

Lumbar Instability Induces Ligamentum Flavum Hypertrophy in a Rat Model

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Research Article

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Lumbar instability induces ligamentum flavum hypertrophy in a rat model

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Abstract

Background: The purpose of this study was to establish a novel rat model for ligamentum flavum (LF) hypertrophy using lumbar instability and to elucidate the etiology of LF hypertrophy.

Methods: A total number of 30 male rats were used. Lumbar instability was induced by surgical resection of L5/6 posterior elements (n=15). The other rats underwent a sham operation (n=15). After 8 weeks, all rats were taken lateral plain X-rays. The LF from L5/6 in both groups were harvested to investigate histological, immunohistological, and real-time PCR analysis.

Results: According to radiological results, the disc height ratio and extension ratio were larger in the rats in the experimental group than that of in the control group. The HE staining showed that the LF thickness in the experimental group significantly increased in comparison to the control group. The Masson trichrome staining showed that the ratio of elastic fibers to collagen fibers in experimental group was lower than that in the control group. The protein and gene expression of TGF- β 1, TNF- α , IL-1 β , and Col 1 were significantly higher in the experimental group than that in the control group.

Conclusion: It is the first time that lumbar instability directly induced LF hypertrophy in a reproducible rat model. Lumbar instability could lead to high expression of inflammatory and fibrotic factors in LF, causing the accumulation of collagen fibers and decreasing of elastic fibers.

Keywords: experimental study, ligamentum flavum, hypertrophy, lumbar instability, inflammatory factor, fibrotic factor, immunohistochemistry, real-time PCR, Masson trichrome staining, lumbar degenerative disease, rat model.

Background

Lumbar spinal canal stenosis (LSCS) is a common spinal disorder in elder people causing low back pain, gait disturbance, leading to severe disability in the activities of daily living [1]. There are approximately 250,000 to 500,000 LSCS patients in the United States [2]. In these patients with LSCS, protruded lumbar discs, hypertrophied ligamentum flavum (LF) and bulged facet joints compress the dural sac, cauda equine, or nerve-roots, leading to canal narrowing (stenosis). Because the LF covers most of the posterior and lateral parts of the spinal canal. The cauda equine or nerve roots can be mechanically compressed by hypertrophy LF, resulting in spinal symptoms [3]. Although numerous investigations have been conducted to clarify the degeneration of the LF in LSCS patients using the tissue harvested during spine surgery [4]. The hypertrophied LF of human already showed a common histological changes: the loss of elastic fibers and an excessive accumulation of collagen fibers [5-6]. In addition, molecular overexpression were also found in human hypertrophied LF. The inflammatory factors such as Interleukin-1 (IL-1 β), Tumor Necrosis Factor (TNF- α), and fibrogenic cytokines such as Transforming Growth Factor- β 1 (TGF- β 1) were observed [8-9]. However, whether such factors are causative or merely a consequence of LF hypertrophy remains unknown. The exact molecular mechanism of LF hypertrophy has not been revealed yet [10-11]. Therefore, basic research using an experimental animal model is necessary to clarify its pathomechanism.

46 In clinical situations, lumbar instability is frequently observed in patients with LSCS, and this changes might
47 have a positive correlation with its pathogenesis [12]. Fukuyama et al [13] found that the LF thickness of lumbar
48 instability patients was larger than that of non-instability patients. Several experimental animal models of
49 intervertebral disc degeneration resulted from spinal instability have been reported [14-16]. However, there are no
50 basic studies applying an experimental animal directly demonstrating that lumbar instability induces LF
51 hypertrophy.

52 Therefore, in this study, we aimed to establish a novel rat model for degeneration and hypertrophy of the LF
53 using lumbar instability. We also intended to investigate the effect of lumbar instability on LF degeneration to
54 elucidate the etiology of LF hypertrophy.

55

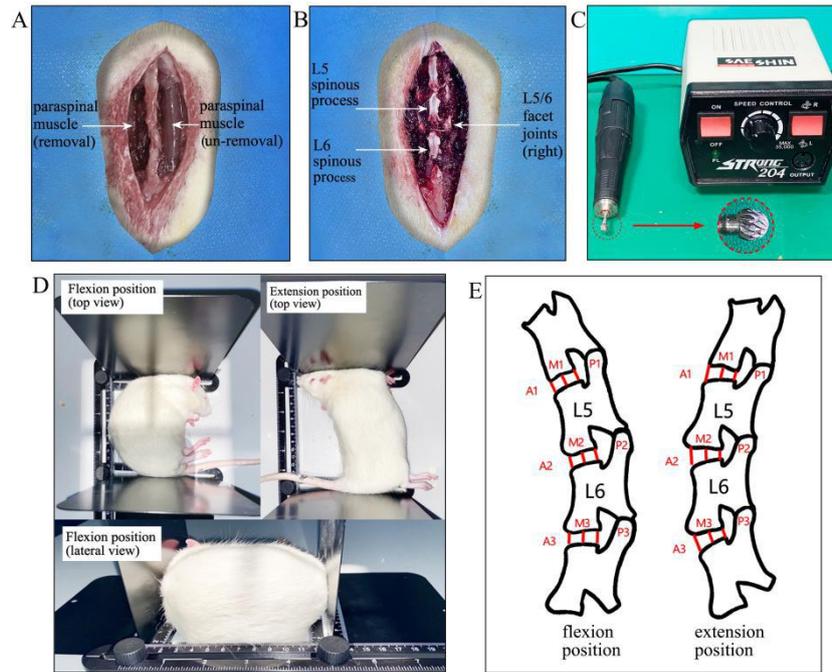
56 **Methods**

57 **Animals and groups**

58 Thirty eight-week-old male Sprague-Dawley rats, each weighing about 250g were used. During the experiment, all
59 rats were housed in a temperature- and humidity-controlled environment with a 12h light/12h dark cycle. All
60 experiments were approved by the Animal Ethics Committee of the Institute of Basic Theory for Chinese Medicine,
61 China Academy of Chinese Medical Sciences and were compliant with NIH guidelines for the humane care and use
62 of laboratory animals. All methods were carried out in accordance with ARRIVE guidelines. During surgical
63 procedures, the rats were anesthetized by an intraperitoneal injection of sodium pentobarbital (50mg/kg), given
64 injection of antibiotics (20mg/kg of Cefuroxime Sodium; Medochemie, Cyprus) and then operated aseptically
65 throughout the experiments. They were randomly divided into two groups. To obtain lumbar instability on in L5/6
66 level, the first group (group A; n=15) underwent complete resection of L5 and L6 spinous process, semi-grinding
67 (Grinder, Seashin 204, Daegu, Korea) of the bilateral L5/6 facet joints, and removal of L5-L6 paraspinal muscle
68 (Fig. 1a-c). The second group (group B; n=15) just underwent surgical exposure as a sham operation. All rats were
69 received food pellets and water ad libitum. Two groups of rats were sacrificed at 8 weeks after surgery.

70 **Radiological analysis**

71 Eight weeks after operation, all rats were taken lateral plain X-rays of the lumbar spine under general anesthesia by
72 an intraperitoneal injection of sodium pentobarbital (50 mg/kg). To ensure the same degree of extension and flexion
73 in all rats, a simple retractable holder was constructed to make sure consistent distance from the head to the tail (Fig.
74 1d). The lumbar instability reflected by disc height and mobility of the L5/6 segment were gauged using Image J
75 1.50 software (National Institutes of Health) and were compared between two groups [13,16] (Fig. 1e).



