

# Effect of shoulder angle variation on sEMG-based elbow joint angle estimation

Zhichuan Tang\*, Hongchun Yang, Lekai Zhang, Pengcheng Liu

## Abstract

For the decade now, surface electromyogram (sEMG) signal has been extensively applied in joint angle estimation to control the prostheses and exoskeleton systems. However, the sEMG signal patterns can be severely affected by shoulder angle variations, which restricts its applications to a practical use. In our study, we evaluate the effect of shoulder angle variations on elbow angle estimation performance. This adverse effect increases mean root mean square (RMS) error by  $14.85^\circ$  in our experiment. Then, four estimation methods are proposed to solve this problem: (1) using a training set including all shoulder angles' training data to train model; (2) adding two shoulder muscles' sEMG as additional inputs; (3) a two-step method using arm muscles' sEMG and two shoulder muscles' sEMG; and (4) a two-step method using arm muscles' sEMG and measured shoulder angle value by a motion sensor. 13 subjects are employed in this study. The experimental results demonstrate that the mean RMS error is reduced from  $21.36^\circ$  to  $12.85^\circ$  in method one,  $9.84^\circ$  in method two,  $7.67^\circ$  in method three, and  $6.93^\circ$  in method four, respectively. These results show that our methods are effective to eliminate the adverse effect of shoulder angle variations and achieve a better elbow angle estimation performance. Furthermore, this study is helpful to develop a natural and stable control system for prostheses and exoskeleton systems.

## Index Terms

shoulder angle, electromyogram, elbow angle, estimation.

Z. C. Tang\* is the corresponding author with the Modern Industrial Design Institute, Zhejiang University, Hangzhou 310027, China, and with the Industrial Design Institute, Zhejiang University of Technology, Hangzhou 310014, China (e-mail: ttzcc@zju.edu.cn).

H. C. Yang, and L. K. Zhang are with the Industrial Design Institute, Zhejiang University of Technology, Hangzhou 310014, China (e-mail: yhc2016@zjut.edu.cn, zlkzhang@gmail.com).

P. C. Liu is with Lincoln Centre for Autonomous Systems, University of Lincoln, Lincoln LN5 7DH, UK (e-mail: pliu@lincoln.ac.uk).

## I. INTRODUCTION

As a non-invasive technology, surface electromyogram (sEMG) signal can be used for an interaction way between people and environment efficiently and friendly in daily life [1]. Since sEMG directly shows the real-time activity level of muscles [2], [3], many previous studies applied sEMG in joint angle estimation to control the prostheses and exoskeleton systems [4], [5], [6], [7], [8], [9], [10], [11]. The overall control architecture of these applications can be generalized as: (1) preprocessing the sEMG signals to remove the noise or artifacts, (2) extracting various types of features, (3) feeding these features into a trained estimation model to identify an angle, and (4) conveying a control signal transformed from the output of the model to the device.

Most studies on sEMG-based joint angle estimation to control the prostheses and exoskeleton systems mainly aim to obtain a better off-line estimation performance according to algorithm improvement in feature extraction and estimation process [12], [13], [14], [15]. Some methods can achieve a extremely good estimation performance (higher than 95% accuracy) [16]. However, previous efforts towards sEMG-based joint angle estimation were under predefined experimental setting [17]. Some external factors, like limb position variations [18], force variations [19], [20], electrode displacements [21] and electrode locations [22], can affect the sEMG signals collection and make a worse estimation performance in practical use. Besides, the elbow angle estimation performance may be affected by the shoulder angle variations significantly. For example, in the experimental state, the arm sEMG signals are always collected at a predefined shoulder angle for each subject, which is easy to perform repeatable contractions and acquire stable training data [23]; in practical use, more unpredictable shoulder angles may happen due to the various upper-limb movements in daily life, which degrades the estimation performance deriving by physiological variations of muscles. Some researchers have turned their attention to investigate the impact of upper-limb position on performance of sEMG-based pattern recognition systems. Scheme et al. [18] used the training data and testing data from the same or different limb positions to train sEMG-based classification models, and found that limb position variations led to a significant increase of sEMG classification error from 6.9% to 35.0%. Jiang et al. [24] demonstrated that changing arm position adversely influences the prediction performance of kinematics from sEMG, and the experimental results showed the intra-position  $R^2$  values were significantly higher than the corresponding inter-position values ( $p < 0.001$ ). However,

52 few studies have investigated the performance of elbow angle estimation if the shoulder angle  
53 changes.

54 In a traditional way, elbow angle can be estimated using sEMG signals from several arm  
55 muscles [25], [8], [26]. But since shoulder angle information cannot be acquired from sEMG  
56 of these arm muscles directly, it is difficult to deal with the adverse effect of shoulder angle  
57 using a traditional sEMG-based estimation method. The similar limitation also happens in the  
58 effect of arm position on sEMG-based gesture recognition. Several studies have focused on  
59 the additional inputs and novel estimation scheme. Geng et al. [27] used sEMG sensors and a  
60 mechanomyogram (MMG) sensor to solve the effect of limb position on motion classification  
61 for real-time prostheses control, and achieved a maximum increase of completion rate from  
62 81.4% to 94.3%. Park et al. [28] applied the ensemble-learning method to propose a position-  
63 independent decoding model to estimate the likelihood of different arm positions, which could  
64 successfully decode four wrist movements in different arm positions. In addition, not many  
65 efforts aimed to solve the effect of shoulder angle on elbow angle estimation. Fougner et al. [23]  
66 used sEMG sensors and two accelerometers to eliminate the effect of arm position and shoulder  
67 angle on sEMG pattern recognition, but like most previous studies, this study mainly focused on  
68 different arm positions (only three different shoulder angle were considered). Boschmann et al.  
69 [29] applied a high density electrode array to reduce the shoulder angle effect in distinguishing  
70 different hand and wrist movements, but this method using an electrode array (including 96  
71 sEMG sensors) cost too much.

72 In this paper, we firstly evaluate the adverse effect of shoulder angle variations on elbow angle  
73 estimation. For solving this problem, we propose four methods:

- 74 1) Method one: using a training set including all shoulder angles' training data to train model.
- 75 2) Method two: adding two shoulder muscles's sEMG as additional inputs. Shoulder angle value  
76 can be estimated by shoulder muscles's sEMG. This lets the estimation model include more  
77 kinds of training data, and increases the input vectors' space dimensionality.
- 78 3) Method three: a two-step method using arm muscles' sEMG and two shoulder muscles'  
79 sEMG. There are two steps in this method: in step 1, the shoulder muscles' sEMG data are  
80 classified to get a specific shoulder angle; in step 2, the corresponding pre-trained model in  
81 the evaluation stage using the same shoulder angle's training data is used for elbow angle  
82 estimation.
- 83 4) Method four: a two-step method using arm muscles' sEMG and measured shoulder angle

