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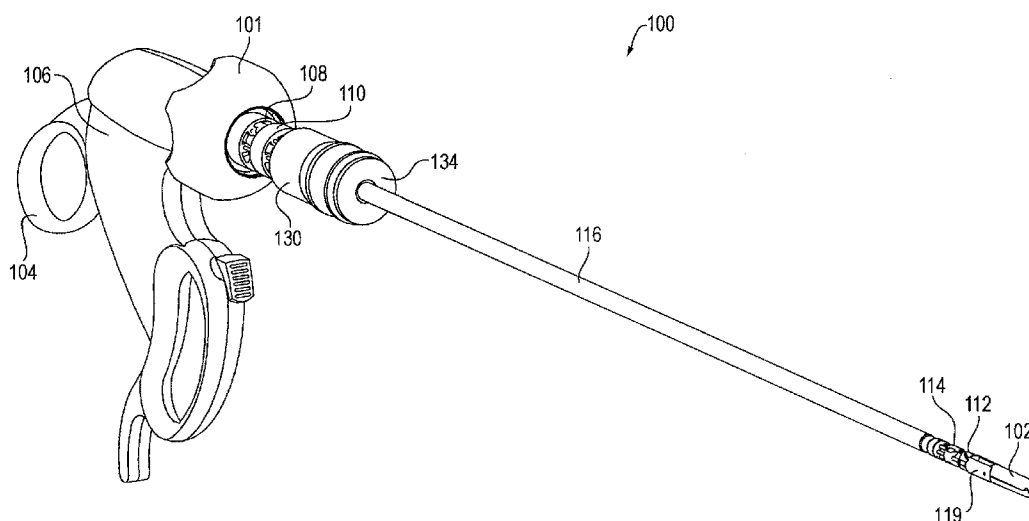
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(54) Title: TOOL WITH ROTATION LOCK



(57) Abstract: The invention provides surgical or diagnostic tools and associated methods that offer improved user control for operating remotely within regions of the body. These tools include a proximally-located actuator for the operation of a distal end effector, as well as proximally- located actuators for articulation and rotational movements of the end effector. Control mechanisms and methods refine operator control of end effector actuation and of these articulation and rotational movements. A rotation lock provides for enablement and disablement of rotatability of the end effector. The tool may also include other features. A multi-state ratchet for end effector actuation provides enablement-disablement options with tactile feedback. A force limiter mechanism protects the end effector and manipulated objects from the harm of potentially excessive force applied by the operator. An articulation lock allows the fixing and releasing of both neutral and articulated configurations of the tool and of consequent placement of the end effector.

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TOOL WITH ROTATION LOCK

CROSS REFERENCE TO RELATED APPLICATIONS

[001] This application claims priority under 35 U.S.C. § 119 to USSN 60/813,650 of Danitz and Hinman, entitled “Devices having locking rotation knobs and methods for using the same” and filed on June 13, 2006, the disclosure of which is incorporated herein by reference. This application is further related to the following concurrently filed US patent applications: “Tool with articulation lock” of Hegeman, Danitz, Hinman, and Alvord, “Tool with force limiter” of Hinman and Bertsch, “Tool with multi-state ratcheted end effector” of Hinman, and “Articulating tool with improved tension member system” of Hegeman, Danitz, Bertsch, Hinman, and Alvord.

INCORPORATION BY REFERENCE

[002] All publications and patent applications mentioned in this specification are herein incorporated by reference to the same extent as if each individual publication or patent application was specifically and individually indicated to be incorporated by reference.

FIELD OF THE INVENTION

[003] This invention relates to articulating mechanisms and applications thereof, including the remote guidance and manipulation of surgical or diagnostic instruments tools.

BACKGROUND OF THE INVENTION

[004] The popularity of minimally invasive surgery has been growing rapidly due to its association with decreased complication rates and post-surgical recovery times. The instruments employed are generally hand-operable and typically include a handle, a shaft that may or may not be rotatably attached to the handle, a rotation knob rigidly fixed to the proximal end of the shaft near the handle in instances where the shaft is rotatably attached to the handle, and a tool or end effector attached to the distal end of the shaft. To manipulate the instruments, they are held at the handle and typically pivoted about a pivot point defined by the entry incision, *i.e.*, the incision made in the abdominal wall for laparoscopic procedures. The end effector may also be rotated about the shaft axis, as for example, by rotating a rotation knob, if present. In use, these instruments have limited control and range of motion and become physically taxing as the length of the procedure increases.

[005] Surgical procedures such as endoscopy and laparoscopy typically employ instruments that are steered within or towards a target organ or tissue from a position outside the body.

Examples of endoscopic procedures include sigmoidoscopy, colonoscopy, esophagogastroduodenoscopy, and bronchoscopy, as well as newer procedures in natural orifice transluminal endoscopic surgery ("NOTES"). Traditionally, the insertion tube of an endoscope is advanced by pushing it forward, and retracted by pulling it back. The tip of the tube may be directed by twisting and general up/down and left/right movements. Oftentimes, this limited range of motion makes it difficult to negotiate acute angles (*e.g.*, in the rectosigmoid colon), creating patient discomfort and increasing the risk of trauma to surrounding tissues.

[006] Laparoscopy involves the placement of trocar ports according to anatomical landmarks. The number of ports usually varies with the intended procedure and number of instruments required to obtain satisfactory tissue mobilization and exposure of the operative field. Although there are many benefits of laparoscopic surgery, *e.g.*, less postoperative pain, early mobilization, and decreased adhesion formation, it is often difficult to achieve optimal retraction of organs and maneuverability of conventional instruments through laparoscopic ports. In some cases, these deficiencies may lead to increased operative time or imprecise placement of components such as staples and sutures.

[007] Recently, surgical instruments, including minimally invasive surgical instruments, have been developed that are more ergonomic and which have a wider range of motion and more precise control of movement. These instruments may include mechanisms that articulate using a series of links coupled with one or more sets of tension bearing members, such as cable. As with conventional instruments used in minimally invasive surgery, rotation of the shaft and end effector with respect to the handle is an important feature of cable and link type instruments to aid with dissecting, suturing, retracting, knot tying, *etc.* Ergonomic, flexible, and intuitive mechanisms that facilitate manual control of the end effectors of such instruments are also important factors as medical procedures become more advanced, and as surgeons become more sophisticated in operating abilities. Particularly with regard to rotation, however, inadvertent rotation and larger torques can be associated with articulating instruments, as loading on the end effector that can be off axis from the shaft axis. Consequently, new mechanisms and methods for controlling rotation of surgical instruments are desirable.

SUMMARY OF THE INVENTION

[008] It may at times be desirable to change and then maintain the orientation of the distal end of a steerable or articulating instrument. This invention provides methods and devices for rotating, articulating, locking or otherwise maintaining the shape and orientation of steerable and articulating instruments.

[0009] Embodiments of the inventive device include proximal portion and a distal portion, a shaft interposed between the proximal portion and the distal portion. The shaft includes an articulation mechanism for manipulating the angular orientation of the end effector with respect to the shaft, and a shaft rotation mechanism which permits rotation of the articulation mechanism and the distal portion with respect to the handle. The rotation mechanism has a first state in which the articulation mechanism and distal portion are not rotatable with respect to the handle and a second state in which the articulation mechanism and distal portion are rotatable with respect to the handle. Some embodiments of the device may be a surgical or diagnostic tool, and some embodiments may include an end effector disposed at the distal portion of the device.

[0010] Some embodiments of a shaft rotation mechanism include a handle engagement surface that is engaged with the handle in the first state, thus preventing rotation, and is not engaged with the handle in the second state, thereby permitting rotation. In some embodiments, the handle engagement surface includes a plurality of teeth and the handle also includes a complementary plurality of teeth that are adapted to engage the teeth of the handle engagement surface, when the shaft rotation mechanism is in its first state, such that rotation is not allowed. In some embodiments, the handle includes a movable lock actuator that supports the plurality of teeth on the handle.

[0011] In some embodiments, the shaft rotation mechanism is biased toward this first and non-rotatable state. In some embodiments this bias includes a spring, which biases the shaft rotation mechanism toward the non-rotatable state.

[0012] Some embodiments of the shaft rotation mechanism include a shaft engagement mechanism that is engaged with the articulation mechanism in both the first and second states of the rotation mechanism. This shaft engagement mechanism may be movable proximally and distally along the shaft between the first (non-rotatable) state and the second (rotatable) state. The shaft rotation mechanism may further include a shaft rotation actuator that engages with the articulation mechanism such that the rotation of the shaft rotation actuator rotates the articulation mechanism and the distal portion of the device with respect to the handle. In such embodiments, the shaft rotation actuator cannot rotate with respect to the handle when the shaft rotation mechanism is in the first state.

[0013] In some embodiments of the tool, the articulation mechanism includes a pair of a proximal link and a distal link spaced apart from each other, and configured such that movement of the proximal link causes corresponding relative movement of the distal link and angular

movement of the distal portion of the tool, and, if present, the end effector with respect to the shaft. In some embodiments, rather than a single distal and proximal pair of links, the tool includes a plurality of pairs of proximal and distal links, such that movement of the proximal link of each pair causes corresponding relative movement of the distal link of the pair and angular movement of the end effector with respect to the shaft. In some embodiments, the shaft rotation mechanism includes a sliding engagement with a proximal link. In some embodiments the articulation mechanism further includes an articulation lock having an engaged position and a disengaged position, such that when in the engaged position, the articulation lock impedes relative movement of the proximal links of each pair of links, thereby preventing relative movement of the distal link of each pair of links.

[0014] Embodiments of the invention include a method of using a device, the device as summarized above, where the method of use includes placing the distal portion of the device and the end effector, if present at the distal portion, at a target site, moving the handle of the tool angularly with respect to the shaft and thereby moving the distal portion angularly with respect to the shaft, rotating the handle with respect to the shaft without rotating distal portion, and applying rotational torque to the distal portion by rotating the handle.

[0015] The step of rotating the handle with respect to the shaft may include moving a shaft rotation actuator from a first position to a second position. The method may further include moving the shaft rotation actuator from the second position to the first position prior to the step of applying rotational torque to the distal portion of the device and the end effector, if present. In some embodiments the first position is proximal to the second position.

[0016] The step of rotating the handle with respect to the shaft may include rotating the handle with respect to the shaft rotation actuator. Rotating the handle may include rotating the handle with respect to the shaft rotation actuator while the shaft rotation actuator is in the second position.

[0017] The method of using a device such as an articulatable surgical or diagnostic tool, as summarized above, may further include controlling permissibility of relative angular movement between the handle and the shaft. The step of controlling permissibility may include impeding angular movement by moving an articulation lock from a disengaged position to an engaged position, wherein in the engaged position the articulation lock impedes movement of the proximal link and corresponding relative movement of the distal link. The articulation lock may include a slidable sleeve, and moving the lock may include sliding the sleeve along the shaft, and moving the sleeve along the shaft may be in a proximal direction. The step of controlling permissibility

may include permitting angular movement by moving the articulation lock from the engaged position back to the disengaged position to permit relative angular movement between the handle and the shaft.

BRIEF DESCRIPTION OF THE DRAWINGS

[0018] The novel features of the invention are set forth with particularity in the claims that follow. A better understanding of the features and advantages of the present invention will be obtained by reference to the following detailed description that sets forth illustrative embodiments, in which the principles of the invention are utilized, and the accompanying drawings which are briefly described below.

[0019] **Figure 1** is a front perspective view of a surgical tool.

[0020] **Figure 2** is perspective view of a surgical tool in an articulated position.

[0021] **Figure 3** is an exposed side view of a surgical tool with an end effector actuator and an end effector both in an open position.

[0022] **Figure 4** is an exposed side view of a surgical tool with an end effector actuator and an end effector both in a closed position.

[0023] **Figure 5** is a side view of the proximal portion of a tool, showing the handle and proximal end of the shaft, with an articulation locking sleeve in a distal and unlocked position.

[0024] **Figure 6** is a side view of the proximal portion of a tool, showing the handle and proximal end of the shaft, with an articulation locking sleeve in a proximal and locked position.

[0025] **Figure 7** is an exposed view of a portion of a tool from an overhead distal looking perspective, the portion including the handle, locking rotation knob, and a proximal link.

[0026] **Figure 8** is a cross-sectional view of a portion of the handle, knob and a proximal link.

[0027] **Figure 9** is an exposed view of a handle from a distal-looking perspective.

[0028] **Figure 10** is an exposed view of a handle from a proximal-looking perspective.

[0029] **Figure 11** is a proximal-looking perspective view of a locking rotation knob showing an inner member and an outer member separated from each other.

[0030] **Figure 12** is a proximal-looking perspective view of a locking rotation knob with inner and outer members fitted together.

[0031] **Figure 13** is a distal-looking perspective view of a locking rotation knob showing an inner member and an outer member separated from each other.

[0032] **Figure 14** is a distal-looking perspective view of a locking rotation knob showing an inner member and an outer member fitted together.

[0033] **Figure 15** is a side view of another embodiment of surgical tool, with a different embodiment of an articulation locking sleeve in a distal and unlocked position, and with an end effector actuator and an end effector both in a closed position.

[0034] **Figure 16** is a side view of the embodiment shown in **Figure 15**, but with the articulation locking sleeve in a proximal and locked position.

