

Serveur Académique Lausannois SERVAL [serval.unil.ch](http://serval.unil.ch)

## Author Manuscript

Faculty of Biology and Medicine Publication

This paper has been peer-reviewed but does not include the final publisher proof-corrections or journal pagination.

Published in final edited form as:

**Title:** Electrically Assisted Movement Therapy in Chronic Stroke Patients With Severe Upper Limb Paresis: A Pilot, Single-Blind, Randomized Crossover Study.

**Authors:** Carda S, Biasiucci A, Maesani A, Ionta S, Moncharmont J, Clarke S, Murray MM, Millán JDR

**Journal:** Archives of physical medicine and rehabilitation

**Year:** 2017 Aug

**Issue:** 98

**Volume:** 8

**Pages:** 1628-1635.e2

**DOI:** [10.1016/j.apmr.2017.02.020](https://doi.org/10.1016/j.apmr.2017.02.020)

In the absence of a copyright statement, users should assume that standard copyright protection applies, unless the article contains an explicit statement to the contrary. In case of doubt, contact the journal publisher to verify the copyright status of an article.

Running title: Carda S, ELECTRICALLY ASSISTED MOVEMENT THERAPY

**ELECTRICALLY ASSISTED MOVEMENT THERAPY IN CHRONIC STROKE PATIENTS WITH SEVERE UPPER LIMB PARESIS: A PILOT, SINGLE BLIND, RANDOMIZED CROSSOVER STUDY**

Stefano Carda<sup>1\*</sup>, MD, PhD, Andrea Biasiucci<sup>2†</sup>, PhD, Andrea Maesani<sup>2</sup>, PhD, Silvio Ionta<sup>1,3,4</sup>, PhD, Julien Moncharmont<sup>1</sup>, OT, Stephanie Clarke<sup>1</sup>, MD, PhD, Micah M. Murray<sup>1,3,6-8,‡</sup>, PhD, José del R. Millán<sup>5‡</sup>, PhD

<sup>1</sup> The Neuropsychology and Neurorehabilitation Service, University Hospital Center (CHUV) and University of Lausanne Switzerland

<sup>2</sup> Intento SA, Chemin de la Raye 13, CH-1024 Ecublens, Switzerland

<sup>3</sup> The Laboratory for Investigative Neurophysiology (The LINE), The Department of Radiology and Neuropsychology and Neurorehabilitation Service, University Hospital Center and University of Lausanne, Switzerland

<sup>4</sup> Rehabilitation Engineering Laboratory, Department of Health Sciences and Technology, ETH Zürich, Zürich, Switzerland

<sup>5</sup> Center for Neuroprosthetics, Ecole Polytechnique Fédérale de Lausanne (EPFL), Switzerland

<sup>6</sup> The EEG Brain Mapping Core, Center for Biomedical Imaging (CIBM), Lausanne, Switzerland

<sup>7</sup> The Department of Hearing and Speech Sciences, Vanderbilt University Nashville, TN, USA

<sup>8</sup> The Department of Ophthalmology, University of Lausanne, Jules Gonin Eye Hospital,

Lausanne, Switzerland

† Equal contributions

‡ Equal contributions

Data presented are original and the material has never been published or presented before.

This study was funded by the Commission for Technology and Innovation of the Swiss Confederation. SI receives support through FNS and IRP grants. MMM receives support from the Swiss National Science Foundation (320030-149982) and Carigest SA. The funder had no role in study design, data collection, data analysis, data interpretation, or writing of the report. All authors had full access to all the data in the study and the corresponding author had final responsibility for the decision to submit for publication.

Declaration of Conflicting Interests: AB and AM are shareholders of Intento SA.

\* Corresponding author: Dr. Stefano Carda, Service de neuropsychologie et de neuroréhabilitation, CHUV, Av. Pierre-Decker 5, CH-1011 Lausanne, [stefano.carda@chuv.ch](mailto:stefano.carda@chuv.ch); tel. +41 21 314 3996

Reprints will not be available from the Authors

Clinical Trial Registration number: Clinicaltrials.gov NCT02563886

1 **ELECTRICALLY ASSISTED MOVEMENT THERAPY IN CHRONIC STROKE**  
2 **PATIENTS WITH SEVERE UPPER LIMB PARESIS: A PILOT, SINGLE BLIND,**  
3 **RANDOMIZED CROSSOVER STUDY**

4

5

6 **ABSTRACT**

7

8

9 **Objective** To evaluate the effects of a therapy where patients used self-modulated functional  
10 electrical stimulation to produce or assist task-specific upper limb movements, which enabled  
11 them to engage in intensive goal-oriented training. Functional electrical stimulation was  
12 modulated by a custom device controlled through the patient's unaffected hand. We defined  
13 our experimental intervention Electrically-Assisted Movement Therapy. Dose-matched goal-  
14 oriented standard care was used as a control intervention.

15

16 **Design** Randomized, crossover, assessor-blinded, 5-week trial with follow up at 18 weeks.

17 This study is registered with ClinicalTrials.gov, number xxx.

18

19 **Setting** Rehabilitation University Hospital.

20

21 **Participants** A total of 11 chronic patients with severe stroke (mean age 47.9y), more than 6  
22 months poststroke (mean time since event 46.3mo).

23

24 **Interventions** Each therapy consisted in 10 sessions of 90 minutes per day, five sessions per  
25 week, for two-weeks. After the first 10 sessions, group allocation was crossed-over, and  
26 patients received a one-week therapy break before receiving the new treatment.

27

28 **Main Outcome Measures** Fugl-Meyer Motor Assessment for the Upper Extremity, Wolf  
29 Motor Function Test, Spasticity, 28-Items Motor Activity Log.

30

31 **Results** 44 individuals were recruited, of whom 11 were eligible and participated. Five  
32 patients received the experimental treatment before standard care, and six received standard  
33 care before the experimental treatment. Electrically-Assisted Movement Therapy produced  
34 higher improvements in the Fugl-Meyer scale than standard care ( $p < 0.05$ ). Median  
35 improvements were 6.5 and 1 Fugl-Meyer points after the experimental treatment and  
36 standard care, respectively. The improvement was also significant in subjective reports of  
37 quality of movement and amount of use of the affected limb during activities of daily living  
38 ( $p < 0.05$ ).

39

40 **Conclusions** Electrically-Assisted Movement Therapy produces clinically important  
41 impairment reduction in stroke patients with chronic severe upper limb paresis.

42

43 **Keywords:** Electrical Stimulation Therapy, Cerebrovascular Accident, Hemiplegia, Motor  
44 Skills, Rehabilitation.

45

46 **Abbreviations**

47 EAMT: Electrically-Assisted Movement Therapy

48 SC: Standard Care

49 FES: Functional Electrical Stimulation

50 EMG: Electromyography FMA-UE: Fugl-Meyer Motor Assessment Upper Extremity

51 MAL: Motor Activity Log WMFT: Wolf Motor Function Test

52 REPAS: Resistance to passive movement

53 MRI: Magnetic Resonance Imaging

54 MCID: Minimal Clinically Important Difference

55 MDC: Minimum Detectable Change

56 CI: Confidence Interval

57

## 58 INTRODUCTION

59

60

61 Every year, 17 million people suffer a stroke worldwide, and approximately one third of them  
62 develop permanent upper limb paresis **(1)**. Among the available therapeutic approaches,  
63 functional electrical stimulation (FES) has been proposed as a viable intervention to increase  
64 range of motion **(2)** and to reduce upper limb impairment **(3)**, ultimately improving function  
65 and participation **(4)**. Many FES regimens and systems have been investigated **(5)**, but clear  
66 pathophysiological explications and protocols leading to improved efficacy are still lacking  
67 **(6)**.

