

Founded 1988

AUGMENTED REALITY SYSTEM FOR REHABILITATION: NEW APPROACH BASED ON HUMAN INTERACTION AND BIOFEEDBACK

YEE MON AUNG (B.Eng & M.Sc.)

THIS THESIS IS SUBMITTED

FOR THE REQUIREMENT OF DOCTOR OF PHILOSOPHY TO

FACULTY OF ENGINEERING & INFORAMTION TECHNOLOGY

UNIVERSITY OF TECHNOLOGY SYDNEY

JANUARY 2016

Certificate of Original Authorship

I certify that the work in this thesis has not previously been submitted for a degree nor has

it been submitted as part of requirements for a degree except as fully acknowledged within

the text.

I also certify that the thesis has been written by me. Any help that I have received in my

research work and the preparation of the thesis itself has been acknowledged. In addition, I

certify that all information sources and literature used are indicated in the thesis.

Student Name: Yee Mon Aung

Production Note:

 $Signature\ of\ Student:\ Signature\ removed\ prior\ to\ publication.$

Date: 24 Jan 2016

ii

Acknowledgements

First and foremost, I would like to express my appreciation to my supervisor, Associate Professor Dr. Adel Al-Jumaily for his immense knowledge, continuous advice, insightful ideas and discussions, patience, motivation, and remarks on many occasions that are extremely helpful in improving my research work and thesis. Without his leadership and vision this work could not be possible.

My special thanks to non-clinical trials participants who provided me with their own EMG data for my research. Thanks also extend to all colleagues and staff members in the Center of Health Technology, University of Technology Sydney. I also place on record my sense of gratitude to one and all who directly or indirectly having lent me a helping hand during my candidature.

Special thanks and gratitude must go to my parents, Mr. Aung Thein and Ms. San San Cho for their continuous support in numerous ways, love, encouragement, and for motivating me to seek higher education. I would also like to sincerely thank to my husband, Dr. Myo Min Latt for sharing expertise, and sincere and valuable suggestion and encouragement extended to me. I am also very grateful to my sisters, Ms. May Mon Aung and Ms. Su Mon Aung who were always there to support me spiritually, their continuous encouragement and making it easy for me to concentrate on my research.

Finally, thank you UTS for the great experience and knowledge you gave me, I acknowledge your support by granting me the Australia Postgraduate Award (APA) scholarship.

Table of Contents

Certificate of Original Authorship	ii
Acknowledgements	iii
List of Figures	X
List of Tables	xiv
List of Abbreviations	XV
Abstract	xviii
Chapter 1 Introduction	1
1.1. Background	2
1.2. Technology based Rehabilitation Systems	4
1.2.1. Robotic Systems	4
1.2.2. Virtual Reality Systems	5
1.2.3. Augmented Reality Systems	
1.2.4. Feedback in Rehabilitation System	8
1.3. Limitations of Technology based Rehabili	tation Systems9
1.4. Objectives and Contributions	
1.5. Organization of Thesis	
1.6. Peer-Reviewed Publications	
1.7. Summary	

Chapter 2 Literature Review	17
2.1. Introduction	17
2.2. Human Nervous System	17
2.2.1. Neurological Disorder	19
2.2.1.1. Cerebrovascular Accident or Stroke	21
2.2.1.2. Traumatic Brain Injury	23
2.2.1.3. Spinal Cord Injury	24
2.3. Rehabilitation	26
2.4. Neuroplasticity	27
2.5. Robot based Rehabilitation Systems	31
2.5.1. End-Effector Robots	32
2.5.2. Exoskeletons or Wearable Robots	35
2.5.2.1. External Force Exoskeleton System	35
2.5.2.2. Internal Force Exoskeleton System	39
2.5.2.3. Alignment-Free Exoskeletons	41
2.6. Game based Rehabilitation Systems	43
2.6.1. Virtual Reality System	43
2.6.2. Augmented Reality System	45
2.7. Biosignal in Rehabilitation	50
2.7.1. Electrical Signals from Muscles – the Electromyogra	m (EMG)50
2.7.2. Biosignal Driven Rehabilitation Systems	51
2.7.3. Control Algorithms in Rehabilitation Systems	53
2.7.3.1. Back Propagation Neural Network (BPNN)	55
2.7.3.2. Extreme Learning Machine	56
2.7.4. Biofeedback	56
2.8. Summary	57
Chapter 3 Augmented Reality based Upper Limb	•
Rehabilitation System	58
3.1. Introduction	58
3.2. Design Considerations	59
3.2.1. Biological Targets	59