76

77 Fig 1. Surgical procedures and radiological methods. (A) Removal of L5-L6 paraspinal muscle. (B) Complete
 78 resection of L5 and L6 spinous process, semi-grinding of the bilateral L5/6 facet joints. (C) A Grinder and round
 79 drill bit used to semi-grind the facet joints. (D) Over extension and flexion position of rats using a retractable holder.
 80 (E) Measurement indicators: (1) Disc height ratios (DHR) in flexion and extension were calculated as follows:
 81 anterior DHR = $2 \times A2 / (A1 + A3)$, middle DHR = $2 \times M2 / (M1 + M3)$, posterior DHR = $2 \times P2 / (P1 + P3)$. (2) Flexion
 82 and extension ratios were calculated as follows: flexion ratio = $A2 / P2$ in flexion, extension ratio = $A2 / P2$ in
 83 extension. A anterior, M middle, P posterior.

84

85 **Human LF samples**

86 Human LF was collected at surgery from 10 lumbar disc herniation (LDH) patients (mean age 41.2 years, range
 87 26–55 years, LF < 4 mm, as non-hypertrophied LF) and 10 LSCS patients (mean age 54.7 years, range 51–71 years,
 88 LF \geq 4 mm, as hypertrophied LF) who had undergone decompressive laminectomy. The thickness of human LF
 89 was measured at the facet joint level on axial T2-weighted magnetic resonance imaging (MRI) [17]. These sections
 90 were prepared to Masson staining. All procedures were approved by the Ethics Committee of Wangjing hospital,
 91 Chinese Academy of traditional Chinese Medicine (WJEC-YJS-2020-009-P002) and all procedures were
 92 performed according to the Declaration of Helsinki. All patients received written informed consent before operation.
 93 The LF was collected during surgery after obtaining the informed consent from patients.

94 **Histological analysis and immunohistological evaluation**

95 The lumbar spinal without any muscles were cut along the coronal plane at the intervertebral foramen to separate
 96 them into the anterior and posterior spine column. The posterior lumbar spinal with the LF on the left side were
 97 harvested and fixed with 4% paraformaldehyde phosphate buffer solution for 48 hours. Then this posterior lumbar
 98 spinal was decalcified in 10% ethylenediaminetetraacetic acid (EDTA) solution for eight weeks. The L5/6
 99 posterior lumbar spinal were sliced along the cross plane at the facet joint level. These samples were embedded in
 100 paraffin and sliced in to 4 μ m. This sections were subjected to hematoxylin-eosin (HE) and Masson trichrome (MT)
 101 staining. MT staining was to distinguish between collagen fibers (blue) and elastic fibers (red). Ligaments in the
 102 human specimens were processed as above without to be decalcified. The Image J 1.50 software was used to
 103 measure the area, thickness, width, and the area of collagen or elastic fiber of the rat LF at the L5/6 facet joint level

104 on the axial sections.

105 For immunostaining, the sections were retrieved with EDTA retrieval buffers (PH 9.0; Wuhan Boster
106 Biological Technology Ltd., Wuhan, China) at 100 °C for 30 min. Endogenous peroxidase activity was quenched in
107 3% H₂O₂ for 30 min, and endogenous immunoglobulin was then blocked with 3% bovine serum albumin (Beijing
108 Solarbio Science & Technology, Co., Ltd., Beijing, China) for 30 min. After incubation with TGF-β1 rabbit
109 monoclonal antibody (1:50; Beijing Bioss Biological Technology Ltd., Beijing, China), TNF-α antibody rabbit
110 polyclonal antibody (1:100; Wuhan Boster Biological Technology Ltd., Wuhan, China), IL-1β rabbit monoclonal
111 antibody (1:200; Beijing Bioss Biological Technology Ltd., Beijing, China), and Col 1 rabbit monoclonal antibody
112 (1:100; Beijing Bioss Biological Technology Ltd., Beijing, China) for 2 hours, the secondary antibody (1:100;
113 Beijing Bioss Biological Technology Ltd., Beijing, China) incubation was carried out for 2 hour. The reaction was
114 visualised using the DAB. The sections were counters-tained using hematoxylin. The mean optical density (MOD)
115 of positive cells was analysed in the axial sections at the L5/6 facet joint level using Image J 1.50.

116 **RNA isolation and real-time PCR Analysis**

117 After the rats were sacrificed, the LF of the right side from L5/6 were stored in liquid nitrogen immediately.
118 According to the manufacturer's instructions, total RNA was isolated from LF tissue using a total RNA preparation
119 kit (Axygen, NY, USA) and cDNA was synthesized from the total RNA using a PrimeScript reverse transcriptase
120 (TAKARA, Shiga, Japan). Relative mRNA expression was determined using RT-PCR with the GoTaq 1-step
121 RT-qPCR system (TAKARA), agarose gel electrophoresis system (BioRad, CA, USA) and qPCR using SYBR
122 premix Ex Taq kit (TAKARA) with ABI Prism 7500 Fast Real-Time PCR system (Applied Biosystems, Foster City,
123 CA). Gene expression was quantified using the 2^{-ΔΔCT} method. GAPDH was used as an internal control. The
124 primer sequences of genes were obtained from Primer Bank. All the primers were synthesized by Servicebio
125 Biotech (Wuhan, China). For real-time PCR, the primers were synthesized as follows: GAPDH,
126 5'-AAGAAGGTGGTGAAGCAGG-3' (forward) and 5'-GAAGGTGGAAGAGTGGGAGT-3' (reverse); TGF-β1,
127 5'-CCTGTCCAAACTAAGGCTCG-3' (forward) and 5'-ATGGCGTTGTTGCGGTC-3' (reverse); IL-1β,
128 5'-GGGCTGGACTGTTTCTAATGCCTT-3' (forward) and 5'-CCATCAGAGGCAAGGAGGAAAACA-3'
129 (reverse); TNF-α, 5'-TTATGGCTCAGGGTCCAACCTCTGT-3' (forward) and
130 5'-TGGACATTCGAGGCTCCAGTGAAT-3' (reverse);
131 Col 1, 5'-AACCTGGAAACAGACGAACAACC-3' (forward) and 5'-TGGTCACGTTTCAGTTGGTCAAAGG-3'
132 (reverse).

133 **Statistical analysis**

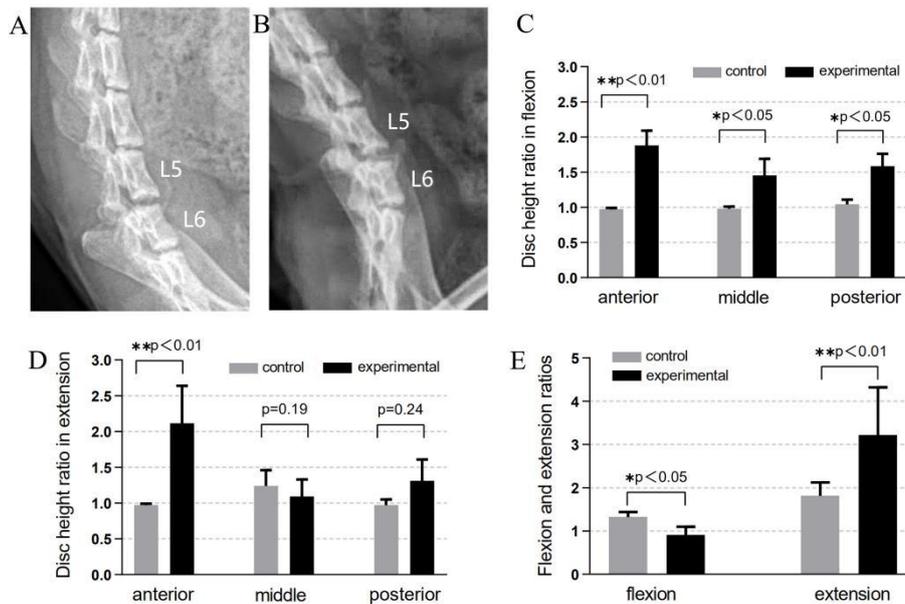
134 All statistical analyses were performed with SPSS 22.0 (IBM Corp., Armonk, NY, USA). Student's t-test and
135 Mann-Whitney U test were respectively used to compare the radiographical and histological scores between the
136 surgery and sham groups. p values < 0.05 were considered significant.