[0035] **Figure 17** is a side view of an embodiment of a tool with a rotation locking knob that is non-self locking, the rotation lock in an unlocked, disengaged proximal position.

[0036] **Figure 18** is a side view of the embodiment shown in **Figure 17**, but with the rotation lock in a locked or engaged position, the lock having been moved forward to a distal position.

[0037] **Figure 19** is a cross sectional view of the embodiment shown in **Figure 17**, with the locking rotation knob in its unlocked position.

[0038] **Figure 20** is a cross sectional view of the embodiment shown in **Figure 17**, with the locking rotation knob in its locked or engaged position.

[0039] **Figures 21 A – C** show various views of an exemplary sliding lock as shown in **Figure 17**. **Figure 21A** shows a rotated front view, **Figure 21B** shows a rotated end view, and **Figure 21C** shows a top front view.

[0040] **Figure 22** is a partial cut-away view of the lock embodiment shown in **Figure 17**, showing a portion of the handle.

[0041] **Figure 23** is a perspective view of another embodiment of a non-self locking rotation lock comprising a trigger lock.

[0042] **Figure 24** is a perspective view of another embodiment of a non-self-locking rotation lock comprising a friction lock with a lever, with the lock in an engaged or locked position.

[0043] **Figure 25** is a perspective view of the embodiment shown in **figure 24**, where the lock has been rotated by use of the lever so that the friction lock has disengaged rotation knob in a proximal direction, thus unlocking rotation knob.

[0044] **Figure 26** is a distal-looking perspective view of a spindle having a proximal link formed on its distal end.

[0045] **Figure 27** is a proximal-looking perspective view of a spindle having a proximal link formed on its distal end.

DETAILED DESCRIPTION OF THE INVENTION

[0046] Steerable articulating instruments are described in US Patent No. 7,090,637; US 2005/0107667; US Publication Nos. US 2005/0273084; US 2005/0273085; US 2006/0111209, and US 2006/0111210. The articulating mechanisms of the tools described in those publications use multiple pairs of segments or links that are controlled, *e.g.*, by multiple sets of cables. Depending upon the specific design of the device, the links can be discrete segments (as described, *e.g.*, in US 7,090,637) or discrete portions of a flexible segment (as described, *e.g.*, in US 2005/0173085). The instrument may also include steerable or controllable links separated by spacer links, *e.g.*, as described in US 2005/0273084 and US 2006/0111210.

[0047] When using such articulating instruments, a user may manipulate the proximal end of the instrument, and thereby move one or more proximal links of the articulation mechanism. This movement results in relative movement of the distal link(s) corresponding to the proximal link(s). It may at times be desirable to lock or otherwise maintain the straight or bent shape of the instrument. In certain embodiments of this invention, the shape of the instrument is maintained by preventing movement of at least one of the proximal links with respect to the rest of the instrument. In other embodiments, a friction-based articulation locking mechanism locks all links, proximal and distal; these embodiments are disclosed in the concurrently filed and hereby incorporated application “Tool with articulation lock” of Hegeman, Danitz, and Alvord.

[0048] **Figures 1 – 6** show an articulatable tool **100** with an end effector **102** at its distal end and an end effector actuator **104** within a handle **106** at its proximal end. Instrument **100** may be used, *e.g.*, in a laparoscopic procedure requiring grasping or cutting within a patient. Exemplary embodiments of the tool **100** may also be useful in endoscopic procedures, particularly when, as in some embodiments, the tool has a flexible shaft. Still other embodiments may be used for percutaneous procedures, such as a catheter. Still other embodiments include devices that are directed toward natural orifice transluminal endoscopic surgery (“NOTES”). Embodiments of the invention may include a wide variety of tools, some with medical or diagnostic purposes, and

others that are applied to other types of tasks where the articulation capabilities of the tool provide benefit.

[0049] Continuing now with some description of links that typically form the basis of articulating mechanisms included with some embodiments of the tools with rotatable mechanisms, links may be understood as a discrete portion of a tool that are capable of movement with respect to an adjacent portion. Links typically occur in complementary or corresponding pairs, one link being proximal on the tool, the other link being distal, the two links being operably connected, typically by tension bearing members such as cables. Proximal articulation links **108** and **110** extend distally from handle **106**, and complementary distal articulation links **112** and **114** extend proximally from end effector **102**. Proximal link **108** is connected to and moves with handle **106**. In the embodiment shown, proximal link **108** is formed on the distal end of spindle **117** which is rotatably held in handle **106**, as best seen in **Figures 8, 26, and 27**. Likewise, complementary distal link **112** is connected to and moves with end effector **102**. Distal link **112** may be integrally formed on the proximal end of end effector body **119**, as best seen in **Figure 3**. An elongated shaft **116** is disposed between complementary pairs of links proximal and distal to it. In the tool embodiment shown in **Figure 8**, a bushing **115** separates links **110** and **112**. Bushing **115** has convex surfaces at its proximal and distal ends that engage with corresponding concave surfaces on links **108** and **110**. Further details of the types links suitable for use with this invention, such as ball and socket joints, and pivoting single-degree-of freedom joints, or any type of joint where friction affects the movement of links relative to each other, may be found in US 2005/0273084 US 2006/0111209, and US 2006/0111210.

[0050] As seen in **Figure 3**, a set of tension bearing members or control cables **118** is attached to proximal link **108**, extends through proximal link **110**, shaft **116**, and distal link **114**, and is attached to distal link **112**. A second set of control cables **120** is attached to proximal link **110**, extends through shaft **116** and is attached to distal link **114**. In this embodiment, there are three control cables **118** in the first set and three control cables **120** in the second set. It should be appreciated, however, that other numbers of control cables may be used to connect corresponding proximal and distal links. In addition, mechanisms other than cables may be used to connect corresponding links.

[0051] As shown in **Figure 2**, which shows a tool in an articulated position, movement of handle **106** and proximal link **108** with respect to proximal link **110** moves end effector **102** and distal link **112** in a relative and corresponding manner. Likewise, movement of proximal link **110** with respect to shaft **116** moves distal link **114** with respect to shaft link **116** in a relative and

corresponding manner, also as shown in **Figure 2**. This relative articulation movement provides a way for a user to remotely manipulate the end effector through movement of the handle. Angular movement of the end effector may either mirror the movement of the handle or be reciprocal to it; **Figure 2** shows the end effector moving in a manner that mirrors the movement of the handle.

[0052] In the embodiment illustrated in **Figures 1 – 4**, the end effector **102** is a pair of jaws. Actuation force is transmitted from end effector actuator **104** through a transmission that includes a linearly movable tension bearing member or rod **125** and a rotatable rod actuator **122**, as shown in **Figures 3 and 4**. In some embodiments, rod **125**, in addition to being a tension bearing member, is further able to function as a compression bearing member such that it can transfer a compressive load from the end effector actuator distally to the end effector. The depicted embodiment of the end effector actuator **104** may be referred to, for example, as a moveable member, or a thumb piece, as it is typically operated by the thumb of a user. Other embodiments of end effectors (surgical, diagnostic, *etc.*) and end effector actuators may be used with the articulating tool of this invention.

[0053] Turning now to description of mechanisms that reversibly prevent or permit articulation in articulating tools in order to maintain a particular position of the end effector with respect to the shaft (whether the position is a straight or neutral position, or an articulated position) the articulating tool of this invention may include an articulation lock. The articulation lock embodiment in the form of a rigid sleeve described below is merely one example. As noted above, numerous other embodiments are provided in the concurrently filed application of Hegemen *et al.*, entitled “Tool with Articulation Lock”, which is hereby incorporated into this application by this reference.

[0054] Thus, by way of an articulation lock example, the embodiment of an articulation lock shown in **Figures 1 – 6** includes a movable rigid sleeve **130**. In the unlocked position, as shown in **Figures 1 – 5**, sleeve **130** is distal to proximal links **108** and **110**, and they are thus exposed to view. In the locked position shown in **Figure 6**, however, sleeve **130** has been moved proximally to a position adjacent to and covering links **108** and **110** as well as the proximal end of shaft **116** which, accordingly, are hidden in this view. The movable sleeve, in this position, thereby physically blocks relative movement between links **108** and **110** and between link **110** and shaft **116**. In this locked position, relative movement between distal links **112** and **114** and between link **114** and shaft **116** is prevented as well.

[0055] As shown in **Figure 6**, a sleeve support mechanism **132** extends proximally from shaft **116** to provide sliding support for sleeve **130**. A distal stop **134** provides a limit of distal

movement of sleeve **130**; a similar stop (not shown) is provided on or within handle **104** to limit proximal movement of sleeve **130**. Detents, ridges or other mechanisms may be provided to maintain the sleeve in its proximal or distal positions and to provide tactile feedback to the user regarding the position of the sleeve.

[0056] Turning now to embodiments of an inventive rotation lock, the end effector **102** of tool **100** may be rotated with respect to handle **106** and then locked so that further rotation between end effector **102** and handle **106** is prevented. A rotation knob **101** is disposed at least partially around link **108**. In the locked position, teeth **103** formed on the proximal face of knob **101** engage corresponding teeth **105** formed on a distal face of handle **106**, as seen in **Figure 10**. (Handle **106** may be made in two pieces. Two views of one of the two pieces are shown in **Figures 9 and 10**.) In this embodiment, the rotation lock is self-locking due to the action of a spring **107** biasing knob **101** proximally into engagement with handle **106**, as shown in **Figure 8**.

[0057] When moved distally against the bias of spring **107**, the teeth **103** of knob **101** disengage from the teeth **105** of handle **106**. This disengagement permits knob **101**, links **108** and **110**, shaft **116**, links **112** and **114**, and end effector **102** to rotate with respect to handle **106**. This relative rotation may be effected by rotating handle **106** while the rest of tool **100** remains stationary, by holding handle **106** stationary and rotating the rest of tool **100** such as by turning knob **101**, or by a combination of the two. This action permits the end effector to be rotated in any articulated configuration. When the end effector has been rotated the desired amount relative to handle **106** by rotating knob **101** and/or handle **106**, release of knob **101** permits the two sets of teeth to re-engage, thereby locking the device against further rotation. In the embodiment shown, spindle **117** is rotatably fixed relative to knob **101** by fins **135** formed on spindle **117** (as best seen in **Figures 26 and 27**) which are slidably received within slots **136** formed in inner member **109** of knob **101** (as best seen in **Figure 11**). Bushing **115**, in turn, may be rotatably fixed relative to spindle **117** by a torque transmitting pin or flanges **137** of bushing **115** (as best seen in **Figure 8**) engaging slots **138** of proximal link **108** on spindle **117** (as best seen in **Figure 27**). Similar torque-transmitting features may be provided along tool **100** between bushing **115** and end effector **102**, as described in detail in U.S. application publication number US 2006/0111210. With this arrangement, the rotational orientation of end effector **102** relative to handle **106** may be locked when teeth **103** of knob **101** engage teeth **105** of handle **106**, as described above.

[0058] In one embodiment, knob **101** is made in two pieces, an inner member **109** and an outer member **111**, as shown in **Figures 11–14**. The teeth **103** are formed on the inner member **109**. Indentations or knurls **113** may be formed on knob **101** to facilitate grasping.

[0059] In other embodiments, the rotation knob may not be self-locking in the sense that the locking mechanism is not biased toward a locked position, and may have a manually actuatable lock, such as a sliding lock. In some embodiments, the engagement surfaces between the rotation knob and the handle may use fewer locking teeth or other engagement features, such as pins, friction surfaces, etc. While the end effector shown in **Figure 1** is a pair of jaws, other end effectors may be used, such as meters, probes, retractors, dissectors, staplers, clamps, graspers, scissors, cutters, ablation elements, *etc.*

[0060] **Figures 15 – 16** show another embodiment of the invention. Articulatable tool **700** has an end effector **702** at its distal end and an end effector actuator **704** within a handle **706** at its proximal end. Tool **700** may be used, *e.g.*, in a laparoscopic procedure requiring grasping or cutting within a patient. Proximal articulation links **708** and **710** extend distally from handle **706**, and distal articulation links **712** and **714** extend proximally from end effector **702**. Proximal link **708** is connected to an moves with handle **706**. Likewise, distal link **712** is connected to and moves with end effector **702**. An elongated shaft **716** is disposed between the proximal links and the distal links. The linkage between pairs of proximal and distal links may be with cables as in the embodiment of **Figure 1** or by any other suitable means. Likewise, operation of end effector **702** may be as in the **Figure 1** embodiment.

[0061] As in the embodiment of **Figures 1 – 14**, movement of handle **706** and proximal link **708** with respect to proximal link **710** moves end effector **702** and distal link **712** in a relative and corresponding manner. Likewise, movement of proximal link **710** with respect to shaft link **716** moves distal link **714** with respect to shaft **716** in a relative and corresponding manner. This relative articulation movement provides a way for a user to remotely manipulate the end effector through movement of the handle.