68 FES regimens for the upper limb tested in clinical studies include cyclical FES, EMG-  
69 triggered FES, and neuroprosthetic FES. Cyclical stimulation produces repetitions of  
70 movements, without requiring patient's active participation **(2)**, and is often used in patients  
71 with severe impairments and absence of voluntary arm and hand activity. EMG-triggered FES  
72 is based on rewarding successful active attempts by the patient with a reinforcement signal in  
73 order to drive motor relearning and neuroplasticity **(7)**. To date, these two types of stimulation  
74 have not proven superior with respect to standard care **(2)** or other FES families **(7)**.

75 Neuroprosthetic FES aims at promoting movement relearning by its ability to bypass lesions  
76 and restore function **(2)**. Neuroprostheses proposed in the past provided meaningful upper  
77 limb movements, and could produce pre-defined muscles activation sequences upon  
78 triggering by patients or therapists **(4, 8, 9)**. A special class of FES neuroprostheses enabled  
79 the control of FES at will by continuously detecting EMG activity, and promoted a significant  
80 reduction of impairment **(8)**. Unfortunately, this type of self-modulated FES might be  
81 unfeasible in the severely impaired population due to abnormal or absent EMG patterns.

82

83 Providing a match between the intention to move the impaired limb and continuous FES  
84 assistance during the movement can be achieved without relying on paralyzed muscles  
85 activity by providing control means to the unaffected hand of the patient.

86

87 In this study, we introduce and test a therapy where patients with severe upper limb  
88 impairment self-modulate FES to produce or assist task-specific movements. A custom FES  
89 device enables them to engage in intensive goal-oriented training despite their impairment.  
90 We defined our experimental intervention “Electrically-Assisted Movement Therapy”  
91 (EAMT). During EAMT the use of the unaffected limb is limited by the need of operating the  
92 custom FES controller in order to self-modulate the delivery of electrical currents, and  
93 training is focused on the affected limb.

94

95 The purpose of this study is to determine whether EAMT produces higher improvements in  
96 upper limb motor impairment, skilled function, spasticity, and subjective perception of the  
97 ability to perform daily living tasks than dose-matched goal-oriented standard care (SC) in  
98 patients with severe upper limb paresis, more than six months after their stroke. This pilot  
99 study was designed in order to establish the presence of a clinically important effect on the  
100 selected population, and to estimate treatment effect sizes for further clinical testing (10).

101

## 102 **METHODS**

103

104



105 *Trial design*

106 This study involved random allocation of patients and cross-over group assignment. This  
107 protocol was reviewed and approved by the xxx. This study is registered with  
108 ClinicalTrials.gov, number xxx.

109

110 *Participants*

111 Subjects of both genders, aged between 18 and 75, were eligible if they met the following  
112 inclusion criteria: diagnosis of one, first ever ischemic stroke verified by brain imaging (CT or  
113 MRI); chronic impairment after stroke (>6 months); no contraindications to neuromuscular  
114 electrical stimulation. Subjects were excluded if they showed unstable recovery stage, i.e.  
115 difference between two baseline examinations >1 point in the motor part of the Fugl-Meyer  
116 Assessment for the Upper Extremity scale (FMA-UE) (**11**), mild-to-moderate impairment of  
117 the upper extremity (FMA-UE $\geq$ 21), or excessive spasticity (median Ashworth Scale of the  
118 upper limb >2).

119 *Interventions*

120 Electrically-assisted movement therapy (EAMT) was achieved by using a custom FES device  
121 allowing patients to control and modulate the electrical stimulation using the unaffected hand  
122 in order to produce task-specific movements of the affected limb. The system allowed  
123 therapists to choose and reproduce movements of the whole paralyzed upper limb, re-  
124 engaging patients into goal-oriented exercises.

125

126 Whenever the patient had difficulties in simultaneously controlling the device and performing  
127 exercises, the therapist provided help and ensured the use of the affected limb. During each

128 session three types of exercises were possibly performed: mobilization, games, and training  
129 for activities of daily living (ADL). Therapy was provided in 10 sessions of 90 minutes per  
130 day over two consecutive weeks.

131

132 SC consisted in goal-oriented occupational therapy delivered as mobilization, games, and  
133 training for ADL. Therapy was provided in 10 sessions of 90 minutes per day over two  
134 consecutive weeks, to match the amount of EAMT. Standard care (SC) always excluded FES,  
135 CIMT, and Robotic training.

136

137 Progressive exercise shaping, behavioral training towards transfer of exercises to ADL, and  
138 daily administration of the Motor Activity Log (MAL) **(12)** were applied to both  
139 interventions, as formerly proposed in other effective treatments **(13, 14)**.

140

141 There were two investigation groups: EAMT-SC, where EAMT preceded SC, and SC-EAMT,  
142 where SC preceded EAMT.

143

144 *Outcomes*

145 The primary outcome measure was the change in FMA-UE. The threshold for assessing a  
146 minimal clinically important difference (MCID) between groups was set to 5.25 points **(15)**,  
147 and the minimum detectable change (MDC) between groups was 5.2 points (with no  
148 differentiation by severity of impairment) **(16, 17)**.

149

150 Secondary outcome measures were: Wolf Motor Function Test (WMFT) (**18**); Resistance to  
151 Passive Movement (REPAS) to test hand and arm spasticity (**19**); MAL (**12**). Stroke type was  
152 classified using the Bamford classification (**21**).

153

154 For each patient, brain lesions were delimited and measured (size) using the Medical Imaging  
155 Interaction Toolkit software from structural MRI acquired before trial start. Therapy was  
156 delivered at the xxxx of the xxx in xxx, xxx.

157

158 Clinical outcomes of patients assigned to EAMT-SC and SC-EAMT groups were collected at  
159 T0 (baseline), at T1 (week 3), T2 (week 6), and T3 (follow-up, week 18). One week before  
160 T0, the primary outcome measure was collected for all patients to ensure they were in a stable  
161 plateau of recovery. Patients were excluded if the difference between the two baseline  
162 examinations was  $>1$ .

163

164 *Sample size*

165 Sample size was determined through two-samples testing by estimating effect sizes for the  
166 two groups, assuming a statistical power of 80% and a significance level of 5%. Average  
167 treatment effects were estimated in 3.1 FMA-UE points for SC (**22**) and 8.35 FMA-UE points  
168 for EA. The choice of 8.35 points for EAMT is justified by the fact that, in order to be an  
169 effective treatment and yield an effect on the selected population, the therapy should be able  
170 to produce a MCID in the primary outcome. Standard deviations for both therapies were set to  
171 3 FMA-UE points (**15**), and accounted for the inactivity of patients that was ruled out after  
172 training.

173

174 *Randomization*

175 The allocation sequence was generated from a normally distributed pseudorandom number  
176 sequence of 12 elements in MATLAB®. Patients were allocated to therapy groups upon  
177 collection of the signed consent form. Random allocation sequence was sent to one  
178 representative of xxx and one of xxx, before trial start. Representatives had no contact with  
179 the assessor nor with patients during the whole study duration. Random allocation sequence  
180 was generated at xxx, and patients were enrolled and assigned to interventions by the clinical  
181 staff at xxx.