137

138 **Results**

139 **Radiological analysis**

140 According to the radiological results, the rats of experimental group showed wide disc space and bone spurs of the
141 anterior vertebral rims at the L5/6 level. The L5 and L6 spinous processes of all rats were still absent, but the L5/6
142 facet joints returned to normal as the other sham rats. No slippage of the vertebral body was seen at at the L5/6
143 level (Fig. 2a-b). Additionally, the disc height ratio and extension ratio were larger in the rats in the experimental
144 group than that of in the control group (Fig. 2c-e). These results reflected that the intervertebral disc height in
145 dynamic position and the motion range of flexion and extension increased, leading to spinal instability at the
146 surgical segments.



147

148 Fig 2. Radiological analysis at 8 weeks postoperatively. Wide disc space and anterior osteophyte formation was
 149 found on L5/6 of (A) flexion position and (B) flexion position on lateral radiographs. (C) The disc height ratio of
 150 the flexion position was larger in the rats in the experimental group than in the rats in the control groups. (D)
 151 the anterior disc height ratio of the extension position was larger in the rats in the experimental group than in the
 152 rats in the control groups. (E) The extension ratios were larger in the rats in the experimental group than in the
 153 rats in the control groups.

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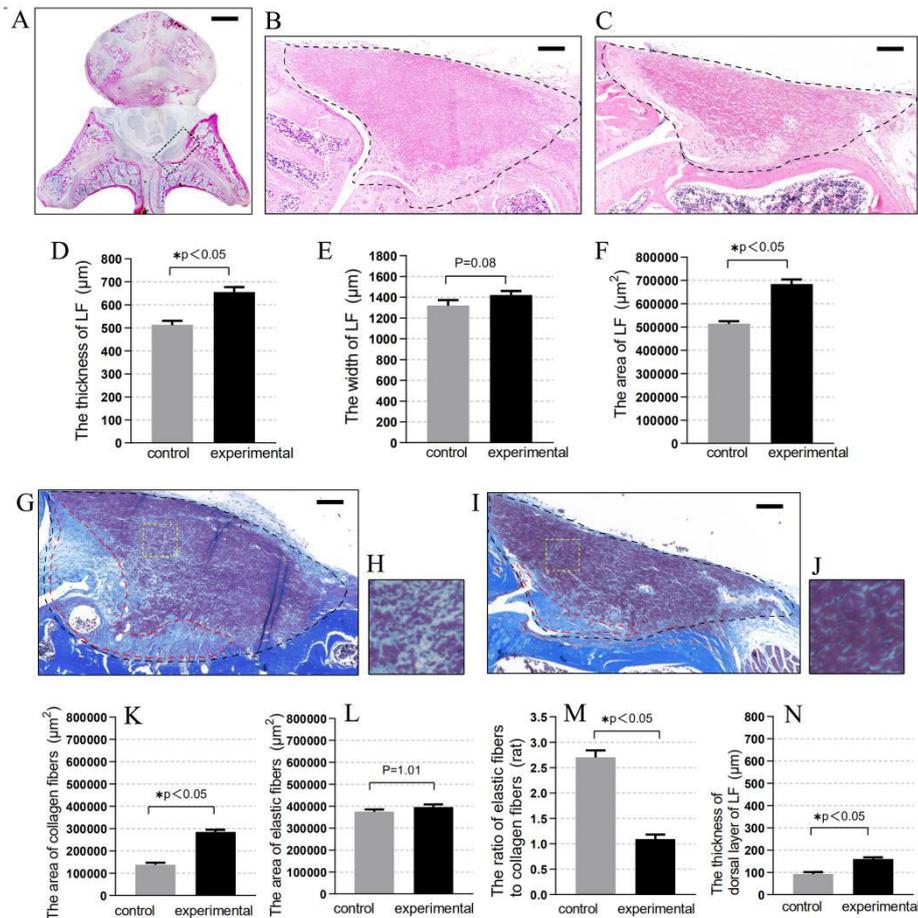
155 Lumbar instability induced LF hypertrophy

156 In order to test whether lumbar instability indeed brought about LF hypertrophy, we compared the L5/6 axial
 157 cross-sectional pathological section of all rats. After 8 weeks, The HE staining showed that the thickness of the
 158 experimental group was $656 \pm 21.4 \mu\text{m}$, which was significantly higher than that of the same level in control group
 159 ($p < 0.05$). The width of two groups had no distinct difference ($p = 0.08$). The axial cross-sectional area in the
 160 experimental group was about 1.33-fold that of the same level in control group ($p < 0.05$, Fig. 3a-f).

161 Then we examined the effect of lumbar instability on the extracellular matrix (ECM) of the rat LF by MT
 162 staining. Previous studies had demonstrated that the ECM of human non-hypertrophied LF was mainly composed
 163 of major elastic fibers and minor collagen fibers. However the proportion of collagen fibers was accordingly
 164 increased when LF hypertrophied [5-6]. Our experiment showed similar results. The ratio of elastic fibers to
 165 collagen fibers in experimental group was lower than that in the control group ($p < 0.05$). Although the area of
 166 elastic fibers also increased, the density of elastic fibers decreased (Fig. 3g-n).

167 In addition, a fibrotic area was found at the HF dorsal aspect layer in the experimental group (Fig. 3g, red
 168 circle). This fibrotic area mainly composed of collagen fibers on MT staining. The mean thickness of this enlarged
 169 dorsal layer of HF was $159 \pm 8.37 \mu\text{m}$ in experimental group, which was notably thicker than in the control rat (Fig.
 170 3i, red circle).

171 These results indicated the successful establishment of a LF hypertrophy rat model by lumbar instability. On
 172 the other hand, posterior destabilization of lumbar could also cause enlargement of the dorsal side of the LF.



173

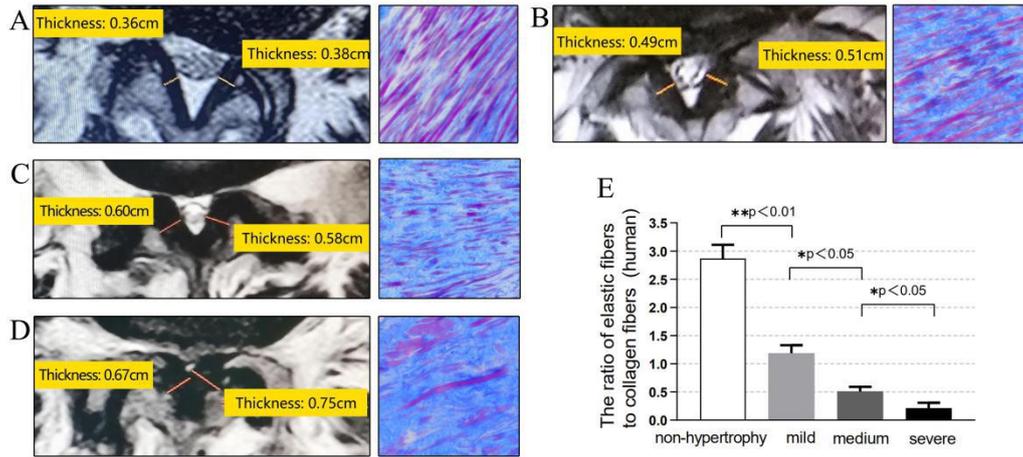
174 Fig 3. Lumbar instability induced LF hypertrophy on HE staining and on MT staining. (A) Axial sections of the rat
 175 lumbar spine. The cross-sectional area of LF in the experimental group and control group on HE staining were
 176 shown respectively in (B) and (C). The (D), (E), and (F) Bar graphs showing the thickness, width, and
 177 cross-sectional area in the two groups. The cross-sectional area of LF in the experimental group and control group
 178 on MT staining were shown respectively in (G) and (I). The fibrotic area were in the red circle. The (H) and (J)
 179 were high magnifications of (G) and (I). The (K) and (L) Bar graph showed the area of collagen fibers and elastic
 180 fibers in the two groups. The (M) Bar graph showed the ratio of elastic fibers to collagen fibers in the two groups.
 181 The (N) bar showed the thickness of dorsal layer of LF. Scale bar, 500 and 100 μm for low (A) and high (B, C, G, I)
 182 magnification images, respectively

