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Neural signal recording and processing in somatic neuroprosthetic applications.

A review

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ABSTRACT

Neurointerfaces have acquired major relevance as both rehabilitative and therapeutic tools for patients with spinal cord injury, limb amputations and other neural disorders. Bidirectional neural interfaces are a key component for the functional control of such neuroprosthetic devices. The two main biomedical applications of interfaces with the peripheral nervous system (PNS) are: the refined control of artificial prostheses with sensory neural feedback, and functional electrical stimulation (FES) systems attempting to generate motor or visceral responses in paralyzed organs. The results obtained in experimental and clinical studies with both, extraneural and intraneural electrodes are very promising, in terms of the achieved functionality for the neural stimulation mode. However, the results of neural recordings with peripheral nerve interfaces are more limited. In this paper we review the different existing approaches for PNS signals recording, denoising, processing and classification, enabling their use for bidirectional interfaces. PNS recordings can provide three types of signals: i) population activity signals recorded by using extraneural electrodes placed on the outer surface of the nerve, which carry information about cumulative nerve activity; ii) spike activity signals recorded with intraneural electrodes placed inside the nerve, which carry information about the electrical activity of a set of individual nerve fiber; and iii) hybrid signals, which contain both spiking and cumulative signals. Finally, we also point out some of the main limitations, which are hampering clinical translation of neural decoding, and indicate possible solutions for improvement.

Key words: peripheral nerve, neural interfaces, signal processing, neuroprosthesis, neural decoding.

1. Introduction

Neurointerfaces are artificial systems capable of partially restoring or improving neural function lost after injuries. Nowadays they represent a therapeutic option for spinal cord injured patients, for subjects with a limb amputation or neural disorders. Neural interfaces can be applied at the brain level (e.g. brain-machine interfaces, brain-computer interfaces) or at the peripheral nerves with the aim to resolve a variety of disabilities or to deliver neuromodulatory therapies.

The two main applications of interfaces with the peripheral nervous system (PNS) for biomedical use are: the bidirectional control of artificial limb-prostheses (with additional neural feedback) and functional electrical stimulation (FES) systems, developed to artificially bridge central motor control and directly stimulate the intact peripheral nerves or muscles of spinal cord injured patients, attempting to generate motor or visceral responses that mimic normal physiological actions. Presently, neurorehabilitation systems commonly suffer the lack of sufficient control sources and absence of feedback sensory information. In order to overcome the problems aforementioned, research in this field is mainly focusing on the investigation of different neural electrodes types and their related ability of acquiring ENS (Navarro et al., 2005). This is of crucial importance in order to improve neural interfaces and design a more seamless neuroprosthetic system.

In fact, after some pioneering promising results (Micera et al., 2010a, 2011; Rossini et al., 2010), the latest advancements in neural recordings with peripheral nerve interfaces are relatively limited. Recently, some useful results have been reported when using microelectrode arrays placed in the nerves of human amputees (Davis et al., 2016; Wendelken et al., 2017). However, when the amputees attempted to control the prosthetic device, they needed to use implantable electromyographic (iEMG) signals, in combination with the neural ones, in order to achieve a reasonable motor control. Recently, (Clark et al., 2014) were able demonstrated that offline signal processing can isolate neural activity from EMG, but we have not yet incorporated for online decoding and prosthetic control.

Instead, successful demonstrations have been obtained in recent years on the clinical translation of neural stimulation in amputee patients (Oddo et al., 2016; Ortiz-Catalan et al., 2014; Petrini et al., 2019b; Raspopovic et al., 2014; Tan et al., 2014; Valle et al., 2018) in providing touch and quasi-proprioceptive sensory information. The results obtained with both extraneural and intraneural electrodes are very promising, in terms of the achieved functionality (Oddo et al., 2016; Raspopovic et al., 2014) and stability (Petrini et al., 2019b; Tan et al., 2014).

In the present review, we depict the different existing approaches for PNS signals recording, processing, and classification. In conclusion authors present the main limitations of these methods,

which are hampering clinical translation of neural decoding, and indicate possible solutions for overcoming them.

2. Peripheral nerve fibers

The majority of the PNS is constituted by groups of neurons whose cell bodies are located in the spinal cord or in nearby ganglia, their intrinsic central connections and their axons, which extend along the peripheral nerves to reach target organs. The PNS comprise anyway nerves those connect directly to the brain without passing through the spinal cord. These particular nerves, such as cranial's and Vagus, even though own the same physiology have their unique neural pathways. In all the peripheral nerves the axons are grouped in fascicles surrounded by supportive connective layers. The epineurium is the outermost layer, continuous with the connective cover of surrounding tissues. It is a loose connective tissue and carries the blood vessels supplying the nerve. The perineurium, that surrounds each fascicle within the nerve, is composed of several layers of flat perineurial cells and an outer layer of dense collagen fibers. The perineurium is the main contributor to the tensile strength of the nerve and maintains a high endoneurial pressure. The endoneurium has fibroblasts, collagen fibers and extracellular matrix, occupying the space between nerve fibers in each fascicle, plus capillary vessels. The endoneurial collagen fibers form the endoneurial tubules, in which axons run accompanied by Schwann cells (Peters et al., 1991) which either myelinate or just surround the axons.

Peripheral nerves are anatomically organized in fascicles that along the course of the nerve divide in branches that innervate distinct targets. The fascicular architecture changes throughout the length of the nerve, with increasing number of fascicles of smaller size in more distal segments of the nerve, particularly in the long nerves of the limbs.