182

183 *Blinding*

184 The outcome assessor was a trained physician with more than 15 years of experience in  
185 neurological rehabilitation. The assessor was blinded to interventions after assignment, and  
186 had no access to the room where the therapy was delivered, preventing unwanted therapy  
187 unmasking.

188

189 *Statistical analyses*

190 The difference between treatment effects (EAMT vs SC) and negligible carry-over effects on  
191 primary and secondary outcomes were tested with an unpaired, two-tailed Mann-Whitney U-  
192 test (**23**). Within-subjects differences of the relative improvements at T1 and at T2 were tested  
193 to detect a significant effect of the therapy type, and within-subjects sums of the relative  
194 improvements at T1 and T2 were tested to confirm negligible carry-over effects. Asymptotic  
195 p-values are reported in order to account for ties in the ranking procedure.

196 Difference between treatment effects

197 Null Hypothesis:  $[(R1-R2)_{EAMT-SC}]$  and  $[(R1-R2)_{SC-EAMT}]$  have equal medians, rejected if  
198  $p < 0.05$

199 Negligible carry-over effects

200 Null Hypothesis:  $[(R1+R2)_{EAMT-SC}]$  and  $[(R1+R2)_{SC-EAMT}]$  have equal medians, rejected if  
201  $p < 0.05$

202

203 One of the patients in the SC-EAMT group dropped out from the study for unrelated medical  
204 reasons, and her evaluation at T2 was missed. For this reason, only the 10 patients that  
205 received therapy in both periods were considered to test the difference between treatment  
206 effects. All available data was used in order to estimate effect sizes (intent-to-treat).

207

208 Two patients assigned to the EAMT-SC group took a longer washout period than the other  
209 patients in the group, namely eight and six weeks instead of one: evaluations were repeated  
210 before starting the second therapy period in order to check for carry-over effects (evaluation  
211 T1\*). We estimated the effect of EAMT by using T0 and T1 evaluations and the effect of SC  
212 by using T1\* and T2 evaluations for the two patients who received longer washout, i.e.  
213 leaving uncontrolled recovery outside analyses. Carry-over effects were checked by  
214 conservatively including uncontrolled recovery into the second therapy period, i.e. by  
215 checking for statistical differences in T1-T0 against T2-T1, for all patients.

216

217 Post-hoc tests of between-groups differences of the relative improvement in primary and  
218 secondary outcome measures were tested with an unpaired, two-tailed Mann-Whitney U-test.

219 Within-groups differences of the relative improvement in primary and secondary outcome  
220 values were tested with paired, two-tailed Wilcoxon signed-rank test. In both cases,  
221 significance levels were Bonferroni corrected to account for multiple comparisons.

222

223

224 Differences in the occurrence of large recoveries of at least 5 FMA-UE points after either  
225 treatment were tested by means of two-tailed Chi-square test. Odds ratio of large recoveries  
226 was calculated by computing the geometrical average of the U-statistic:  $r=Z/\sqrt{N}$ .

227

228 All calculations and statistical analyses were computed with IBM SPSS Statistics 20®.

229

## 230 **RESULTS**

231 Between September 28, 2015 and January 11, 2016, 44 individuals were tested for eligibility,  
232 of whom 11 were eligible and agreed to participate.

233

234 Five patients were assigned to the EAMT-SC group and six were assigned to the SC-EAMT  
235 group. Their data was included and analyzed for the primary and secondary outcome  
236 measures.

237

238 Patients' demographics and clinical characteristics at baseline are reported in **Table 1**, while  
239 detailed single-patient data are shown in **Supplementary Table 1**. There were no statistically  
240 significant differences between groups at baseline.

241

242 Relative improvements with respect to previous evaluation in primary and secondary outcome  
243 measures are reported in **Table 2**, along with the corresponding p-values for the main cross-  
244 over and carry-over effects.

245

246 Absolute changes in primary and secondary outcome measures are reported in **Table 3**.

247

248 ----- *please insert Table 1, 2, and 3 approximately here* -----

249 *Primary outcome*

250 Improvements after the first and the second period, i.e. differences between scores at T1-T0  
251 and scores at T2-T1, scored higher in the EAMT-SC group (median=16; mean rank=3.00)  
252 than in the SC-EAMT group (median=-4; mean rank=3.00), as shown in **Figure 1**. Mann-  
253 Whitney U-value was found to be statistically significant  $U=3.00$  ( $Z=-1.984$ ),  $p<0.05$ , as  
254 reported in **Table 2**. The difference between recoveries was large ( $r=-.88$ ), and no significant  
255 carry-over effects were found ( $p=0.075$ ).

256

257 ----- *please insert Figure 1 approximately here* -----

258 Relative improvements with respect to baseline were not significantly different between  
259 groups at T1, although the average recovery was larger in the EAMT-SC group ( $12.2\pm 6.7$   
260 FMA-UE points for EAMT-SC and  $4.3\pm 4.4$  for SC-EAMT), nor at T2 ( $16.4\pm 5.8$  FMA-UE  
261 points for EAMT-SC and  $8.6\pm 4.5$  for SC-EAMT). Changes in absolute FMA-UE scores are  
262 reported in **Table 3** and **Supplementary Figure 1**. The absence of a significant difference in

263 recovery between groups at T2 with respect to T0 determines a negligible carry-over effect in  
264 the primary outcome measure (4). In addition, relative recovery at T2 with respect to T1 was  
265 not significantly different between groups ( $0.8 \pm 1.7$  FMA-UE points for EAMT-SC and  
266  $4.8 \pm 4.8$  for SC-EAMT). Median improvements disregarding when therapies were provided  
267 were 6.5 and 1 FMA-UE points after EAMT and SC, respectively. The difference in recovery  
268 between therapies is greater than the MDC and MCID.

269

270 Follow-up evaluations revealed that six of the ten patients that were assessed still reported a  
271 large recovery with respect to T0 (baseline), and three of these six patients showed a further  
272 improvement  $>5$  FMA-UE points with respect to T2. Detailed single-patient primary outcome  
273 data are shown in **Supplementary Figure 2**. At the follow up evaluation, the improvement  
274 with respect to T0 was  $12.4 \pm 7.8$  and  $12.2 \pm 10.6$  FMA-UE points for the EAMT-SC and SC-  
275 EAMT groups, respectively.

276

277 Cumulating the effects of the two consecutive therapies, 10/11 patients achieved a large  
278 recovery. Large recoveries were more frequent after two weeks of EAMT (70% of the  
279 patients) than after two weeks of SC (27% of the patients, Chi-square=3.834,  $p=0.05$ ). After  
280 EAMT, they occurred at T1 (4/5 patients) and at T2 (3/5 patients), while after SC they  
281 occurred only at T1 (3/6 patients). The odds of achieving a large recovery after receiving  
282 EAMT were 6.22 times higher than after SC (95% CI:0.9-41.3).

283

284 *Secondary outcomes*

285 Significantly higher improvements after EAMT than after SC were found for self-reported



286 MAL amount of use ( $p<0.05$ ) and MAL quality of movement ( $p<0.05$ ), as shown in **Figure 1**.  
287 No significant carry-over effects were found in these two measures, as reported in **Table 2**.  
288 Recovery in FMA-UE scores was moderately correlated to recovery in MAL quality of  
289 movement scores ( $r=0.57$ ,  $p<0.01$ ) and MAL amount of use score ( $r=0.51$ ,  $p<0.05$ ). Although  
290 their change was not significant, WMFT time scores were improved at T1 and T2 with respect  
291 to T0 (EAMT-SC was  $6.4\pm 9.6$  s faster at T1 and further  $6.4\pm 7.0$  s faster at T2; SC-EAMT was  
292  $1.3\pm 3.3$  s slower at T1 but  $4.4\pm 5.9$  s faster at T2). REPAS did not change significantly during  
293 the study.

