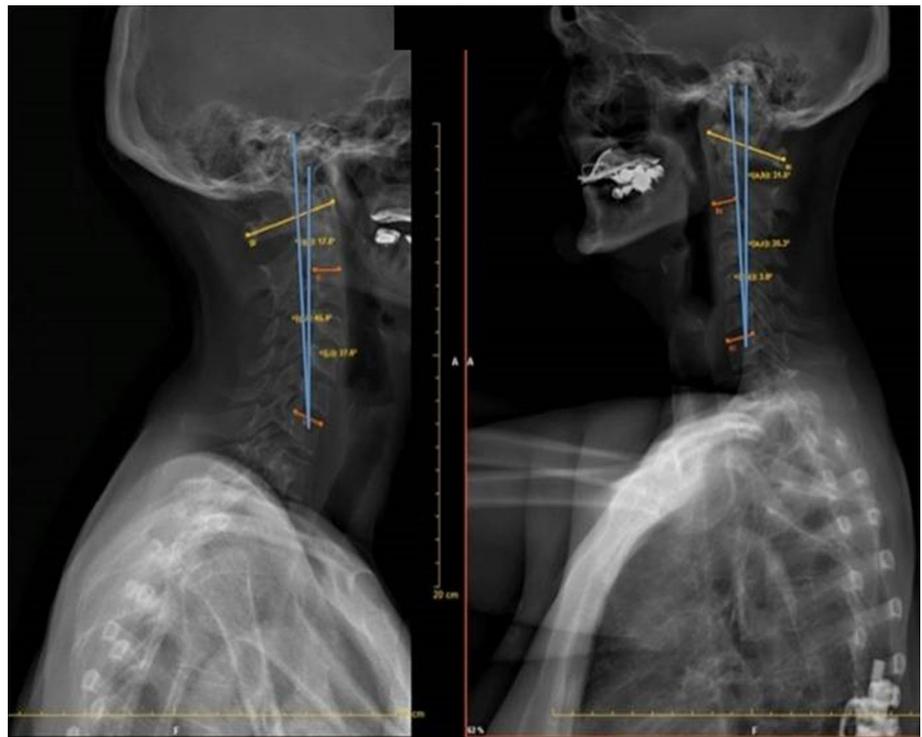
Pre-operative and post-operative full-length EOS radiographs (EOS Imaging®) were obtained with patients in both bent and straightened knee posture, with elbows flexed at approximately 45°, and fingertips on the clavicles (Fig. 1) [16]. Sagittal radiographic spinal measurements were performed using validated SterEOS software (EOS imaging, Paris, France, Fig. 2) [17, 18]. The following spinopelvic parameters were measured (Fig. 3): L1-S1 lumbar lordosis (LL); T4-T12 thoracic kyphosis (TK); C7-S1 sagittal vertical axis (SVA); knee flexion angle; pelvic incidence (PI); sacral slope (SS); and pelvic tilt (PT). In addition the PI minus the absolute value of LL (PI – LL), a sagittal modifier described by the SRS-Schwab



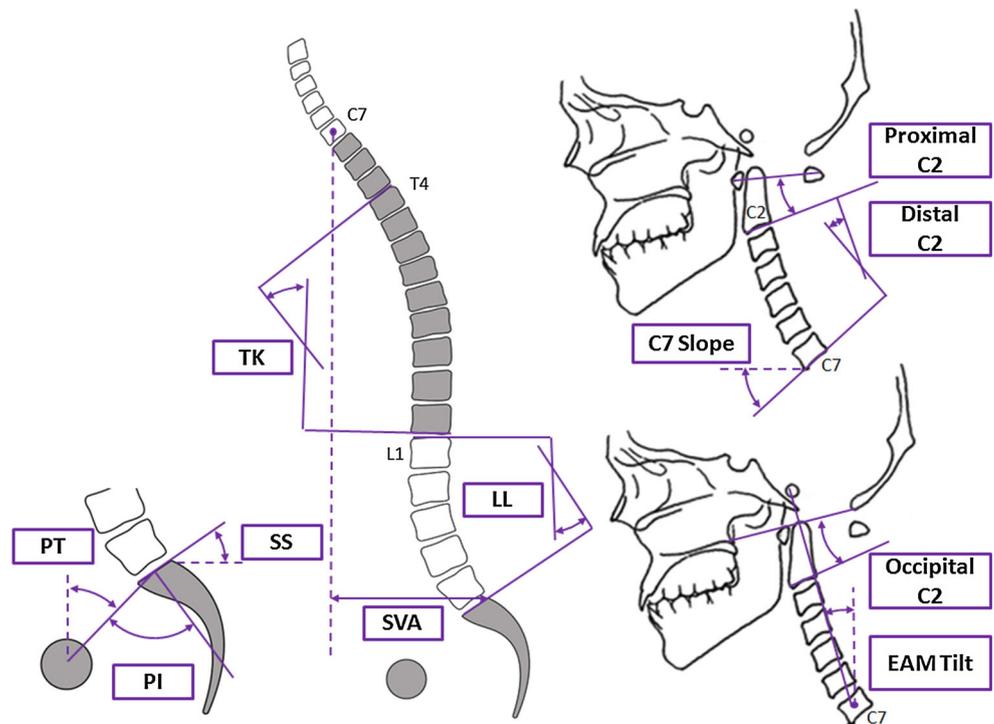
**Fig. 1** Standing full-length EOS (EOS Imaging®) lateral and coronal radiographs of a 42-year-old female, 2 years following an L4 pedicle subtraction osteotomy with T10-iliac instrumentation

