

Chapter 1

INTRODUCTION

1.1 Preamble

Brain-computer interfaces (BCIs) are emerging as a transformative technology with significant potential in medical rehabilitation, particularly for individuals affected by severe neurological conditions such as spinal cord injuries (SCIs). SCIs can lead to partial or complete loss of motor functions, significantly impacting an individual's ability to perform everyday tasks and reducing their quality of life. Traditional rehabilitation techniques often focus on compensating for lost functions through physical therapy and assistive devices, but they do not always facilitate the recovery of actual motor control or promote underlying neural recovery.

1.2 An Insight into the domain

The domain of brain-computer interfaces (BCIs) combined with functional electrical stimulation (FES) exists at the intersection of neuroscience, rehabilitation medicine, and biomedical engineering. This interdisciplinary field aims to explore and harness the capabilities of BCIs to interpret human intent from brain signals, and use this information to activate FES systems that stimulate muscles to produce desired movements. This synergy between BCIs and FES presents a cutting-edge approach to rehabilitative care, particularly for individuals suffering from severe motor impairments such as those caused by spinal cord injuries (SCIs).

BCIs are systems that facilitate a direct communication pathway between the brain and an external device. Traditionally used in assistive technologies to help individuals with disabilities communicate or interact with their environment, BCIs are increasingly being explored for their potential in motor recovery. The basic premise involves detecting specific patterns of brain activity, which signify user intent, and translating these into commands that can operate a computer or other devices, including FES systems.

FES involves the application of short electrical pulses to paralyzed or weakened muscles, causing them to contract and perform functions. In the context of SCI, FES can help perform essential movements like standing, walking, or grasping, depending on the muscles

targeted. When controlled by a BCI, the stimulation can be directly linked to the patient's neural commands, thereby aligning intended actions with physical output.

1.3 Objectives

- To calibrate and refine the BCI system using EEG data collected from healthy participants, ensuring the system's ability to accurately detect and interpret user intent.
- To assess the functionality of the FES system controlled by BCI outputs in initiating and sustaining muscle contractions as intended by the user.
- To evaluate the integration of the BCI with FES in terms of response time and accuracy, ensuring that the system can provide immediate and appropriate feedback to user commands.
- To measure improvements in motor function among SCI patients using standard clinical assessments (e.g., Fugl-Meyer Assessment) before and after intervention periods.
- To analyze changes in neuroplasticity by observing alterations in EEG patterns before and after using the BCI-FES system, providing insights into the brain's adaptive responses to the technology.
- To gather subjective feedback from users regarding the usability and comfort of the BCI-FES system, incorporating user experience into system refinement.
- To explore the therapeutic potential of continuous use of BCI-controlled FES for long-term rehabilitation and recovery in SCI patients.
- To contribute to the development of personalized rehabilitation protocols that adapt to individual needs and progress, optimizing recovery outcomes.
- To test the scalability and adaptability of the BCI-FES system for potential use in other neurological conditions where motor control is compromised.

Chapter 2

REVIEW OF LITERATURE

2.1 Preamble

In this section, we embark on a meticulous review of existing literature pertaining to Brain-Computer Interface (BCI) technologies, inspired by the comprehensive review methodology employed in the previous chapter focusing on frictionless user authentication systems. Our examination delves into a thorough analysis of research efforts, methodologies, and technologies employed in the domain of BCI systems, with a particular emphasis on advancements related to BCI-controlled Functional Electrical Stimulation (FES). The aim is to identify gaps, challenges, and potential opportunities inherent in current approaches to BCI-FES integration, facilitating a deeper understanding of the state-of-the-art in this field.

2.2 Literature Survey

1. Title: “Brain-Computer Interface Controlled Functional Electrical Stimulation: Evaluation with Healthy Subjects and Spinal Cord Injury Patients”

Author: Luis G. Hernandez-Rojas; Jessica Cantillo-Negrete

Methodology: The study presents the design, implementation, and feasibility evaluation of a Motor Imagery (MI) based Brain-Computer Interface (BCI) developed to control a Functional Electrical Stimulation (FES) device. The aim of this system is to assist the upper limb motor recovery of patients with spinal cord injury (SCI). With this BCI-controlled FES system, the user performs open and close MI with either the left or right hand, which if detected is used to provide visual feedback and electrostimulation to muscles in the forearm to perform the corresponding grasping movement. The system was evaluated with seven healthy subjects (HS group) and two SCI patients (SC group) in several experimental sessions across different days. Each experimental session consisted of a training routine devoted to collect calibration EEG data to train the BCI machine learning model, and of a validation routine devoted to validate system in online operation.