294

295 Lesion volumes, reported in **Supplementary Table 1**, were not correlated with any relative or  
296 absolute measure of the primary outcome.

297

## 298 **DISCUSSION**

299

300

301 We have shown that self-modulated FES and intensive goal-oriented training of the affected  
302 limb result in clinically relevant reduction of impairment in chronic stroke patients with  
303 severe paresis. One and a half hours of EAMT five times a week for two weeks had 6.22  
304 times higher odds of large recovery in the primary outcome measure than dose-matched SC.  
305 Although our results in primary and secondary outcomes indicate early evidence of  
306 superiority of EAMT with respect to SC, superiority should be properly investigated in later  
307 stage clinical trials with higher statistical power. To this aim, effect sizes estimates for EAMT  
308 and SC were found to be 6.5 and 1 FMA-UE points, respectively. The difference between

309 these treatment effects was above the MDC and the MCID. Follow-up evaluations showed  
310 retention or further improvement of function in patients that were able to achieve substantial  
311 gains already at T2, i.e. at the end of the interventional period.

312

313 This is the first time to the best of our knowledge that a therapy regimen involving self-  
314 modulated FES of the affected limb results in clinically relevant improvement in patients with  
315 severe impairment. The idea of using contralateral hand to control FES is not novel (24),  
316 although former studies focused the treatment on the hand only (24, 25). As already observed  
317 in the past, the timeliness and regimens of FES produce substantially different outcomes in  
318 stroke patients (6). FES is a powerful ally of other effective treatments in neurorehabilitation  
319 for its capacity to provide limb actuation, rich afferent stimulation in sensation and  
320 proprioception, and increase cortical excitability in the short time scale (26). Our results show  
321 that combining coarse and imprecise movements generated via FES to volitional attempts and  
322 residual capability in order to complete tasks of progressive complexity can improve  
323 movement relearning and perceived functionality of the affected limb. We cannot exclude, as  
324 pointed out from recent studies (27), that some effect may arise directly from sensory  
325 stimulation coupled with goal-oriented training. Another recent study (28) has shown that  
326 EMG-triggered FES is not better than conventional care in absence of fingers extension,  
327 relating this finding to a potential involvement of corticospinal integrity (29). In our study,  
328 only one of the patients presented partial fingers extension at baseline, but nonetheless we  
329 observed large recoveries, motivating further research in self-modulated stimulation assisting  
330 training of daily living tasks.

331

332 This pilot study was limited by the small sample size, and results should be replicated on a

333 larger population of patients. Assessor blinding and trial design ensured the absence of  
334 confirmatory bias at T1 towards one of the groups. Nevertheless, effect sizes of both groups  
335 might have been inflated by the fact that the assessor knew that patients received some form  
336 of therapy before T1 and before T2, so effect sizes should be taken cautiously.

337

338 Two patients that received EAMT as first therapy took a longer washout period than  
339 scheduled, reporting consistent increases during this uncontrolled time. The statistical  
340 analyses did not include this uncontrolled recovery except for the carry-over effects. Although  
341 these effects were negligible in the context of this study, further studies should be designed to  
342 account for this potential source of bias, i.e. avoiding the cross-over design. The recovery  
343 during uncontrolled time after EAMT could be explained by the fact that both patients  
344 reported attempting to use their affected limb more often at home.

345

346 In addition, the current study design did not allow us to provide an explanation regarding the  
347 difference in recovery between groups achieved in the first period of treatment with respect to  
348 the second. We speculate that this may be due to: i) allocation specific difference in  
349 motivation in patients who may see more rapid progress in one of the groups; ii) a  
350 neurophysiologic phenomenon favoring improvements within the scale of two weeks and  
351 penalizing later improvements that occur later in time; iii) small sample size, although known  
352 cofactors were balanced between groups (age, time since event, lesion type, baseline FMA-  
353 UE score).

354

355 **REFERENCES**

356

357

358 1. Mozaffarian D, Benjamin EJ, Go AS, Arnett DK, Blaha MJ, Cushman M, et al. Heart  
359 Disease and Stroke Statistics-2016 Update: A Report From the American Heart Association.  
360 *Circulation*. 2016;133(4):e38-360.

361 2. Alon G, Levitt AF, McCarthy PA. Functional electrical stimulation (FES) may modify  
362 the poor prognosis of stroke survivors with severe motor loss of the upper extremity: a  
363 preliminary study. *Am J Phys Med Rehabil*. 2008;87(8):627-36.

364 3. Powell J, Pandyan AD, Granat M, Cameron M, Stott DJ. Electrical stimulation of  
365 wrist extensors in poststroke hemiplegia. *Stroke*. 1999;30(7):1384-9.

366 4. Thrasher TA, Zivanovic V, McIlroy W, Popovic MR. Rehabilitation of reaching and  
367 grasping function in severe hemiplegic patients using functional electrical stimulation therapy.  
368 *Neurorehabil Neural Repair*. 2008;22(6):706-14.

369 5. Peckham PH, Knutson JS. Functional electrical stimulation for neuromuscular  
370 applications. *Annu Rev Biomed Eng*. 2005;7:327-60.

371 6. Pomeroy VM, King L, Pollock A, Baily-Hallam A, Langhorne P. Electrostimulation  
372 for promoting recovery of movement or functional ability after stroke. *Cochrane Database*  
373 *Syst Rev*. 2006(2):CD003241.

374 7. Wilson RD, Page SJ, Delahanty M, Knutson JS, Gunzler DD, Sheffler LR, et al.  
375 Upper-Limb Recovery After Stroke: A Randomized Controlled Trial Comparing EMG-  
376 Triggered, Cyclic, and Sensory Electrical Stimulation. *Neurorehabil Neural Repair*.  
377 2016;30(10):978-87.

378 8. Hu XL, Tong RK, Ho NS, Xue JJ, Rong W, Li LS. Wrist Rehabilitation Assisted by  
379 an Electromyography-Driven Neuromuscular Electrical Stimulation Robot After Stroke.  
380 *Neurorehabil Neural Repair*. 2015;29(8):767-76.