183

184 The histological analysis of human compared with rat

185 We compared the the severity of hypertrophy LF in the rat model and that in the human samples. In the human
 186 samples, we found non-hypertrophied LF showed a dense, continuous, and regular bundle of elastic fibers. In
 187 contrast, hypertrophied LF showed sparse, fragmented, and irregular elastic fibers on MT staining. The ratio of
 188 elastic fibers to collagen fibers also decreased in hypertrophied human LF compared to non-hypertrophied human
 189 LF. The severity of this histologically change was proportional to the LF thickness (Fig. 4a-d).

190 In rat model, the elastic fibers in the control group were dense which were similar to non-hypertrophied LF of
 191 human. Whereas the elastic fibers in the experimental group were sparse, slightly degenerated. The ratio of
 192 elastic-to-collagen fibers was 1.19 ± 0.14 in the rats (Fig. 3m), which was similar to human mildly hypertrophied LF
 193 with the ratio of 1.08 ± 0.09 (Fig. 4e). These results indicated that our rat model by lumbar instability was
 194 histologically identical to mildly hypertrophied LF of human.



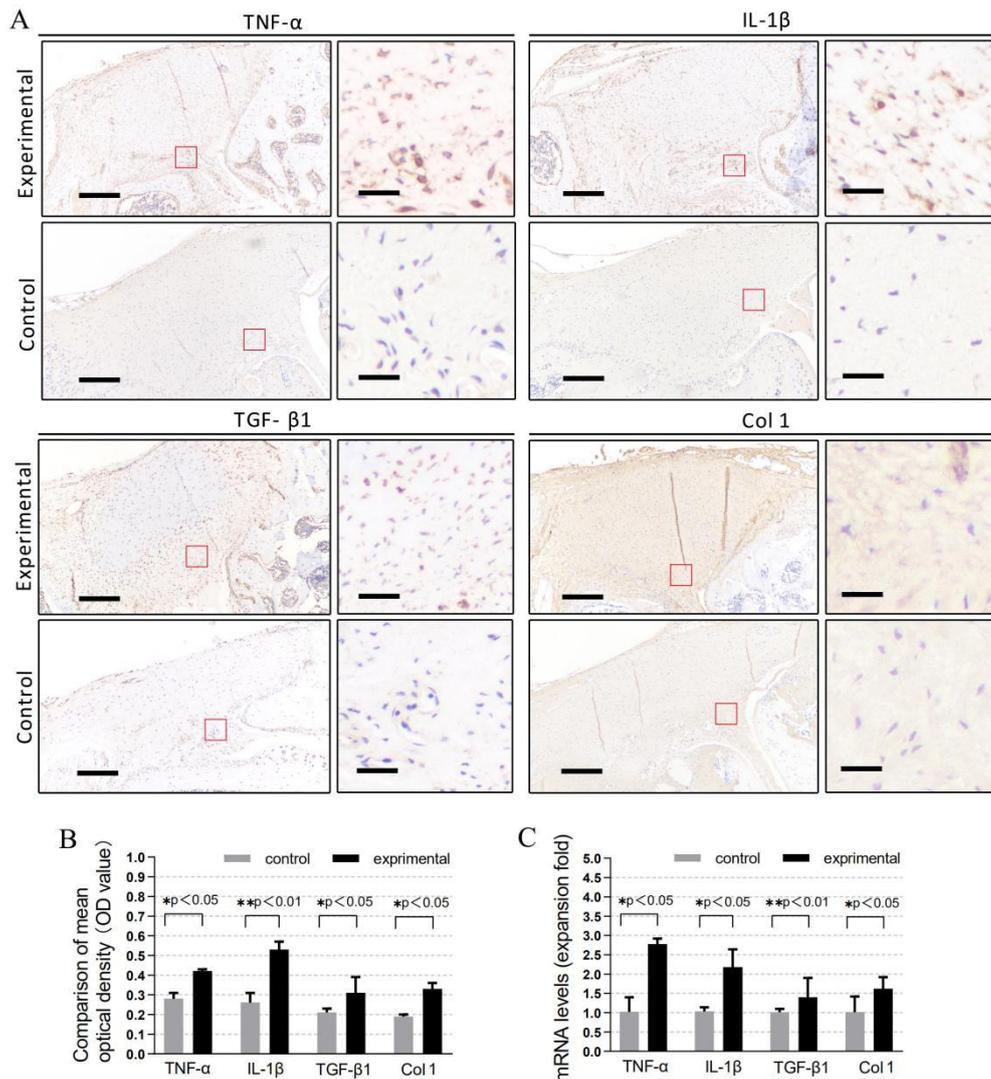
195

196 Fig 4. This rat model histologically identical to mildly hypertrophied LF of human. (A-D) image showed the MRI
 197 and MT staining of human samples: (A) non-hypertrophy, (B) mild hypertrophy, (C) medium hypertrophy, and (D)
 198 severe hypertrophy. The yellow lines indicated thickness of the LF. The (E) Bar graph showed the ratio of elastic
 199 fibers to collagen fibers in the four human groups.

200

201 **The immunohistochemical and PCR analysis**

202 The L5/6 level LF in model group had significantly larger optical density (OD value) of TGF- β 1, IL-1 β , and Col 1
 203 than that on the same level in control group ($p < 0.05$, Fig. 5b). Representative specimens of TGF- β 1, TNF- α , IL-1 β ,
 204 and Col 1 immunohistological staining are shown in Fig. 5a. we also evaluated the gene expression of TGF- β 1,
 205 TNF- α , IL-1 β , and Col 1 in both groups. The PCR analysis demonstrated that the gene expression of TGF- β 1,
 206 TNF- α , IL-1 β , and Col 1 were significantly higher in the experimental group than that in the control group ($p <$
 207 0.05, Fig. 5C).



208
 209 Fig. 5. (A) Immunohistochemistry of TGF-β1, IL-1β, and Col 1 in the L5/6 LF of the experimental and control
 210 group at 8 weeks after the surgery. Inset boxes in the left panels indicate the enlarged images in the right panels. (B)
 211 Comparison of mean optical density (OD value). (C) Comparison of mRNA levels (expansion fold). *Scale bar, 100*
 212 *and 10 μm for low and high magnification images, respectively.*

213
 214 **Discussion**

215 LF hypertrophy is one of the major factors of canal narrowing in LSCS. Spinal instability is thought to contribute to
 216 LF hypertrophy, but this pathophysiological mechanisms are still controversial. Therefore, we intend to elucidate
 217 the development of LF hypertrophy over a time course by lumbar instability of experimental rat. In this study, by
 218 applying posterior destabilization to the rat lumbar, we demonstrated that lumbar instability was one of the direct
 219 causes of LF hypertrophy. To our knowledge, no experimental investigation that could clarify the effect of lumbar
 220 instability on the LF has been carried out.