Several studies in animal species, including monkeys, based on retrograde tracing (Badia et al., 2010; Brushart, 1991; Velde et al., 2004) provided data supporting a systematic fascicular topography in the peripheral nerve. In human nerves, using anatomical dissection, immunohistochemical labeling and computer reconstruction methods, it has been reported that fascicular organization occurs in short segments close to the joints and remains relatively unaltered over centimeter lengths of the nerve (Delgado-Martínez et al., 2016; Watchmaker et al., 1991). Studies using microneurography also suggested a defined somatotopy in human nerve fascicles, and even an intrafascicular segregation by modality of sensory fibers in a given nerve fascicle (Hallin, 1990). Such a topographical defined architecture facilitates selective interfacing of different fascicles within a common nerve with a neural multielectrode device (Badia et al., 2011).

There are several types of nerve fibers within the peripheral nerve. A first classification is between unmyelinated or myelinated axons, depending on whether the accompanying Schwann cells only embrace them or develop a multi-lamellae, insulating myelin sheath around them. Unmyelinated C fibers are of small diameter, between 0.5 and 2.0 μm , and impulses propagate along their membrane in a continuous mode, at slow velocity (0.5-1.5 m/s). In myelinated fibers, the myelin cover is arranged as contiguous sheaths of about 1 mm length, with a narrow space of about 1 μm between sheaths, known as node of Ranvier, where ion channels are concentrated. Conduction of impulses in myelinated fibers follows a saltatory course, from node to node, allowing much faster conduction velocity (between 5 and 100 m/s depending on the diameter and myelin thickness). (Add small paragraph with extracellular measurements and difference between values in unmyelinated and myelinated). Myelinated nerve fibers are classified in $A\alpha$, $A\beta$, $A\gamma$, $A\delta$ and B types according to size and related conduction velocity. Functionally, peripheral nerve fibers are separated in sensory, motor and autonomic fibers, depending on the respective neuron and target connections. Afferent sensory fibers transmit a variety of inputs from mechanical, thermal or noxious stimuli; they can be unmyelinated or myelinated, and terminate at the periphery either as free endings or in specialized receptors in the skin, muscles and deep tissues. Efferent motor axons are myelinated and come from either alpha or gamma motoneurons in the anterior horn of the spinal cord, traveling to establish neuromuscular synapses with skeletal muscle fibers. Efferent autonomic nerve fibers in the somatic peripheral nerves are postganglionic sympathetic fibers, unmyelinated, and go to innervate smooth muscle and glands. Most somatic peripheral nerves are mixed, containing motor, sensory and autonomic axons.

The nervous system controls movement by regulating the contraction of skeletal muscles by increasing the number of motor units activated and their firing frequency. Motor units recruitment follows a strict size order, with slow fatigue-resistant motor units activated first and large fast fatigue motor units activated only at high levels of force. Regarding sensory information, different populations of sensory neurons are able to transduce one specific sensory modality depending upon the axonal receptors. Thus, distinct subpopulations of axons are dedicated to convey tactile, proprioceptive, thermal or noxious sensory information from the periphery. Signals are transmitted by the corresponding axons in bursts of action potentials, with intensity of the signal mainly coded by the impulse frequency and the number of afferent axons activated. Instead, the autonomic nervous fibers play an import role not only in physiological conditions but also in pathologies insurgence such as myocardial infraction and diabetic neuropathy. Sympathetic and parasympathetic fibers, in most body function regulation triggers opposing actions. For example, in cardiac pacemaker heart cells stimulation from autonomic neural endings, respectively, produce increase and decrease the depolarization rate generating chronotropic effects (Sztajzel, 2004).

3. Nerve electrodes: extra and intraneural

In the case of an interface for the control of a neuroprosthesis in amputees, recording of efferent signals in motor fibers can be used for the activation of the mechanical prosthesis, whereas stimulation of afferent fibers within the residual nerve may provide sensory feedback from tactile and force sensors in the prosthesis. For patients suffering from resistant epilepsy, vagus nerve stimulation has been already used as clinically useful anticonvulsant. Moreover, further experimentations indicate potential clinical applications of autonomic nerve stimulation as antidepressant, mood and cardiac function regulator (George et al. 2000). In FES applications, typically stimulation is delivered to motor nerve fibers, over the nerve or at its entrance in the target muscle, to activate the paralyzed muscles, whereas recording the activity of sensory fibers may contribute to close-loop control of the system. Regardless the application, it is of paramount importance that the electrodes interface the selected nerve fiber population as selectively as possible. Two key factors should be considered for selective interfacing: anatomical selectivity of the targeted population of nerve fibers, that relates to specific anatomical district innervated by a given fascicle, and functional selectivity of distinct classes of nerve fibers, that relates with the type of function conveyed by the targeted axons.

Different types of electrode designs have been developed to interface the PNS for different biomedical applications (Navarro et al., 2005; Schultz and Kuiken, 2011). Nerve electrodes can be classified into three main types depending on invasiveness: extraneural, intraneural and regenerative. These implantable devices have different design, depending on the type of insertion. The electrodes are implanted around or within a peripheral nerve epineurium. Invasive electrodes reduce the distance between the active site and the neuron axon, avoiding electrical field attenuations, thus decreasing the current intensity needed for stimulation and improving the signal-to-noise ratio for neural recording. With increasing invasiveness of the implanted electrode, higher selectivity may be reached and the recorded signals may have higher amplitude (Badia et al., 2011).