[0062] In order to maintain a particular position of the end effector with respect to the shaft, the articulating tool of this embodiment has an articulation lock that controls the permissibility of angular movement between the distal portion of the tool and an end effector, if present there, with respect to the shaft. In the embodiment shown in **Figures 15 – 16**, the articulation lock includes a movable rigid sleeve **730**. In the unlocked position shown in **Figure 15**, sleeve **730** is distal to proximal links **708** and **710**. In the locked position shown in **Figure 16**, however, sleeve **730** has been moved proximally on sleeve support **732** to a position adjacent to and covering links **708** and **710** as well as the proximal end of shaft **716**, thereby blocking relative movement between links **708** and **710** and between link **710** and shaft **716**. In this locked position, relative movement between distal links **712** and **714** and between link **714** and shaft **716** is prevented as well.

[0063] Tool 700 has a rotation lock knob 747 that functions in a manner similar to that of **Figures 1 – 14**. When the device's articulation lock is in the locked position, pull tabs 744 nest with grooves 745 formed in the rotation lock knob 747.

[0064] **Figures 17 and 18** illustrate another variation of the rotation knob, where the rotation knob is not-self locking. Shown there is a portion of a surgical instrument 1000. As with the surgical instruments described above, the surgical instrument 1000 of **Figure 17** has a handle 1002 having a stationary member 1004 and a movable member 1006. Also shown is a rotation knob 1008 having teeth 1010 for engaging with teeth 1012 on a sliding lock 1014. In this variation, there are only a few teeth 1012 on the sliding lock 1014, which was described above as an alternative, and it should be understood that the description of teeth above (and their alternatives such as pins, *etc.*) apply here as well.

[0065] The sliding lock 1014 is used to lock the rotation knob. Specifically, the sliding lock 1014 is moved distally or proximally, to engage, or disengage, as the case may be the teeth 1010 on rotation knob 1008 from teeth 1012 on sliding lock 1014. In its resting position, the sliding lock may be in either the locked or unlocked position, as will be described in more detail below. In **Figure 17**, the sliding lock is shown in its unlocked, or disengaged, position. **Figure 18** shows the sliding lock in its locked, or engaged, position (*e.g.*, after moving the sliding lock distally forward).

[0066] **Figure 19** shows a cross-section of a portion of the surgical instrument 1000 of **Figure 17**, where the rotation knob is in its unlocked position. Shown there is handle 1002 having stationary member 1004 and movable member 1006. Also shown is rotation knob 1008 with most proximal link 1016 sitting within a bore of rotation knob 1008. The proximal link 1016 may be fixedly engaged within or to rotation knob 1008, or may be integral with (*e.g.*, manufactured as a single component) rotation knob 1008. As with the instruments comprising a self-locking rotation knob described above, the instrument here also has a push-pull wire 1018 to actuate the end effector (not shown). Termination piece 1020 of push-pull wire 1018 is rotatably connected to termination piece 1022 of handle 1002 at termination piece end 1024. Washer 1026 is placed around boss 1003 of termination piece 1020 and e-ring 1028 sits within a slot (not shown) on boss 1003. Also shown in a like fashion to the surgical instruments described above is dog-tipped set screw 1030 that is threaded within thread hole 1032 and engages circumferential slot 1034 on proximal link 1016. As described above, it should be understood that proximal link 1016 and push-pull wire 1018 can be rotatably connected to handle 1002 in other ways commonly known in the art. As can be seen in this cross-sectional view, the sliding lock 1014 does not sit around

the entire circumference of the handle (although it may be designed as such if desirable). Ball plunger **1036** sits within and is attached to (*e.g.*, screwed to) ball plunger hole **1042**. The ball of ball plunger **1036** is shown sitting within proximal detent **1040**. In this view, the sliding lock is in its unlocked, or disengaged position. When the sliding lock is pushed distally forward, the ball of ball plunger **1036** engages distal detent **1038** and maintains teeth **1010** of rotation knob **1008** and teeth **1012** of sliding lock **1014** in an engaged position, as shown in **Figure 20**. It should also be understood that while ball plungers are described with reference to **Figures 20 and 21**, it should be understood that any suitable mechanism may be used to maintain the sliding lock **1014** in the engaged or disengaged position. For example, other plungers, buttons, and the like may be used.

[0067] **Figures 21A – 21C** show various views of an exemplary sliding lock **1014**.

Specifically, **Figure 21A** shows a rotated front view, **Figure 21B** shows a rotated end view, and **Figure 21C** shows a top front view. Shown throughout the views are teeth **1012** for engaging with teeth on rotating knob **1008**, ball plunger hole **1042** into which the ball plunger is secured, and flange **1400** for engaging within a slot (shown and described below with reference to **Figure 22**) on the handle **1002**. In this way, the sliding lock is able to slide axially, but is prevented from rotating. While the sliding lock shown here is generally semi-circular in geometry, any suitable geometry may be used.

[0068] **Figure 22** shows a partial cut-away view of a portion of handle **1002**, having stationary member **1004**. Also shown are distal **1038** and proximal **1040** detents for engaging and retaining the ball of ball plunger **1036**. Slot **1500** is also shown. As mentioned briefly above, slot **1500** is configured to engage flange **1400** on sliding lock **1014**. While the slot **1500** shown in **Figure 21** is configured to have a “T” shape, and corresponding flange **1400** is configured to have a corresponding “T” shape, the slot **1500** and flange **1400** need not have these geometries. Indeed, any suitable shapes may be used. Also shown in **Figure 22** is bore **1502** through which proximal link **1016** enters.

[0069] While various types of locking mechanisms have been just described (*e.g.*, self-locking rotation knobs, sliding locks in combination with a rotation knob), it should be understood that any suitable locking mechanism may be used with the rotation knobs and surgical instruments described herein. For example, one alternative to a sliding lock used in combination with a rotation knob is the use of a trigger lock as shown in **Figure 23**. Shown there is a proximal portion of surgical instrument **1600**, comprising a handle **1602**, a rotation knob **1604** having teeth **1606**, and a trigger lock **1608**. In this variation, the trigger lock **1608** is actuated by depressing the lock, which in turn disengages the teeth **1606** on rotation knob **1604** from teeth (not shown) on

trigger lock **1608**, or vice versa. Trigger lock **1608** is held in place by, and is pivotably connected to handle joint **1610**. As with the variations described above, there may be any number of different variations on the acceptable teeth (or pins with holes, *etc.*). Similarly, the trigger lock may have any suitable geometry or configuration.

[0070] Another alternative to a sliding lock used in combination with a rotation knob is the use of a friction lock as shown in **Figures 24 and 25**. Shown in **Figure 24** is a proximal portion of surgical instrument **1700**, comprising a handle **1702**, a rotation knob **1704**, and a friction lock **1706**. The friction lock **1706** has a lever **1708**, for moving the lock **1706** about threads **1710**. Internal threads (not shown) on the friction lock **1706** engage threads **1710**. When a user operates lever **1708** (*e.g.*, with one or more fingers), the friction lock **1706** is rotated about threads **1710**. In **Figure 24**, the rotation knob **1704** is shown in its locked position. That is, friction lock **1706** is rotated about thread **1710** until it has engaged rotation knob **1704** locking it in place (like a brake or a clutch). Alternative methods of engaging the friction lock **1706** and rotation knob **1704** may also be used. For example, friction lock **1706** could be designed into a toggle clamp mounted to handle **1702**. Other mechanisms known in the art may also be used. **Figure 25** shows the surgical instrument of **Figure 24** where the friction lock **1706** has been rotated by use of lever **1708** so that friction lock **1706** has disengaged rotation knob **1704** in a proximal direction, thus unlocking rotation knob **1704**. It should be understood that while the trigger lock and friction lock described just above are suitable alternatives to a sliding lock, any suitable locking mechanism may be used to intermittently prevent rotation of the shaft and end effector.

[0071] **Figures 26 and 27** show further details of spindle **117**, which in the embodiment shown has a proximal link **108** formed on its distal end. As previously described, spindle **117** may be provided with fins **135** for rotationally fixing spindle **117** relative to knob **101** (as shown in **Figure 8**). Spindle **117** may also be provided with bearing surface **1800** for allowing knob **101** to slide axially over spindle **117**. Additionally, spindle **117** may be provided with bearing surface **1802** for allowing spindle **117** and proximal link **108** to rotate in handle **106** (as shown in **Figure 8**). In this embodiment, spindle **117** is also provided with slot **1804** to permit axial loads to be transmitted from proximal link **108** to handle **106** (as also shown in **Figure 8**). Through holes **1806** may be provided in link **108** for receiving the proximal ends of cables **118** (shown in **Figure 3**) that interconnect proximal link **108** with distal link **112**. In the embodiment shown in the figures, only three of the six holes **1806** of proximal link **108** are used to connect cables **118** to link **108**. The proximal ends of cables **118** may be secured to link **108** by a variety of alternative processes as fully described in a concurrently filed and hereby incorporated U.S. Patent

Application entitled "Articulating tool with improved tension member system" by Hegeman, *et al.* .

[0072] While the inventive surgical instruments and devices have been described in some detail by way of illustrating the invention, such illustration is for purposes of clarity of understanding only. It will be readily apparent to those of ordinary skill in the art in light of the teachings herein that certain changes and modifications may be made thereto without departing from the spirit and scope of the appended claims. For example, while the rotation knobs described herein have typically been in the context of a tool with an articulating mechanism comprising at least two links, the rotation knobs may be used in an instrument comprising only a single link, a multiplicity of links, with any number of cables or cable sets operably connecting the links. Further, in some variations it may be desirable to have the handle affixed to a shaft, rigid or flexible, with or without a dedicated end effector. Further still, while the context of the invention is considered to be surgical or medical diagnostic procedures, embodiments of the rotation lock mechanism or tools having such a mechanism may have utility in non-medical contexts as well.

CLAIMS

What is claimed is:

1. A device comprising:
a proximal portion and a distal portion;
a shaft interposed between the proximal portion and the distal portion;
a handle at a proximal portion;
an articulation mechanism for manipulating angular orientation of the distal portion with respect to the shaft; and
a shaft rotation mechanism having a first state in which the articulation mechanism and distal portion are not rotatable with respect to the handle and a second state in which the articulation mechanism and the distal portion are rotatable with respect to the handle.
2. The device of claim 1 wherein the device comprises a surgical or diagnostic tool.
3. The device of claim 1 wherein further comprising an end effector disposed at the distal portion of the device.
4. The device of claim 1 wherein the shaft rotation mechanism comprises a handle engagement surface engaged with the handle in the first state and not engaged with the handle in the second state.
5. The device of claim 4 wherein the handle engagement surface comprises a plurality of teeth and wherein the handle comprises a plurality of teeth adapted to engage with the handle engagement surface when the shaft rotation mechanism is in the first state.
6. The device of claim 5 wherein the handle further comprises a movable lock actuator supporting the plurality of teeth of the handle.
7. The device of claim 4 wherein the shaft rotation mechanism further comprises a shaft engagement mechanism that is engaged with the articulation mechanism in the first and second states.
8. The device of claim 7 wherein the shaft engagement mechanism is movable proximally and distally between the first state and the second state.
9. The device of claim 7 wherein the shaft rotation mechanism further comprises a shaft rotation actuator engaged with the articulation mechanism such that rotation of the shaft

rotation actuator rotates the articulation mechanism and the distal portion of the device with respect to the handle.

10. The device of claim 9 wherein the shaft rotation actuator cannot rotate with respect to the handle when the shaft rotation mechanism is in the first state.
11. The device of claim 1 wherein the shaft rotation mechanism is biased toward the first state.
12. The device of claim 11 wherein the shaft rotation mechanism comprises a spring biasing the shaft rotation mechanism toward the first state.
13. The device of claim 1 wherein the articulation mechanism comprises a pair of a proximal link and a distal link spaced apart from the proximal link, such that movement of the proximal link causes corresponding relative movement of the distal link and angular movement of the distal portion with respect to the shaft.
14. The device of claim 13 wherein the articulation mechanism comprises a plurality of pairs of proximal and distal links, such that movement of the proximal link of each pair causes corresponding relative movement of the distal link of the pair and angular movement of the distal portion with respect to the shaft.
15. The device of claim 13 wherein the shaft rotation mechanism comprises a sliding engagement with a proximal link.
16. The device of claim 13 further comprising an articulation lock having an engaged position and a disengaged position, wherein in the engaged position the articulation lock impedes relative movement of the proximal links of each pair of links, thereby preventing relative movement of the distal link of each pair of links.
17. A method of using a device, the device comprising a proximal portion and a distal portion; a handle at the proximal portion; an actuator for the distal portion supported by the handle; and a shaft interposed between the proximal portion and the distal portion; the method comprising:
 - placing the distal portion at a target site;
 - moving the handle angularly with respect to the shaft to move the distal portion of the tool angularly with respect to the shaft;
 - rotating the handle with respect to the shaft without rotating the distal portion; and
 - applying rotational torque to the distal portion by rotating the handle.
18. The method of claim 17 wherein the device comprises a surgical or diagnostic tool.