Limitation: The study does not explicitly mention any limitations. However, it’s important to note that the sample size for SCI patients was small (only two participants), which may limit the generalizability of the results. Additionally, the accuracy of the recognition of the MI task varied between participants, indicating that individual differences may affect the effectiveness of the BCI-controlled FES system.

Summary: The study presents a Motor Imagery (MI) based Brain-Computer Interface (BCI) developed to control a Functional Electrical Stimulation (FES) device. The system aims to assist the upper limb motor recovery of patients with spinal cord injury (SCI). The user performs open and close MI with either the left or right hand, which if detected is used to provide visual feedback and electrostimulation to muscles in the forearm to perform the corresponding grasping movement. The system was evaluated with seven healthy subjects and two SCI patients. The online system validation showed an accuracy of the recognition of the MI task that ranged between 78% and 81% for HS participants and between 63% and 93% for SCI participants.

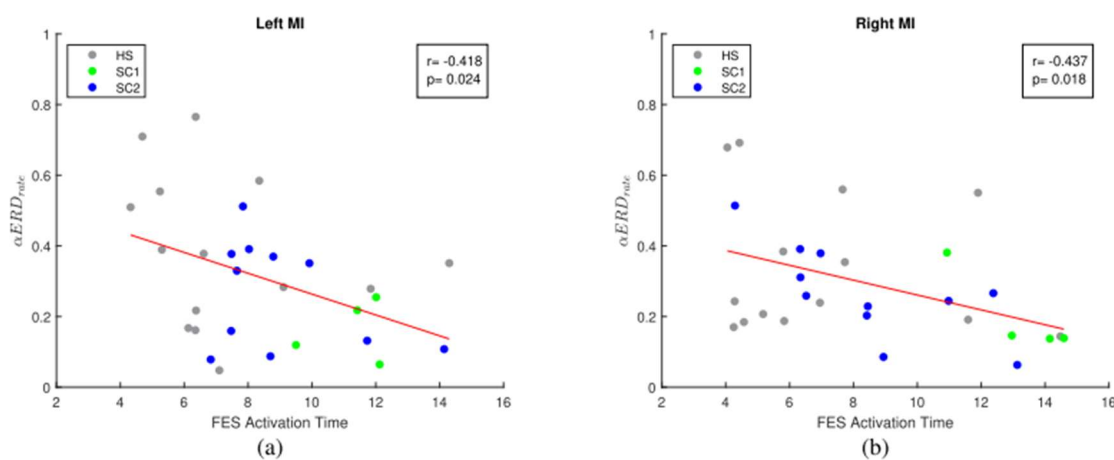


Fig 2.1. FES Activation Time for Left MI vs Right MI

2.Title: “A Novel Data Augmentation Approach Using Mask Encoding for Deep Learning-Based Asynchronous SSVEP-BCI”

Authors: W. Ding, A. Liu, L. Guan and X. Chen

Methodology: The study proposes an effective data augmentation approach called EEG mask encoding (EEG-ME) to mitigate overfitting in Deep Learning (DL)-based methods for asynchronous classification algorithms in the steady-state visual evoked potential (SSVEP)-based brain-computer interface (BCI) system. EEG-ME forces models to learn more robust features by masking partial EEG data, leading to enhanced generalization capabilities of models. Three different network architectures, including an architecture integrating convolutional neural networks (CNN) with Transformer (CNN-Former), time domain-based CNN (tCNN), and a lightweight architecture (EEGNet) are utilized to validate the effectiveness of EEG-ME on publicly available benchmark and BETA datasets.

Limitation: The study does not explicitly mention any limitations. However, it's important to note that the effectiveness of the proposed method (EEG-ME) might vary depending on the individual differences in EEG data and the specific requirements of the BCI system. Also, the performance of the proposed method might be influenced by the choice of the deep learning model and the quality of the EEG data.