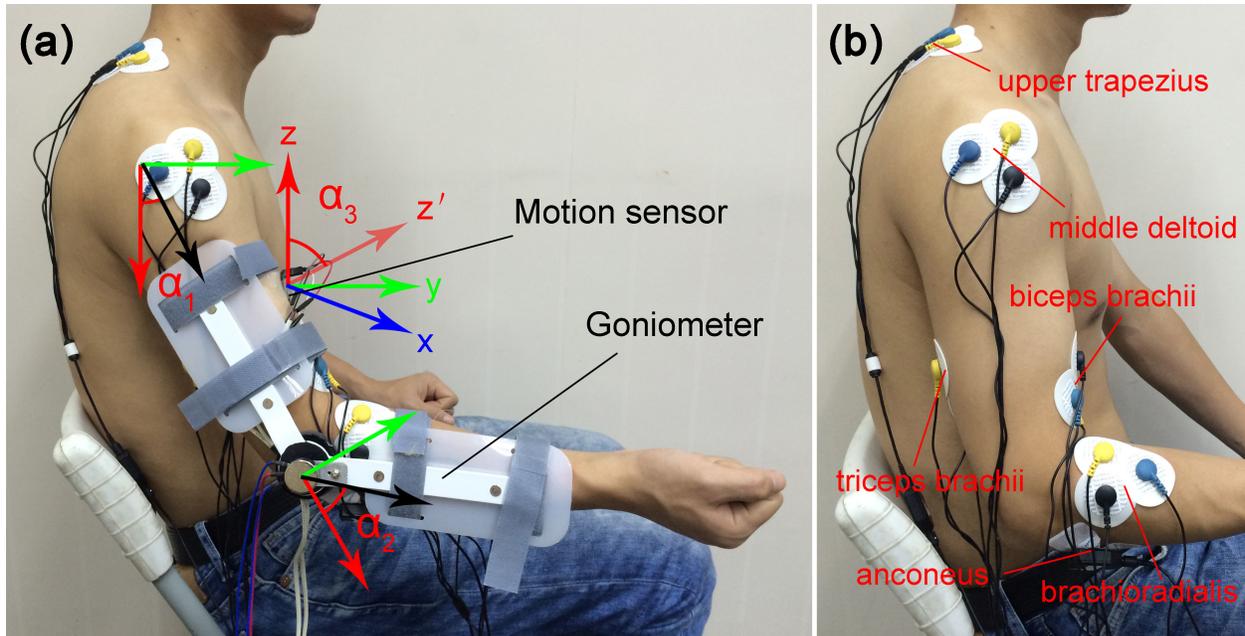


Fig. 1. Experimental setup (a) and electrode position (b). Shoulder angle is represented by  $\alpha_1$ . Elbow angle is represented by  $\alpha_2$ . The angle between motion sensor's z-axis and natural coordinates' z-axis is represented by  $\alpha_3$ . The motion sensor was used to measure the shoulder angle in Method four, which was placed about 10cm from the elbow joint on the midline of the upper arm. The goniometer was made by ourselves to acquire the actual elbow angle. It consists of a potentiometer, two metal bars, a rotation axis and four belts.

84 value by a motion sensor. There are two steps in this method: in step 1, the motion sensor  
 85 data are classified to get a specific shoulder angle; in step 2, the corresponding pre-trained  
 86 model in the evaluation stage using the same shoulder angle's training data is used for elbow  
 87 angle estimation.

## 88 II. METHODS

### 89 A. Subjects

90 13 male able-bodied subjects (age range:  $26 \pm 3$  years, height range:  $172 \pm 6$ cm, weight range:  
 91  $65 \pm 5$ kg) were volunteered to participate in our experiment. The ethical committee of Zhejiang  
 92 University reviewed our experimental protocol and approved it. All subjects were informed not  
 93 to perform any intense movements to avoid fatigue on the day of experiment, and they all signed  
 94 the informed consents prior to the experiment.

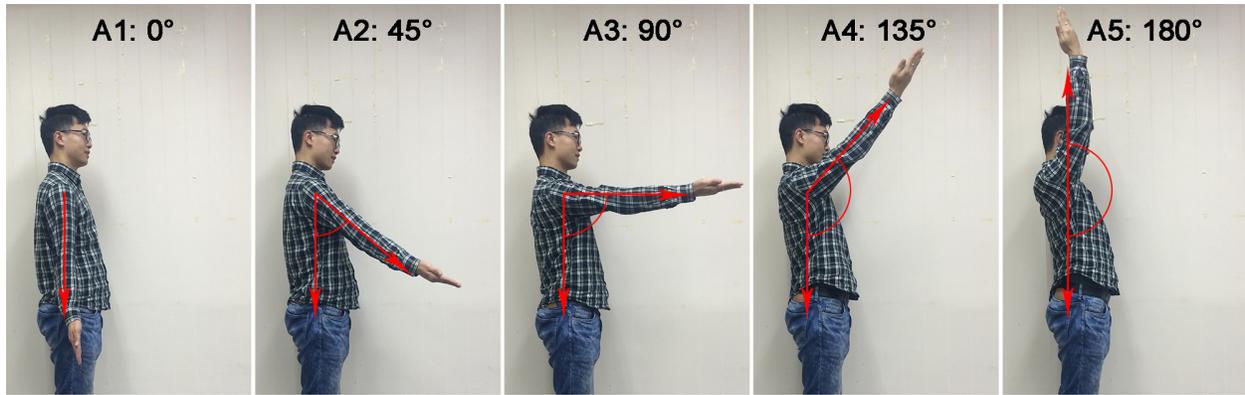


Fig. 2. Five different shoulder angles ( $\alpha_1$ ) in the sagittal plane, i.e.,  $0^\circ$ ,  $45^\circ$ ,  $90^\circ$ ,  $135^\circ$  and  $180^\circ$ , respectively.

TABLE I  
THE DIFFERENT CONDITIONS IN TEN TRIALS

Trial	Shoulder angle	Speed
Run1	A1: $0^\circ$	V1: constant elbow angular velocity of $90^\circ/s$ (0.5Hz)
Run2	A1: $0^\circ$	V2: constant elbow angular velocity of $45^\circ/s$ (0.25Hz)
Run3	A2: $45^\circ$	V1: constant elbow angular velocity of $90^\circ/s$ (0.5Hz)
Run4	A2: $45^\circ$	V2: constant elbow angular velocity of $45^\circ/s$ (0.25Hz)
Run5	A3: $90^\circ$	V1: constant elbow angular velocity of $90^\circ/s$ (0.5Hz)
Run6	A3: $90^\circ$	V2: constant elbow angular velocity of $45^\circ/s$ (0.25Hz)
Run7	A4: $135^\circ$	V1: constant elbow angular velocity of $90^\circ/s$ (0.5Hz)
Run8	A4: $135^\circ$	V2: constant elbow angular velocity of $45^\circ/s$ (0.25Hz)
Run9	A5: $180^\circ$	V1: constant elbow angular velocity of $90^\circ/s$ (0.5Hz)
Run10	A5: $180^\circ$	V2: constant elbow angular velocity of $45^\circ/s$ (0.25Hz)

## 95 B. Experimental Procedure

96 When subjects arrived, one experimenter helped them attach the sensors (sEMG sensors,  
 97 motion sensor and goniometer) on the right arm and ensured that the signals were normal  
 98 according to the signal check procedures from Konrad [30]. The signal check procedures included  
 99 the skin impedance test (impedance range keeps in 1-5Kohm) and the visual inspection of  
 100 the raw EMG baseline (the average noise level should be located at 1-3.5 microvolts, and the  
 101 baseline should remain at the zero line). Then, subjects sit on a chair to perform flexion-extension

102 movements of elbow in the sagittal plane (Fig. 1(a)). The elbow angle range ( $\alpha_2$ ) was from  $0^\circ$  to  
103  $90^\circ$ .  $0^\circ$  represented full extension, and  $90^\circ$  represented full flexion. The forearm was supinated  
104 throughout the experiment.

105 During the experiment, the subjects performed flexion-extension movements of elbow under  
106 five different shoulder angles ( $\alpha_1$ ) in the sagittal plane, i.e.,  $0^\circ$ ,  $45^\circ$ ,  $90^\circ$ ,  $135^\circ$  and  $180^\circ$ ,  
107 respectively (as shown in Fig. 2). For each shoulder angle, subjects performed sixty trials (one  
108 flexion-extension movement is called a trial) continuously at two speeds. Each subject needed  
109 to perform ten runs under different shoulder angles and speeds (Table I), forming a total dataset  
110 of  $60 \text{ trials} \times 5 \text{ shoulder angles} \times 2 \text{ speeds} \times 13 \text{ subjects}$ . For each trial, the arm and elbow  
111 moved smoothly in a constant speed, and no delay at two ends ( $0^\circ$  to  $90^\circ$ ). Subjects followed the  
112 beeps of a metronome to perform the elbow movements at different speeds [31], and finished  
113 one trial between two beeps.

114 There was a resting period of 4-6 minutes between two runs to avoid fatigue. If subjects felt  
115 too fatigued to continue the flexion-extension movements during one run, they could stop the  
116 experiment and have a rest. Besides, one experimenter watched the targeted muscles' median  
117 frequency (MF) during the experiment. Muscle fatigue can result in a decline of MF [32], [33].  
118 The two measures were effective to avoid fatigue for all sEMG records. The whole experiment  
119 lasted about 70 minutes per subject.