19. The method of claim 17 wherein the device further comprises an end effector disposed at the proximal portion of the device.
20. The method of claim 17 wherein the device further comprises a shaft rotation actuator, and wherein the step of rotating the handle with respect to the shaft comprises moving the shaft rotation actuator from a first position to a second position.
21. The method of claim 18 further comprising moving the shaft rotation actuator from the second position to the first position prior to the step of applying rotational torque to the distal portion.
22. The method of claim 18 wherein rotating the handle with respect to the shaft comprises rotating the handle with respect to the shaft rotation actuator.
23. The method of claim 18 wherein rotating the handle with respect to the shaft comprises rotating the handle with respect to the shaft rotation actuator while the shaft rotation actuator is in the second position.
24. The method of claim 18 wherein the first position is proximal to the second position.
25. The method of claim 17 further comprising controlling permissibility of relative angular movement between the handle and the shaft.
26. The method of claim 25 wherein controlling permissibility of angular movement comprises impeding angular movement by moving an articulation lock from a disengaged position to an engaged position, wherein in the engaged position the articulation lock impedes movement of the proximal link and corresponding relative movement of the distal link.
27. The method of claim 26 wherein the articulation lock comprises a sleeve, and the step of moving the articulation lock comprising sliding the sleeve.
28. The method of claim 27 wherein the step of moving the articulation lock comprises sliding the sleeve proximally along the tool.
29. The method of claim 25 wherein controlling permissibility of angular movement comprises permitting angular movement by moving the articulation lock from the engaged position to the disengaged position to permit relative angular movement between the handle and the shaft.