Summary: The study presents a novel data augmentation approach called EEG mask encoding (EEG-ME) for mitigating overfitting in Deep Learning (DL)-based methods used in asynchronous SSVEP-BCI systems. The proposed method enhances the generalization capabilities of models by forcing them to learn more robust features through the masking of partial EEG data. The effectiveness of EEG-ME was validated using three different network architectures on two public datasets. The results demonstrate that EEG-ME significantly enhances the average classification accuracy of various DL-based methods with different data lengths of time windows. The enhanced performance of SSVEP classification with EEG-ME promotes the implementation of the asynchronous SSVEP-BCI system, leading to improved robustness and flexibility in human-machine interaction.

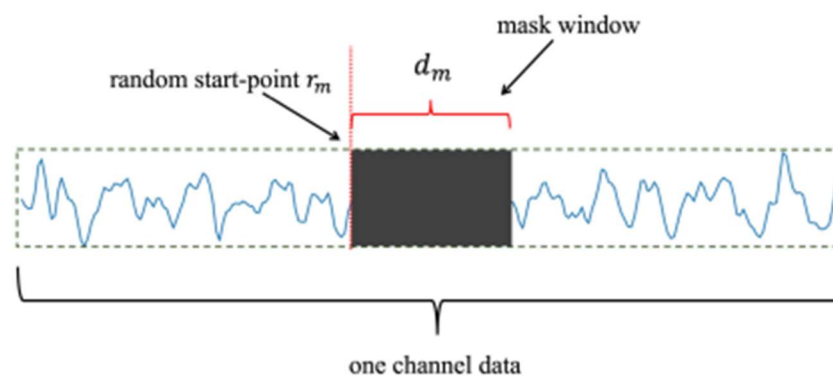


Fig 2.2: EEG-ME for one electrode channel data of a sample.

3.Title: “Implementation of a Brain-Computer Interface on a Lower-Limb Exoskeleton”

Authors: C. Wang, X. Wu, Z. Wang and Y. Ma

Methodology: The study proposes the use of a Brain-Computer Interface (BCI) to control a lower-limb exoskeleton. The exoskeleton follows the wearer's motion intention through

decoding of electroencephalography (EEG) signals and multi-modal cognition. The researchers implemented two types of BCIs: one based on steady-state visual evoked potentials (SSVEP), which used canonical correlation analysis (CCA) to extract the frequency the subject focused on, and the other BCI is based on motor imagery, where the common spatial patterns (CSP) method was employed to extract the features from the EEG signal. These features were then classified by a support vector machine (SVM) to recognize the intention of the subject. The system was evaluated with four healthy subjects in both offline and online experiments.

Limitation: The study presents a novel approach to controlling a lower-limb exoskeleton using a Brain-Computer Interface (BCI). The exoskeleton follows the wearer's motion intention through decoding of electroencephalography (EEG) signals and multi-modal cognition. The researchers implemented two types of BCIs, one based on steady-state visual evoked potentials (SSVEP) and the other based on motor imagery. The system was evaluated with four healthy subjects in both offline and online experiments. The results showed high accuracy rate in motion intention classification tasks for both BCIs.

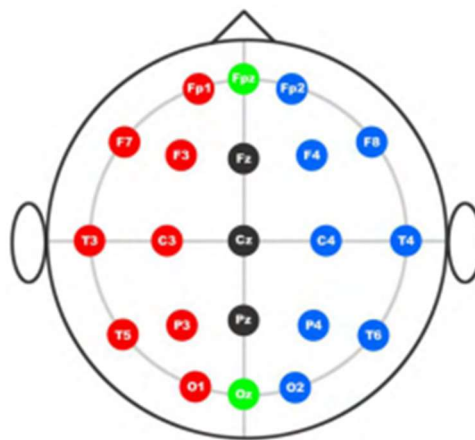


Fig 2.3 Electrodes distribution in 10-20 system.

4.Title: " Design and Implementation of an Asynchronous BCI System With Alpha Rhythm and SSVEP"

Authors: LEI ZHANG , XIAOPEI WU, XIAOJING GUO, JINGFENG LIU AND BANGYAN ZHOU

Methodology: The study presents the design and implementation of an asynchronous Brain-Computer Interface (BCI) system based on steady-state visual evoked potentials (SSVEPs) and alpha rhythm. The system outputs continuous, stable, and smooth control commands in the up, down, left, and right directions. Four stimulus sources flickering at different

frequencies were sequentially fixed around the computer monitor to allow for subjects to complete control tasks by gazing at different stimulus sources. The subjects autonomously switched between the idle and working states by controlling the alpha amplitude. A sliding window voting discrimination (SWVD) strategy was incorporated into the canonical correlation analysis (CCA) algorithm for asynchronous classification.