- 381 9. Popovic DB, Popovic MB, Sinkjaer T, Stefanovic A, Schwirtlich L. Therapy of paretic  
382 arm in hemiplegic subjects augmented with a neural prosthesis: a cross-over study. *Can J*  
383 *Physiol Pharmacol.* 2004;82(8-9):749-56.
- 384 10. Dobkin BH. Progressive Staging of Pilot Studies to Improve Phase III Trials for Motor  
385 Interventions. *Neurorehabil Neural Repair.* 2009;23(3):197-206.
- 386 11. Sanford J, Moreland J, Swanson LR, Stratford PW, Gowland C. Reliability of the  
387 Fugl-Meyer assessment for testing motor performance in patients following stroke. *Phys*  
388 *Ther.* 1993;73(7):447-54.
- 389 12. Uswatte G, Taub E, Morris D, Light K, Thompson PA. The Motor Activity Log-28:  
390 assessing daily use of the hemiparetic arm after stroke. *Neurology.* 2006;67(7):1189-94.
- 391 13. Morris DM, Taub E, Mark VW. Constraint-induced movement therapy: characterizing  
392 the intervention protocol. *Eura Medicophys.* 2006;42(3):257-68.
- 393 14. Taub E, Uswatte G, Mark VW, Morris DM, Barman J, Bowman MH, et al. Method for  
394 enhancing real-world use of a more affected arm in chronic stroke: transfer package of  
395 constraint-induced movement therapy. *Stroke.* 2013;44(5):1383-8.
- 396 15. Page SJ, Fulk GD, Boyne P. Clinically important differences for the upper-extremity  
397 Fugl-Meyer Scale in people with minimal to moderate impairment due to chronic stroke. *Phys*  
398 *Ther.* 2012;92(6):791-8.
- 399 16. Lin JH, Hsu MJ, Sheu CF, Wu TS, Lin RT, Chen CH, et al. Psychometric comparisons  
400 of 4 measures for assessing upper-extremity function in people with stroke. *Phys Ther.*  
401 2009;89(8):840-50.
- 402 17. Wagner JM, Rhodes JA, Patten C. Reproducibility and minimal detectable change of  
403 three-dimensional kinematic analysis of reaching tasks in people with hemiparesis after  
404 stroke. *Phys Ther.* 2008;88(5):652-63.

- 405 18. Morris DM, Uswatte G, Crago JE, Cook EW, 3rd, Taub E. The reliability of the wolf  
406 motor function test for assessing upper extremity function after stroke. *Arch Phys Med*  
407 *Rehabil.* 2001;82(6):750-5.
- 408 19. Platz T, Vuadens P, Eickhof C, Arnold P, Van Kaick S, Heise K. REPAS, a summary  
409 rating scale for resistance to passive movement: item selection, reliability and validity. *Disabil*  
410 *Rehabil.* 2008;30(1):44-53.
- 411 20. Hantson L, De Weerd W, De Keyser J, Diener HC, Franke C, Palm R, et al. The  
412 European Stroke Scale. *Stroke.* 1994;25(11):2215-9.
- 413 21. Bamford J, Sandercock P, Dennis M, Burn J, Warlow C. Classification and natural  
414 history of clinically identifiable subtypes of cerebral infarction. *Lancet.*  
415 1991;337(8756):1521-6.
- 416 22. Klamroth-Marganska V, Blanco J, Campen K, Curt A, Dietz V, Ettl T, et al. Three-  
417 dimensional, task-specific robot therapy of the arm after stroke: a multicentre, parallel-group  
418 randomised trial. *Lancet Neurol.* 2014;13(2):159-66.
- 419 23. Díaz-Uriarte R. Incorrect analysis of crossover trials in animal behaviour research. .  
420 *Anim Behav.* 2002;63(4):815-22.
- 421 24. Knutson JS, Harley MY, Hisel TZ, Chae J. Improving hand function in stroke  
422 survivors: a pilot study of contralaterally controlled functional electric stimulation in chronic  
423 hemiplegia. *Arch Phys Med Rehabil.* 2007;88(4):513-20.
- 424 25. Knutson JS, Gunzler DD, Wilson RD, Chae J. Contralaterally Controlled Functional  
425 Electrical Stimulation Improves Hand Dexterity in Chronic Hemiparesis: A Randomized  
426 Trial. *Stroke.* 2016;47(10):2596-602.
- 427 26. Barsi GI, Popovic DB, Tarkka IM, Sinkjaer T, Grey MJ. Cortical excitability changes  
428 following grasping exercise augmented with electrical stimulation. *Exp Brain Res.*  
429 2008;191(1):57-66.

- 430 27. Carrico C, Chelette KC, 2nd, Westgate PM, Powell E, Nichols L, Fleischer A, et al.  
431 Nerve Stimulation Enhances Task-Oriented Training in Chronic, Severe Motor Deficit After  
432 Stroke: A Randomized Trial. *Stroke*. 2016;47(7):1879-84.
- 433 28. Kwakkel G, Winters C, van Wegen EE, Nijland RH, van Kuijk AA, Visser-Meily A,  
434 et al. Effects of Unilateral Upper Limb Training in Two Distinct Prognostic Groups Early  
435 After Stroke: The EXPLICIT-Stroke Randomized Clinical Trial. *Neurorehabil Neural Repair*.  
436 2016;30(9):804-16.
- 437 29. Stinear CM, Barber PA, Petoe M, Anwar S, Byblow WD. The PREP algorithm  
438 predicts potential for upper limb recovery after stroke. *Brain*. 2012;135(Pt 8):2527-35.

439

#### 440 **SUPPLIERS**

441

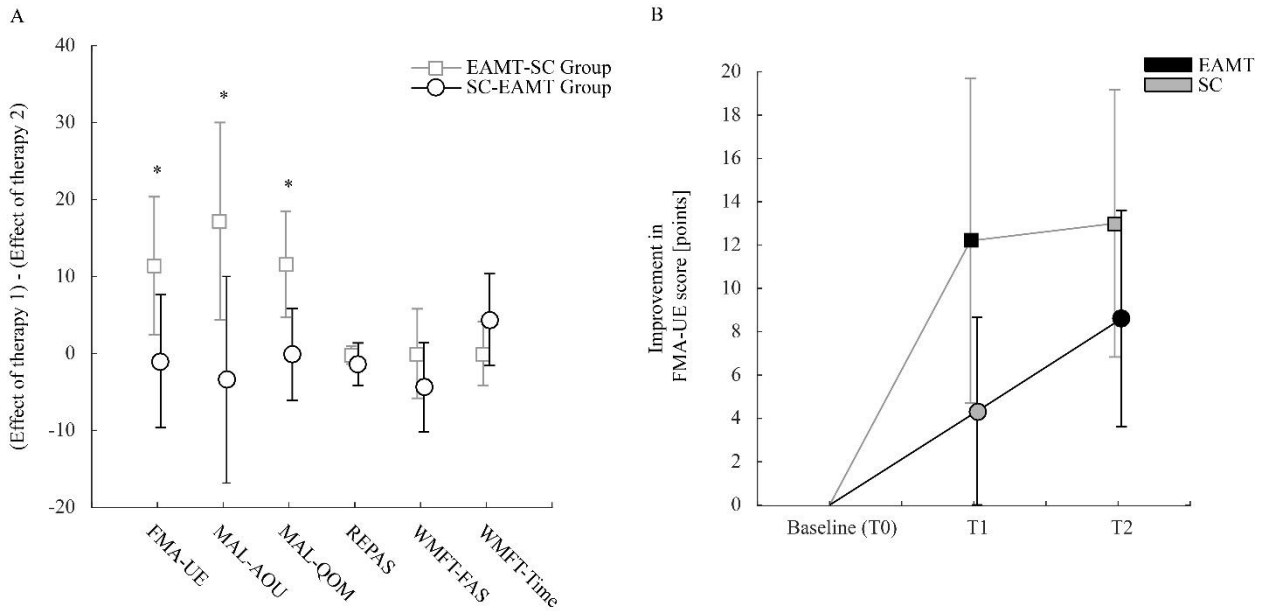
442

- 443 a. Matlab2014a, The MathWorks, Inc., Natick, Massachusetts, United States
- 444 b. IBM Corp. Released 2013. IBM SPSS Statistics for Windows, Version 22.0. Armonk,  
445 NY: IBM Corp.
- 446 c. Medical Imaging Interaction Toolkit (MITK), available on <http://mitk.org/wiki/MITK>