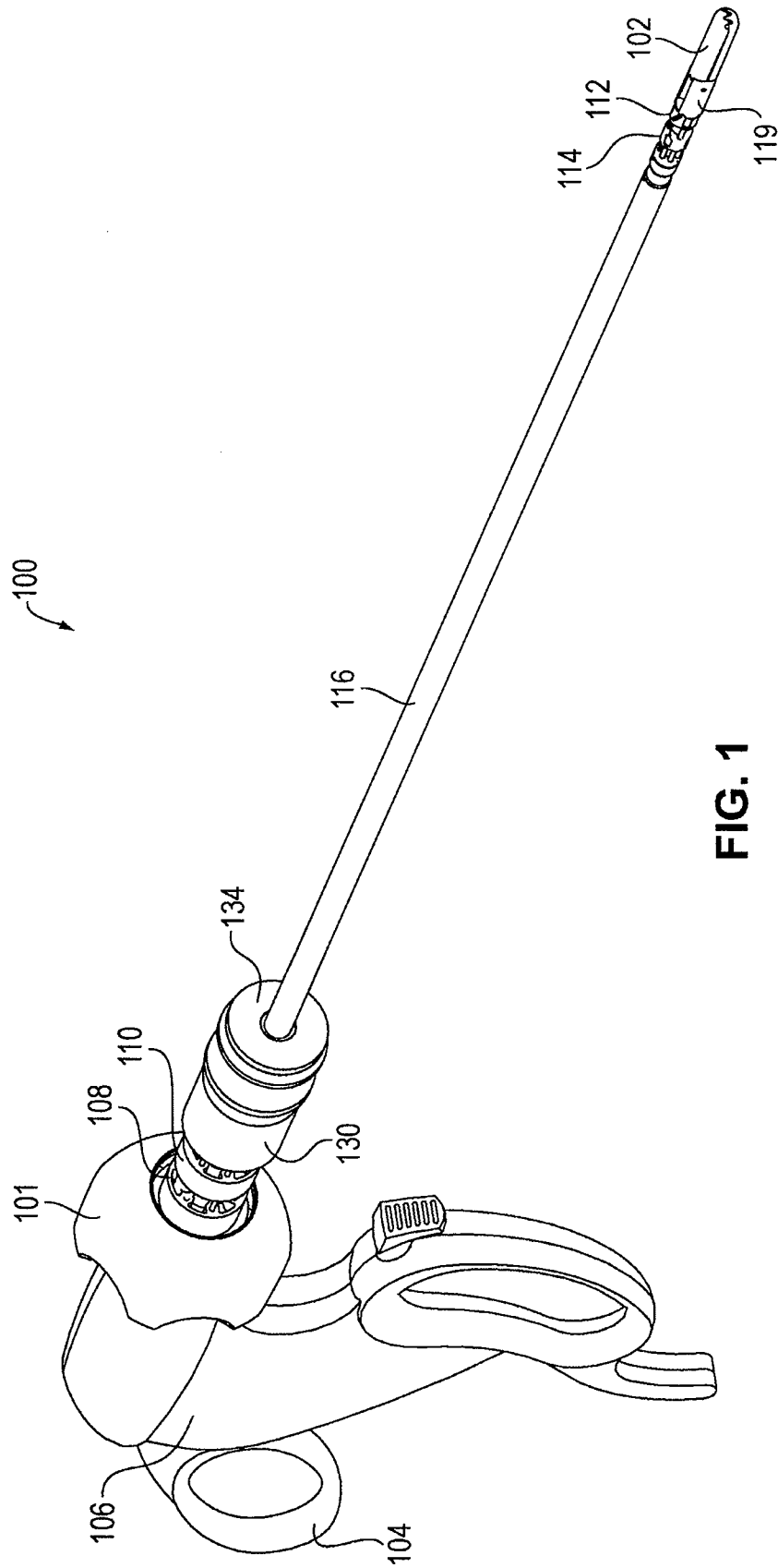


FIG. 1

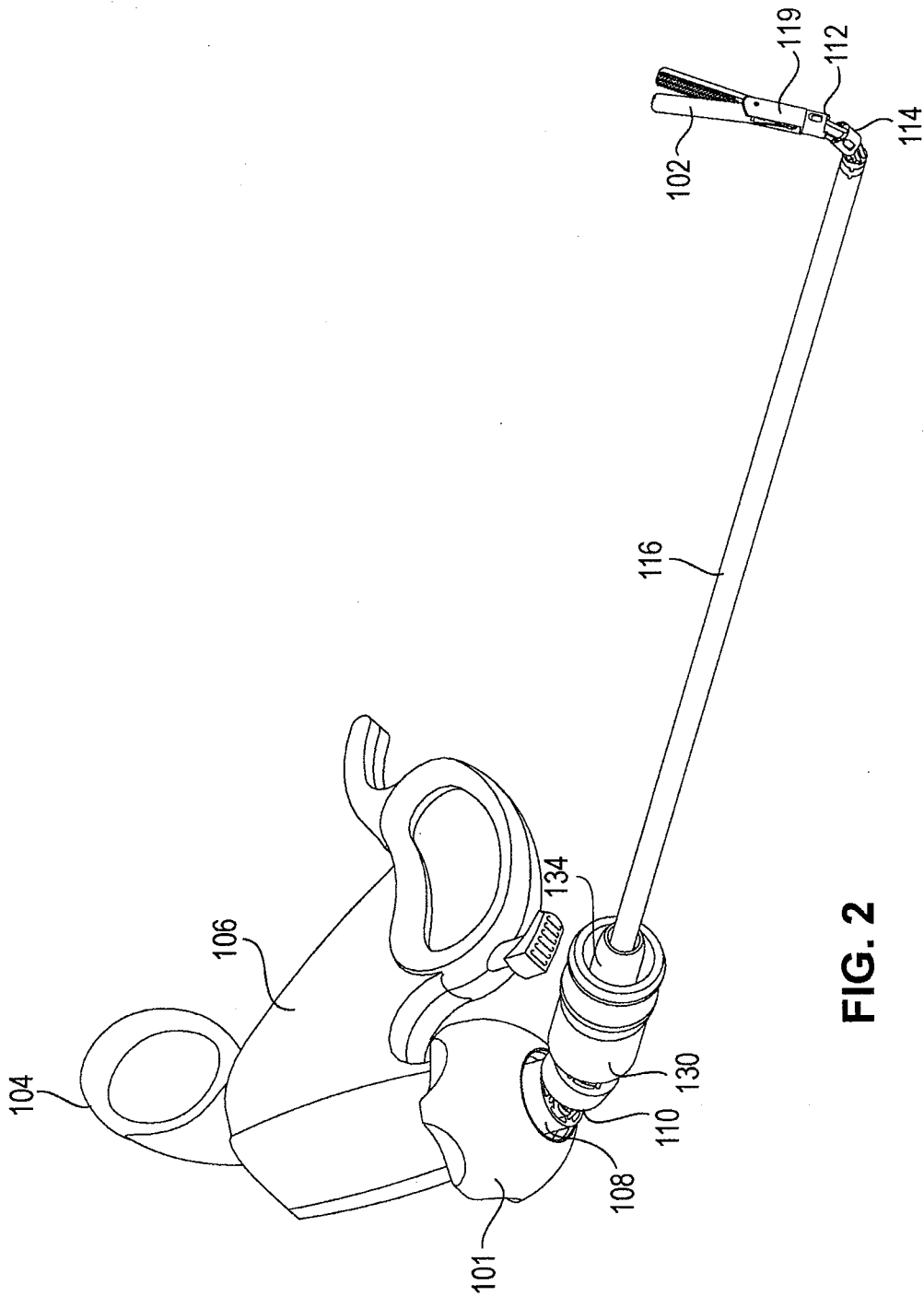


FIG. 2

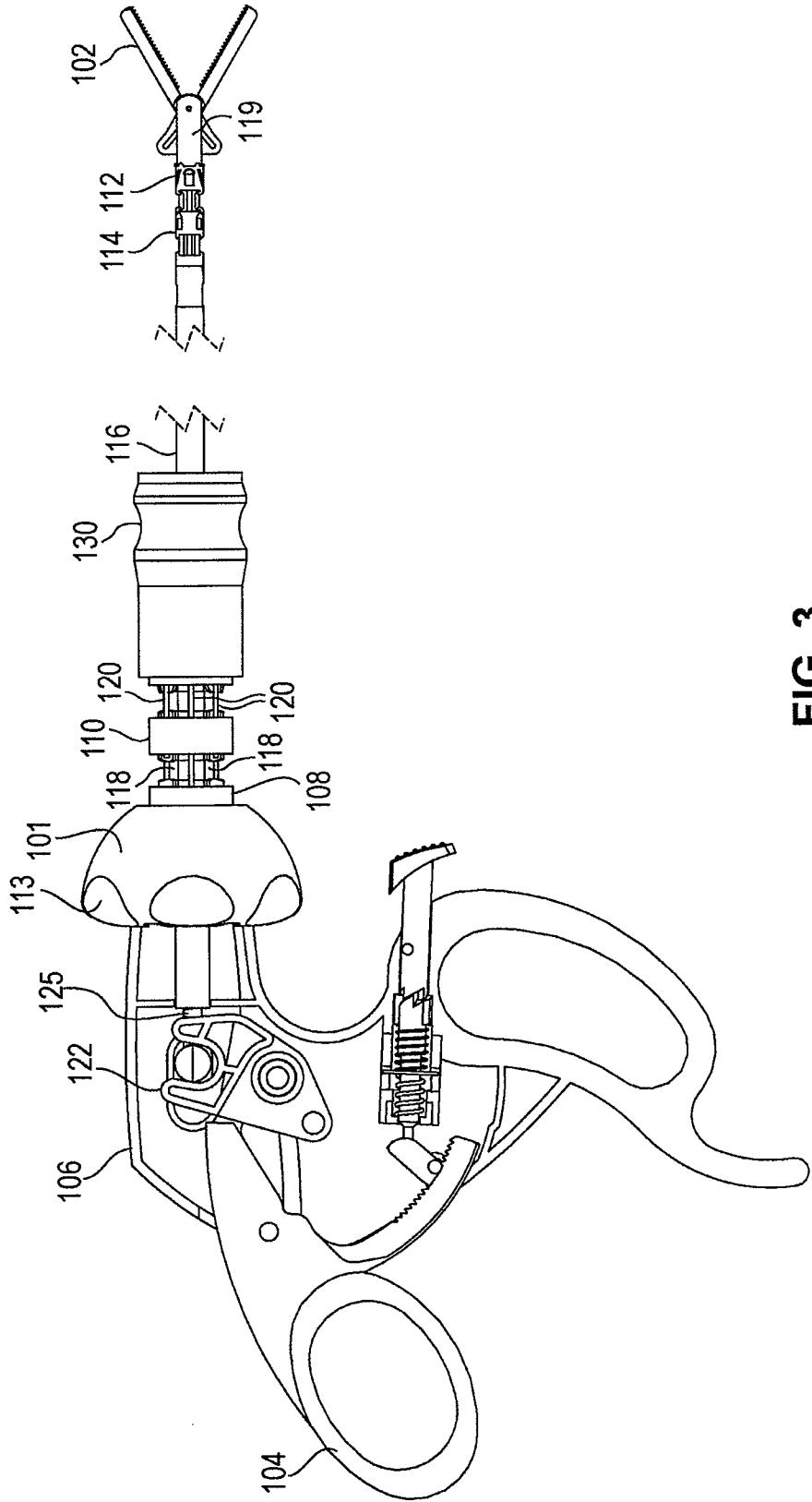


FIG. 3

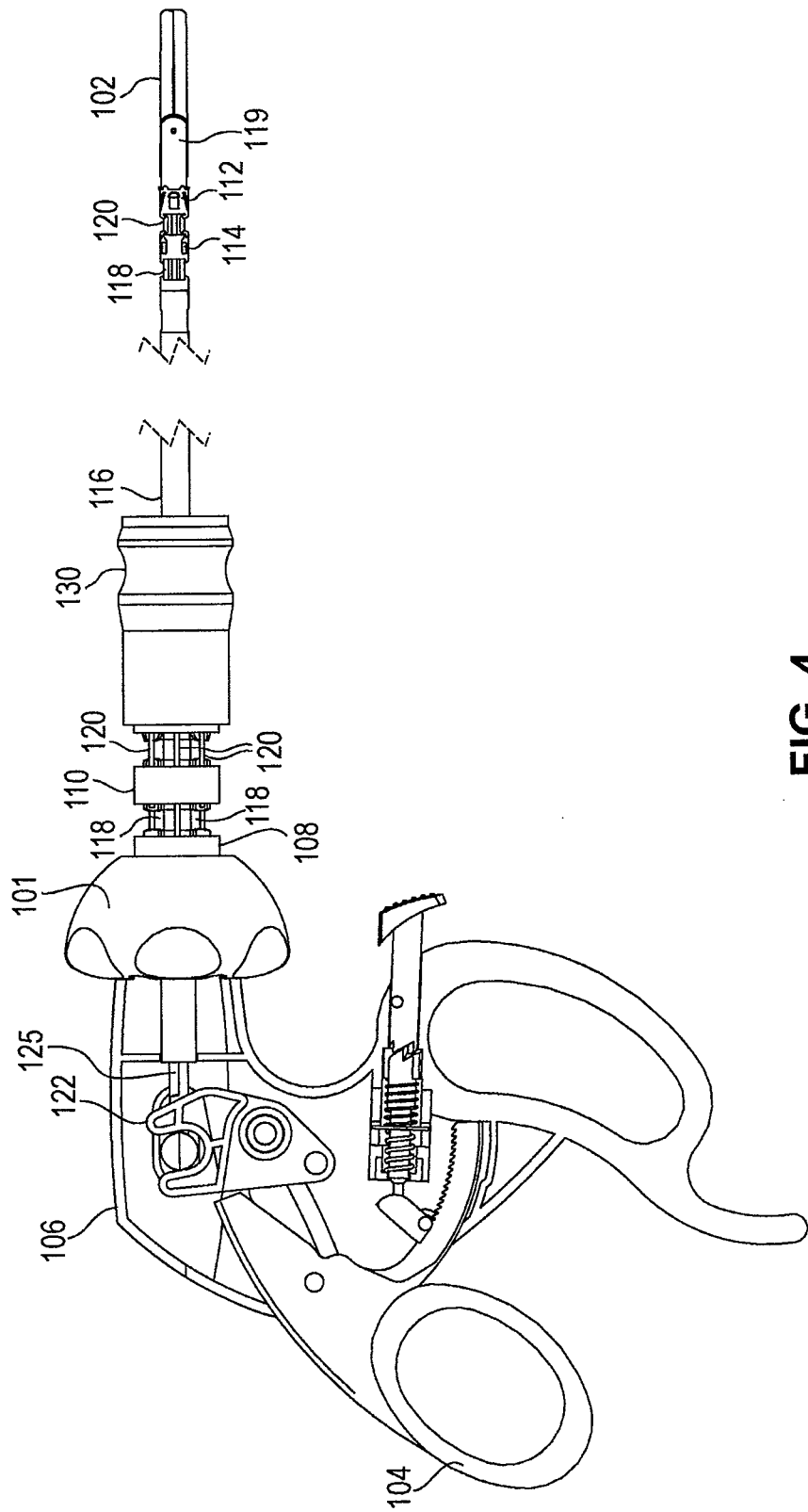


FIG. 4

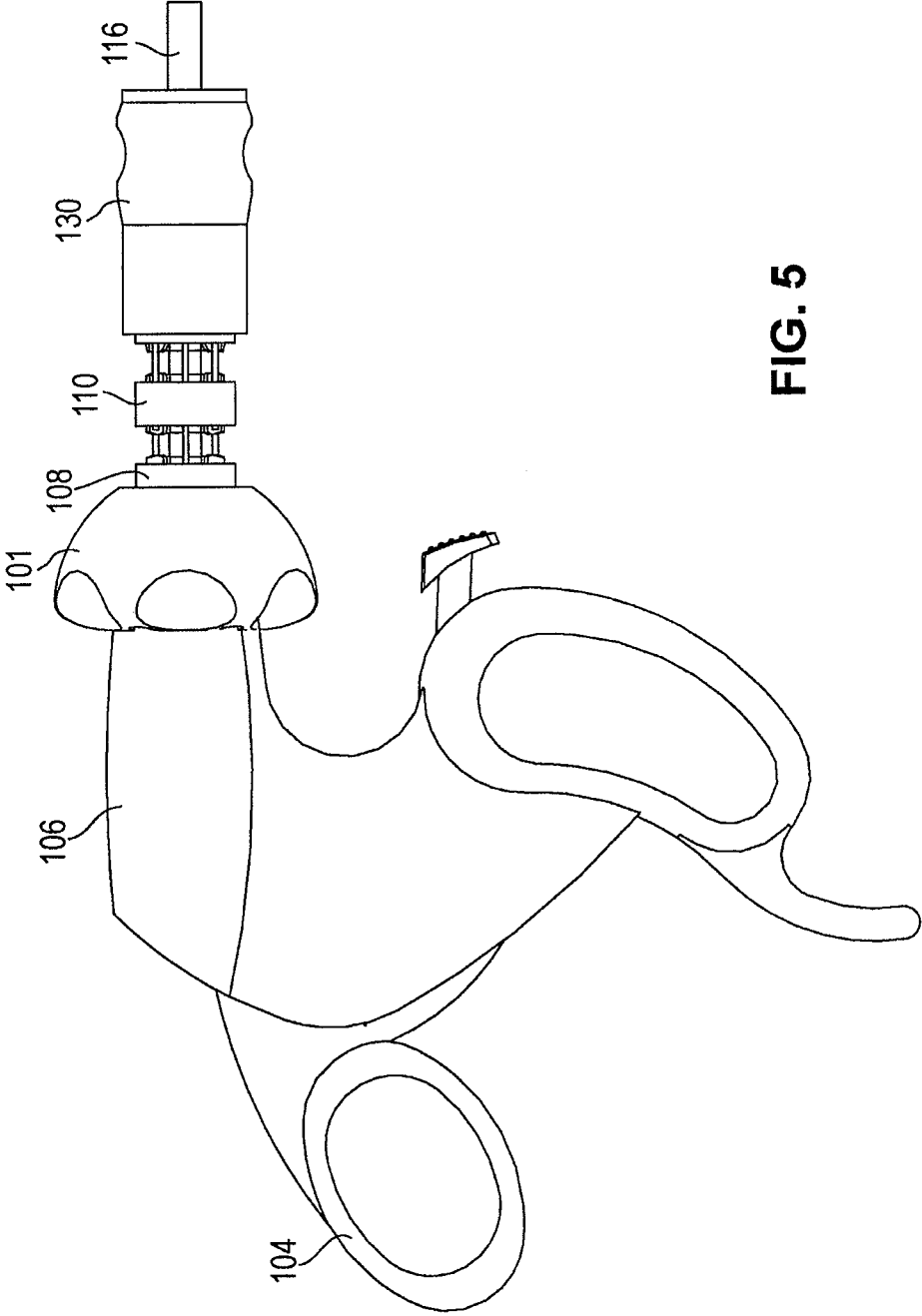