Among the extraneural electrodes, cuff electrodes have been used for many years in FES systems to activate motor axons and induce a muscular response of paralyzed or non-responding muscles. Implants in the radial or ulnar nerves of amputees have been able to provide sensory-like perceptions in different studies (Ortiz-Catalan et al., 2014; Tan et al., 2014). In FES applications using electrical stimulation of efferent nerves and using the natural sensors as feedback signals to control the stimulation, nerve signals recorded with cuff electrodes have been used for providing sensory cutaneous information in drop foot and hand grasp neuroprostheses (Inmann et al., 2001; Morten and Thomas, 1999), and also on the pelvic nerve and sacral roots to record the neural information from bladder afferents in micturition control devices (Kurstjens et al., 2005).

Stimulation selectivity between large fascicles may be achieved by using multipolar cuff electrodes (Navarro et al., 2001; Tarler and Mortimer, 2004). However, since they are placed around the nerve, cuff electrodes can only record mixed activity of the most superficial nerve fascicles. The Flat Interface Nerve Electrode (FINE) is a design variation that applies a small pressure for flattening the nerve and displacing the axons from the center to the surface closer to the active sites (Tyler and Durand, 2002). The FINE has been used in humans placed on the femoral nerve trunk to evoke a motor response (Schiefer et al., 2010) and on the median nerve to provide sensory perceptions for feedback (Tan et al., 2014). Sometimes, anyway, extraneural electrodes may be preferable since less traumatic for the neural tissue: in fact it is possible to avoid occasional loss of nerve functionalities due to the compromised tissue.

Among this class, the Multielectrode arrays (MEAs) are composed of a rigid base holding tens of needles with electrodes at the tip; they are inserted transversally into the nervous system, thus providing a multi-site recording and stimulation interface. A modified version, named Utah Slanted Electrode Array (USEA), was designed to increase usability with the PNS and proved to allow for selective stimulation of motor fibers and selective recording of single unit responses (Branner et al., 2004; Davis et al., 2016).

Longitudinal Intra-Fascicular Electrodes (LIFEs), initially made of thin insulated conducting wires, were longitudinally inserted into a nerve fascicle and used for microstimulation and for neural recording (Yoshida and Stein, 1999) with lower risk for nerve damage. Horch and colleagues implanted metal LIFEs in the arm nerves of several amputee subjects, as an interface with a neuroprosthetic arm, demonstrating that the recorded signals improved control over its movements and whereas afferent stimulation incorporated useful sensory feedback (Dhillon et al., 2005).

By exploiting the potential of microtechnologies, new designs of thin film, flexible electrodes based on a polyimide substrate have been developed. Such thin-film LIFEs allowed multi-unit peripheral nerve recordings and microstimulation using several sites in one implanted device (Navarro et al., 2007). LIFEs implanted in nerves of human amputees also provided evidence of their effective use for controlling advanced hand prostheses and for delivering sensory feedback (Rossini et al., 2010; Tombini et al., 2012).

Through slight modifications in the design, thin-film polyimide-based microelectrodes have been implanted transversally in the nerve in order to interface several fascicles in the nerve with a single device. The Transverse Intrafascicular Multichannel Electrode (TIME) proved to allow for higher selectivity in microstimulation than the single LIFE and multipolar cuffs (Badia et al., 2011). TIMES implanted in residual nerves of the arm stump of amputees showed excellent results as a

multisite interface for delivering fine sensory feedback, thus improving voluntary motor control of the prosthesis (Oddo et al., 2016; Petrini et al., 2019b; Raspopovic et al., 2014).

4. Electroneurography (ENG) signals: characteristics and processing.

Figure 1) Different type of peripheral nerve electrode interfaces sorted by fiber selectivity; on the left schematic representation of a typical amputee wearing a prosthesis where sensory feedback is interrupted between the device and the nervous system. On the right from the top to bottom of cuff, time and life cable electrodes with examples of recorded signals. The electrode is dyed in blue and the stimulated fiber is red.

Three types of signals can be recorded from peripheral nerves (Figure 1): i) population activity signals recorded by using extraneural interfaces placed on the outer surface of the nerve (e.g. FINE or cuff), which carry information about cumulative nerve activity rather than neuron-specific signaling; ii) spike activity signals recorded with intraneural electrodes placed inside the nerve, either longitudinally or transversally (e.g. LIFE or MEA), which carry information about the electrical activity of a set of individual nerve fibers (axons); iii) hybrid signals, which contain both spiking and cumulative signals (e.g. as obtained with TIME or microneurographic needles).

4.1. Population activity signals detection and processing

Detecting sensory events can drastically improve both control of neuroprosthesis and therapeutic strategies. In fact system capability would make possible controller algorithms those automatically select the best strategy for different detected stimuli. Moreover, the possibility of classifying such information allows the integration, in limb prosthesis, of motor reflexes-like behaviors triggered from sensory feedback (Inmann et al., 2001). Durand and colleagues (Wodlinger and Durand, 2011,

2009) have developed very complex beamforming algorithms in an effort to develop the tools to extract the signals of interest from the mixed ones in the volume conductor of the nerve. These algorithms, however, have not been implemented in some relevant clinical environment. Finally, being able to detect only the intention related to the movement, from the mixed peripheral nerve, would potentially enable the voluntary control of the prosthetic device by amputees. Therefore, a lot of work has been performed in recording signals, and implementing algorithms for their processing, trying to develop a tool for the future human translation.

Real-time event detection in neural-related signals, independently from their anatomical and functional nature, goes through standardized blocks: pre-processing, feature extraction and classification (Ahsan et al., 2009; Hong et al., 2018; Wolpaw et al., 2002). Example of how this typical signal processing workflow has been applied in ENG signals in order to detect specific events has been presented in (Raspopovic et al., 2010). Figure 2 shows its schematic representation.