### 120 *C. Data Acquisition*

121 To estimate the elbow angle in this experiment, sEMG signals were collected from four  
122 arm muscles (biceps brachii, triceps brachii, brachioradialis and anconeus). Biceps brachii and  
123 triceps brachii are the agonistic muscles in elbow flexion movement and extension movement,  
124 respectively; brachioradialis and anconeus are the synergistic muscles in elbow flexion movement  
125 and extension movement, respectively [34]. To estimate the shoulder angle in Method two and  
126 Method three, sEMG signals were collected from two shoulder muscles, i.e., middle deltoid  
127 and upper trapezius [35], [36]. These four muscles' sEMG signals were collected by four EMG  
128 MyoScan-Z sensors (T9503Z, Thought Technology Ltd., Canada). The sensor measures raw  
129 sEMG signals with a range from 0 up to  $2000\mu\text{V}$ . Input impedance is greater than  $10\text{G}\Omega$  in  
130 parallel with  $10\text{pF}$ , CMRR is greater than  $130\text{dB}$ , and input/output gain equals 500. Before  
131 attaching the electrodes, we used alcohol and conductive gel to clean the skin and improve the  
132 contact between electrodes and skin [30], respectively. Then, the electrodes of the sEMG sensors

133 were placed on the targeted muscles of the right arm for each subject. One sensor included three  
 134 electrodes: positive, negative and ground. The inter-electrode distance was 2cm. The electrode  
 135 position is shown in Fig. 1(b). sEMG signals were sampled at 1024Hz and were filtered at  
 136 5-350Hz with a band-pass filter. And a 50-Hz notch filter was applied to remove the power-line  
 137 interference.

138 One motion sensor with a 3-axis accelerometer and 3-axis gyroscope (MPU6050, InvenSense  
 139 Inc., California) was used to measure the shoulder angle variation in Method four. For this  
 140 sensor, the range of angular velocity is  $\pm 2000^\circ/s$ , and the range of acceleration is  $\pm 16g$ . The  
 141 placement of the motion sensor is shown in Fig. 1(a). The angular velocity data are given by  
 142 a 16-bit analog-to-digital converter in motion sensor, and then the angular acceleration data are  
 143 obtained by

$$Acc = \lim_{\Delta t \rightarrow 0} \frac{\Delta \omega}{\Delta t} \quad (1)$$

144 where  $\Delta \omega$  is angular velocity's change in one time interval of  $\Delta t$ . The shoulder angle  $\alpha_1$  is  
 145 calculated by

$$\alpha_1 = \alpha_3 + 90^\circ = \tan^{-1} \left( \frac{\sqrt{Acc_x^2 + Acc_y^2}}{Acc_z} \right) + 90^\circ \quad (2)$$

146 where  $\alpha_3$  represents the angle between motion sensor's z-axis and natural coordinates' z-axis,  
 147  $Acc_x$  is the angle acceleration of motion sensor's x-axis,  $Acc_y$  is the angle acceleration of motion  
 148 sensor's y-axis, and  $Acc_z$  is the angle acceleration of motion sensor's z-axis. The range of  $\alpha_1$   
 149 is from  $0^\circ$  to  $180^\circ$ , and the range of  $\alpha_3$  is from  $-90^\circ$  to  $+90^\circ$ .

150 One goniometer made by ourselves wearing on the subject's right arm was applied to collect the  
 151 elbow angle' actual value to compare with the predicted value. The structure of this goniometer  
 152 referred to some previous studies ([37], [38], [8]), including a potentiometer (RV30YN30S,  
 153 TOCOS, Japan), two metal bars, a rotation axis and four belts. The shaft of the potentiometer  
 154 is fixed on the rotation axis. When the rotation axis moves in one angle, the potentiometer's  
 155 shaft moves in a same angle, resulting in an output of the corresponding voltage [39]. The actual  
 156 elbow angle  $\alpha_2$  can be calculated by

$$\alpha_2 = \frac{U_{out}}{U_{max}} \theta_{max} \quad (3)$$

157 where  $U_{out}$  is the output voltage,  $U_{max}$  is the input voltage, and  $\theta_{max}$  is the maximum angle which  
 158 the shaft of the potentiometer can move. According to the testing, the angle range is  $0 - 120^\circ$ ,  
 159 and the accuracy is  $0.1^\circ$ . To avoid affecting the natural arm movement, the four flexible belts are  
 160 adjustable to match different subjects. The light weight of the goniometer (0.185kg) minimizes  
 161 the effect on the EMG signals as much as possible.

162 To synchronize with the sEMG data, all angle data were sampled at 1024Hz.

#### 163 *D. Feature Extraction*

164 To extract features from all data, they were segmented by an overlapped windowing technique  
 165 [40]. Each time window had a length of 50ms and was overlapped by 25ms.

166 Many time-domain methods of feature extraction were developed for sEMG-based applications  
 167 [41], [42]. Four of them, i.e., root mean square (RMS), zero crossing (ZC), mean absolute value  
 168 (MAV) and waveform length (WL), were utilized in our study. RMS provides the amplitude  
 169 information of sEMG signals. It can be calculated by

$$RMS = \sqrt{\frac{1}{N} \sum_{i=1}^N X_i^2} \quad (4)$$

170 where  $X_i$  is the  $i$ th sEMG signal value and  $N$  is the number of time points. MAV stands for  
 171 the signal energy as below

$$MAV = \frac{1}{N} \sum_{i=1}^N |X_i| \quad (5)$$

172 ZC is the total zero crossing times occurring in a time window, which can describe the frequency  
 173 characteristic in time domain. It is presented in

$$ZC = \sum_{i=1}^{N-1} \phi(\Delta_i) \quad (6)$$

$$\phi(\Delta_i) = \begin{cases} 1 & \text{if } X_i \times X_{i+1} < 0 \text{ and } |X_i - X_{i+1}| \geq ZC_{threshold} \\ 0 & \text{otherwise} \end{cases} \quad (7)$$

174 where  $ZC_{threshold}$  is a threshold to reduce noises caused by zero crossings in calculation. WL  
 175 represents the waveform complexity of the sEMG signals, which can be calculated by

$$WL = \sum_{i=1}^N [X_i - X_{i-1}] \quad (8)$$

176 In each time window, the shoulder angle from the motion sensor and the elbow angle from  
177 the goniometer were averaged by

$$\bar{\alpha}_1 = \frac{1}{N} \sum_{i=1}^N (\alpha_1)_i \quad (9)$$

$$\bar{\alpha}_2 = \frac{1}{N} \sum_{i=1}^N (\alpha_2)_i \quad (10)$$

178 where  $\bar{\alpha}_1$  is the average shoulder angle,  $\bar{\alpha}_2$  is the average elbow angle,  $(\alpha_1)_i$  is the  $i$ th shoulder  
179 angle value and  $(\alpha_2)_i$  is the  $i$ th elbow angle value.

#### 180 *E. Estimation*

181 Support vector regression (SVR) can transform the training data into a high-dimension feature  
182 space [43]. It was used to learn the mapping model between sEMG and elbow angle in this study.  
183 The inputs of SVR model were sEMG features, and the output of SVR model was corresponding  
184 elbow angle. The radial based function (RBF) was used in model training as the kernel function  
185 to map the input  $x$  into a higher dimensional space:

$$K(x, x_i) = \exp\left(-\frac{1}{2\sigma^2} \|x - x_i\|^2\right) \quad (11)$$

186 where  $\sigma$  is the scale factor, and  $\exp$  is the exponential function. After the model training, the  
187 sEMG-angle mapping model was constructed.