Classification system, was reported [19]. PI – LL emphasizes the mismatch between lumbar lordosis and pelvic morphology and reaches deformity threshold when greater than 10° [20]. The following occipito-cervical parameters were measured: C1–C7 cervical lordosis (global CL); C1–C2 cervical lordosis (proximal CL); C2–C7 cervical lordosis (distal CL); and C7 slope. Additionally, the occipito-C2 angle (OC2), a measure of the occipito-

**Fig. 2** Pre-operative (*left*) and post-operative (*right*) measurements of cervical parameters utilizing Surgimap™. External auditory meatus tilt remains close to 0 degrees; *Upper* and *distal* cervical curvatures demonstrated significant changes



**Fig. 3** Spinopelvic parameters: lumbar lordosis (LL), thoracic kyphosis (TK), pelvic incidence (PI), sacral slope (SS), pelvic tilt (PT), sagittal vertical axis (SVA), occipito C2 angle, proximal cervical lordosis, distal cervical lordosis, C7 slope, external auditory meatus (EAM) tilt



cervical alignment, was defined as the angle between the McGregor line and the inferior endplate of C2. The external auditory meatus (EAM) tilt, a global parameter of the head position in relation to C7, was defined as the angle

between the vertical and the line joining the center of C7 and EAM. For all sagittal measurements, the angle was considered negative if the curve were lordotic and positive if the curve were kyphotic. When discussing an “increase”

in lordosis or kyphosis, the angle becomes more negative and positive in value, respectively. A change in lordosis or kyphosis was reported as an absolute value, designated by  $[\Delta]$ .

## Statistical analysis

The mean value and standard deviations of pre- and post-operative spinopelvic parameters were determined and changes were evaluated using a paired Student's *t* test. The normality of data was evaluated using the Shapiro–Wilk test. A *p* value of less than 0.05 was considered statistically significant. All statistical analyses for radiographic data were performed using the Statistical Package for the Social Sciences (SPSS) for Windows 17.0 (SPSS Inc., Chicago, IL). For the purpose of this paper, the study mean was compared to normative values in subjects with normal alignment. Reference normal values for spinopelvic parameters were obtained from a cross-sectional study by Vialle et al. [21] of 300 asymptomatic volunteers. Reference normal values for cervical parameters were obtained from Ames et al. [2], which was adapted from a study by Hardacker et al. [22], in addition to a cross-sectional study of 106 healthy volunteers by Le Huec et al. [23]. A value was considered “normative” if within one standard deviation from the mean of reference normative values.

## Results

### Baseline characteristics

Included in this study were 23 females and eight males with an average age of 63 years (range 42–79) at time of surgery. Etiologies for lumbar hypolordosis included degenerative ( $n = 12$ ), post-traumatic ( $n = 4$ ) and iatrogenic ( $n = 15$ ). Radiographic measures are summarized in Table 1. Pre-operatively, the sample showed global spinal malalignment, as reflected by a high mean value of SVA ( $11.1 \pm 5.5$  cm) and PI – LL mismatch ( $38.5 \pm 17.1^\circ$ ) greater than  $20^\circ$  [20]. Patients compensated for this malalignment via thoracic hypokyphosis ( $26.2 \pm 17.2^\circ$ ) that is less than the reference normal values ( $39 \pm 10^\circ$ ) [21]. Additional compensation occurred via knee flexion ( $13.4 \pm 8.4^\circ$ ) and pelvic retroversion. The mean PT ( $32.4 \pm 11.8^\circ$ ) was higher than the mean reported values in asymptomatic subjects ( $13.6 \pm 6^\circ$ ).