Limitation: The study does not explicitly mention any limitations. However, it's important to note that the effectiveness of the proposed method might vary depending on the individual differences in EEG data and the specific requirements of the BCI system. Also, the performance of the proposed method might be influenced by the choice of the deep learning model and the quality of the EEG data.

Summary of the Paper: The study presents the design and implementation of an asynchronous Brain-Computer Interface (BCI) system based on steady-state visual evoked potentials (SSVEPs) and alpha rhythm. The system outputs continuous, stable, and smooth control commands in the up, down, left, and right directions. Real-time feedback is presented on the computer screen to enhance collaborative participation in the human-computer interaction. The proposed design scheme is feasible for the online asynchronous BCI system. By applying the SWVD strategy and optimizing the experimental paradigm, the classical CCA algorithm was successfully applied for continuous control in an asynchronous BCI system. With the developed system, obvious improvements in the information transmission rate (ITR) and sensitivity were achieved, which will be beneficial for the development of practical BCI systems.

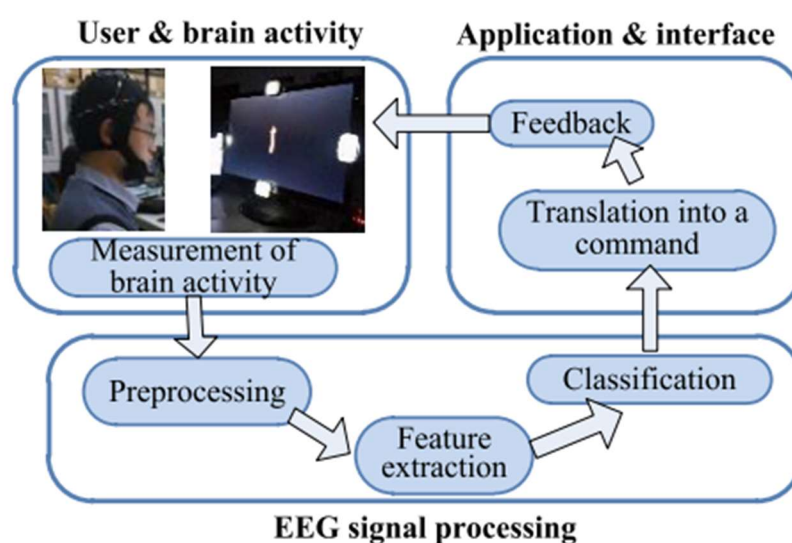


Fig 2.4 System diagram of the hybrid BCI.

5.Title: “Trial Regeneration with Sub band Signals for Motor Imagery Classification in BCI Paradigm”**Authors:** M. K. I. Molla, S. K. Saha, S. Yasmin, M. R. Islam and J. Shin**Methodology:**

- The EEG signal is bandpass-filtered into multiple frequency bands¹.
- The CSP features are then extracted from each of these bands¹.
- The narrowband (sub band) signals derived from the recorded EEG channels are integrated into the original trial as a spatial component, and hence, an extended trail is obtained².
- The CSP is applied to the newly generated trial to obtain the spatial feature.

Limitation: The paper does not explicitly mention its limitations. However, it's important to note that the effectiveness of the methodology can vary based on the quality of the EEG signals and the specific motor imagery tasks represented by EEG trials.

Summary of the Paper: This paper introduces a unique method for classifying EEG during motor imagery. This method combines the common spatial pattern (CSP) and linear discriminant analysis (LDA). The methodology involves bandpass-filtering the EEG signal into multiple frequency bands. CSP features are then extracted from each of these bands. The narrowband (sub band) signals derived from the recorded EEG channels are integrated into the original trial as a spatial component, creating an extended trial. The CSP is then applied to the newly generated trial to obtain the spatial features. The paper does not explicitly mention its limitations. However, it's important to note that the effectiveness of the methodology can vary based on the quality of the EEG signals and the specific motor imagery tasks represented by EEG trials. The paper concludes by studying the effectiveness of two classifiers – linear discriminant analysis (LDA) and support vector machine (SVM). For a more comprehensive understanding, it's recommended to read the full paper.