188 In the evaluation stage, to demonstrate the effect of shoulder angle variation on elbow angle  
189 estimation performance, we trained the SVR models using data from one shoulder angle and  
190 tested in all shoulder angles under each speed (totally ten models for each subject). The inputs of  
191 SVR models were sEMG features of four arm muscles, and the output was corresponding elbow  
192 angle. For all models, 80% data were selected randomly as training data for model training, and  
193 20% data were utilized as testing data for model testing. In model training, the training data  
194 were separated into ten folds (9 folds for training and 1 fold for testing) to perform 10-fold

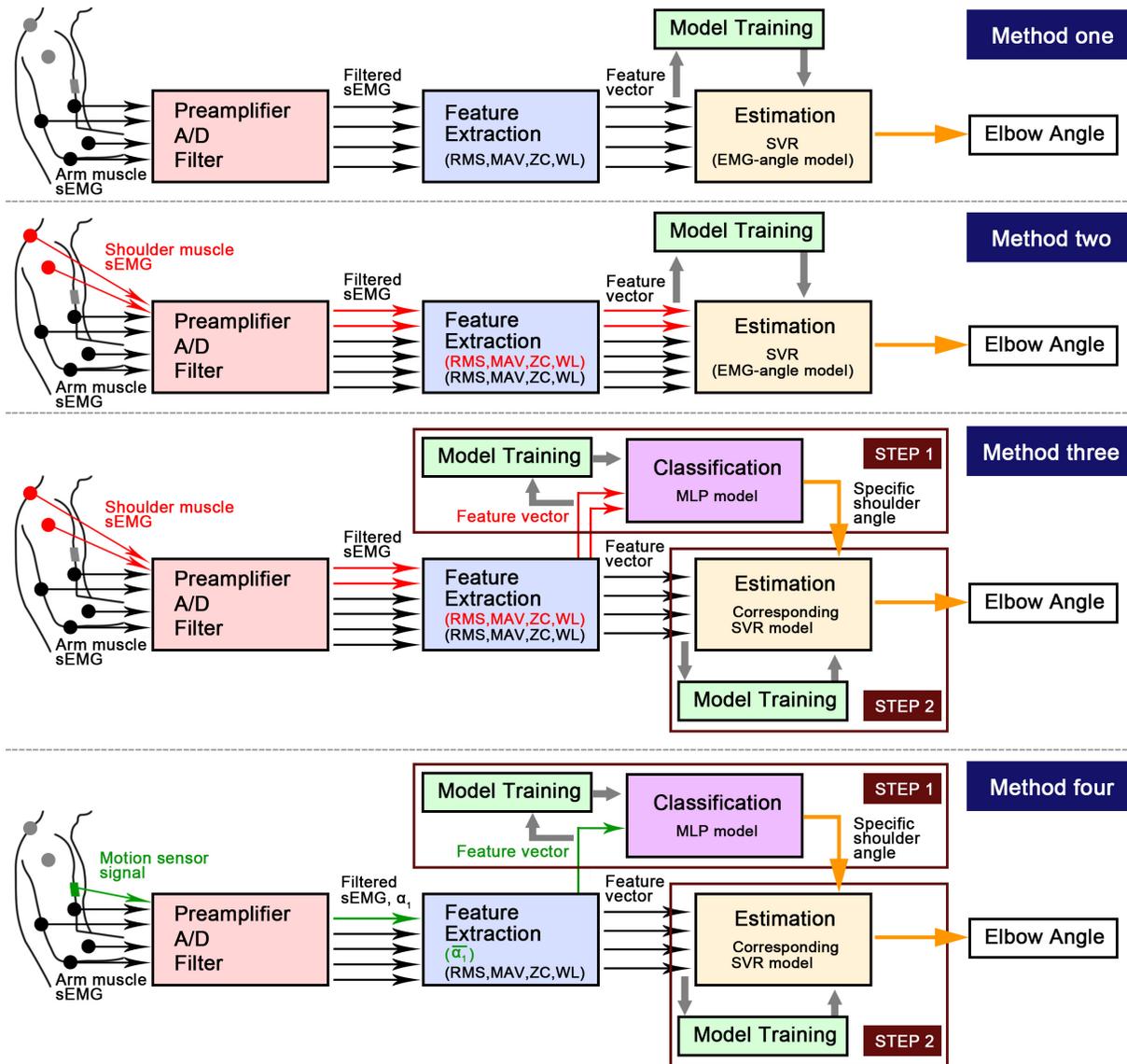


Fig. 3. The estimation scheme of four proposed methods. Method One: using a training set including all shoulder angles' training data; Method two: adding two shoulder muscles's sEMG as additional inputs; Method three: a two-step method using arm muscles' sEMG and two shoulder muscles' sEMG; Method four: a two-step method using arm muscles' sEMG and measured shoulder angle value by a motion sensor.

195 cross-validation. For each speed, intra-angle estimation performance (training and testing data  
 196 from one same shoulder angle) and inter-angle estimation performance (training and testing data  
 197 from different shoulder angles) were evaluated.

198 For resolving the effect of shoulder angle variation, we proposed the following four methods  
 199 (as shown in Fig. 3):

200 1) *Method One - using a training set including all shoulder angles' training data:* Under  
 201 each speed, the inputs of SVR models were four arm muscles' sEMG, and the output was  
 202 corresponding elbow angle. A training set including all five shoulder angles' training data  
 203 (randomly 80% data) was used for SVR model training. A testing set including all five shoulder  
 204 angles' testing data (remaining 20% data) was used for SVR model testing. 10-fold cross-  
 205 validation was used in model training.

206 2) *Method Two - adding two shoulder muscles's sEMG as additional inputs:* Shoulder muscle-  
 207 s's sEMG can estimate the shoulder angle, which increases the space dimensionality of estimation  
 208 algorithm. Under each speed, the inputs of SVR models were four arm muscles' sEMG and two  
 209 shoulder muscles' sEMG, resulting in a feature vector:

$$\left\{ \begin{array}{l} [(RMS_j)_N, (MAV_j)_N, (ZC_j)_N, (WL_j)_N]_{arm}, j = 1...4 \\ [(RMS_k)_N, (MAV_k)_N, (ZC_k)_N, (WL_k)_N]_{shoulder}, k = 1...2 \end{array} \right\} \quad (12)$$

210 where  $j$  and  $k$  are the number of electrodes, and  $N$  is the number of time points. The output  
 211 was the corresponding elbow angle. A training set including all five shoulder angles' training  
 212 data (randomly 80% data) was used for SVR model training. A testing set including all five  
 213 shoulder angles' testing data (remaining 20% data) was used for SVR model testing. 10-fold  
 214 cross-validation was used in model training.

215 3) *Method Three - a two-step method using arm muscles' sEMG and two shoulder muscles'*  
 216 *sEMG:* Under each speed, in step 1, shoulder muscles' sEMG were classified to recognize a  
 217 specific shoulder angle ( $0^\circ$ ,  $45^\circ$ ,  $90^\circ$ ,  $135^\circ$  and  $180^\circ$ ). Multi-Layer perceptron neural network  
 218 (MLP) was used to the classifier in this step due to its good robustness and performance in  
 219 extensive sEMG-based applications [44]. MLP can learn nonlinear functions through weights  
 220 adjusting to minimize the output error. A training set including all five shoulder angles' training  
 221 data (randomly 80% data) was used for the training of MLP classifier. A testing set including all  
 222 five shoulder angles' testing data (remaining 20% data) was used for the testing of MLP classifier.  
 223 10-fold cross-validation was used in model training. After the model training, we obtained a  
 224 specific shoulder angle from the shoulder muscles' sEMG. In step 2, the corresponding pre-  
 225 trained model in the evaluation stage using the same shoulder angle's training data was used for  
 226 elbow angle estimation.

227 4) *Method Four - a two-step method using arm muscles' sEMG and measured shoulder angle*  
 228 *value by a motion sensor:* Under each speed, in step 1, motion sensor data were classified

229 to recognize a specific shoulder angle (0°, 45°, 90°, 135° and 180°) using an MLP classifier.  
 230 A training set including all five shoulder angles' training data (randomly 80% data) was used  
 231 for the training of MLP classifier. A testing set including all five shoulder angles' testing data  
 232 (remaining 20% data) was used for the testing of MLP classifier. 10-fold cross-validation was  
 233 used in model training. After the model training, we obtained a specific shoulder angle from the  
 234 motion sensor data. In step 2, the corresponding pre-trained model in the evaluation stage using  
 235 the same shoulder angle's training data was used for elbow angle estimation.