Mean OC2 ( $11.9 \pm 8.5^\circ$ ) and EAM tilt ( $1.4 \pm 8.3^\circ$ ) were within reference normal values ( $15.81 \pm 7.15^\circ$  and  $0^\circ$ , respectively) [23], indicating patients maintained horizontal gaze. Similarly, mean global CL ( $-43.9 \pm 13.4^\circ$ ) was similar to the reference normal values ( $-41.8^\circ$ ) [2].

Interestingly, analysis of proximal versus distal cervical lordosis revealed mean proximal CL ( $-27.3 \pm 6.9^\circ$ ) was hypolordotic, whereas distal CL ( $-16.5 \pm 14.7^\circ$ ) was hyperlordotic compared to reference normal values ( $-32.2 \pm 7.0^\circ$  and  $-9.6^\circ$ , respectively) [2]. These segmental cervical parameters suggest there are different compensation mechanisms between the different segments of the cervical spine.

### Post-operative characteristics

Post-operative radiographs were obtained between 0.2 and 37 months after surgery (mean 9 months). Level of pedicle subtraction osteotomy was L3 (19 %), L4 (71 %), L5 (6 %), and S1 (3 %). The mean levels of instrumentation were  $8.8 \pm 2.9$ . Lumbar pedicle subtraction osteotomy significantly increased the LL by  $37.7^\circ$  ( $p < 0.001$ ), resulting in a mean PI – LL mismatch of  $-0.8 \pm 14.2^\circ$ . The increase in LL resulted in a significant increase in thoracic kyphosis ( $\Delta 17.8^\circ$ ,  $p < 0.001$ ), decrease in pelvic retroversion ( $\Delta -15^\circ$ ,  $p < 0.001$ ), and increase in SS ( $\Delta 13.3^\circ$ ,  $p < 0.001$ ). These compensatory changes brought TK, PT, and SS spinal parameters within reference normal values (Table 1). All together, these regional spinal changes improved global alignment. SVA decreased ( $\Delta -8.5$  cm,  $p < 0.001$ ) to a post-operative mean ( $2.6 \pm 4$  cm) within reference normal values. Similarly, the amount of compensation via knee flexion decreased ( $\Delta -8.3^\circ$ ,  $p < 0.001$ ), resulting in negligible post-operative knee flexion ( $5.1 \pm 5.2^\circ$ ).

The analysis of occipito-cervical parameters revealed no significant increase in global CL ( $\Delta 3.6^\circ$ ,  $p = 0.074$ ), proximal CL ( $\Delta -0.9^\circ$ ,  $p = 0.357$ ), and EAM tilt ( $\Delta 1.4^\circ$ ,  $p = 0.195$ ). However, significant increases were noted in distal CL ( $\Delta 5.6^\circ$ ,  $p = 0.010$ ) and OC2 ( $\Delta 2.2^\circ$ ,  $p = 0.008$ ) with significant decrease in C7 slope ( $\Delta -3.6^\circ$ ,  $p = 0.028$ ).

## Discussion

Reciprocal changes have been reported previously for the thoracic, lumbar and pelvic regions [12, 24–35]. For example, reciprocal decrease in lordosis within the unfused lumbar spine has been demonstrated after thoracic osteotomy with limited fusion for correction of kyphosis [7]. Similarly, a lumbar osteotomy with restoration of LL also generates a spontaneous increase in kyphosis within the unfused thoracic spine [7]. These unanticipated reciprocal changes can bring the global spine into malalignment. For example, hyperkyphosis following lumbar pedicle subtraction osteotomy can negatively impact SVA, potentially countering the improvement in alignment for which surgery is typically performed [8].