221 Previous study reported that the resection of spinous process, inter-and supraspinous ligaments, and facet
 222 joints caused lumbar instability and intervertebral disc degeneration (IDD) over a 12 weeks period in mice [16].
 223 Biomechanical study using human or pig spines showed that instability of the motion segment was increased when
 224 lumbar facet joints, spinous process, and other posterior lumbar elements were resected [18-19]. In addition,
 225 paraspinal muscle removal surgery in a rabbit model can lead to cervical instability and LF degeneration [20].
 226 Therefore, we hypothesized that the lumbar instability could lead to IDD and must be accompanied by LF

227 degeneration. Thus, we tried to resect both facet joints, spinous process with ligaments, and paraspinal muscle to
228 concentrate much more stress on a certain lumbar segment, which was expected to induce lumbar LF hypertrophy
229 within a short period.

230 Compared with previous studies using human specimens, we would be able to obtain more accurate data
231 regarding the biological reaction of the LF to lumbar instability using a rat model. To assess whether the rat was a
232 feasible experimental animal model for the study of LF hypertrophy, we evaluated histological results of the rat
233 lumbar spine. In the axial sections of the lumbar spine, HE staining demonstrated that the rat LF was located
234 between the dural sac and facet joints. In the sagittal sections, the LF ran between adjacent laminae. These
235 histological features were very similar to those of human LF. Furthermore, the normal LF in humans is a
236 well-defined elastic structure with 75% elastic fibres and 25% collagen fibres [6]. In this study, the density of
237 elastic fibres with MT stain in control group was almost equal to that of the normal LF in humans. Based on these
238 findings, the structure of the LF in rats was similar to that in humans. Therefore, using a rat model to examine the
239 pathomechanism underlying LF hypertrophy for the study was considered reasonable.

240 The radiographical analyses showed wide disc space, increased range of motion and bony spur formation.
241 Similar to our data, Fukui et al [13] found that increased disc height and endplate irregularities were observed at
242 surgery segment after lumbar facetectomy in the rat. In contrast, the disc height decreased after lumbar facetectomy
243 in the recent mouse IDD model [16]. The discrepancy between these models may be due to the difference of
244 surgical procedures, position of X-ray (dynamic position VS. normal position), observation time points, or that of
245 species (rat VS. mouse).

246 Furthermore, the increased expression of TGF- β 1, IL-1 β , TNF- α and Col 1 was similar to the previous results
247 in human hypertrophied LF [8-9]. Inflammation-related gene expression such as COX-2, TNF- α , and IL-1, -6, -8,
248 -15 were found in the human ligamentum flavum. Its expression showed weak positive linear correlation with the
249 thickness of ligament [7]. Accumulation of fibrosis (scarring) caused hypertrophy of the ligamentum flavum. In
250 fibrotic diseases of several organs, TGF- β 1 has been reported to be an important disease related factor for collagen
251 production and deposition [2]. In hypertrophied LF of humans, macrophages as well as vascular endothelial cells
252 but not only fibroblasts showed a strong expression of TGF- β 1 [22]. Sairyo et al [27] reported that the expression
253 of TGF- β 1 mRNA was higher in the early stage of the LF degeneration, but not in the later stage. Its expression
254 decreased as the ligamentum flavum thickness increased. The over expression of TGF- β 1 might not completely
255 cover the whole process of LF hypertrophy, which multiple factors involved. The expression of TGF- β 1 is still
256 controversial in present studies. Therefore, we should continue to explore the expression of this factor regarding to
257 different stages of the hypertrophied LF in the future.

258 The epiligament constitutes the surface layer of ligaments and consists of woven bundles of collagen fibers
259 [24]. Bray et al [25] also found that medial collateral ligament (MCL) hypertrophy of the epiligament induced MCL
260 hypertrophy in the animal knee instability model. Thus, the epiligament can be considered to play a major role in
261 ligament hypertrophy. In our study, posterior lumbar instability probably caused the thickening of the dorsal
262 epiligament. This histological finding was similar to the human samples from the LSCS patients [26]. Sairyo et al
263 [23] previously reported that mechanical stress at the dorsal aspect was about 5-fold higher than that at the dural
264 aspect of the LF. Flexion is the most important motion for inducing mechanical stress in the LF. Higher mechanical
265 stress at the dorsal aspect may induce micro injury in daily activities. During the process of micro injury healing, a
266 thick fibrotic mass may be produced.

267 There are still several limitations in our study. We should note the facts that LF are not the same in rat and
268 human in terms of their size, nutrition, and the biomechanical stress that they receive (less axial compression or
269 torsion) [27]. These differences should be considered in judging the results obtained from the present model.
270 Furthermore, due to the ratio of the LF to the dural tube was significantly smaller in rat than in humans. Our lumbar

271 instability rat model can not be used to develop an LSCS model. Nevertheless, we believe that our model
272 established in this study partly showed the pathological features of human hypertrophied LF, and is very helpful for
273 us to understand its pathological process and mechanism.

274

275 **Conclusion**

276 In conclusion, we demonstrated for the first time that lumbar instability directly induced LF hypertrophy in a
277 reproducible rat model. In addition, lumbar instability could lead to high expression of inflammatory and fibrotic
278 factors in LF, causing the accumulation of collagen fibers and decreasing of elastic fibers.

279

280

281

282 **Abbreviations**

283 LSCS: Lumbar spinal canal stenosis; LF: ligamentum flavum; IL-1 β : Interleukin-1; TNF- α : Tumor Necrosis Factor;
284 TGF- β 1: Transforming Growth Factor- β 1; Col 1: Collagen 1; DHR: Disc height ratios; A: Anterior; M: middle; P:
285 posterior; MRI: magnetic resonance imaging; HE: ematoxylin-eosin; MT: Masson trichrome; MOD: mean optical
286 density; ECM: extracellular matrix; IDD: intervertebral disc degeneration; MCL: medial collateral ligament

287

288 **Authors' contributions**

289 BJW and CYG: performing rat experiment, acquisition of the data, data analysis, and writing the manuscript. PZ
290 and JRZ: histological analysis, immunohistological evaluation, and real-time PCR analysis. WS and CYG:
291 collection of human LF samples. JHG, PZ, XW, and LGZ: design of the study. All authors reviewed the manuscript.

292

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295 had no role in the design of the study, data collection, analysis, interpretation of data, in writing the manuscript, or
296 decision to publish.

297

298 **Availability of data and materials**

299 The datasets used and/or analysed during the current study are available from the corresponding author on
300 reasonable request.

301

302 **Ethics approval and consent to participate**

303 This study protocol on human was approved by the Ethics Committee of Wangjing hospital, Chinese Academy of
304 traditional Chinese Medicine (No. WJEC-YJS-2020-009-P002) and all procedures were performed according to the
305 Declaration of Helsinki. Participants provided consent with an approved informed consent document before
306 enrollment in the study. This study protocol on rats was approved by the Animal Ethics Committee of the Institute
307 of Basic Theory for Chinese Medicine, China Academy of Chinese Medical Sciences and was compliant with NIH
308 guidelines for the humane care and use of laboratory animals. All methods were carried out in accordance with
309 ARRIVE guidelines.