447

1 **Figures**

2 **Figure 1 – Clinical effects.**



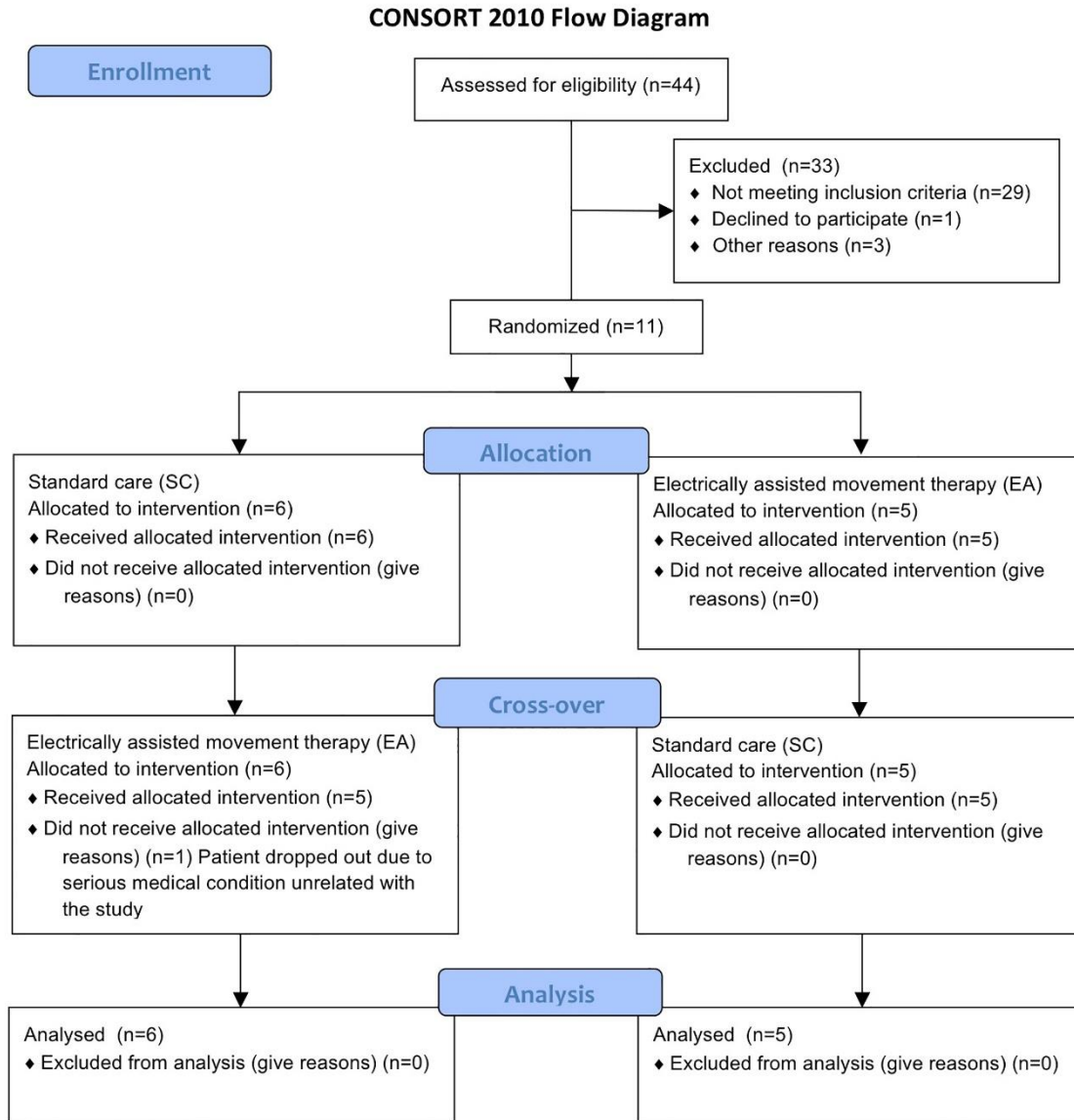
3

4 A) Main cross-over effect in primary and secondary outcomes. The main cross-over effect is  
5 assessed by comparing the difference between the two responses to therapy between groups. In  
6 other words, each patient provides a single value indicating how much the first therapy provided  
7 a larger response than the second therapy; for the EAMT-SC group, the vector indicates how  
8 larger the improvement following EAMT was with respect to the improvement due to SC, and  
9 viceversa for the SC-EAMT group. B) Relative improvement in FMA-UE, the primary outcome  
10 measure of this study, with respect to the baseline evaluation at T0. Patients of the EAMT-SC  
11 group received EAMT between T0 and T1, and further received SC between T1 and T2. On the  
12 contrary, patients of the SC-EAMT group received SC between T0 and T1, and further received  
13 EAMT between T1 and T2.

14



15 **Figure 2– CONSORT flow diagram.**



17 **Tables**

18 **Table 1 – Baseline demographics and clinical characteristics.**

	<b>EAMT-SC (N = 5)</b>	<b>SC-EAMT (N = 6)</b>	<b>p-value</b>
<b>Gender</b>			
Male, n (%)	4 (80)	3 (50)	0.54†
<b>Age [y]</b>			
Mean ± SD	45.6 ± 14.5	49.8 ± 13.3	0.66‡
<b>Age group (%)</b>			
18 - 30, n (%)	1 (20)	0 (0)	
31 - 45, n (%)	1 (20)	3(50)	
45 - 65, n (%)	3 (60)	3 (50)	
>65, n (%)	0 (0)	0 (0)	
<b>Time Since Event [mo]</b>			
Mean ± SD	52 ± 50.5	41.5 ± 31.7	1‡
<b>Lesion side</b>			
Right hemisphere, n (%)	2 (40)	4 (66)	0.57†
<b>Stroke type</b>			
TACI, n (%)	4 (80)	4 (66)	1†
<b>FMA-UE at T0</b>			
Mean ± SD	11 ± 6	13.2 ± 5.4	0.54‡

19 † Fisher’s Exact Test (two-tailed) ; ‡ Independent Samples Mann-Whitney U-test

20 EAMT-SC: this group of patients received electrically-assisted movement therapy before  
 21 standard care; SC- EAMT: this group of patients received standard care before electrically-  
 22 assisted movement therapy. TACI: Total Anterior Circulation Infarct. FMA-UE: Fugl-Meyer  
 23 Assessment for the Upper Extremity.

24

25 **Table 2 – Primary and secondary outcomes, relative improvement with respect to previous**  
 26 **evaluation.**

	Evaluation		p-value cross-over (Hp: EAMT-SC ≠ SC-EAMT) ‡	p-value carry-over (Hp: EAMT+SC ≠ SC+EAMT) ‡
	T1-T0	T2-T1		
<b>FMA-UE</b>			<b>0.047</b>	0.075
EAMT-SC	12.2 ± 6.7	0.8 ± 1.7		
SC-EAMT	4.3 ± 4.4	4.8 ± 4.8		
<b>WMFT time</b>			0.147	0.459
EAMT-SC	-6.4 ± 9.6	-6.4 ± 7.0		
SC-EAMT	1.3 ± 3.3	-4.4 ± 5.9		
<b>WMFT-FAS</b>			0.341	0.169
EAMT-SC	3.2 ± 3.7	3.2 ± 3.3		
SC-EAMT	0.0 ± 0.0	4.4 ± 5.9		
<b>REPAS</b>			0.527	0.167
EAMT-SC	1.0 ± 1.7	1.2 ± 2.3		
SC-EAMT	-0.7 ± 1.5	0.5 ± 2.4		
<b>MAL-AOU</b>			<b>0.036</b>	0.207
EAMT-SC	14.4 ± 10.7	-2.8 ± 5.0		
SC-EAMT	3.7 ± 12.4	3.8 ± 5.2		
<b>MAL-QOM</b>			<b>0.028</b>	0.059
EAMT-SC	13.6 ± 8.0	0.8 ± 5.0		
SC-EAMT	4.0 ± 8.5	0.9 ± 3.7		

27 ‡ Independent Samples Mann-Whitney U-test

28 Hp: statistical hypothesis that was tested; EAMT-SC≠SC-EAMT: main cross-over effect, i.e. the  
 29 difference of first and second therapy effects is significantly different between groups;

30 EAMT+SC≠SC+EAMT: carry-over effect, i.e. the sum of first and second therapy effects is  
 31 significantly different between groups; statistically significant p-values are reported in bold.