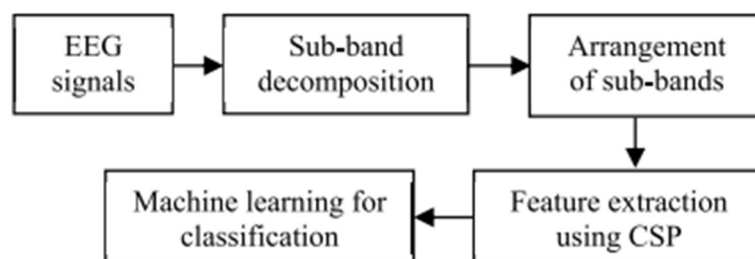


Fig 2.5 Block diagram of the proposed method

6. Title: “Improving the Performance of Individually Calibrated SSVEP-BCI by Task Discriminant Component Analysis”

Authors: B. Liu, X. Chen, N. Shi, Y. Wang, S. Gao and X. Gao

Methodology: The paper proposes a novel method called Task-Discriminant Component Analysis (TDCA) to improve the performance of individually calibrated Steady-State Visual Evoked Potential based Brain-Computer Interface (SSVEP-BCI). The existing method, Task-Related Component Analysis (TRCA), has limitations as the spatial filter learned from each stimulus may be redundant and temporal information is not fully utilized. TDCA addresses these issues and was evaluated using two publicly available benchmark datasets.

Limitation: While the paper does not explicitly mention its limitations, it’s important to note that the performance of TDCA is based on the datasets used for evaluation. The effectiveness of TDCA might vary with different datasets or real-world applications. Also, the spatial filter learned from each stimulus in TRCA, which TDCA aims to improve, might still have some redundancy and may not fully utilize temporal information.

Summary of the Paper: The paper presents TDCA as a new method to improve the performance of individually calibrated SSVEP-BCI. It addresses the limitations of the existing TRCA method by better utilizing spatial and temporal information. The performance of TDCA outperformed ensemble TRCA and other competing methods by a significant margin, as demonstrated by evaluations using two benchmark datasets. The study provides a new perspective for designing decoding methods in individually calibrated SSVEP-BCI and presents insight for its implementation in high-speed brain speller applications.

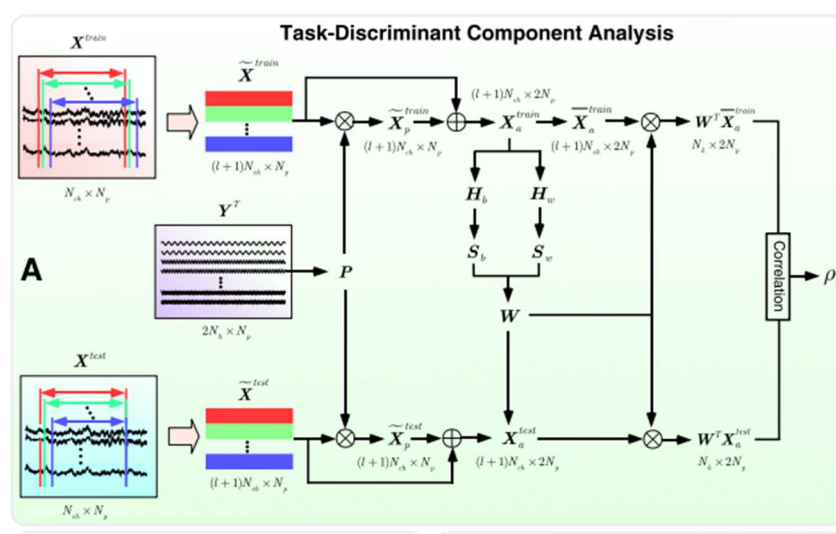


Fig 2.6 Flow chart of task-discriminant component analysis

7.Title: " A Time-Local Weighted Transformation Recognition Framework for Steady State Visual Evoked Potentials Based Brain–Computer Interfaces"

Authors: N. Jamil, A. N. Belkacem, S. Ouhbi and C. Guger

Methodology: In the field of Brain-Computer Interfaces (BCI), particularly those based on Steady State Visual Evoked Potentials (SSVEP), various methodologies have been proposed. For instance, some studies have proposed the use of complex valued convolutional neural networks (CVCNN) to overcome the limitations of SSVEP-based BCIs. Others have suggested the use of multi-task learning with denoising and classification tasks to develop a robust SSVEP-based BCI.