Figure 2) Schematic representation of signals processing for ENG classification; a) Recorded ENG dataset is divided in training and testing set; b) Pre-processing block applies signal segmentation and denoising; c) Feature extraction and selection from the Running observation window; d) Data-driven training of the classification model; e) Validation on the extracted features from the testing set using the calibrated model from the training for class prediction; f) Decision making rule for driving the device based on the classifier outcome.

4.1.1. Pre-processing

The pre-processing main objective is the preparation of the signal for the following processing step. Depending on the type of interested events and the type of application, this first block of operations aim to extract from the raw ENS only relevant data to the analysis avoiding contamination due to

artifacts and noise. Pre-processing is usually a two-step procedure: the definition of the signals buffering and filter parameters. These are required for windowed analysis in real-time applications and the optimization of the signal-to-noise ratio (SNR) in order to augment the performance of the processing (Fig 2b.).

Real-time applications for ENS analysis based on the running observation window (ROW) requires choosing the optimal values of two main parameters: the window length and the percentage of overlap between two adjacent windows. Overlapping between windows is an important factor in order to avoid mishandling data on buffer boundaries (Hong et al., 2018). These particular parameters are related to the assumption of quasi-stationarity (or local stationarity) of the signals in a short period of time (Karlsson et al., 2000; Merletti et al., 1992). Therefore, the choice of these parameters mainly depends on the nature of the signal and its particular spectral components (Florian and Pfurtscheller, 1995). Particular deviations may be introduced depending of the type of processing that is planned (Lebedev and Nicolelis, 2006) . In fact, several studies have used this kind of approach, both in EMG (Englehart and Hudgins, 2003; Oskoei and Hu, 2008) and EEG signals (Galán et al., 2008; Leeb et al., 2011).

According to the literature, there are no suggested values for ENG windowed analysis parameters; therefore, they have to be chosen experimentally. While window overlap is mostly a function of the processing computing time, a range of different values should be tested for the window lengths. Once identified the values that maximizes the output performances, overlap can be adjusted with the same principle without breaking the real-time constraints. (Raspovic et al., 2010) were able to draw certain conclusions about the choice of this parameter values during ENG signal processing: the information contained in features is not stable enough (too biased) for short windows (e.g. 25-50 ms) and a decline in performance was observed for excessively long windows (e.g. 300 ms). Peak performance was in the 100 ms window in most cases.

Raw ENG signals recorded with extra-neural interfaces have frequency range typically between 1 kHz and 10 kHz, with maximal spectral power below 3 kHz (Haugland et al., 1994). Lower frequencies carry neural additional information, but due to surrounding muscle activity, which accounts harmonics up to 800 Hz, a cut off has to be applied in order to avoid signal contamination (Nikolić et al., 1994; Zecca et al., 2002). Additional high frequency contributions due to electrode thermal and amplifier noise need to be filtered out (Upshaw and Sinkjaer, 1998). Usually ENG signals are analogical filtered between 1 and 3 KHz before amplification. After signal conversion, different types of digital filters can be used in order to denoise the acquired ENG. In the hypothesis of additive stationary stochastic noise, matched and Wiener filters have been used for maximizing the SNR (Jezernik et al., 2001; Jezernik and Grill, 2001). The performance of such filters is

comparable with the common approach of FIR bandpass filtering (Raspopovic et al., 2010); Chebyshev and Butterworth filters are the most used (Jezernik and Grill, 2001; Upshaw and Sinkjaer, 1998). Nonetheless, in order to choose correct values for cutoff frequencies, spectral analysis has to be performed, as explained previously. After band-pass filtering operations have isolated the principal neural signal energy band, the signal can be rectified and smoothed or, in alternative, subspace decomposition algorithms (Upshaw and Sinkjaer, 1998) can be applied to further reduce noise. ENG signals typically carry information from different populations of nerve fibers, each transmitting electrical pulses with different conduction velocity and contributing to specific bands of the frequency spectrum. Then, a narrower band-pass filtering or the application of optimal filters can further improve the SNR and the identification of specific signal sources (Hong et al., 2018; Jezernik and Grill, 2001).

4.1.2. Feature extraction

Due to the relative high dimensionality of the measured data, features extraction is a necessary step in order to reduce the computational burden during data processing (Fig.2c). A feature is the most alternative accurate description of the input variables through a certain attribute, which maximizes the amount of significant characteristics of signal suppressing redundant or undesired information (Guyon et al., 2008). Establishing the function projection of the recorded data toward the feature space generates a subspace with dimension $M < N$, where N is the cardinality of the original one. Behavior decodification from population of ENG signals, similarly to other neural related biosignals, has been addressed exploring different extraction techniques and domains. Time-based features are among the most commonly used: Mean Absolute Value (MAV), Root Mean Square (RMS), Variance (VAR) and Wave Length (WL) are just a few examples of the possible space transformations (Brunton et al., 2017b; Nazmi et al., 2016).

Another type of feature broadly used is the power in discrete frequency bands, that can be extracted as Power Spectral Density (PSD) coefficients in the ROW (Leeb et al., 2013; Nag et al., 2014). Feature composition may rely additionally on wavelet denoising, discrete Fourier transformation, autoregressive and spectral coefficients or autocorrelation-based features (Phinyomark et al., 2012). Several of these types of features extracted from ENG have been presented in (Raspopovic et al., 2010).

In case of classification related applications, performances are strongly influenced from the input used during the training phase, therefore it is necessary to estimate the relevance of the extracted features better discriminating the classes. Performance optimization is probably the most accurate approach in identifying the most significant features through classification testing; moreover, such analysis has to consider possible combinations or subset of inputs, making the process time and

computationally consuming (Raspopovic et al., 2010). Neuro-Fuzzy Networks and Genetic Algorithms, or a combination of the two, can be used in order to automate the procedure (Cavallaro et al., 2003). These particular classes of algorithms, soft-computing, allow to generalize the optimization problem through model-free structure allowing to handle the complexity of the neural features.