FIG. 5

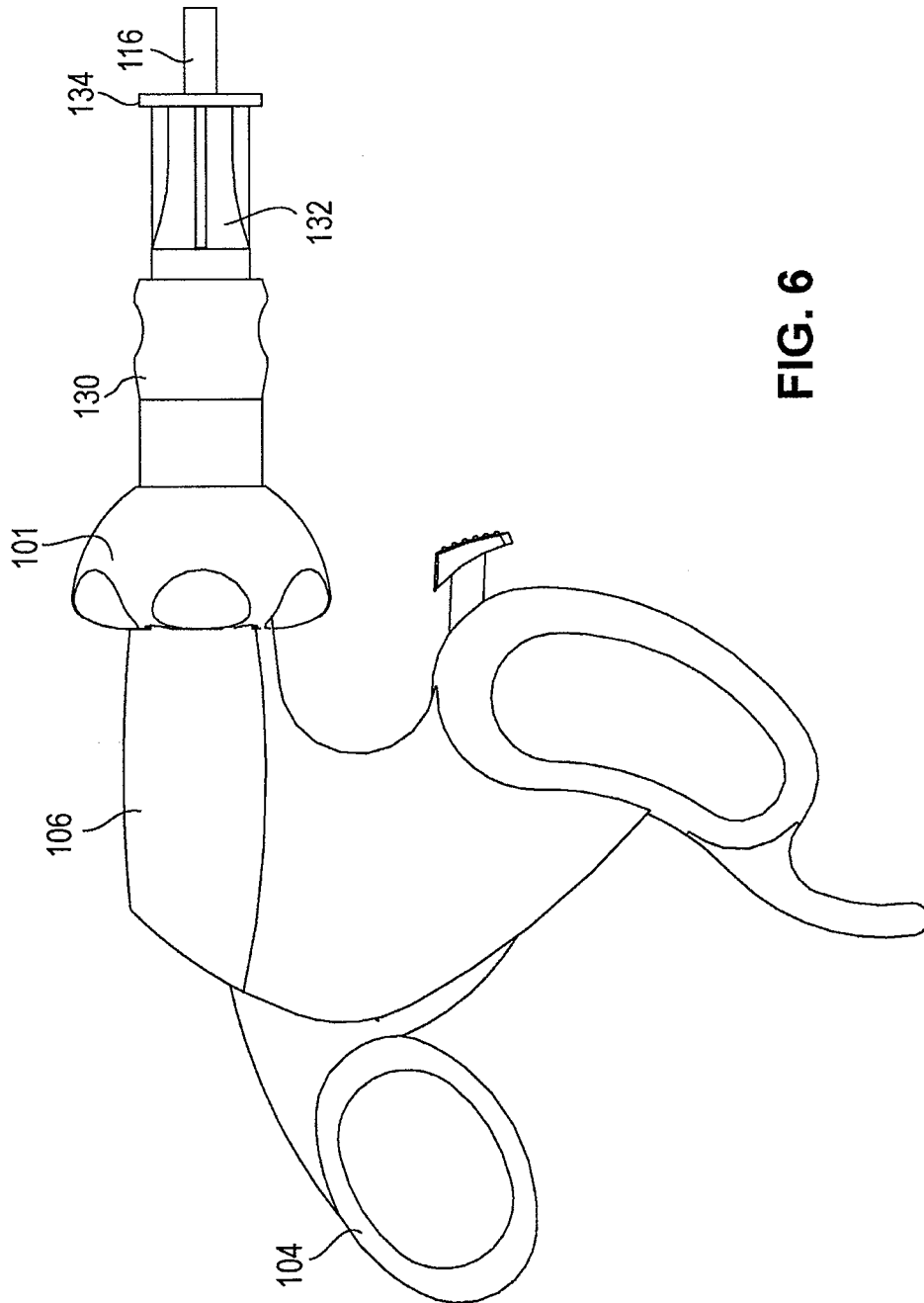


FIG. 6

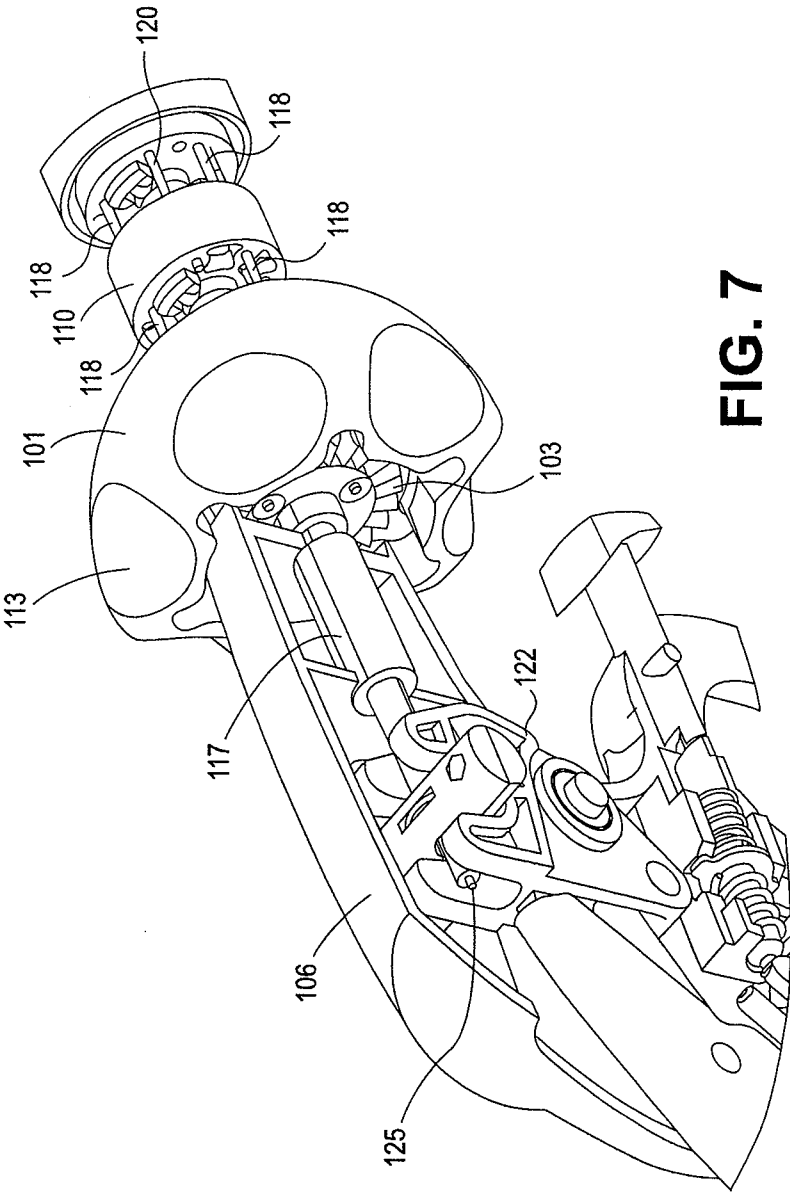


FIG. 7

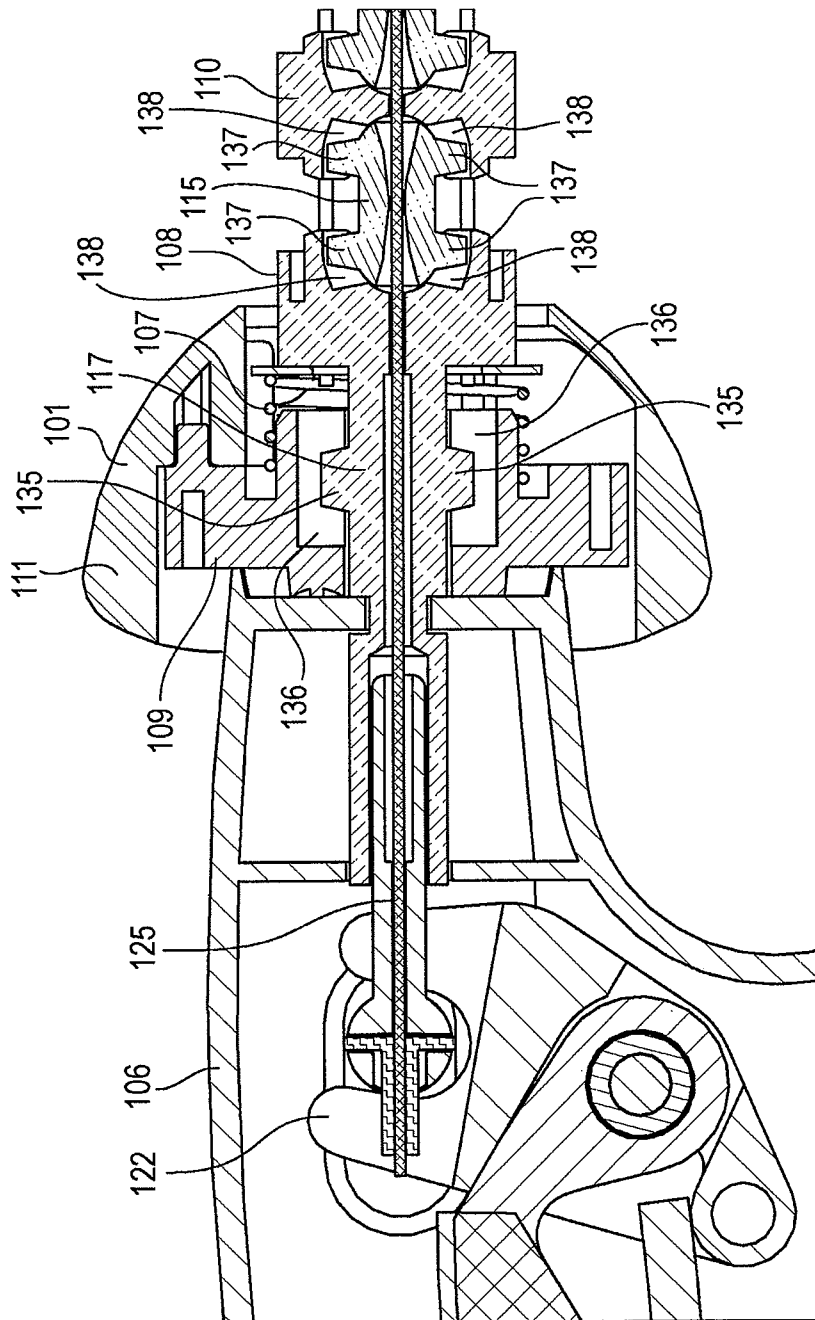


FIG. 8

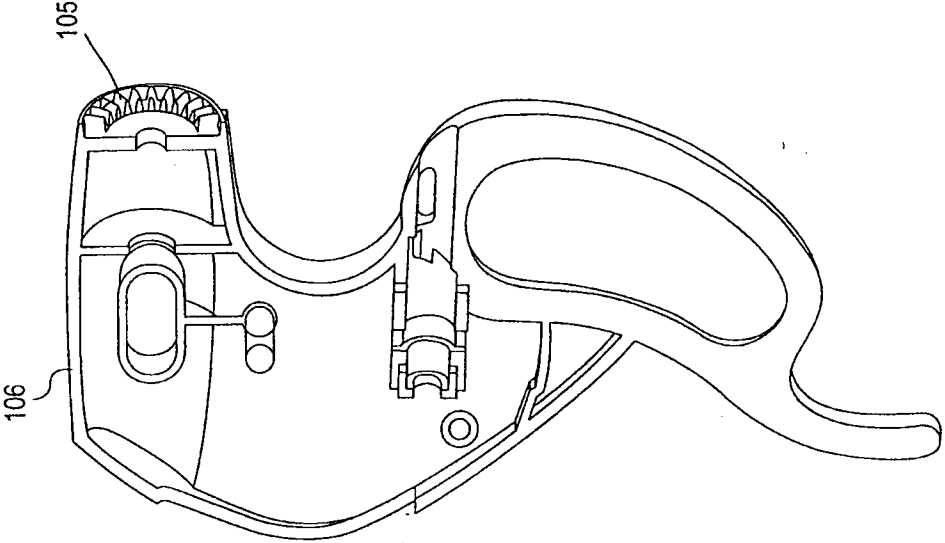


FIG. 10

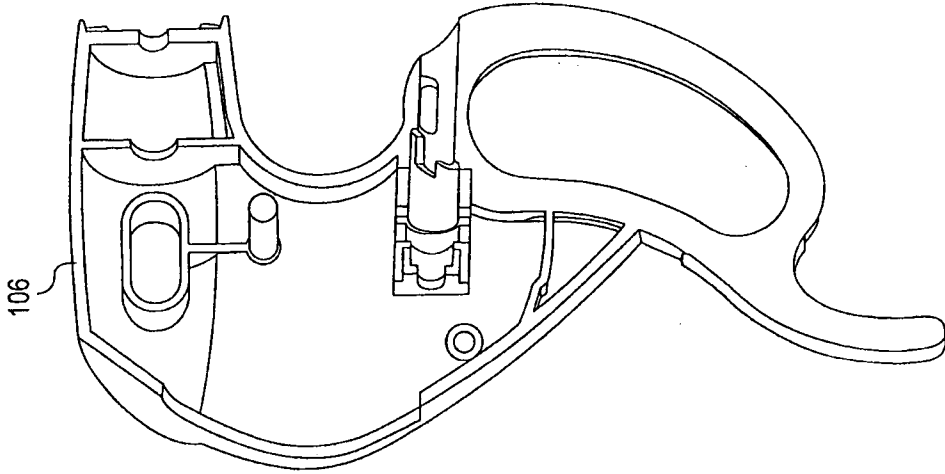