	3.2.2. Serious Game Design Theory	60
3.3.	EMG Biofeedback for Upper Limb Rehabilitation	62
3.4.	Augmented Reality for Upper Limb Rehabilitation	63
	3.4.1. AR Applications	
	3.4.2. Contents	64
	3.4.3. Interaction	65
	3.4.4. AR Technologies	65
	3.4.4.1. Objects Tracking in AR	65
	3.4.4.2. Collision Detection in Augmented Reality	68
	3.4.4.3. Bounding Volumes (BV)	70
	3.4.5. The Physical World	<i>73</i>
	3.4.6. Participants	<i>73</i>
3.5.	Thesis Contribution-1: Augmented Reality based RehaBio Sys	tem74
	3.5.1. System Input	74
	3.5.2. System Framework	75
	3.5.2.1. Database Module	76
	3.5.2.2. Therapeutic Exercise Module	77
	3.5.2.3. Development of Biofeedback Simulation Module	77
	3.5.3. System Output	80
	3.5.4. Development of AR based Therapeutic Exercises	80
	3.5.4.1. Therapeutic Exercise Attributes	82
	3.5.4.2. Game Design for Ping-Pong Rehabilitation (PPR)	83
	3.5.4.3. Game Design for Circular Motion Rehabilitation (CMR)	84
	3.5.4.4. Game Design for Feeding Animal Rehabilitation (FAR)	85
	3.5.4.5. Game Design for Transfer Object Rehabilitation (TOR)	86
	3.5.4.6. Game Design for Balloon Collection Rehabilitation (BCR)	86
	3.5.4.7. Colour Tracking Algorithm	87
	3.5.4.8. Collision Detection Algorithm	90
	3.5.5. Experiments and Results	91
	3.5.5.1. Participants	92
	3.5.5.2. Setting and Apparatus	92
	3.5.5.3. Experiment 1: Analysis of Muscles Contribution Shoulder Articulation	_
	3.5.5.4. Experiment 2: Therapeutic Rehabilitation Exercises	95
	3.5.5.5. Experiment 3: Real-Time Muscle Simulation	102

3.6.	Summary	104
Cha	apter 4 Real Time Biosignal Driven Virtual Hum	an
	m	
4.1.	Introduction	106
4.2.	Relationship between Neural Command and Muscle Activat	tion 107
	4.2.1. Electromechanical Delay	107
	4.2.2. Muscle Activation Model	108
4.3.	Description of BP Algorithm in Mathematics	109
	4.3.1. Limitations and Improvements	113
	4.3.2. Momentum terms	113
	4.3.3. Variable Learning Rate	114
4.4.	Description of ELM Algorithm in Mathematics	115
4.5.	Thesis Contribution-2: Continuous Joint Angle Prediction	118
	4.5.1. Neural-Muscle Activation Model	119
	4.5.2. Motion Recording	120
	4.5.3. Proposed Prediction Model with BPNN	121
	4.5.4. Proposed Prediction Model with ELM	122
	4.5.5. Experiments and Results	124
	4.5.5.1. Participants	124
	4.5.5.2. Data Collection	125
	4.5.5.3. Experiment-1: Neural-Muscle Activation Model	126
	4.5.5.4. Experiment-2: Prediction Models in Offline Mode	128
	4.5.5.5. Experiment-3: Prediction Models in Online Mode	131
4.6.	Thesis Contribution-3: Development of Virtual Human Arm	Model133
	4.6.1. Kinematic Model	134
	4.6.1.1. Forward Kinematics	136
	4.6.1.2. Inverse Kinematic	138
	4.6.2. Virtual Human Arm Model	141
	4.6.3. Experiment and Results	142
	4.6.3.1. Manual Articulation	142
	4.6.3.2. FK and IK Articulation	142
<i>1</i> 7	Chapter Summary	147