Multivariate analysis of variance instead aims in assessing the statistical significance of variables differences in the space generated by the totality of the features set. Canonical Variate Analysis (CVA) in particular establishes a sorting method based on the variable's discrimination level (Galán et al., 2008).

Regarding direct application of feature selection on ENG signals, (Raspopovic et al., 2010) obtained that "power-based" features and their combinations performed significantly better with respect to others. This trend was found for every stimulus and their combinations.

4.1.3. Classification

Detection of sensory events is essential in case of neuroprosthesis where their discrimination permits the control of predetermined types of actions. Due to the complexity of the human neuro-sensory system, transfer function between the recorded ENG and the desired output behavior is usually unknown. Under these particular conditions machine-learning algorithm can learn from the signals and produce data-driven predictions and decisions, building a consistent mathematical model. Classifiers generally belong to two different families: supervised and unsupervised.

In the supervisor class, data are labeled with the belonging class and the algorithm defines the best separation rule between the set of possible labels. The difference among these classifiers is the shape of the decision boundaries. In ENG pattern classification, supervised machine learning algorithms have been explored through Linear Discriminant analysis (LDA) (Silveira et al., 2018), Super Vector Machine (SVM) (Badia et al., 2016; Micera et al., 2011, 2010b, 2008; Raspopovic et al., 2010) or Artificial Neural Networks (Mirfakhraei and Horch, 1997; Raspopovic et al., 2010; Rossini et al., 2010).

Unsupervised classifiers instead are based on clustering algorithm. Distance among unlabeled input samples in the feature space is typically used in order to group together the data in different classes maximizing within-class similarities. Once the clusters are formed, the separation rule is defined. Among them K-means, fuzzy-C means and density-based clustering are the most used. Broad comments about classifiers applied in neural signals can be found in previous reports (Lotte et al., 2007; Scheme and Englehart, 2011; Zecca et al., 2002).

Machine learning classification problems are divided in two steps: training and testing. Acquired data is therefore consequently separated in two different sets which will be used for the two different stages: both the datasets should carry the same testing conditions in order to avoid model overfitting. Training phase is the process in which the chosen classifier learns from the extracted features and calibrate the discrimination between classes based on its type of rules (Fig 2.d). Validation of the classifier on the testing set consists in the assessment of the ability of the algorithm in predicting the right outcome on novel data (Fig 2.e). Training set and testing sets go through the same pre-processing and feature extraction procedures. Different signal processing on the recorded signals may generate feature values drifts compromising the accuracy of the model predictions.

There is no suggested classifier from the literature for ENS applications. Performances of classifiers strongly depends on the type of pre-processing and feature extraction algorithms that have been implemented. In fact, researchers explore different type of classifiers in order to understand which maximizes the validation performances. This particular iterative step is necessary in order to understand which classification decision boundary fits better the new ENS space derived from previous processing. Such procedure can be eventually avoided through Deep-Learning Classification approaches, but the authors have found no evidence of such application.

Depending on the final application, on the number of classes to be discriminated and on the task to be controlled, the output of the classifier can be going through a final decision-making block (Fig 2.f). This block is particular important in case of continuous control, which has to integrate the discrete classifier output to a continuous function.

4.2. Spiking signals processing

4.2.1. Denoising Spiking signals

Raw ENG signals recorded with extraneural interfaces are typically band-pass filtered to remove low-frequency EMG artefacts and instrumentation noise. In contrast, raw ENG signals recorded with intra-neural interfaces may contain relevant information about spiking activity in high frequency bands, typically below 2 kHz (Diedrich et al., 2003). It has been shown that among the most commonly used techniques, the use of wavelet based denoising can significantly improve the later stages of ENG signal processing, i.e. spike detection and sorting (Brychta et al., 2007; Citi et al., 2008; Citi and Micera, 2013; Diedrich et al., 2003). Wavelet denoising is widely used in biomedical signals processing with the aim to remove noise from biological signals (Citi et al., 2008; Micera et al., 2010a; Musick et al., 2015; Pani et al., 2016; Rossini et al., 2010; Tombini et al.,

2012). The main idea is to decompose the signal at various scales in which a thresholding procedure on the obtained coefficients is able to identify and remove the noise from the signal when transforming back in the original time domain.

Various types of wavelet denoising schemes can be adopted. A standard wavelet-based denoising procedure is implemented via the discrete wavelet transform (DWT), which consists of iterative convolution of high frequency $H(f)$ and low frequency $G(f)$ filters. Additionally, downsampling and upsampling are performed to obtain a non-redundant representation and signal reconstruction, respectively. However, due to the lack of time translational invariance, it has been shown that DWT decomposition schemes underperform spike detection (Brychta et al., 2007) and classification (Citi et al., 2008; Citi and Micera, 2013). For these reasons other versions of wavelet transformations, such as stationary wavelet transform (SWT) or continuous wavelet transform, have been adopted. The main differences of the SWT with respect to DWT is the absence of downsampling/upsampling and the use of level dependent filters (see for graphical examples Citi and Micera, 2013). The choice of the filter used in the decomposition is related to the adopted mother wavelet. Signal and scaled versions of the mother wavelet are matched and for this reason it is reasonable to choose a wavelet function that resemble the shape of action potentials. Since the action potential form is determined by various factors (e.g. recording electrodes, region of peripheral nervous system) there are no specific rules for the choice of the mother wavelet. Usually, an expert is looking at the recordings and spikes are isolated by visual inspection, thus allowing selecting the mother wavelet that best match the spike waveform (for example in (Citi et al., 2008; Diedrich et al., 2003) a Symmlet 7 wavelet is considered). Optimization algorithms have also been explored (Kamavuako et al., 2010), in which a wavelet is selected based on SNR maximization criterion on the processed output signal.