310

311 **Consent for publication**

312 Not Applicable.

313

314 **Competing interests**

315 The authors declare that they have no competing interests.

316

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320

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323

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326

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Figures

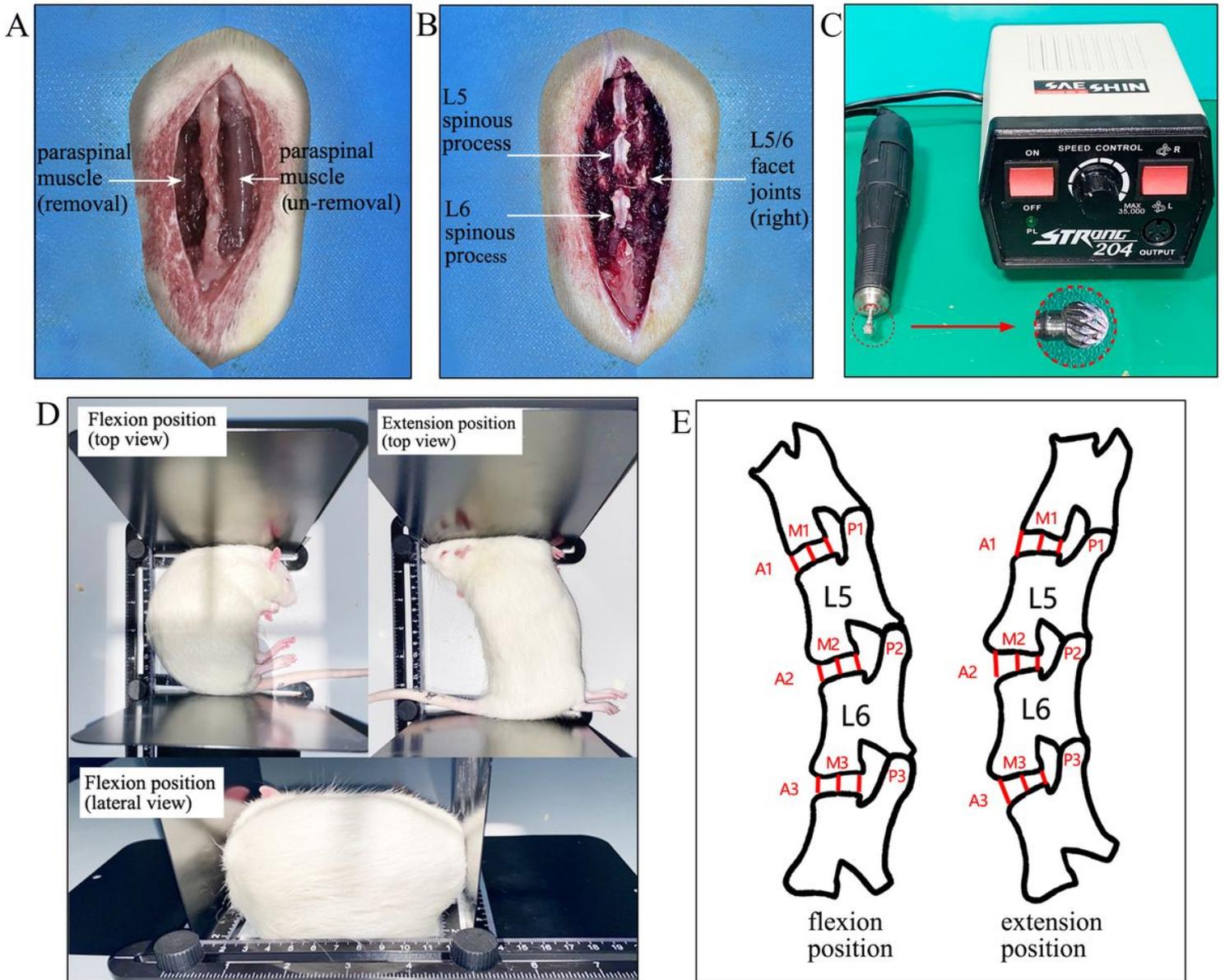


Figure 1

Surgical procedures and radiological methods. (A) Removal of L5-L6 paraspinal muscle. (B) Complete resection of L5 and L6 spinous process, semi-grinding of the bilateral L5/6 facet joints. (C) A Grinder and round drill bit used to semi-grind the facet joints. (D) Overextension and flexion position of rats using a tractable holder. (E) Measurement indicators: (1) Disc height ratios (DHR) in flexion and extension were calculated as follows: anterior DHR = $2 \times A2 / (A1 + A3)$, middle DHR = $2 \times M2 / (M1 + M3)$, posterior DHR = $2 \times P2 / (P1 + P3)$. (2) Flexion and extension ratios were calculated as follows: flexion ratio = $A2 / P2$ in flexion, extension ratio = $A2 / P2$ in extension. A anterior, M middle, P posterior.