Chapter 5 Illusion based Upper Limb Re	
System	149
5.1. Introduction	149
5.2. Mirror Therapy in Upper Limb Rehabilitation	150
5.2.1. Ownership Illusion	
5.2.2. Limitation of Existing MT Rehabilitation S	System 153
5.3. Thesis Contribution-4: Augmented Reality-bas (ARIS)	· · · · · · · · · · · · · · · · · · ·
$5.3.1. Database\ Module \dots$	
5.3.2. Multiple Colour Tracking Module	
5.3.3. Illusion Environment Module	157
5.3.4. Real-time Data Acquisition Module	160
5.3.5. Therapeutic Exercise Module	161
5.3.6. Experiment and Results	
5.3.6.1. Participants	162
5.3.6.2. Setting and Apparatus	162
5.3.6.3. ARIS Procedures	163
5.3.6.4. Training Phase	164
5.3.6.5. Testing Phase	165
5.3.6.6. Result Discussion	167
5.4. Demonstration in Port Kembla Hospital	172
5.5. Summary	
Chapter 6 Summary, Conclusion and Fu	ture Research 175
6.1. Thesis Summary	175
6.2. Recommendation for Future Research	177
6.3. Conclusion	
Appendix A	180
A.1 Comparison Table from Literature	180
A.2Algorithms	
A 3Questionnaires	190

A.3.1 RehaBio System	190
A.3.2 ARIS System	192
A.3.2.1 ARIS Questionnaire A	192
A.3.2.2 ARIS Questionnaire B	193
A.4 Ethical Approval	196
A.5 Email Communication with Dr. Geoffrey Murray (Port Kembla Hospital)	196
Bibliography	202

List of Figures

Figure 1-1 Healthcare Continuum from Disease to Handicap	2
Figure 1-2: Rehabilitation Robotic Systems	5
Figure 1-3: Components of Virtual Reality Application	6
Figure 1-4: Virtual Reality based Upper Limb Rehabilitation Exercise	7
Figure 1-5: Augmented Reality based Upper Limb Rehabilitation Exercise	8
Figure 2-1: Structure of Typical Neuron	19
Figure 2-2: Human Nervous system	20
Figure 2-3: Overview of the Neurons in a Nerve Impulse Pathway	20
Figure 2-4: Normal Artery vs. Atherosclerotic Artery	21
Figure 2-5: Three Types of Cerebrovascular Accident or Stroke	22
Figure 2-6: Example of Traumatic Brain Injury	23
Figure 2-7: Example of Spinal Cord Injury (SCI)	25
Figure 2-8: Schematic representation of basic motor control mechanisms components	
Figure 2-9: Biological neural network	54
Figure 2-10: Artificial neural network	54
Figure 3-1: Human Upper Limb Articulations	62
Figure 3-2: Different Categories for Object Tracking Algorithm	66
Figure 3-3: Object representation	67
Figure 3-4: Broad Phase	69
Figure 3-5: Overlap rejection test between Bounding Volume	70
Figure 3-6: Common Types of Bounding Volumes	71
Figure 3-7: Sphere-swept Volumes	72
Figure 3-8: Collision Detection Methods	73
Figure 3-9: Architecture of RehaBio System	74
Figure 3-10: The GUI of RehaBio system (Level 2 & Level 3)	75
Figure 3-11: Database Module in RehaBio	76