After the decomposition, a thresholding procedure is applied on the obtained coefficients setting to zero the ones that are thought to reflect noise and maintaining the ones which should reflect the action potentials contribution. Several standard thresholding methods have been considered in the literature depending on the type of assumptions made on the signal. In the case of not uniformly white noise, a level-dependent threshold selection that compute the standard deviation on each level is more suitable to the global standard deviation (Brychta et al., 2007; Citi et al., 2008; Citi and Micera, 2013; Diedrich et al., 2003; Kamavuako et al., 2010). Thus, for each level, a threshold can be selected by implementing a universal threshold or a minimal threshold (Donoho and Johnstone, 1994). The latter provides a more conservative denoising that could be more appropriate when dealing with action potentials at the border of the noise level (a typical situation of peripheral neural recordings). Finally, the signal reconstruction can be done by selecting the level of the

decomposition containing relevant information on the neural activity (Brychta et al., 2007; Citi et al., 2008; Citi and Micera, 2013). Inclusion of small or excessively large scales could hinder the performance of wavelet template matching due to decrease of correlation between the signal and the mother wavelet on those scales (Kim and Kim, 2003).

4.2.2. Spike detection and sorting

A typical step when using an intra-neural interface is to extract spikes from the signal and assign them to different putative neural units. Because different types of axons can yield different spike shapes, the shape of a spike can be helpful in determining which type of activity is associated with the recorded signal. Spikes in recorded data are normally detected by some algorithm (spike detection algorithm), and may be further sorted based on the spike waveform (by a spike sorting algorithm) according to their shapes, duration, amplitudes and other features, such as inter-spike interval (ISI) distributions.

a. Spike detection

The quality of extracellular recording of action potentials by means of microelectrodes inserted in the nerve strongly depends on coupling quality and distance between the firing neuron and the electrode. The amplitude of recorded spikes decreases as a function of neuron distance from the electrode. In some recordings, the amplitude of spikes is comparable to the amplitude of thermal and biological noise (low SNR) turning spike detection, i.e. the identification of spike occurrences, into a non-trivial task. Current spike detection algorithms fall within the four main strategies presented below, although recent work has explored different methodologies, developed in particular for noisy neuronal data, such as fractal dimensions or fuzzy and probability theories (Azami et al., 2015; Azami and Sanei, 2014).

Amplitude threshold methods. The spike detection process is performed by using an amplitude threshold to discriminate between spikes and noise. However, how to select the best threshold value is one of the major challenges. If the threshold value is too small, noise fluctuations will lead to false positive events, if it is too large, low-amplitude spikes will be missed, leading to what is called the detection trade-off. A reasonable threshold would be a multiple, typically between 3 and 5 (Kamboh and Mason, 2013; Noce et al., 2018; Quiroga et al., 2004; Takekawa et al., 2010), of the standard deviation of the noise, σ_N . To estimate σ_N , a value based on the standard deviation of the filtered signal, σ_X , can be used, i.e. $\text{threshold} = k \cdot \sigma_X$, where k is a scalar multiplier. However, this approach can lead to high error rates because the signal is a mixture of the noise component, N , and the spike component, S . Clearly, using the variance of the mixture as an estimate of the variance of the noise will lead to a larger threshold, particularly in the case of high firing rate and large amplitude spikes. If the noise component is assumed to be normally distributed, however, it can be

shown that $\sigma_N = \frac{\text{median}(|N|)}{0.6745}$ and, as the spike component does not affect much the median absolute deviation, i.e. $\text{median}(|N|) \approx \text{median}(|X|)$, the best estimate of σ_N would be $\widehat{\sigma}_N = \frac{\text{median}(|X|)}{0.6745}$ (Quiroga et al., 2007).

Energy approach. In this approach, the instantaneous power of the signal is compared against a threshold derived from the estimated mean and standard deviation of the noise power. The passage from the pre-processed signal to the instantaneous power aims at reducing the effects of the background noise whilst enhancing the spike component of the signal. The instantaneous power is calculated using a running window (online) or a convolution kernel (offline) (Rutishauser et al., 2006). Alternatively, the non-linear energy operator (NEO) can be calculated from the pre-processed signal (Lieb et al., 2017). Its performance depends on a threshold that is usually calculated by an approximation formula (Franke et al., 2010), although recently an empirical method for the calculation of an optimal NEO threshold was presented (Malik et al., 2016). While these methods usually offer some improvement over amplitude threshold methods, they perform rather poorly in a low SNR environment (Nenadic and Burdick, 2005).

Template matching detection. Another widespread method to detect spikes is based on template matching, i.e. a comparison between putative action potentials and templates representing a typical spike (Franke et al., 2015). First, a waveform that represents a typical spike shape (template) is selected. Then, the method locates possible events in the signal based on similarity measures, e.g. cross-correlation (Friedman, 1968; Kim and McNames, 2007) and Euclidean distance (Sato et al., 2007) of the event and the template. Old template matching methods started with the experimenter manually identifying high-quality spikes, but recently automatic selection algorithms have been successfully introduced (Liu et al., 2012). Template matching algorithms often detect spike events better than simple threshold algorithms, but their performance depends on a priori knowledge of the spike shape to create the template. Moreover, the automatic selection of a template in a noisy neuronal data can perform poorly in a low SNR environment (Azami and Sanei, 2014; Kim and McNames, 2007).