Limitation: The limitations of these methodologies often include the need for large amounts of training data, the limitation of the stimulation frequency, and the performance dependency on the datasets used for evaluation. The effectiveness of these methodologies might vary with different datasets or real-world applications.

Summary of the Paper: While I couldn't find the specific summary for the paper you mentioned, generally, these studies aim to improve the performance of SSVEP-based BCIs by proposing novel methodologies and overcoming existing limitations. They often demonstrate that their proposed methods outperform conventional SSVEP feature extraction methods and can help people communicate with others.

8.Title: "Eliminating or Shortening the Calibration for a P300 Brain–Computer Interface Based on a Convolutional Neural Network and Big Electroencephalography Data"

Authors: Wei Gao, Weichen Huang, Man Li

Methodology: The study proposes an online P300 BCI spelling system with zero or shortened calibration based on a Convolutional Neural Network (CNN) and big Electroencephalography (EEG) data. The methodology involves three methods to train CNNs for the online detection of P300 potentials:

1. Training a subject-independent CNN with data collected from 150 subjects.
2. Adapting the CNN online via a semi supervised learning/self-training method based on unlabeled data collected during the user's online operation.
3. Fine-tuning the CNN with a transfer learning method based on a small quantity of labeled data collected before the user's online operation.

Limitation: The effectiveness of the proposed methods could vary depending on the individual's brain activity, the quality of the EEG data, and the amount of data available for training the CNN.

Summary: The study presents an online P300 BCI spelling system that either eliminates or shortens the calibration process. This is achieved by using a Convolutional Neural Network (CNN) and large Electroencephalography (EEG) data. The CNN is trained using three methods, allowing for the online detection of P300 potentials. An online P300 spelling system is developed based on these methods. The study reports average accuracies of 89%, 94%, and 93% obtained from online experiments involving twenty subjects.

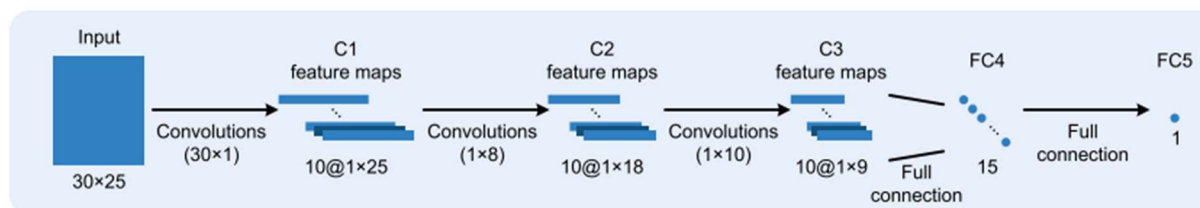


Fig 2.7: The architecture of the CNN used for cross-subject P300 detection

9.Title: “Ternary Near-Infrared Spectroscopy Brain-Computer Interface with Increased Information Transfer Rate Using Prefrontal Hemodynamic Changes During Mental Arithmetic, Breath-Holding, and Idle State

Authors: J. Shin, J. Kwon, J. Choi and C

Methodology: The methodology involves the use of a hybrid BCI for the classification of three brain activation patterns elicited by mental arithmetic, motor imagery, and idle state. The aim is to elevate the information transfer rate (ITR) of the hybrid BCI by increasing the number of classes while minimizing the loss of accuracy.

Limitation: While the paper does not explicitly mention its limitations, it's important to note that BCIs based on functional near-infrared spectroscopy (fNIRS) signals are highly subject-specific and have low test-retest reliability. Therefore, individual calibration sessions need to be employed before each use of fNIRS-based BCI to achieve a sufficiently high performance for practical BCI applications. This could be seen as a limitation in the practical application of the methodology presented in the paper.

Summary: The paper presents a ternary Near-Infrared Spectroscopy (NIRS) BCI that uses prefrontal hemodynamic changes during mental arithmetic, breath-holding, and idle state to increase the information transfer rate¹. The implementation of a multi-class BCI is an efficient way to increase the ITR.

10.Title: “Challenges and Perspectives on Impulse Radio-Ultra-Wideband Transceivers

for Neural Recording Applications”

Authors: R. Eskandari and M. Sawan

Methodology: The methodology involves examining in detail the working principle, design methodology, performance, and implementations of different architectures of IR-UWB transceivers². The aim is to draw a deep comparison and extract the bottlenecks and possible solutions concerning the dedicated application.