Figure 3-12: Augmented Reality based Rehabilitation Exercises in RehaBio	77
Figure 3-13: Biofeedback Simulation GUI with Electrode Sites	79
Figure 3-14: Flow Chart of Biofeedback Simulation Module	81
Figure 3-15: Therapeutic Game Attribute in RehaBio System	83
Figure 3-16: Ping Pong Rehabilitation Exercise	85
Figure 3-17: Circular Motion Rehabilitation Exercise	86
Figure 3-18: Feeding Animal Rehabilitation Exercise	87
Figure 3-19: Transfer Object Rehabilitation Exercise	88
Figure 3-20: Balloon Collection Rehabilitation Exercise	88
Figure 3-21: Flowchart of the proposed Colour Tracking Algorithm	89
Figure 3-22: Arrangement of Red-Green-Blue Values in RehaBio system	90
Figure 3-23: Common types of Axis Aligned Bounding Box representations	91
Figure 3-24: Axis Aligned Bounding Boxes in Balloon Collection Rehabilitation	92
Figure 3-25: The performances of 4 shoulder muscles during shoulder flexion-ex articulation from one subject. The grey areas represent the 0.68 quantile (i.e. mean+the EMG distribution.	
Figure 3-26: The performances of 4 shoulder muscles during shoulder abduction-adarticulation from one subject. The grey areas represent the 0.68 quantile (i.e. mean+the EMG distribution.	s.d.) of
Figure 3-27: The performances of 4 shoulder muscles during elbow flexion-ex articulation from one subject. The grey areas represent the 0.68 quantile (i.e. mean+the EMG distribution.	
Figure 3-28: The performances of 4 shoulder muscles during shoulder flexion follo abduction-adduction and then shoulder extension articulation from one subject. The areas represent the 0.68 quantile (i.e. mean+s.d.) of the EMG distribution	he grey
Figure 3-29: Muscle contributions in respective upper limb movement across 10 tria 10 subjects	
Figure 3-30: Muscle Performance in each Exercise	100
Figure 3-31: Trajectory Performances of each Exercise	101
Figure 3-32: Questionnaire results from each Exercise	103
Figure 3-33: Real Time Muscle Simulations Module Graphical User Interface	104
Figure 4-1: Notation for three-layered network	110
Figure 4-2: Local minima	113
Figure 4-3: Backpropagation network (a) without momentum term and (b) with monterm	
Figure 4-4: The overall concept of proposed real time virtual arm simulation	118
Figure 4-5: Schematic drawing of joint angle recording during shoulder abd adduction movement	
Figure 4-6: Structure of proposed BPNN model	121

Figure 4-7: Detail sequence of BPNN based prediction model	123
Figure 4-8: Detail sequence of ELM based prediction model	124
Figure 4-9: (a) FlexComp System from Thought Technology (b) Locations of the Ele Sites	
Figure 4-10: Electromechanical delay of one subject during isotonic contraction	126
Figure 4-11: Average electromechanical delay value from 15 subjects during shabduction-adduction motion	oulder 127
Figure 4-12: Average electromechanical delay value from 15 subjects during sh flexion-extension motion	
Figure 4-13: NRMSE results of BPNN model during offline estimation	130
Figure 4-14: Adjusted coefficient of determination of BPNN during offline estimatio	n130
Figure 4-15: NRMSE of ELM model during offline estimation	131
Figure 4-16: Adjusted coefficient of determination of ELM during offline estimation	131
Figure 4-17: Graphical representation of 5-fold cross-validation online result from the trials by one subject	
Figure 4-18: Kinematic Chain of Virtual Human Arm	136
Figure 4-19: Hierarchy structure of Virtual Human Arm Model	141
Figure 4-20: <i>Manual Articulation</i> of VHA model at different positions and orientate Blender	ions in 143
Figure 4-21: <i>Manual Articulation</i> of VHA model at different positions and orientate Flash Professional CS6	
Figure 4-22: Coordinate space of game stage in Flash and VHA model	144
Figure 4-23: Graphical simulation of <i>Prediction Mode</i> in CMR exercise	145
Figure 4-24: Graphical simulation of <i>Threshold Mode</i> in CMR exercise	146
Figure 5-1: Schematic diagram of MT (left) and actual MT box (right)	150
Figure 5-2: System Architecture of the ARIS, red dot represents the location of markers and green dot represents the site of electrodes	
Figure 5-3: Database Module in ARIS	156
Figure 5-4: Architecture of Multicolour Tracking Module	157
Figure 5-5: Flowchart of Illusion Environment Module	158
Figure 5-6: Graphical representation of illusion environment module	159
Figure 5-7: The concept of data transfer from Matlab platform to CS6 platform in reavia UDP communication represented by dashed arrows	
Figure 5-8: Locations of Four Colour Markers	162
Figure 5-9: Ownership Illusion in ARIS System	165
Figure 5-10: The screen shot of one participant in "Right Arm Training" with <i>Thr Mode</i>	
Figure 5-11: Error rates achieved via different training sessions in PPR and CMR	167