Wavelet-based detection. Action potentials can be directly detected from the detail and approximation coefficients obtained from the application of the Wavelet denoising algorithm (see *Denoising* section). This approach has been demonstrated to outperform the amplitude and the power threshold methods in low SNR environments. The idea is that spike waveforms are not just samples whose average amplitude (or power) exceeds some baseline level, but they also have a characteristic shape and duration. Wavelet-based methods take advantage of this additional information that is ignored by amplitude or power thresholding methods. These algorithms are

based on general assumptions on the neural noise, i.e. that it is stationary and Gaussian distributed, and typically consists of three major steps: i) perform multiscale decomposition of the signal using an appropriate wavelet basis; ii) perform testing at different scales to assess the presence of spikes; iii) estimate the individual spike times.

The method proposed by Nakatani et al. (2001) uses the biorthogonal function *cubic cardinal B-spline* (Chui and Wang, 1992) for multiscale decomposition at discrete scales and translations (which follow a geometric sequence of ratio 2). At a certain decomposition level i , the detail coefficients are thresholded to identify the presence of an action potential. If the coefficient is greater than the threshold for a certain time, t_0 , the coefficients at previous and successive scales are thresholded to confirm the presence of the spike. This method is based on the fact that in case of an AP in the signal, it usually appears on two or three adjacent scales simultaneously.

The algorithm proposed by Nenadic and Burdick (2005) was robust even at very low SNR values. They made specific choices for the wavelet basis, by using a biorthogonal 1.3 or 1.5 mother wavelet, and for the restriction of the set of scales and translation, which is based on the sampling rate of the signal, its duration, and expected minimum and maximum spike durations. They performed Bayesian sequential hypothesis testing at different scales to assess the presence of spikes and used parameter estimation methods to accurately extract the occurrence times of individual spikes from the signal. With minimal a priori knowledge about the signal, the algorithm can even be used in an unsupervised manner.

b. Spike sorting

The goal of spike sorting is to assign detected spike waveforms to different putative neural units. The spike sorting process typically consists of two phases: feature extraction and cluster separation (Rey et al., 2015). In the first phase, each detected spike, which is an array of N samples, i.e. a point in a N -dimensional space, is transformed to a point in a M -dimensional space, typically with $M < N$, which is called the feature space. Features are new variables captured from the N -dimensional array representing the spike (e.g. spike amplitude, spike duration, etc.; see Lewicki (1998) for a review). One of the major challenges is how to select the best features allowing for optimal separation of different spike clusters. In general, the more discriminative the features, the better the ability to distinguish different spike waveforms. Features such as peak amplitude or width were shown to be poorly discriminative (Quiroga et al., 2004) and currently the main options used by spike sorting algorithms are two: principal components (Abeles and Goldstein, 1977; Lewicki, 1998; Shoham et al., 2003) and wavelets (Hulata et al., 2002; Quiroga et al., 2004; Takekawa et al., 2010).

Principal components (PCs) are a set of linearly uncorrelated variables extracted from a set of observations of possibly correlated variables (the detected spike waveforms) by means of an orthogonal transformation. PCs are ordered on the basis of how much variability of the initial data they can account for. In principal component analysis (PCA) each initial spike waveform is transformed into a point in a new N -dimensional space, where the coordinates represent the associated scores of the linear combination of the PCs representing the original signal. Using the first PCs, typically 2 or 3, most of the energy in the data (more than 80%) is captured and clusters representing putative different neurons are visible in a 2-D or 3-D feature space as clouds of points to be separated.

PCA identifies directions of maximum variance in the original dataset, which are not necessarily the ones of maximum separation between spike shapes. Variance within the cloud of points representing a particular spike shape can hide the boundaries between the different clusters, leading to poor cluster separation performance. Variance within waveform groups can be reduced, hence improving the overall performance of PCA. A further step, i.e. spike alignment, is typically needed in which waveforms are aligned at their minimum or maximum peak values. Nevertheless, it has been shown that better performance in cluster separation can be achieved by using wavelet decomposition rather than PCA (Quiroga et al., 2004). The coefficients representing the spike waveform decomposition are the coordinates of a point into a new N -dimensional space. By using wavelets, very localized shape differences in the spikes of individual units can be discerned, because i) wavelet coefficients are localized in time, and ii) the information about the shape of the spike will be distributed in several wavelet coefficients, increasing the directions of maximum separation between clusters, compared to PCs. Unlike PCA, however, cluster separation cannot be performed manually when using wavelets, as cluster cannot be visualized in a 3-D (or lower dimensional) space.

In the second step of spike sorting algorithms, spikes with similar features are grouped into clusters that correspond to putative different neural units. Manual clustering can be performed, in which the experimenter defines the boundaries for the different clusters. Although still widely used, this strategy has several drawbacks (Gray et al., 1995; Harris et al., 2000; Pedreira et al., 2012): i) analysis can be performed on two- or maximum three-dimensional projections of the feature space which can be suboptimal, thus leading to poor separation performance; ii) it is very time consuming and is typically a trial-and-error procedure; iii) it is prone to human biases and errors. A number of semi-automatic clustering methods have been also proposed, in which the experimenter specifies the probable number of clusters, such as K-means (Jin and Han, 2010; Lewicki, 1998; Webb, 2002) and Expectation-Maximization (Harris et al., 2000; Pouzat et al., 2002). These methods are based

on the assumption that clusters are spherically distributed in the feature space, i.e. that spike variability is determined only by additive and Gaussian stationary background noise. In several experimental conditions, however, clusters are non-spherically shaped leading to inherent difficulty to capture the structure of data with a mixture of Gaussians. Alternatives are using a different mixture of distribution, such as t-distributions (Shoham et al., 2003), or nonparametric algorithms such as Valley-Seeking clustering (Koontz and Fukunaga, 1972), hierarchical clustering (Fee et al., 1996) or super-paramagnetic clustering (Quiroga et al., 2004). Fully automatic versions of these algorithms also exist, which perform an iterative scanning procedure to select the best number of well-separated clusters, as discussed, for example, in Wood and Black (2008), Bestel et al. (2012), Nguyen et al. (2015), and Chung et al. (2017).