236 We used root mean square (RMS) error to evaluate the estimation performance of SVR models  
 237 of evaluation stage and four methods. The RMS error between predicted angle and actual angle  
 238 can be obtained by

$$RMSE_m = \sqrt{\frac{1}{n} \sum_{m=1}^n [(\alpha'_2)_m - (\alpha_2)_m]^2} \quad (13)$$

239 where  $n$  is the number of testing data,  $(\alpha'_2)_m$  is the predicted angle, and  $(\alpha_2)_m$  is the actual  
 240 angle. Then, we used the relative magnitude of the angle error to the actual angle to compare  
 241 the four methods further. The relative magnitude ( $\%error$ ) can be calculated by

$$\%error_m = \frac{1}{n} \sum_{m=1}^n \left( \frac{|(\alpha'_2)_m - (\alpha_2)_m|}{(\alpha_2)_m} \right) \quad (14)$$

242

### III. RESULTS

243 All data of 13 subjects were processed using MATLAB (MathWorks, Inc., USA). The sEMG  
 244 and actual angle of one flexion-extension trial from five shoulder angles of one subject at V1  
 245 are shown in Fig. 4. A one-way ANOVA with a 0.05 significance level was used to evaluate the  
 246 shoulder angle main effect on muscles' sEMG. There is a significant main effect of shoulder angle  
 247 for the sEMG of biceps brachii ( $F = 7.364, p = 0.004$ ), triceps brachii ( $F = 6.588, p = 0.011$ ),  
 248 anconeus ( $F = 2.946, p = 0.041$ ), middle deltoid ( $F = 4.226, p = 0.027$ ) and upper trapezius  
 249 ( $F = 6.782, p = 0.009$ ). To further clarify this effect, the Tukey post-hoc test was applied and  
 250 shows that A1 (0°) is significantly different from the other four shoulder angles for the sEMG of  
 251 these six muscles (all  $p < 0.05$ ). The sEMG of arm muscles and shoulder muscles are changed  
 252 with the change of the shoulder angle, i.e., the increase of the shoulder angle results in the  
 253 amplitude decrease of biceps brachii and the amplitude increase of triceps brachii, anconeus,

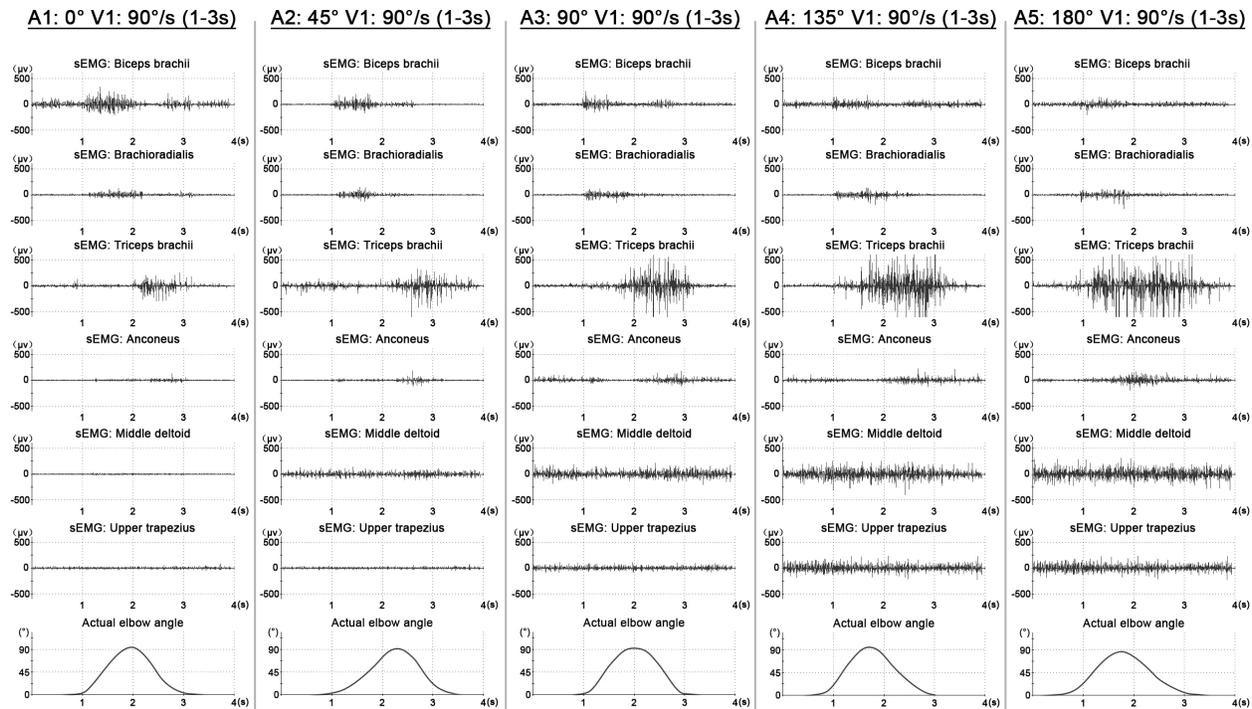


Fig. 4. The sEMG and actual elbow angle of one flexion-extension trial from five shoulder angles of one subject at V1 (90°/s).

254 middle deltoid and upper trapezius. There is no significant main effect of shoulder angle for the  
 255 sEMG of Brachioradialis ( $F = 0.952, p = 0.138$ ). Brachioradialis has no obvious change across  
 256 five shoulder angles.

#### 257 A. Results in Evaluation Stage

258 Totally ten different shoulder angle-specific SVR models (5 shoulder angles  $\times$  2 speeds) were  
 259 trained for each subject. For each model, the training data were from one shoulder angle, and  
 260 the testing data were from all shoulder angles. The results (confusion matrix) are shown in Fig.  
 261 5(a). The value of each entry in confusion matrix stands for the RMS error (mean $\pm$ sd) of the  
 262 corresponding training shoulder angle (vertical axis) and testing shoulder angle (horizontal axis)  
 263 across all subjects and speeds. Darker color indicates larger RMS error. The RMS errors of the  
 264 main diagonal represent the intra-angle cases (training and testing data from one same shoulder  
 265 angle), and the RMS errors of the off-diagonal represent the inter-angle cases (training and testing  
 266 data from different shoulder angles). For each training shoulder angle (each row of the confusion  
 267 matrix), a one-way ANOVA with a 0.05 significance level was used to evaluate the main effect of

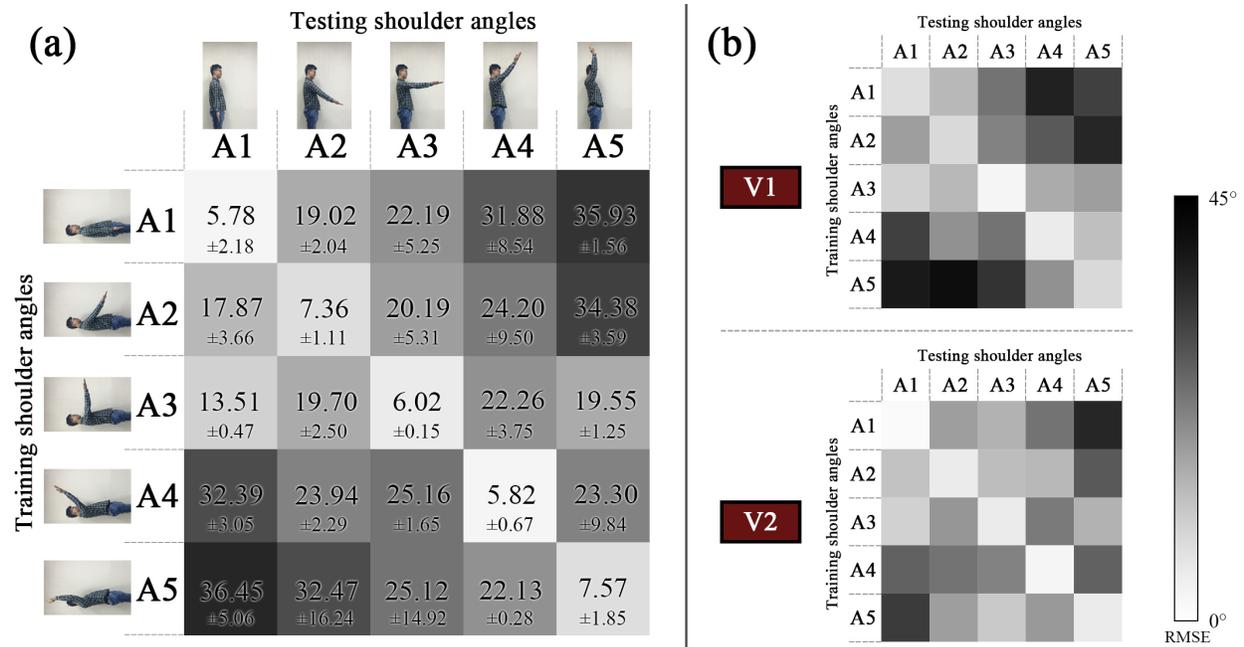


Fig. 5. RMS error (mean $\pm$ sd $^{\circ}$ ) resulting matrices. Darker color indicates larger RMS error. (a): the value of each entry in confusion matrix stands for the RMS error (mean $\pm$ sd $^{\circ}$ ) of the corresponding training shoulder angle (vertical axis) and testing shoulder angle (horizontal axis) across all subjects and speeds; (b): speed specific matrices broken out from (a).