Figure 5-12: Screen shots of right arm performance of subject 10 in CMR exercise duration training phase (a) after 1st trial (b) after 2nd trial and (c) after 3rd trial	_
Figure 5-13: Results of two-way repeated ANOVA on sense of ownership and synchronicity in PPR and CMR exercises	
Figure 5-14: Average error graph between real and virtual joint angle	171
Figure 5-15: Results of "Questionnaire A" on feeling of ownership perception in ARIS	172
Figure 5-16: Results of "Questionnaire B" for ARIS	173

List of Tables

Table 3.1: Clinical Exercises vs. RehaBio Exercises	84
Table 4.1: Average offline computational time between BPNN and ELM	130
Table 4.2: Average online prediction results ELM Vs. BPNN	133
Table 4.3: Average joint ROM and its comfort zone of human upper limb	135
Table 4.4: The D-H parameters for a VHA model	135
Table 4.5: Iteration time and norm error results from random trajectory <i>Prediction Mode</i> with $\theta 1$ vary from 45° to 55° and $\theta 2$ vary from 30° to 40° who of the angles remain at 0°	hile the rest
Table 4.6: Iteration time and norm error results from CMR exercise in <i>Predi</i> with θ 2 vary from -80° to -90° and θ 3 vary from 80° to 90° while the rest or remain at 0°	f the angles
Table 5.1: Results of one-way repeated measures ANOVA on trajectory	168