FIG. 9

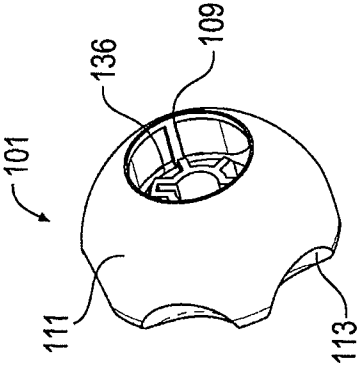


FIG. 12

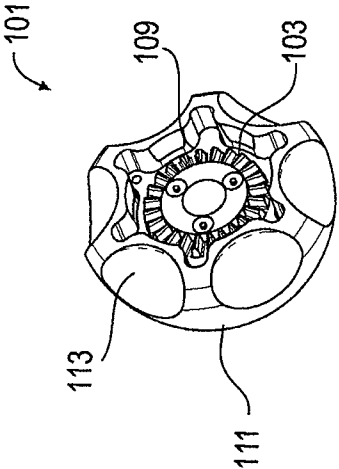


FIG. 14

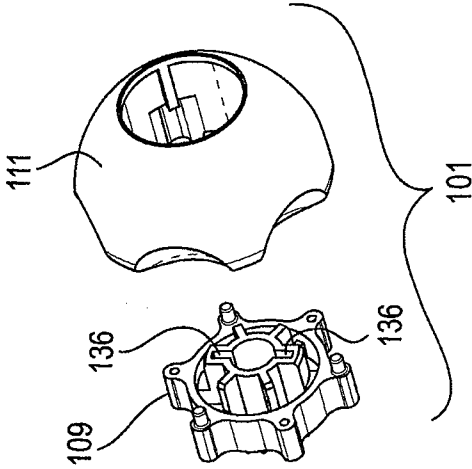


FIG. 11

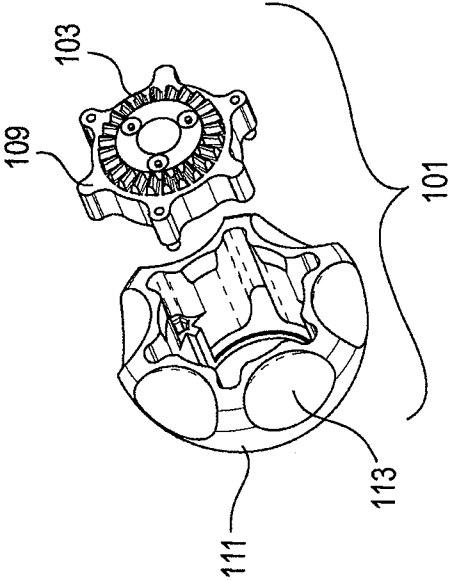
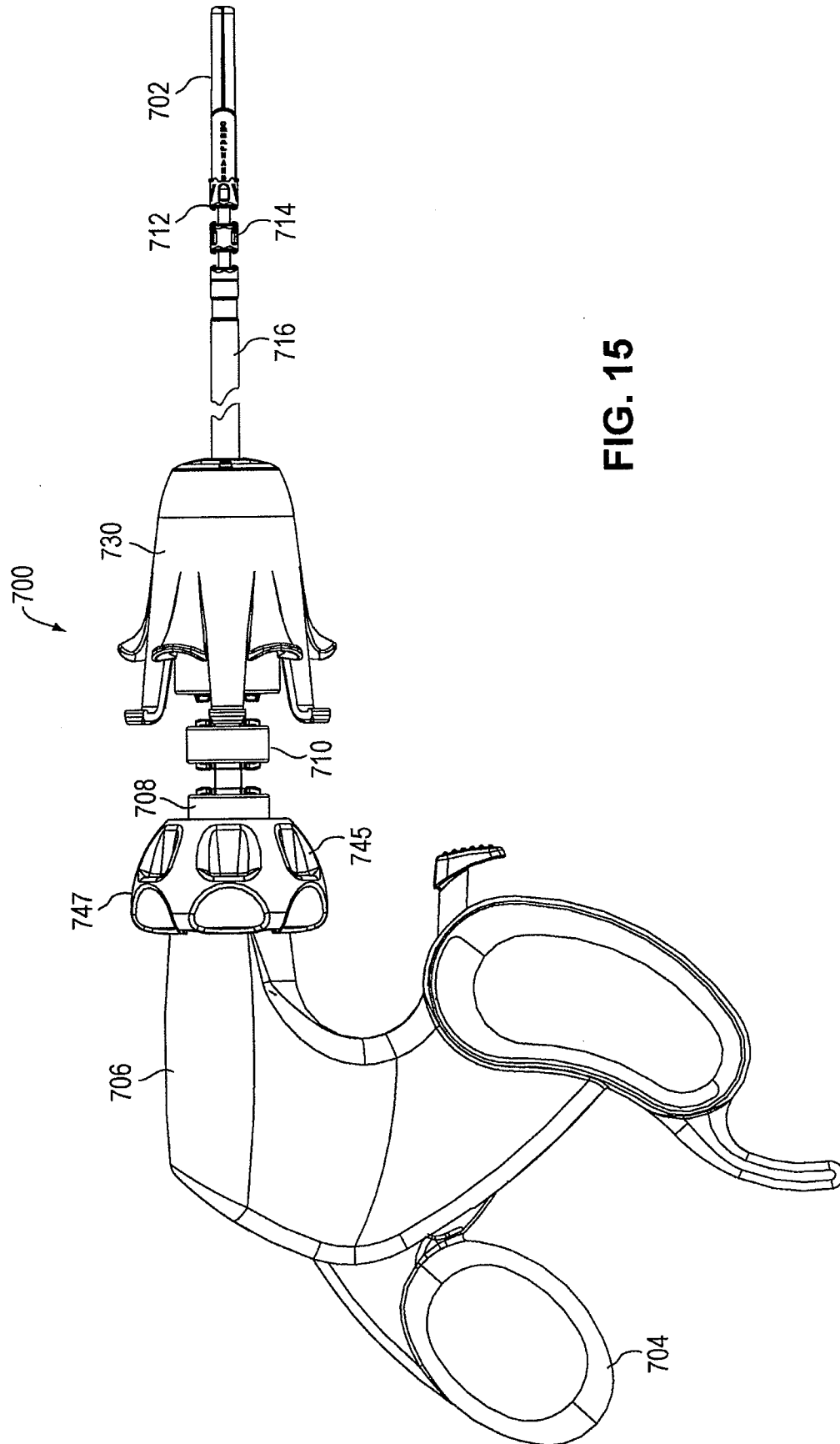