268 shoulder angle variation on elbow angle estimation performance, resulting in totally 5 ANOVAs.  
 269 Each ANOVA includes 5 levels, i.e., one intra-angle case and four inter-angle cases. There is  
 270 a significant main effect of shoulder angle variation on elbow angle estimation performance  
 271 for all ANOVAs ( $F = 10.532, p = 0.001$ ), ( $F = 7.043, p = 0.008$ ), ( $F = 4.376, p = 0.020$ ),  
 272 ( $F = 7.643, p = 0.006$ ) and ( $F = 9.890, p = 0.002$ ), respectively). The Tukey post-hoc test was  
 273 applied and shows that the intra-angle case is significantly different from the inter-angle cases  
 274 for all ANOVAs (all  $p < 0.05$ ). In A1 ANOVA, A1-A5 is significantly different from the other  
 275 cases (all  $p < 0.05$ ); in A2 ANOVA, A2-A5 is significantly different from the other cases (all  
 276  $p < 0.05$ ); in A4 ANOVA, A4-A1 is significantly different from the other cases (all  $p < 0.05$ );  
 277 in A5 ANOVA, A5-A1 is significantly different from the other cases (all  $p < 0.05$ ). As shown  
 278 in the matrix, training data from A5 and testing data from A1 or vice versa leads to the poorest  
 279 results (36.45 $^{\circ}$  and 35.93 $^{\circ}$ , respectively). Similarly, the results of A1-A4, A4-A1, A2-A5 and  
 280 A5-A2 (31.88 $^{\circ}$ , 32.39 $^{\circ}$ , 34.38 $^{\circ}$  and 32.47 $^{\circ}$ , respectively) are poor as well, although better than  
 281 A5-A1 and A1-A5. In addition, if the difference between training shoulder angle and testing  
 282 shoulder angle is larger, the estimation performance is poorer, e.g., the RMS errors gradually

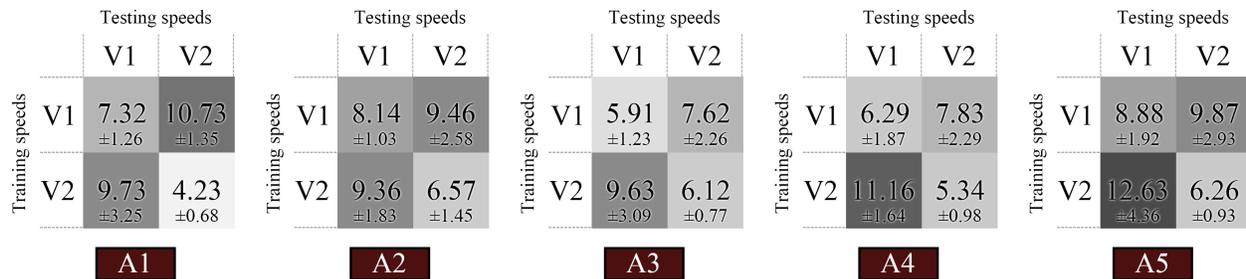


Fig. 6. RMS error (mean $\pm$ sd $^{\circ}$ ) resulting matrices under five shoulder angles. Darker color indicates larger RMS error. The value of each entry in five matrices stands for the RMS error (mean $\pm$ sd $^{\circ}$ ) of the corresponding training speed (vertical axis) and testing speed (horizontal axis) across all subjects.

283 increase from A1-A1 to A1-A5. The mean intra-angle RMS error is  $6.51^{\circ}$ , which is much lower  
 284 than the mean inter-angle RMS error ( $22.02^{\circ}$ ) and the mean overall RMS error ( $21.36^{\circ}$ ). This  
 285 adverse effect increases mean RMS error by  $14.85^{\circ}$  between mean intra-angle RMS error and  
 286 mean overall RMS error.

287 To further demonstrate the shoulder angle effect on elbow angle estimation under different  
 288 speeds, two speed specific matrices stemming from the matrix of Fig. 5(a) are shown in Fig.  
 289 5(b). Fig. 6 illustrates the similar resulting matrices as those in Fig. 5(b), but the value of each  
 290 entry in five matrices stands for the RMS error (mean $\pm$ sd) of the corresponding training speed  
 291 (vertical axis) and testing speed (horizontal axis) across all subjects. Fig. 5(b) and Fig. 6 show  
 292 the effect of different speeds on the elbow joint estimation performance. There is a significant  
 293 difference ( $p < 0.05$ ) between two speed matrices in Fig. 5(b) through the t-test with a 0.05  
 294 significance level, and the color of entries under V1 is darker than those under V2. The RMS  
 295 errors of inter-speed are larger than those of intra-speed in five matrices shown in Fig. 6 (the  
 296 total mean inter-angle RMS error is  $9.80^{\circ}$  and the total mean intra-angle RMS error is  $6.51^{\circ}$ ).

### 297 B. Results in Four Methods

298 In Method one, a training set including all shoulder angles' training data was used to train  
 299 model. We built different training combinations with training data of different shoulder angles  
 300 into five groups to analyze the effect of the amount of training data on estimation performance.  
 301 For each group, the estimation model was trained by training data from different amount of  
 302 shoulder angles (one, two, three, four or five), and was tested by testing data from all five  
 303 shoulder angles. All groups' mean RMS errors at two speeds across all subjects are shown in

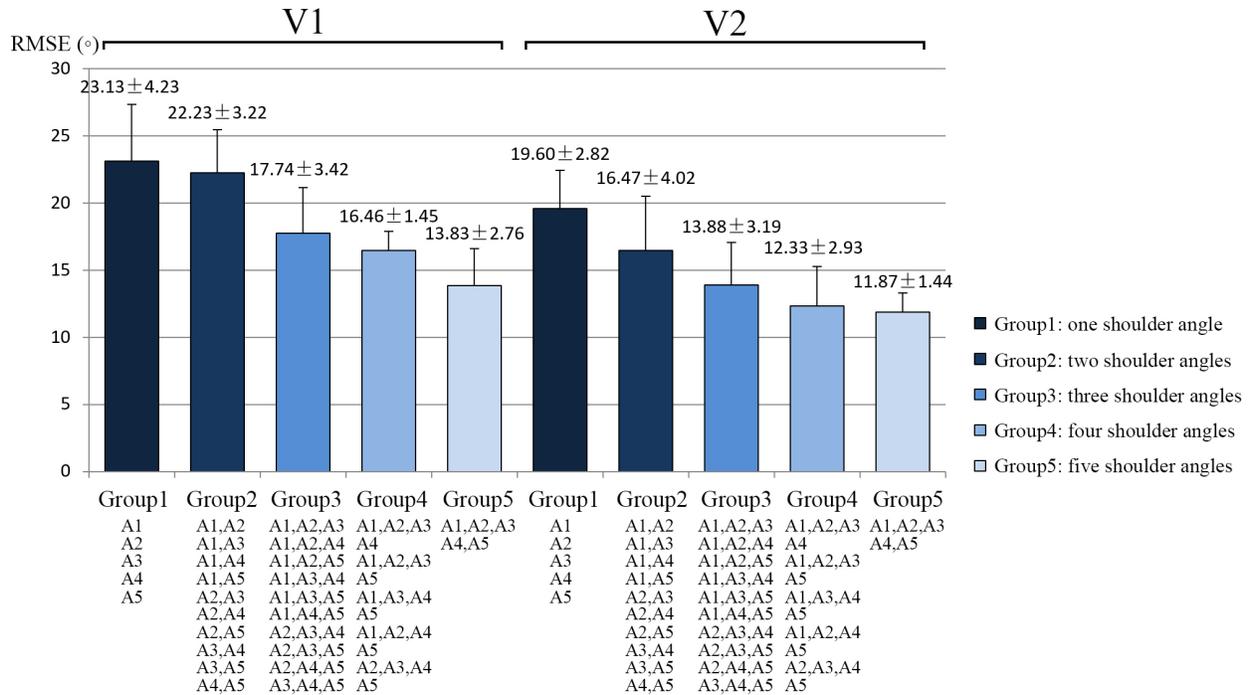


Fig. 7. All groups' mean RMS errors at two speeds across all subjects. For each group, the estimation model was trained by training data from different amount of shoulder angles (one, two, three, four or five), and was tested by testing data from all five shoulder angles.