List of Abbreviations

3-D Three Dimensional

AABB Axis-Aligned Bounding Box

AD Anterior Deltoid

ANN Artificial Neural Network

ANOVA Analysis of Variance

APTA American Physical Therapy Association

AR Augmented Reality

ARIS AR based Illusion System

BB Biceps Brachii

BCR Balloon Collection Rehabilitation

BPNN Back Propagation Neural Network

BV Bounding Volumes

CIMT Constraint Induced Movement Therapy

CMR Circular Motion Rehabilitation

CNS Central Nervous System

CPM Continuous Passive Motion

CT Computed Tomography

CVA Cerebrovascular Accident

D-H Denavit-Hartenberg

DOF Degree of Freedom

DOPs Discrete Orientation Polytopes

EE Elbow Extension

EF Elbow Flexion

ELM Extreme Learning Machine

EMD Electromechanical Delay

EMG Electromyogram

FAR Feeding Animal Rehabilitation

FK Forward Kinematic

fMRI Functional Magnetic Resonance Imaging

FP Forearm Pronation

FS Forearm Supination

IAV Integrated Absolute Value

IK Inverse Kinematic

IMU Inertial Measurement Unit

IR Inward Rotation

LE Lower Extremity

MAV Mean Absolute Value

MRI Magnetic Resonance Imaging

MT Mirror Therapy

MVC Maximum Voluntary Contraction

MVF Mirror Visual Feedback

NRMSE Normalised Root Mean Squared Error

OBB Oriented Bounding Box

OR Outward Rotation

PD Posterior Deltoid

PM Pectoralis Major

PNS Peripheral Nervous System

PPR Ping Pong Rehabilitation

PV3D Papervision3D

RE Real Environment

RF Radial Flexion

RGB Red, Green, Blue

RHI Rubber Hand Illusion

ROM Range of Motion

SAB Shoulder Abduction

SAD Shoulder Adduction

SCI Spinal Cord Injury

SE Shoulder Extension

SEC Series Elastic Component

sEMG Surface Electromyography

SF Shoulder Flexion

SHE Shoulder Hyperextension

SLFNs Single-hidden Layer Feedforward Networks

SSLs Sphere Swept Lines

SSPs Sphere Swept Points

SSRs Sphere Swept Rectangles

TBI Traumatic Brain Injury

TDF Time Domain Feature

TIA Transient Ischemic Attack

TMS Transcranial Magnetic Simulation

TOR Transfer Object Rehabilitation

TOT Task Oriented Therapy

UDP Universal Datagram Protocol

UE Upper Extremity

UF Ulnar Flexion

VAR Variance

VE Virtual Environment

VHA Virtual Human Arm

WA Willison Amplitude

WE Wrist Extension

WF Wrist Flexion

WHE Wrist Hypertension

WL Waveform Length

ZC Zero Crossing

Abstract

Rehabilitation is the process of training for someone in order to recover or improve their lost functions caused by neurological deficits. The upper limb rehabilitation system provides relearning of motor skills that are lost due to any neurological injuries via motor rehabilitation training. The process of motor rehabilitation is a form of motor learning via practice or experience. It requires thorough understanding and examination of neural processes involved in producing movement and learning as well as the medical aspects that may affect the central nervous system (CNS) or peripheral nervous system (PNS) in order to develop an effective treatment system. Although there are numerous rehabilitation systems which have been proposed in literatures, a low cost upper limb rehabilitation system that maximizes the functional recovery by stimulating the neural plasticity is not widely available. This is due to lack of motivation during rehabilitation training, lack of real time biofeedback information with complete database, the requirement of one to one attention between physiotherapist and patient, the technique to stimulate human neural plasticity.

Therefore, the main objective of this thesis is to develop a novel low cost rehabilitation system that helps recovery not only from loss of physical functions, but also from loss of cognitive functions to fulfill the aforementioned gaps via multimodal technologies such as augmented reality (AR), computer vision and signal processing. In order to fulfill such ambitious objectives, the following contributions have been implemented.

Firstly, since improvements in physical functions are targeted, the *Reha* bilitation system with *Bio* feedback simulation (RehaBio) is developed. The system enhances user's motivation via game based therapeutic exercises and biofeedback. For this, AR based therapeutic games are developed to provide eye-hand coordination with inspiration in

motivation via immediate audio and visual feedback. All the exercises in RehaBio are developed in a safe training environment for paralyzed patients. In addition to that, real-time biofeedback simulation is developed and integrated to serve in two ways: (1) from the patient's point of view, the biofeedback simulation motivates the user to execute the movements since it will animate the different muscles in different colors, and (2) from the therapist's point of view, the muscle simulations and EMG threshold level can be evaluated as patient's muscle performance throughout the rehabilitation process.

Secondly, a new technique that stimulates the human neural plasticity is proposed. This is a virtual human arm (VHA) model that driven by proposed continuous joint angle prediction in real time based on human biological signal, Electromyogram (EMG). The VHA model simulation aims to create the illusion environment in Augmented Reality-based Illusion System (ARIS).

Finally, a complete novel upper limb rehabilitation system, Augmented Reality-based Illusion System (ARIS) is developed. The system incorporates some of the developments in RehaBio and real time VHA model to develop the illusion environment. By conducting the rehabilitation training with ARIS, user's neural plasticity will be stimulated to reestablish the neural pathways and synapses that are able to control mobility. This is achieved via an illusion concept where an illusion scene is created in AR environment to remove the impaired real arm virtually and replace it with VHA model to be perceived as part of the user's own body. The job of the VHA model in ARIS is when the real arm cannot perform the required task, it will take over the job of the real one and will let the user perceive the sense that the user is still able to perform the reaching movement by their own effort to the destination point. Integration with AR based therapeutic exercises and motivated immediate intrinsic and extrinsic feedback in ARIS leads to serve as a novel upper limb rehabilitation system in a clinical setting.

The usability tests and verification process of the proposed systems are conducted and provided with very encouraging results. Furthermore, the developments have been demonstrated to the clinical experts in the rehabilitation field at Port Kembla Hospital. The feedback from the professionals is very positive for both the RehaBio and ARIS systems and they have been recommended to be used in the clinical setting for paralyzed patients.