32 FMA-UE: Fugl-Meyer Assessment for the Upper Extremity; WMFT time: Wolf Motor Function

33 Test timing (in seconds); WMFT-FAS: Wolf Motor Function Test Functional Activity Scale;

34 REPAS: Resistance to Passive Movement Scale; MAL-AOU: Motor Activity Log Amount Of

35 Use; MAL-QOM: Motor Activity Log Quality Of Movement. Improvements are reported as

36 mean  $\pm$  standard deviation of the individual change within each group. EAMT-SC: this group of  
37 patients received electrically-assisted movement therapy before standard care; SC- EAMT: this  
38 group of patients received standard care before electrically-assisted movement therapy.

39 **Table 3 – Primary and secondary outcomes, absolute group scores across the study.**

	<b>T0</b>	<b>T1</b>	<b>T1*</b>	<b>T2</b>	<b>T3</b>
<b>FMA-UE</b>					
EAMT-SC	11±5.4	23.2±10.7	26.6±9.6	27.4±9	26.8±11.2
SC-EAMT	13.2±4.9	17.5±7.5		20.4±7.3	24±14.9
<b>WMFT time</b>					
EAMT-SC	99.8±20.3	93.4±18.5	89±17.7	82.6±19.6	85±21.6
SC-EAMT	86.2±31.3	87.5±30		88.4±32.4	87.2±31.7
<b>WMFT-FAS</b>					
EAMT-SC	12.6±10.8	15.8±13.5	19.6±11.7	22.8±11.8	23±12.8
SC-EAMT	14.8±11.3	14.8±11.3		16.4±14.1	20.6±18.8
<b>REPAS</b>					
EAMT-SC	9.2±5.2	10.2±6.4	8.8±4.3	10±5.3	10.4±7
SC-EAMT	8.8±3.7	8.2±3		9.4±1.5	10.6±1.5
<b>MAL-AOU</b>					
EAMT-SC	4.2±7	18.6±11.1	17.2±12.5	18.6±10.2	22.4±16.2
SC-EAMT	7±10.7	10.7±7.4		12.6±8.3	21.1±27.3
<b>MAL-QOM</b>					
EAMT-SC	4±7	17.6±10.4	18.6±10.4	19.4±11	20.8±13.9
SC-EAMT	5.7±8	9.7±7.7	0±0	8.5±9.5	18±29.1

40

41 FMA-UE: Fugl-Meyer Assessment for the Upper Extremity; WMFT time: Wolf Motor Function

42 Test Timing (in seconds); WMFT-FAS: Wolf Motor Function Test Functional Activity Scale;

43 REPAS: Resistance To Passive Movement; MAL-AOU: Motor Activity Log Amount Of Use;

44 MAL-QOM: Motor Activity Log Quality Of Movement. Scores changes are reported as mean ±

45 standard deviation of the absolute scores within each group. EAMT-SC: electrically-assisted

46 movement therapy before standard care; SC- EAMT: standard care before electrically-assisted

47 movement therapy. T1\* group mean and standard deviation was calculated by including T1\*

48 evaluations instead of T1 evaluations for the two patients who took a longer washout period.

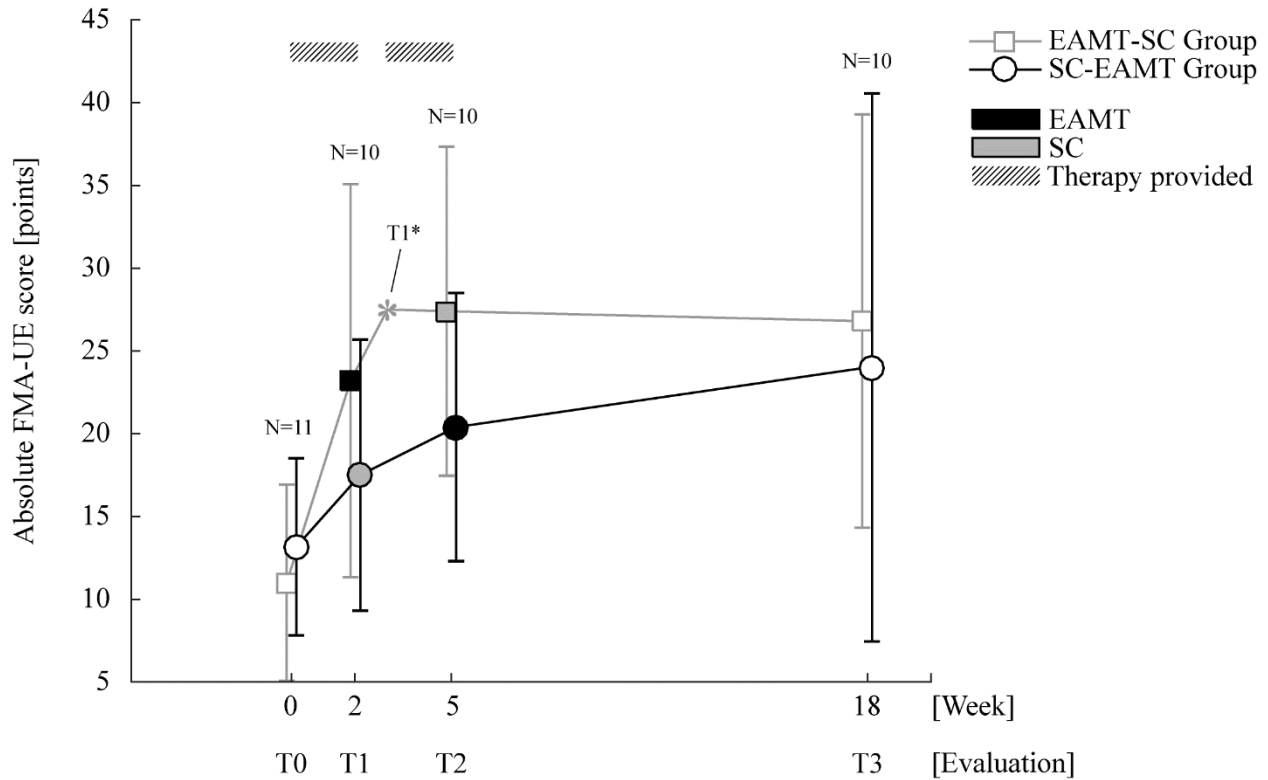
49

50

51 **Supplementary material**

52 **Supplementary Figure 1 – Change in primary outcome metric including the follow-up**