304 Fig. 7. For each speed, a one-way ANOVA with a 0.05 significance level was used to evaluate  
 305 the main effect of the amount of training data on estimation performance. There is a significant  
 306 main effect of the amount of training data on elbow angle estimation performance for two  
 307 ANOVAs ( $F = 3.243, p = 0.039$ ) and ( $F = 2.842, p = 0.044$ ), respectively). The mean RMS  
 308 error decreases gradually from Group 1 trained by one shoulder angle to Group 5 trained by  
 309 five shoulder angles at each speed. This result demonstrates that adding more training data from  
 310 different shoulder angles can lead to a better estimation performance. The SVR model of Group  
 311 1 (training data from one shoulder angle) has a poorest estimation performance.

312 In Method two, two shoulder muscles' sEMG were used as additional inputs for the SVR  
 313 models. In the step 1 of Method three and Method four, under each speed, the two shoulder  
 314 muscles' sEMG and the motion sensor data were classified to get a specific shoulder angle,  
 315 respectively. By using an MLP classifier, the shoulder angle classification error was 3.3% in  
 316 Method three and 0% in Method four. Then, the corresponding pre-trained model in the eval-

TABLE II  
THE RMS ERRORS (MEAN $\pm$ SD $^\circ$ ) OF FOUR METHODS AT TWO SPEEDS ACROSS ALL SUBJECTS

	Method one (mean $\pm$ sd)	Method two (mean $\pm$ sd)	Method three (mean $\pm$ sd)	Method four (mean $\pm$ sd)
V1	13.83 $\pm$ 1.20	9.96 $\pm$ 1.33	8.31 $\pm$ 1.93	8.01 $\pm$ 1.83
V2	11.87 $\pm$ 1.15	9.71 $\pm$ 2.01	7.03 $\pm$ 1.44	5.84 $\pm$ 0.93
Total	12.85 $\pm$ 1.39	9.84 $\pm$ 1.89	7.67 $\pm$ 0.91	6.93 $\pm$ 1.53

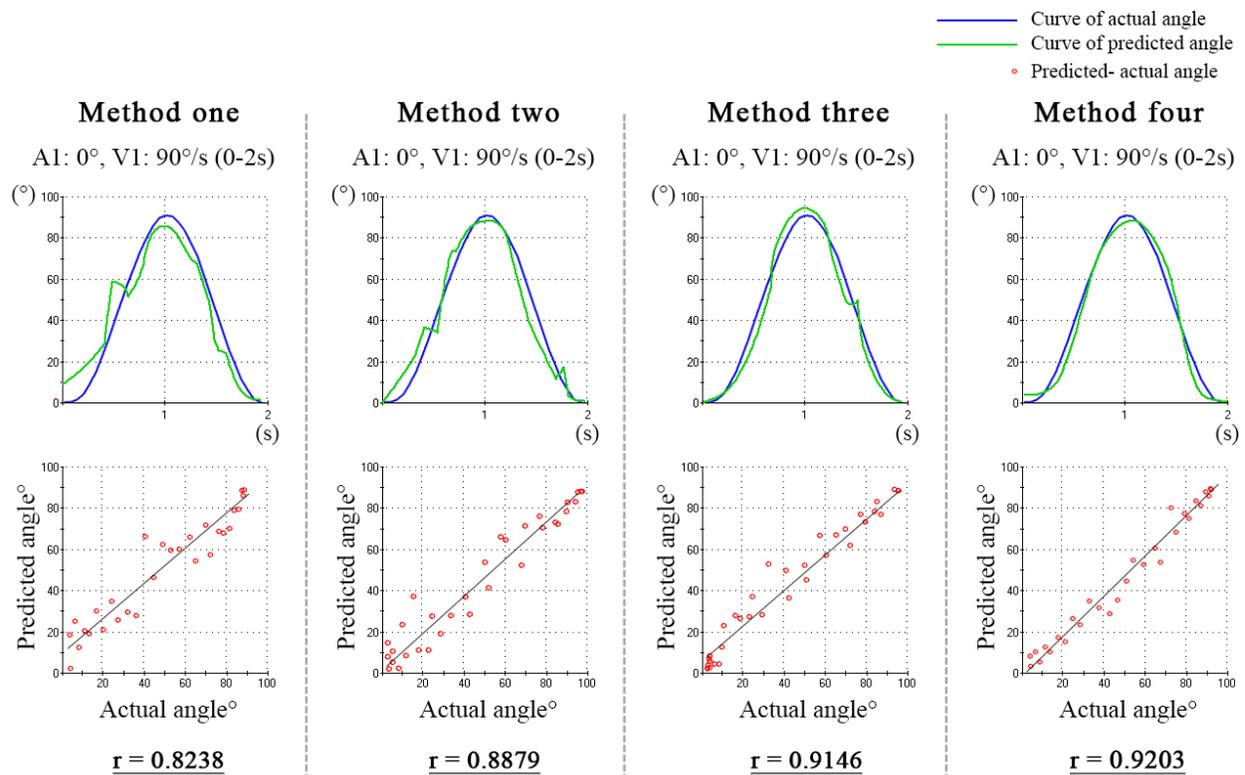


Fig. 8. The curves of predicted and actual angle, the value of  $r$  and the correlation diagram of four methods using testing data of one same flexion-extension trial at V1 and A1 from one subject.

317 uation stage using the same shoulder angle's training data was used for elbow angle estimation  
 318 in step 2 of the two methods. Table II shows the mean RMS error of the four methods at two  
 319 speeds. Fig. 8 shows the curves of predicted and actual angle, the correlation diagram and the  
 320 values of Pearson correlation coefficient ( $r$ ) of four methods using testing data of one same  
 321 flexion-extension trial at V1 and A1 from one subject. If  $r$  is closer to 1, it means the error  
 322 between predicted and actual angle is smaller. According to Table II and Fig. 8, we find that

TABLE III

THE %errors (MEAN±SD%) OF FOUR METHODS AT FIVE SHOULDER ANGLES AND TWO SPEEDS ACROSS ALL SUBJECTS

	Method one (mean±sd)	Method two (mean±sd)	Method three (mean±sd)	Method four (mean±sd)
A1	24.68 ± 1.43	16.25 ± 4.93	12.65 ± 1.73	11.87 ± 2.33
A2	21.50 ± 3.34	15.93 ± 1.29	12.08 ± 1.30	11.99 ± 2.87
V1 A3	23.85 ± 3.98	17.48 ± 3.81	12.83 ± 4.33	12.98 ± 1.99
A4	23.60 ± 2.43	14.31 ± 2.43	11.15 ± 4.09	11.31 ± 1.73
A5	24.20 ± 5.22	18.11 ± 1.43	11.34 ± 3.24	13.55 ± 3.99
A1	23.16 ± 3.95	17.46 ± 2.76	12.81 ± 2.30	10.46 ± 3.54
A2	22.58 ± 4.32	18.36 ± 5.17	13.71 ± 2.48	12.93 ± 3.42
V2 A3	21.56 ± 2.04	16.31 ± 3.89	11.13 ± 2.98	11.34 ± 3.28
A4	20.81 ± 2.76	16.13 ± 3.41	10.98 ± 1.79	11.31 ± 2.95
A5	25.04 ± 3.02	17.75 ± 4.03	11.63 ± 3.44	12.14 ± 2.55
Total	23.09 ± 1.44	16.81 ± 1.24	12.03 ± 0.93	11.96 ± 0.91

323 Method four achieves a better estimation performance (mean RMS error at V1, mean RMS error  
 324 at V2, total mean RMS error and the value of  $r$  are  $8.01^\circ$ ,  $5.84^\circ$ ,  $6.93^\circ$  and  $0.9203$  respectively)  
 325 than the other three. Additionally, four methods' RMS errors are all lower than evaluation stage's  
 326 RMS error ( $21.36^\circ$ ) using training data from one single shoulder angle and testing data from all  
 327 shoulder angles. According to the t-test with a 0.05 significance level, all methods' RMS errors  
 328 have a significantly difference with evaluation stage's RMS error (all  $p < 0.05$ ).