**Table 1** Pre-operative, post-operative, and change in mean radiographic values

Region	Parameters	Mean	SD	Mean	SD	Difference	<i>p</i>
Thoracolumbar	Lumbar lordosis (°)	−19.9	19.5	−57.6	12.8	−37.7	<0.001
	Thoracic kyphosis (°)	26.2	17.2	44.0	10.5	17.8	<0.001
Pelvic	Pelvic tilt (°)	32.4	11.8	17.4	10.2	−15.0	<0.001
	Sacral slope (°)	26.0	14.1	39.3	9.8	13.3	<0.001
	Pelvic incidence (°)	58.4	16.4	56.7	14.3	−1.7	0.054
	Pelvic incidence minus lumbar lordosis (°)	38.5	17.1	−0.8	14.2	−39.4	<0.001
Cervical	Occipito C2 angle (°)	11.9	8.5	14.1	8.4	2.2	0.008
	Global cervical lordosis (°)	−43.9	13.4	−40.3	11.6	3.6	0.074
	Proximal cervical lordosis (°)	−27.3	6.9	−28.2	8.6	−0.9	0.357
	Distal cervical lordosis (°)	−16.5	14.7	−10.9	11.9	5.6	0.010
	C7 slope (°)	28.3	10.3	24.7	9.0	−3.6	0.028
Global	EAM tilt (°)	1.4	8.3	2.9	5.3	1.4	0.195
	Knee flexion (°)	13.4	8.4	5.1	5.2	−8.3	<0.001
	Sagittal vertical alignment (cm)	11.1	5.5	2.6	4.0	−8.5	<0.001

The present study agrees with the assessment of global spinopelvic alignment by Blondel et al. [12]. Their assessment concluded that a larger PI requires a larger LL to achieve anatomical spinopelvic harmony. This correlates with increased TK, which in turn correlates with increased CL [12]. As expected, improvement of lumbar hypolordosis eliminated compensation through thoracic hypokyphosis. This study also noted predictable improvements in pelvic parameters. A mild loss of LL is correlated with a hypokyphosis or a lordosis of the thoracic region, whereas a more significant loss of LL is correlated with pelvic retroversion (increased PT) as a compensatory mechanism [2]. This study found a decrease in pelvic retroversion to within the reference normal pelvic values following improvement in lumbar alignment.

These regional changes resulted in improvement of global alignment, as indicated by the return of mean SVA to reference normal values. This is of particular clinical significance, as major sagittal malalignment (defined as  $SVA > 5$  cm) is recognized as a cause of pain and disability [24, 36–38] and requires increased energy expenditure [36, 37, 39]. Likewise, Schwab et al. have shown that patients with PI – LL mismatch ( $PI - LL > 11^\circ$ ) are more likely to have pelvic retroversion or global malalignment [40]. Additionally, patients with PI – LL mismatch compared to patients with PI – LL harmony have a 4.2-fold greater risk of pelvic retroversion, 10.9-fold greater risk of positive sagittal malalignment (SVA), and 3.9-fold greater risk of severe disability [40].

Compensatory mechanisms of the cervical spine following spinal deformity surgery have only recently been considered. Smith et al. [14] demonstrated that adults with positive sagittal spinopelvic malalignment compensate with abnormally increased CL in an effort to maintain

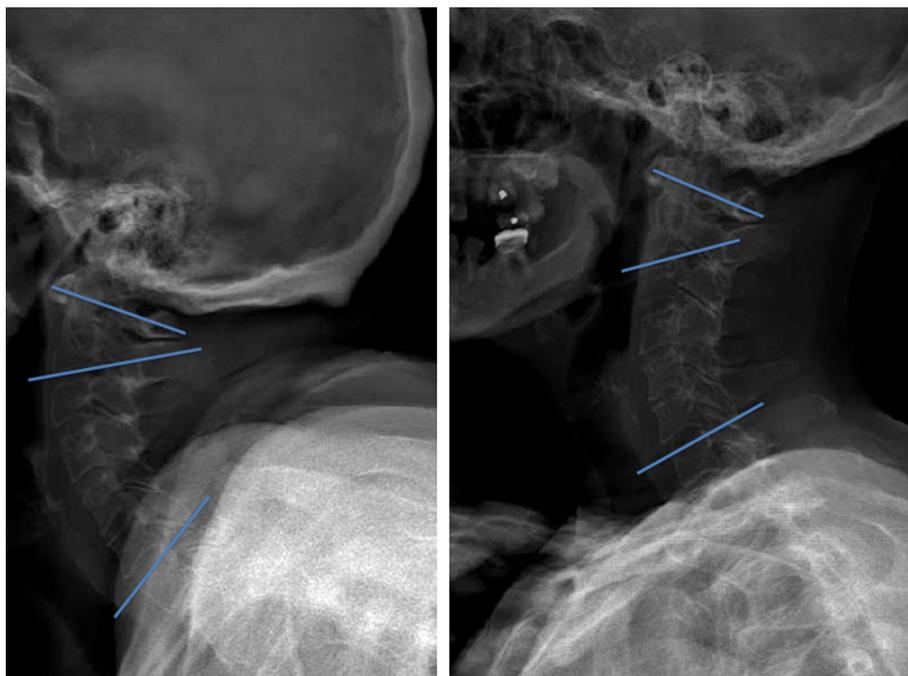
horizontal gaze. Blondel et al. [12] similarly demonstrated a compensatory loss of cervical lordosis to maintain horizontal gaze in patients with sagittal malalignment following lumbar pedicle subtraction osteotomy. The present study found no significant post-operative changes in global CL and proximal CL. There was, however, significant decrease in distal CL and OC2 angles. This is probably due to the balance between upper and lower cervical segments. When one of these segments shifts backward, the other segment shifts forward, resulting in a repositioning of the head balanced over C7.