53 **assessment.**

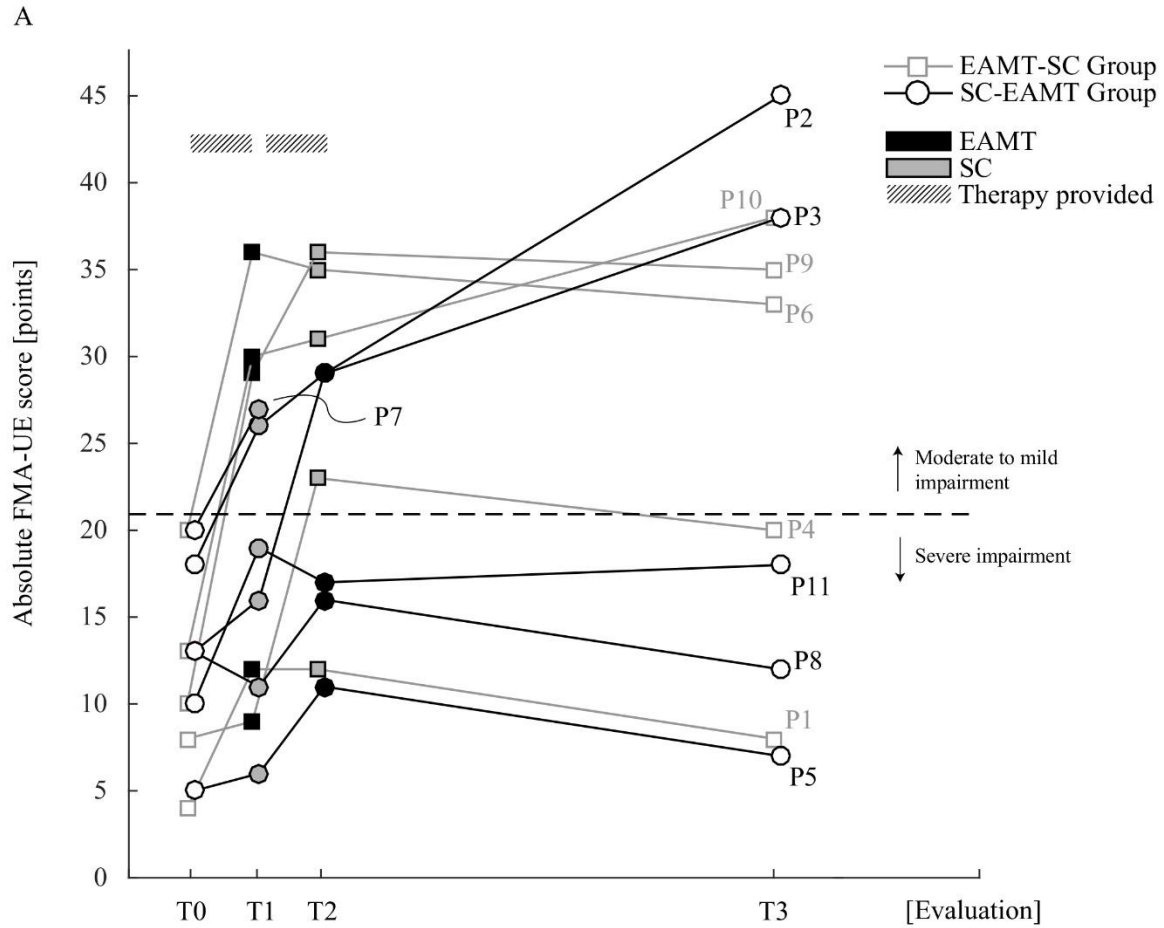


54  
55 Absolute change in FMA-UE at all evaluations, displayed by group. Therapy was only provided  
56 between T0 and T1 and between T1 and T2. T1 was collected of the beginning of the washout  
57 week between the two therapies. T1\* group average was calculated by including T1\* evaluations  
58 instead of T1 evaluations for the two patients who took a longer washout period.

59

60

61 **Supplementary Figure 2 – Single-patient primary outcome data.**



B

Patient	Allocation	Absolute FMA-UE Scores					Relative FMA-UE Improvements			
		T0	T1	T1*	T2	T3	T1-T0	T2-T1	T2-T0	T3-T0
P1	EAMT-SC	4	12		12	8	8	0	8	4
P2	SC-EAMT	18	26		29	45	8	3	11	27
P3	SC-EAMT	13	16		29	38	3	13	16	25
P4	EAMT-SC	8	9	19	23	20	1	4	15	12
P5	SC-EAMT	5	6		11	7	1	5	6	2
P6	EAMT-SC	20	36		35	33	16	-1	15	13
P7	SC-EAMT	20	27				7			
P8	SC-EAMT	13	11		16	12	-2	5	3	-1
P9	EAMT-SC	10	29	36	36	35	19	0	26	25
P10	EAMT-SC	13	30		31	38	17	1	18	25
P11	SC-EAMT	10	19		17	18	9	-2	7	8

62

63 A) Graphical representation of the change of FMA-UE scores for each patient. Each trajectory  
64 represents the evolution of FMA-UE score of a patient. B) Individual FMA-UE scores at T0, T1,  
65 T2, and T3 evaluations. Patients 4 and 9 took a longer washout time than the others, and were  
66 screened at T1\* before starting the second therapy. Relative improvements for those two patients  
67 were calculated as  $T1-T0$  and  $T2-T1^*$ . Patient 7 dropped out after receiving SC for medical  
68 reasons unrelated to this study. We also report the change of FMA-UE score after both therapies  
69 with respect to baseline (i.e.  $T2-T0$ ) and the overall change 18 weeks after therapy start with  
70 respect to baseline (i.e.  $T3-T0$ ).

71

72

73

74



75 **Supplementary Table 1 – Single-patient demographics and lesions characteristics.**

Patient	Allocation	Age [y]	TSE [mo]	Side	Type	Volume [mm3]	Location
P1	EAMT-SC	62	133	R	TACI	347,638†	Fronto-Parieto-Temporal Cortex.
P2	SC-EAMT	33	9	R	PACI	5,372	Internal Capsule (Basal Ganglia).
P3	SC-EAMT	34	9	L	TACI	169,016	Temporo-Parieto-Prefrontal Cortex.
P4	EAMT-SC	44	16	L	PACI	49,821	Insula and Basal Ganglia.
P5	SC-EAMT	63	98	R	TACI	n/a	White Matter and Basal Ganglia‡.
P6	EAMT-SC	19	13	L	TACI	653,506	Fronto-Parieto-Temporo-Occipital Cortex, Insula, and Basal Ganglia.
P7	SC-EAMT	62	63	R	PACI	36,204	Fronto-Insular Cortex.
P8	SC-EAMT	63	26	L	TACI	101,853	Temporo-Parietal Cortex and Insula.
P9	EAMT-SC	52	90	L	TACI	55,934†	White Matter-Fronto-Parietal.
P10	EAMT-SC	51	8	R	TACI	221,575	Fronto-Parietal Cortex and Insula.
P11	SC-EAMT	44	44	R	TACI	222,839	Temporo-Parieto-Frontal Cortex.

76

77 TSE: time since event. TACI: total anterior circulation infarct. PACI: partial anterior circulation  
78 infarct. Lesion side referred to R: right hemisphere, and L: left hemisphere. All patients  
79 presented an ischemic lesion. Lesion volumes and lesion locations were assessed by means of  
80 magnetic resonance imaging performed before trial start, except for the marked cases where data  
81 were †: images were retrieved from former MRI scan and ‡: images were retrieved from former  
82 CT scan.