Limitation: It's important to note that the design and implementation of IR-UWB transceivers for neural recording applications is a complex task with many challenges. These challenges include the need for high precision and accuracy, the complexity of the neural signals, and the need for low power consumption and miniaturization for implantable devices. Furthermore, the performance of the IR-UWB transceivers can be affected by various factors such as the quality of the neural recordings, the signal processing algorithms used, and the hardware and software implementation.

Summary: The paper presents a detailed study on the design and implementation of IR-UWB transceivers for neural recording applications¹. It provides a quantitative comparison of different architectures of IR-UWB transceivers and identifies the challenges and possible solutions for the dedicated application.

2.3 Drawbacks of Existing System

- **Muscle Fatigue:** One of the main problems of FES is the increased fatigue of stimulated muscles. The propensity to early fatigue can be reduced by proper muscle training and the associated transformation of fast- into slow-fatiguing muscle fibers. However, fatigue represents an inherent problem of FES and cannot be completely avoided.
- **Limited Evidence:** There is moderate evidence for positive effects of BCI-FES on gait and weak evidence for positive effects of BCI-FES on balance post-stroke. To date, no evidence for the positive effects of BCI-FES on spasticity was found.
- **Need for Larger Sample Size:** Further randomized controlled trials with a larger sample size are strongly warranted to confirm the findings.
- **Limited Interventions for Severe Paresis:** Contrary to patients with some upper limb function who can participate in interventions such as constraint-induced movement therapy or task-specific training, there is a paucity of evidence-based and

effective interventions for patients with severe paresis.

- **Quality of Life:** Patients with Spinal Cord Injury (SCI) suffer a significant loss of neuronal functions, especially in their sensorimotor functions, which significantly diminishes their quality of life.

2.4 Problem Statement

“There is a critical need to assess the effectiveness and adaptability of Brain-Computer Interface (BCI) controlled Functional Electrical Stimulation (FES) in the rehabilitation of patients with spinal injuries, Amyotrophic Lateral Sclerosis (ALS), nerve damage, and paralysis. The goal is to optimize the system for these conditions to improve patient mobility, independence, and overall quality of life.”

2.5 Objectives

1. **Restoration of Motor Function:** The primary goal of BCI-FES is to restore motor function in individuals with neurological conditions such as stroke, spinal cord injury, and traumatic brain injury.
2. **Direct Brain Control:** BCI-FES enables direct brain control of foot dorsiflexion in able-bodied individuals. A BCI translates brain activity into a control signal and can provide real-time feedback on the status of motor-related activity during rehabilitation.
3. **Promotion of Independence:** BCIs can help people communicate and control devices and applications without using peripheral nerves and muscle pathways. This can promote the independence of physically disabled people by bypassing non-functional neural pathways.
4. **Neurorehabilitation:** Researchers are exploring the use of BCI-FES as a neurorehabilitation system. It necessitates active participation and establishes a temporal association between efferent information, from cortical activation due to attempted movement, and afferent information due to peripheral stimulation.

5. **Facilitation of Neuroplasticity:** BCI systems may help to induce or facilitate neuroplasticity by strengthening connections between damaged areas of the nervous system, and to create a demand for reorganization of neuronal network functions.
6. **Home-Based Rehabilitation:** Based on experimental results, there is a concept of researcher-therapist-caregiver knowledge transfer and a concept of caregiver and patient self-managed BCI-FES for home-based rehabilitation.

2.6 Proposed System

The proposed system is designed and implemented based on Motor Imagery (MI), a Brain-Computer Interface (BCI) developed to control a Functional Electrical Stimulation (FES) device. Its primary aim is to aid in the upper limb motor recovery of patients with spinal cord injury (SCI). This system seamlessly integrates a non-invasive EEG-based BCI with a non-invasive FES system for foot dorsiflexion. It enables real-time analysis and classification of EEG data during online BCI operation, allowing for direct brain control of foot dorsiflexion in able-bodied individuals. Feasibility evaluation of the system is conducted with both healthy subjects and spinal cord injury patients. This comprehensive rehabilitation system employs BCI-triggered FES and avatar mirroring to enhance the function of paretic limbs. By attending to tasks necessitating the activation or deactivation of specific brain regions, the BCI system facilitates the induction of plasticity. Moreover, it proposes a framework for researcher-therapist-caregiver knowledge transfer and self-managed BCI-FES rehabilitation for use in home settings.