The decrease in distal CL and C7 slope seen in the present study represents a decreased need for compensation at these levels after the surgery. There is a strong correlation between the C7 slope and the cranio-cervical system, with high values of C7 slope corresponding to high values of cervical lordosis, and vice versa [23]. Additionally, the proximal cervical spine will take a slightly flexed position to maintain horizontal gaze. This is evident in the slight increase in kyphosis in the proximal CL and the OC2 angle within reference normal values.

The most clinically important finding of this study was that there was no significant decrease in EAM tilt. The EAM tilt evaluates the global position of the head and remains unchanged following surgery, thanks to the balance and harmony between the upper and lower cervical segments (Fig. 4). The tendency of the pelvic, thoracolumbar and cervical parameters to normalize following pedicle subtraction osteotomy in the setting of a maintained EAM tilt represents a more natural posture with less compensation.

One strength of this study is the inclusion of a homogeneous population of consecutive patients undergoing pedicle subtraction osteotomy surgeries. It is limited by its

**Fig. 4** Pre-operative (*left*) and post-operative (*right*) measurements of cervical parameters. EAM tilt remains close to 0 degrees; *Upper* and *distal* cervical curvatures demonstrated significant changes



small sample size though. The inclusion of relatively few surgical and patient factors may have skewed outcomes like curve type, BMI, sex, and health-related quality-of-life surveys. Conclusions on thoracic compensatory mechanisms are difficult to interpret as patients with high values of thoracic kyphosis ( $TK < 60^\circ$ ) was an exclusion criterion, perhaps partially accounting for the thoracic hypokyphosis noted at baseline. According to Lamartina-Berjano [1] sagittal deformity classification, such globally kyphotic patients should be fused up to T2, likely modifying the position of C7 and having an effect on the cervical parameters addressed. Future studies are needed from a larger population of patients including the aforementioned variables to further investigate the relationship between cervical and thoracic compensatory mechanisms.

This manuscript compared the results and the sagittal parameters to “normative” reference values [2, 21–23]. It is important to note that these values are not absolute definitions of deformity. Defining ideal sagittal parameters is currently the subject of ongoing research. The reference normal values are therefore presented as a vehicle for rough comparison with asymptomatic adults, and does not intend to include the specificity of the chains of correlations established in the literature [19, 20, 38, 41].

## Conclusion

This study expanded upon previous research that identified a decrease in global CL following lumbar pedicle osteotomy [12, 14]. By analyzing occipito-cervical radiographic

parameters, this study attempts to determine the most influential and important region utilized for cervical compensation. The present study found no post-operative changes in global CL, proximal CL, and EAM tilt in the setting of a normal post-operative OC2 angle. Increased post-operative distal CL represents a decreased need for compensation within the distal cervical spine to maintain horizontal gaze. These findings indicate that cervical compensatory mechanisms are not singularly captured by analysis of global CL.

These findings highlight how the different regions of the spine influence and are influenced by each other. Specifically, the cervical region resumes a more natural and efficient alignment following lumbar pedicle subtraction osteotomy in the setting of lumbar hypolordosis. Surgeons who perform lumbar pedicle subtraction osteotomies in this patient population should give consideration to these compensatory mechanisms in their pre-operative planning.

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