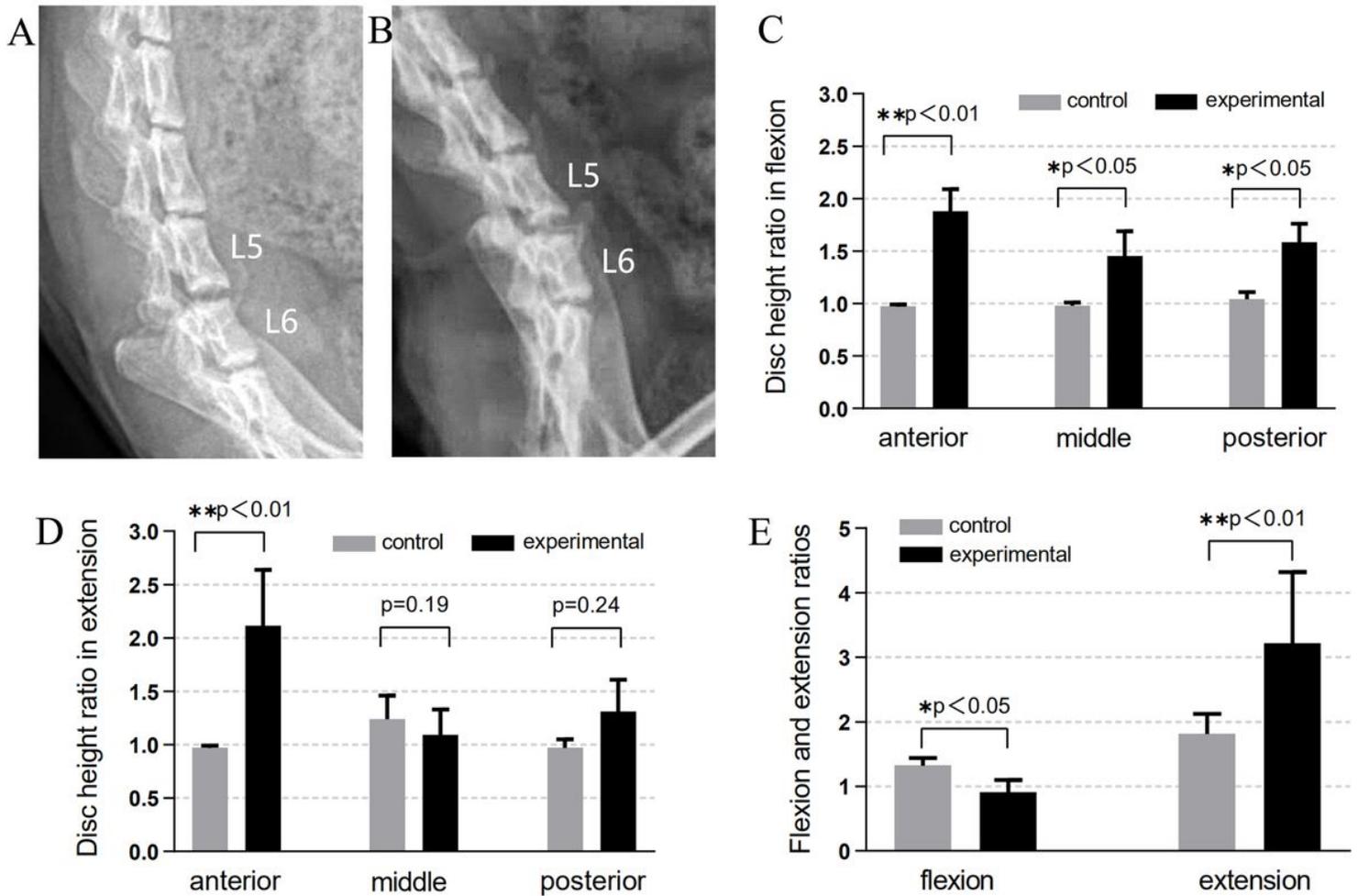


Figure 2

Radiological analysis at 8 weeks postoperatively. Wide disc space and anterior osteophyte formation was found on L5/6 of (A) flexion position and (B) flexion position on lateral radiographs. (C) The disc height ratio of the flexion position was larger in the rats in the experimental group than in the rats in the control groups. (D) The anterior disc height ratio of the extension position was larger in the rats in the experimental group than in the rats in the control groups. (E) The extension ratios were larger in the rats in the experimental group than in the rats in the control groups.

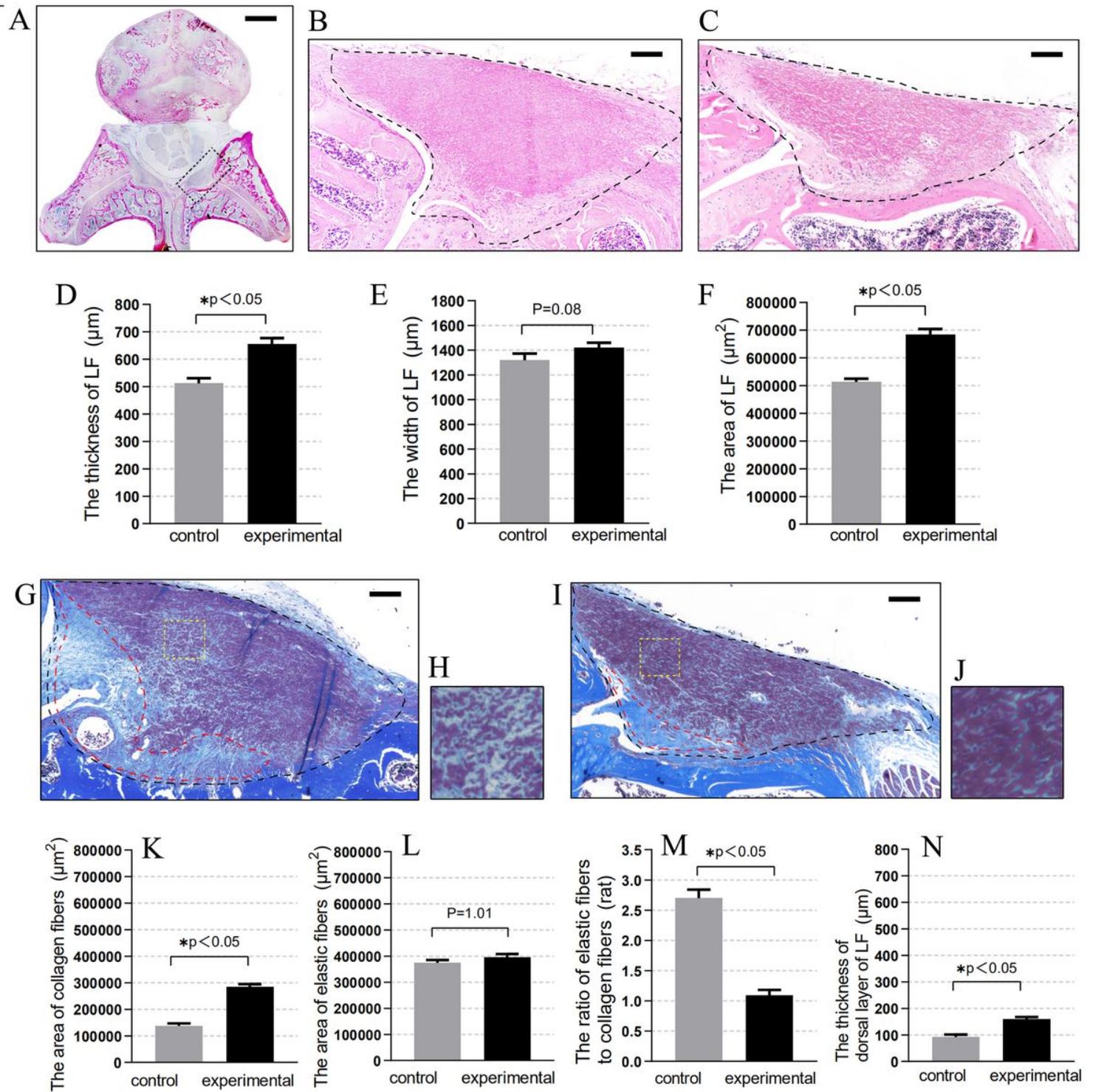


Figure 3

Lumbar instability induced LF hypertrophy on HE staining and on MT staining. (A) Axial sections of the rat lumbar spine. The cross-sectional area of LF in the experimental group and control group on HE staining were shown respectively in (B) and (C). The (D), (E), and (F) Bar graphs showing the thickness, width, and cross-sectional area in the two groups. The cross-sectional area of LF in the experimental group and control group on MT staining were shown respectively in (G) and (I). The fibrotic area were in the red circle. The (H) and (J) were high magnifications of (G) and (I). The (K) and (L) Bar graph showed

the area of collagen fibers and elastic fibers in the two groups. The (M) Bar graph showed the ratio of elastic fibers to collagen fibers in the two groups. The (N) bar showed the thickness of dorsal layer of LF. Scale bar, 500 and 100 μm for low (A) and high (B ,C ,G ,I) magnification images, respectively