329 Furtherly, we used the relative magnitude (%error) of the angle error to the actual angle to  
 330 compare the four methods. If %error is closer to 0, it means the predicted angle is closer to the  
 331 actual angle. The %errors (mean±sd) of four methods at five shoulder angles and two speeds  
 332 across all subjects are shown in Table III. For four methods, the results of %error are similar  
 333 to those of RMS error. Method four has a lower total mean %error (11.96%) than the other  
 334 three, which means that Method four achieves a best estimation performance. Method three has  
 335 a slightly higher total mean %error (12.03%), which is very close to Method four.

## IV. DISCUSSION

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To evaluate the effect of shoulder angle variation on elbow angle estimation performance, we trained estimation models using training data from one shoulder angle and tested them using testing data from all shoulder angles. Fig. 5(a) shows that the mean intra-angle RMS error ( $6.51^\circ$ ) using training and testing data from one same shoulder angle is much lower than the mean inter-angle RMS error ( $22.02^\circ$ ) using training and testing data from different shoulder angles. This result implies that shoulder angle variations can affect the elbow angle estimation substantially. The possible reasons of this fact are: (1) Variation in muscle recruitment. When arm is stabilized in a specific shoulder angle, this will lead to the displacement of muscles due to different force of gravity, and alter the nature of the sEMG of arm muscles [16]. (2) Electrode shift. The electrodes may shift during use because of the changes in muscle shape, length and position [23]. Hargrove et al. [45] found a 1-cm shift of four electrodes attached on the arm caused an increase of classification error from 5% to 40%. And (3) the change of the lever arm of musculotendon and the change of the muscle's force-length relationship [23]. Therefore, training the control system of a prosthesis or exoskeleton using data from a single shoulder angle is insufficient due to the requirement in complex movements in daily life. Shoulder angle variation can induce a significant difference between the experiment in the laboratory and practical use. The ideal conditions (predefined experimental setting) will not always happen in practical use.

To solve this problem, we proposed four methods in our study. In Method one, the total mean overall RMS error is reduced from  $21.36^\circ$  to  $12.85^\circ$  according to use a training set including all shoulder angles' training data. Using training data from multiple shoulder angles to train model will require more time for collecting training data. For example, according to the experimental procedure of this study, if we add the training data of another angle, each subject needs add about 11 minutes ( $60 \text{ trials} \times 2 \text{ speeds} \times 3 \text{ second (average movement time per trial)} + 5 \text{ minutes (average resting time per run)}$ ). Therefore, we hope to use the training data from as few shoulder angles as possible. However, the mean RMS error increases along with the reduction of shoulder angles (from Group5 to Group1) at each speed. This result shows that adding more training data from different shoulder angles can lead to a better estimation performance. The SVR model of Group 1 (training data from one shoulder angle) has a poorest estimation performance. In Method two, the total mean overall RMS error is reduced from  $21.36^\circ$

367 to  $9.84^\circ$  by using two shoulder muscles' sEMG as additional inputs for the SVR models. The  
368 better estimation performance in Method two than in Method one is because additional inputs  
369 increases the input vectors' space dimensionality. In step 1 of Method three and Method four,  
370 the two shoulder muscles' sEMG and the motion sensor data were classified to get a specific  
371 shoulder angle, respectively. Then, the corresponding pre-trained model in the evaluation stage  
372 using the same shoulder angle's training data was used for elbow angle estimation in step 2 of  
373 the two methods. A further reduction of the total mean RMS error of two methods is from  $9.84^\circ$   
374 to  $7.67^\circ$  and to  $6.93^\circ$ , respectively. Additionally, these two methods have a lower total mean  
375 %error (12.03% and 11.96%, respectively) than Method two. These results show that Method  
376 three and Method four have a better estimation performance than Method two. The reason is that  
377 the estimation performance of Method two is still influenced by inter-angle cases (testing data  
378 from different shoulder angles). In Method three and four, because of the nearly zero (3.3%)  
379 and zero classification error in step 1, the estimation process in step 2 is same as the intra-  
380 angle cases resulting in a much lower mean RMS error than that of the inter-angle cases. The  
381 better estimation performance in Method four than in Method three indicates that, to classify  
382 the shoulder angle, using a motion sensor is better than using shoulder muscles' sEMG. That is  
383 because shoulder muscles' sEMG also can be affected by variation in muscle recruitment and  
384 electrode shift in different movements like arm muscles' sEMG. The estimation performance of  
385 all four methods is better than that of evaluation stage. To compare with the first three methods  
386 which only use sEMG data to train model, Method four based on sensor fusion technology  
387 (sEMG and motion sensor) has a better estimation performance.

388 Additionally, the effect of different speeds on elbow angle estimation performance is found.  
389 As shown in Fig. 5(b), the color of entries under V1 is darker than those under V2 (darker  
390 color indicates larger RMS error); as shown in Fig. 6, the RMS errors of inter-speed are larger  
391 than those of intra-speed in five matrices (the total mean inter-speed RMS error is  $9.80^\circ$  and the  
392 total mean intra-speed RMS error is  $6.51^\circ$ ). Some previous studies have started paying attention  
393 to the speed effect on joint angle estimation. Hashemi et al. [46] estimated elbow angle by  
394 sEMG signals of flexion/extension runs during constant velocity and varying velocity. Minimum  
395 %RMS errors of 8.3% and 33.3% were achieved in the two conditions, respectively. Zhang et al.  
396 [47] used EMG signals to estimate the hip, knee and ankle joint angles, and there was a  $1.98^\circ$   
397 difference between mean RMS error of fast and slow speed under two loads. The reason of  
398 speed effect is that the higher speed increases the neuronal firing activity and therefore results in

399 the change of muscle activity and sEMG [48]. This brings the nervous system into an unstable  
400 functional state and motion state to cause a weak estimation performance.

401 The sEMG signals are easily influenced by fatigue, resulting in a negative effect on estimation  
402 performance [49], [50]. In our experiment, we set a resting period between two runs to address  
403 this problem, and used subjective stop and MF test to ensure data without fatigue. It is suggested  
404 that fatigue needs to be tested and monitored in sEMG-based application although we do not  
405 focus on the fatigue effect in this study.

406 According to the current results, the four methods are applicable to elbow angle estimation for  
407 normal persons. However, upper-limb prostheses and exoskeletons are always used by patients  
408 after neurological injury or elderly. So the proposed methods need to be applied and verified in  
409 these people. This will be discussed in our future research.

## 410 V. CONCLUSION

411 In our study, we firstly evaluated the effect of shoulder angle variations on elbow angle  
412 estimation performance. To solve this problem, we proposed four methods: (1) using a training  
413 set including all shoulder angles' training data to train model; (2) adding two shoulder muscles'  
414 sEMG as additional inputs; (3) a two-step method using arm muscles' sEMG and two shoulder  
415 muscles' sEMG; and (4) a two-step method using arm muscles' sEMG and measured shoulder  
416 angle value by a motion sensor. The four methods reduced the mean RMS error significantly.  
417 These results show that our methods are effective to eliminate the adverse effect of shoulder  
418 angle variations and achieve a better elbow angle estimation performance. Furthermore, this  
419 study is helpful to develop a natural and stable control system for prostheses and exoskeleton  
420 systems.

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