Alternative algorithms for spike sorting avoiding the feature extraction and clustering stages also exist. Template matching, for example, is a particularly appealing option when online sorting is necessary, given its simplicity and low computational cost. Once the templates are computed with an offline sorter, or manually identified by the experimenter by choosing high-quality spike shapes, they can be used for template matching, in order to classify each new detected spike online (Citi et al., 2008). In line, adaptive template matching (Kim and McNames, 2007; Rutishauser et al., 2006) re-computes templates adaptively as the spikes are detected, thus avoiding over-reliance on a priori knowledge of spike shapes.

4.3. Hybrid signals processing

Sometimes, the characteristics of recorded signals are between the cumulative ones (section 4.1.) and the selective, spiking signals (section 4.2.). Such hybrid type of signals have been recorded from TIME electrodes implanted in rats (Badia et al., 2016), enabling the development of the processing and classification scheme, which is exploiting the steps from both population-like and spike-like signals.

Recently, a very interesting approach has been proposed (Petrini et al., 2019a) in order to record human neural signals, during activities of motor control, which could potentially help to develop more robust recording schemes and processing algorithms. By using microneurographic and concurrent EMG recordings (for the purpose of excluding any muscular signal correlated), the authors successfully recorded a variety of neural signals, related to the execution of different force levels, velocities of movement execution, and different types of grasping. This approach is replicable in laboratories worldwide, and could provide valuable datasets for further work in the field of signal processing.

An interesting “hybrid venue” for the prosthesis motor control has been recently exploited (Davis et al., 2016; Wendelken et al., 2017), in which the authors explored the combination of available iEMG and ENG signals in order to decode several degrees of freedom of prosthesis control. It will be very exciting to discern if this approach would enable also a stable control over time, and not only during laboratory controlled trials.

5. Limitations of ENG decoding and future challenges

An important question, which arises from the literature, and especially from the recent clinical efforts with human amputees is: “Why neural stimulation appears to be so robust and functional, whereas recording from the PNS, which has been the goal of extensive animal and human experimentation, is still unstable and unpredictable?”

This phenomenon was already observed by (Johnson et al., 2005) in brain neural implants which propose that the answer to this question stands in the physics of the interaction between the peripheral nerve and recording/stimulating device. Through computational efforts (Raspopovic et al., 2017) and in vivo studies (de la Oliva et al., 2018a, 2018b), we learned that over time the fibrotic tissue grows around the electrode; this biological response can be overcome through the augmentation of the injected charge for stimulation (de la Oliva et al., 2019; Raspopovic et al., 2017). Therefore, only the changes in the current necessary for the device functioning over time are observed, while the functionality is intact.

On the other side, the model of recording (Gold et al., 2006) teaches us that beyond a certain distance (in the brain, depending on the electrode type, approximately 100 μm) it is impossible to record the neuronal cell activity anymore. In this case, of course, it is impossible to “increase the neuron signal amplitude” and the recorded units are lost.

Also, in comparison with brain recordings, the peripheral nerve is very hostile, being near structures that are moving all the time (as muscles, tendons etc.) and provoking interferences and noise in the tiny signals to record, and also changing the relative distance between the source of the signal (neurons) and recorder (implantable electrode). The use of hybrid models (Raspopovic et al., 2011), together with extensive animal validation (Raspopovic et al., 2012), would enable to test novel geometries of the devices and their optimal placement (Delgado-Martínez et al., 2016).

An important alternative to the use of the direct neural interfacing, is to exploit “natural amplifiers” of the neural activity, which are designed by the nature: the muscles. Indeed, recently very promising results have been obtained in the recording from the upper limb amputees residual muscle (Pasquina et al., 2015) and their use in the online prosthetic control. In the lower limb,

similar technology gave promising outcomes for the real-time ankle control by a transtibial amputee (Kristjansson et al., 2017). Certainly, this approach is mostly viable in the case of distal amputations, where residual muscles are present, while in the more proximal cases, the interest and need for the development of robust recording devices is still important. This triggers the necessity to develop novel devices and signal processing algorithms, which would enable their clinical application.

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FIGURE LEGENDS

Figure 1. Different types of peripheral nerve interfaces and their respective recording selectivity. On the left, schematic representation of an amputee wearing a prosthesis where communication is interrupted between the device and the nervous system. In the middle, from top to bottom cuff, TIME and LIFE electrodes placement representation (the electrode is marked in blue and the stimulated fiber is red). On the right side, samples of corresponding recorded signals.

Figure 2. Schematic representation of nerve signals processing for ENG classification; a) Recorded ENG dataset is divided in training and testing set; b) Pre-processing block applies signal segmentation and denoising; c) Feature extraction and selection from the running observation window (ROW); d) Data-driven training of the classification model; e) Validation on the extracted features from the testing set using the calibrated model from the training for class prediction; f) Decision making rule for driving the device based on the classifier outcome.