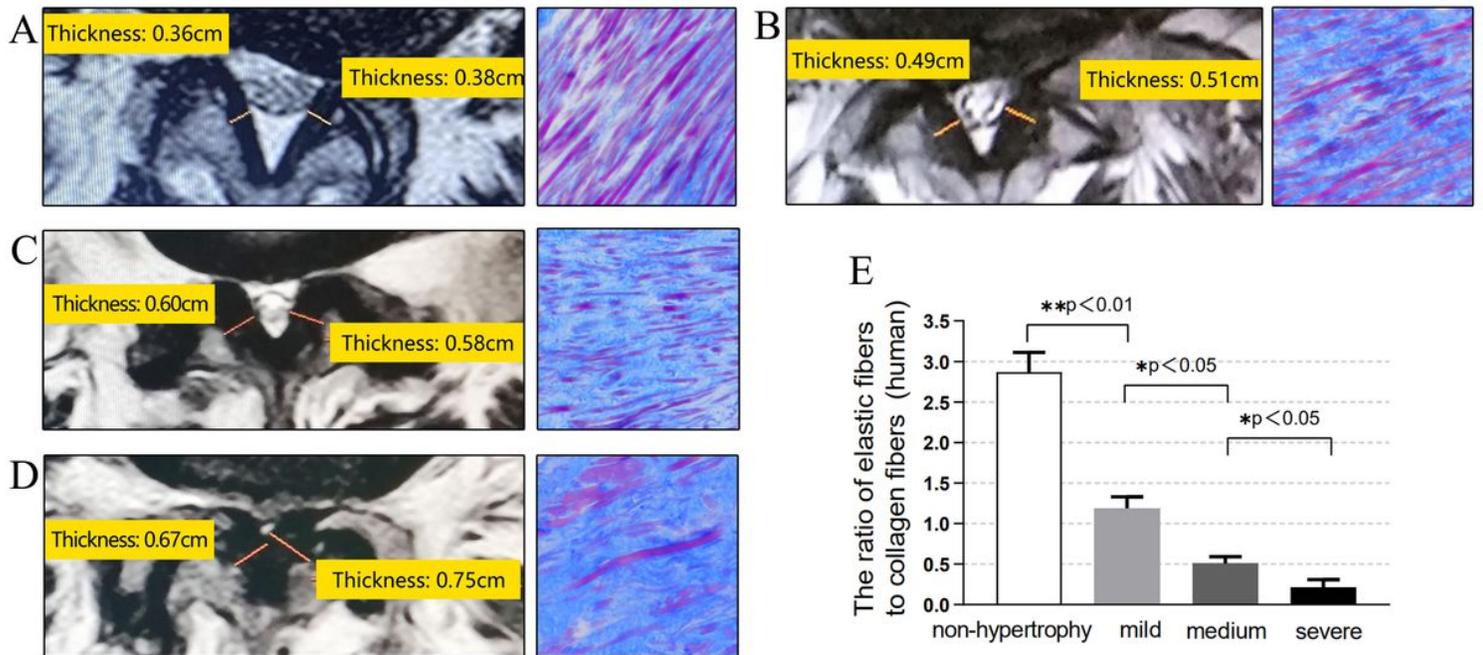


Figure 4

This rat model histologically identical to mildly hypertrophied LF of human. (A-D) image showed the MRI and MT staining of human samples: (A) non-hypertrophy, (B) mild hypertrophy, (C) medium hypertrophy, and (D) severe hypertrophy. The yellow lines indicated thickness of the LF. The (E) Bar graph showed the ratio of elastic fibers to collagen fibers in the four human groups.

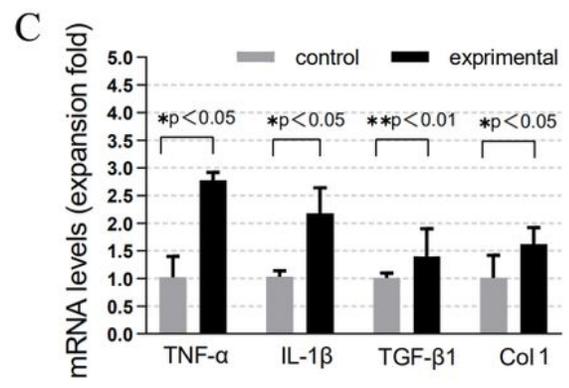
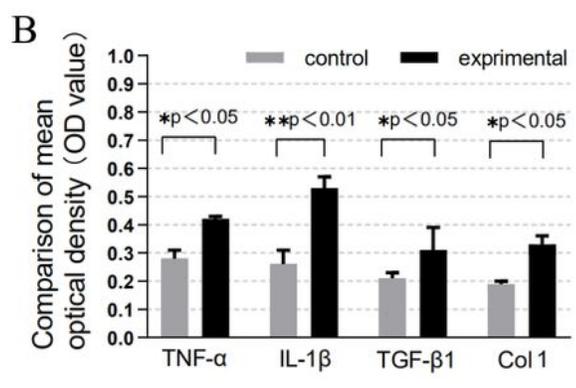
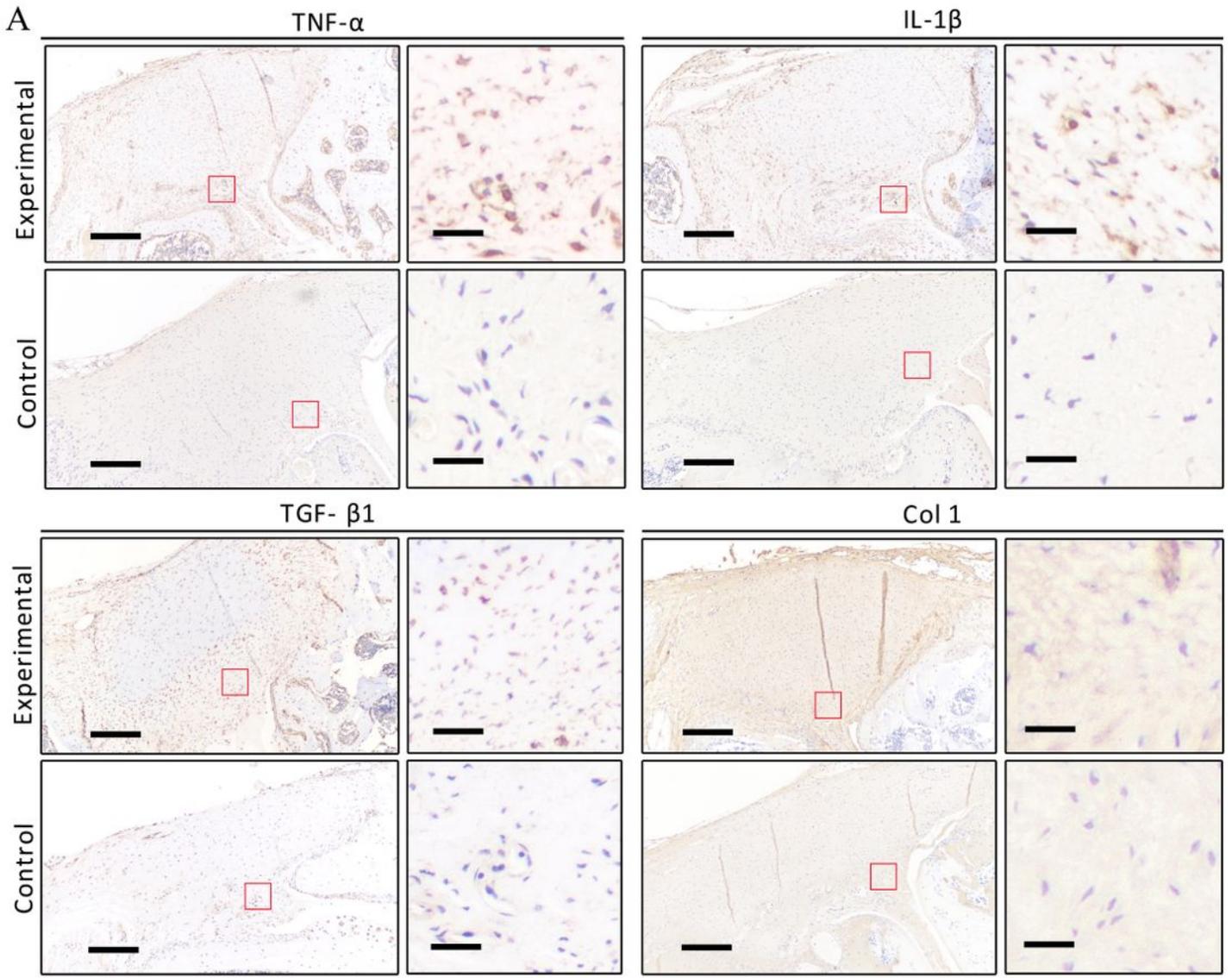


Figure 5

(A) Immunohistochemistry of TGF- β 1, IL-1 β , and Col 1 in the L5/6 LF of the experimental and control2 09 group at weeks after the surgery. Inset boxes in the left panels indicate the enlarged images in the right panels.(B) Comparison of mean optical density (OD value). (C) Comparison of mRNA levels (expansion fold). Scale bar, 100 and 10 μ m for low and high magnification images, respectively.