FIG. 13



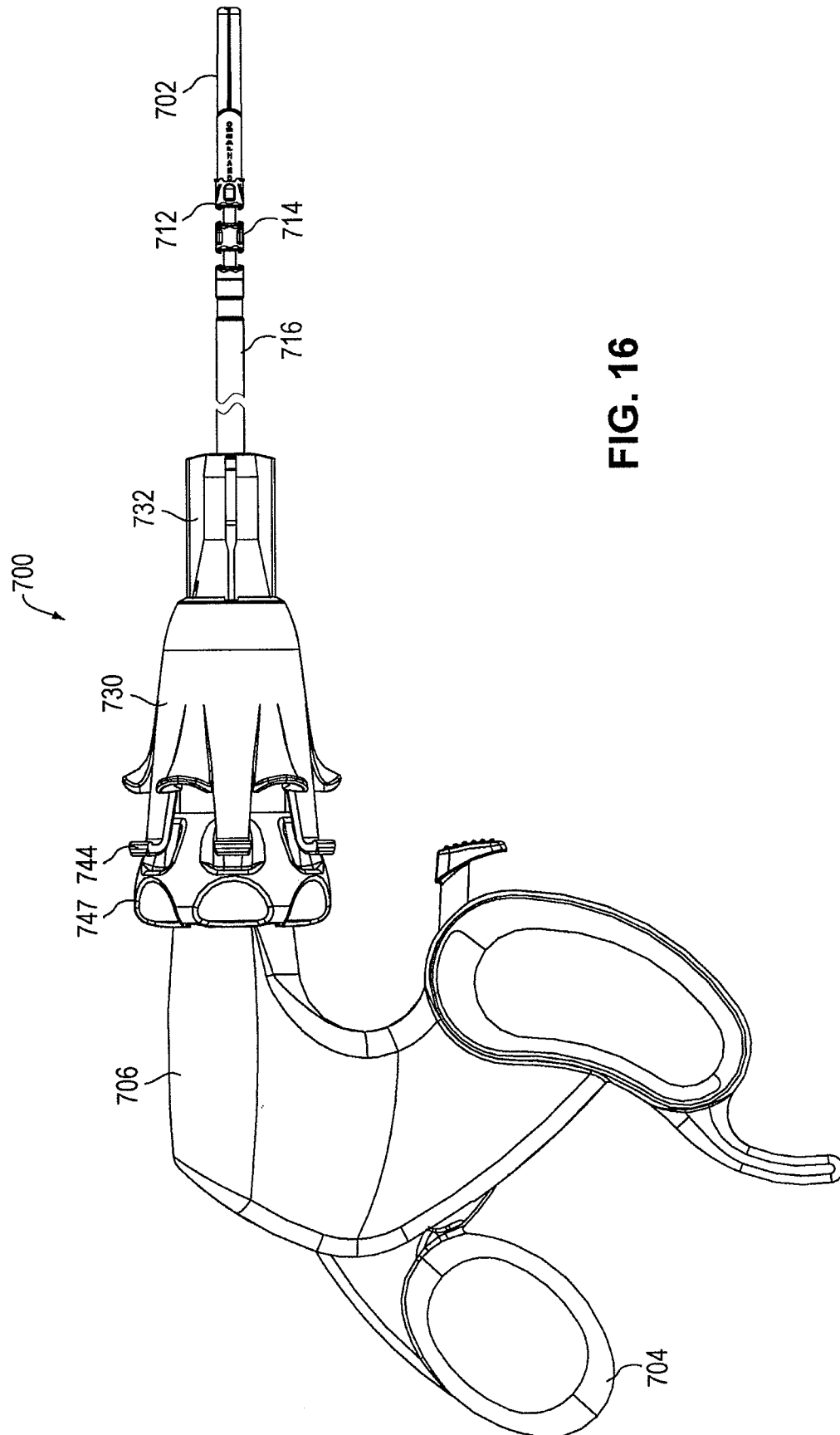


FIG. 16

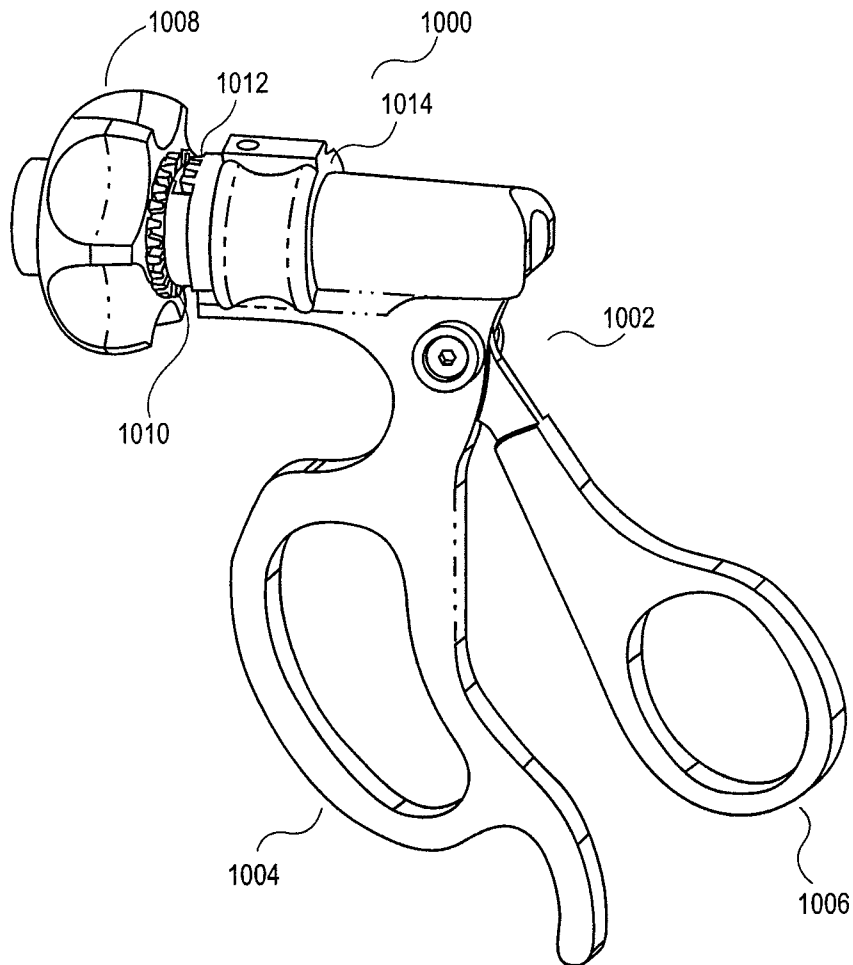


FIG. 17

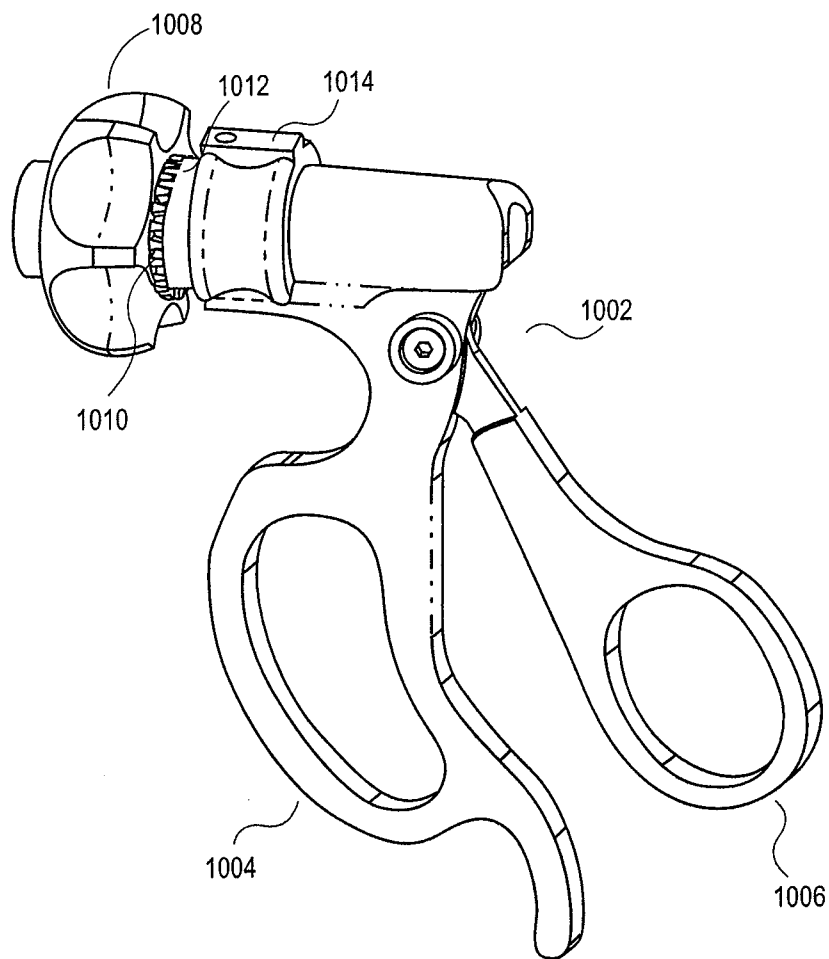


FIG. 18

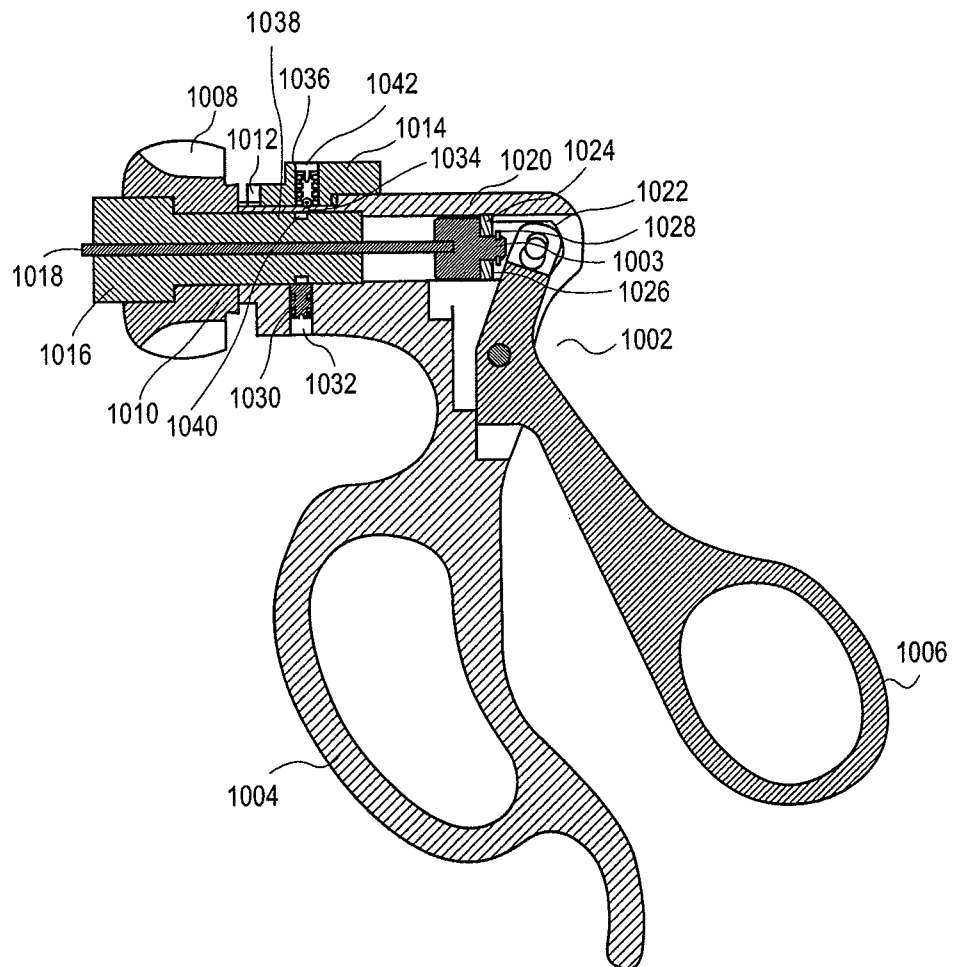


FIG. 19

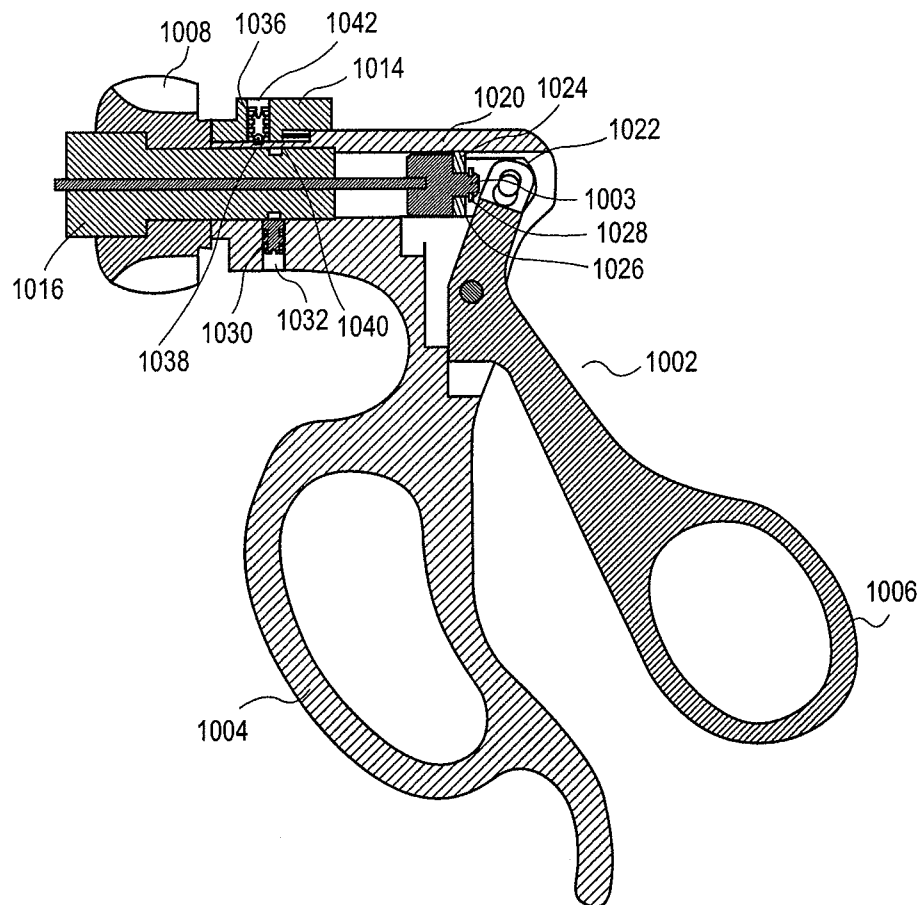


FIG. 20

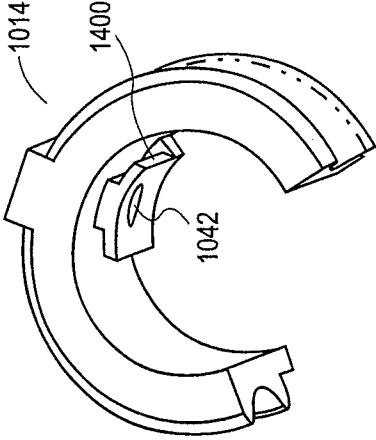


FIG. 21B

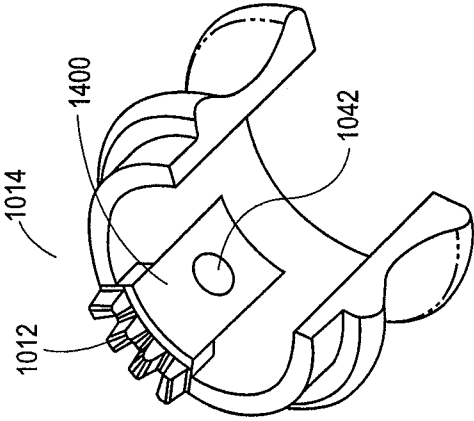


FIG. 21A

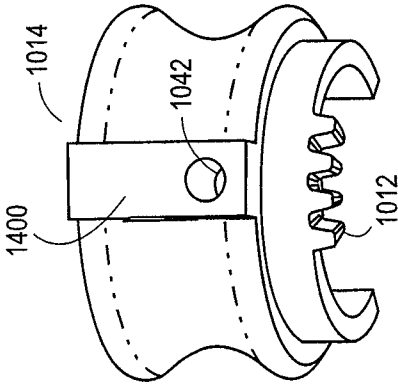


FIG. 21C

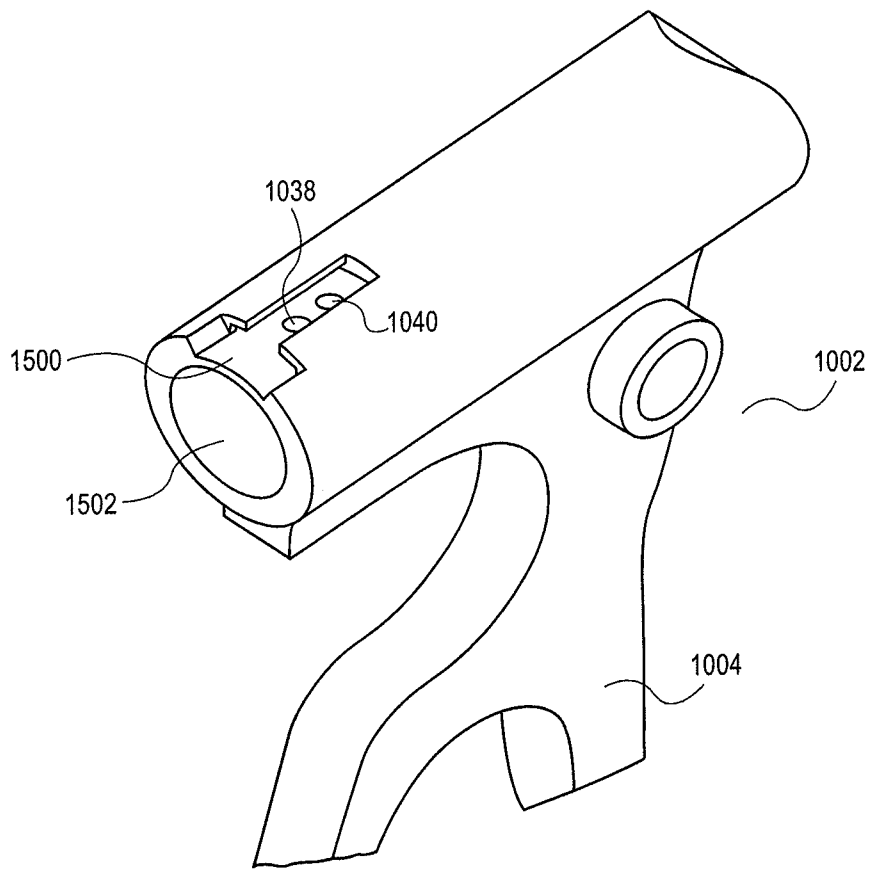


FIG. 22

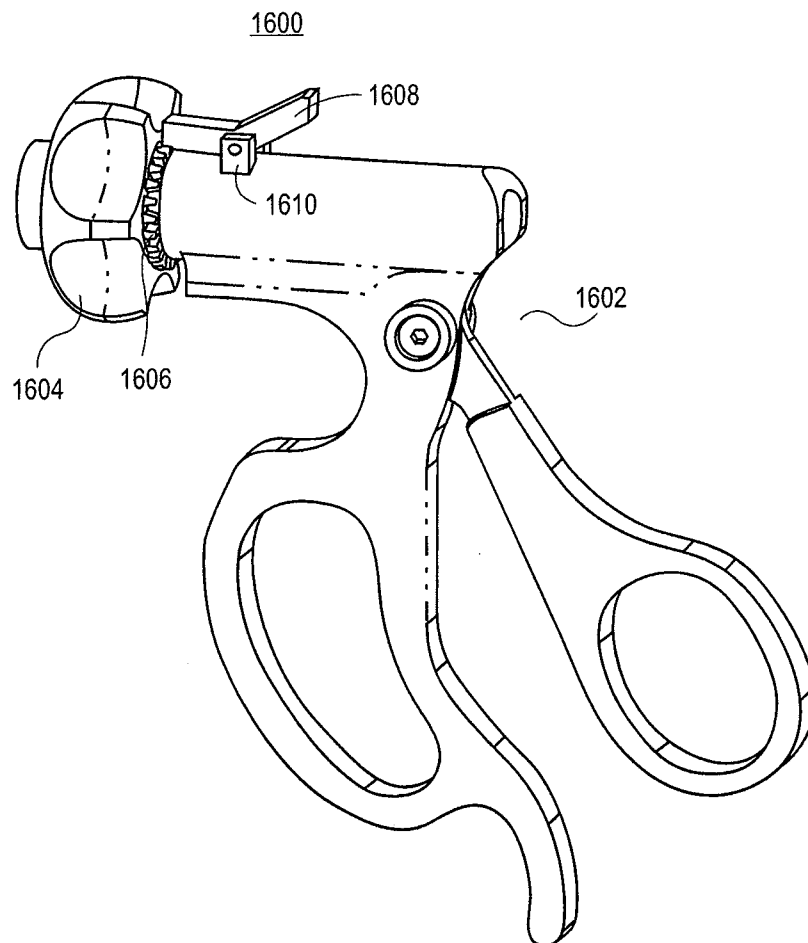


FIG. 23

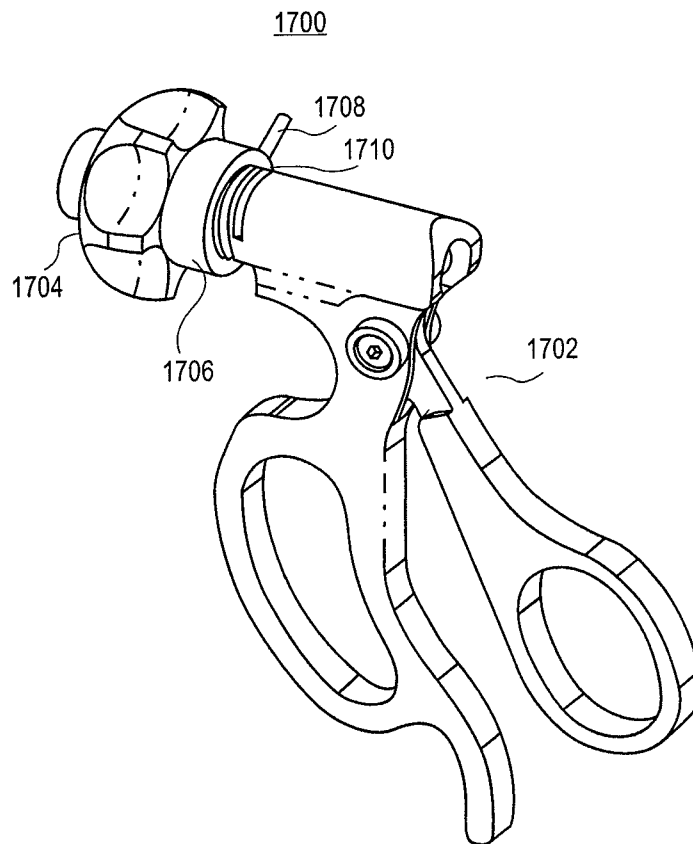


FIG. 24

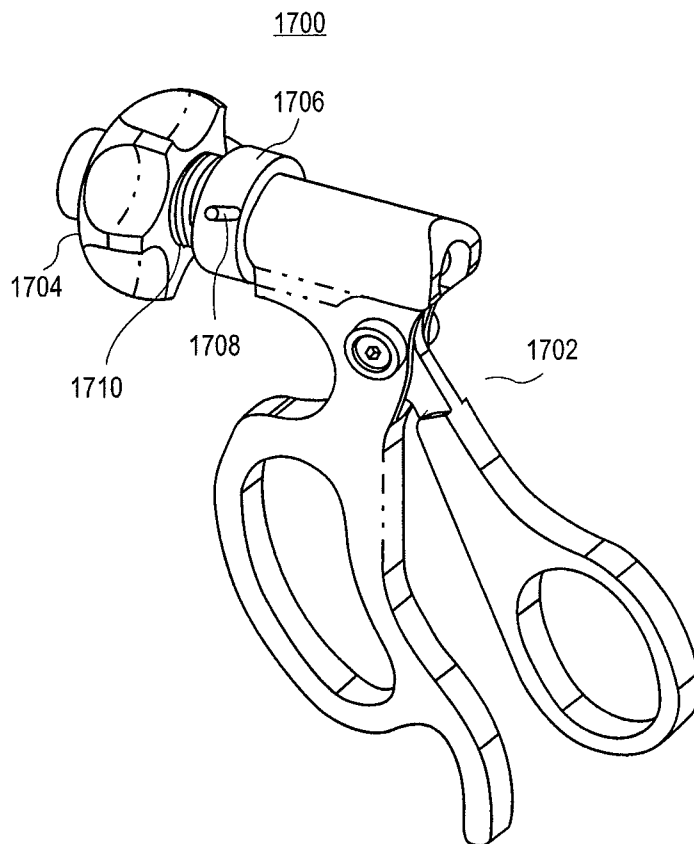


FIG. 25

