

# Statistical Spatial Filtering for a P300-based BCI: Tests in able-bodied, and Patients with Cerebral Palsy and Amyotrophic Lateral Sclerosis

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## Abstract

The effective use of brain-computer interfaces (BCI) in real-world environments depends on a satisfactory throughput. In a P300-based BCI, this can be attained by reducing the number of trials needed to detect the P300 signal. However, this task is hampered by the very low signal-to-noise-ratio (SNR) of P300 event related potentials. This paper proposes an efficient methodology that achieves high classification accuracy and high transfer rates for both disabled and able-bodied subjects in a standard P300-based speller system. The system was tested by three subjects with cerebral palsy (CP), two subjects with amyotrophic lateral sclerosis (ALS), and nineteen able-bodied subjects.

The paper proposes the application of three statistical spatial filters. The first is a beamformer that maximizes the ratio of signal power and noise power (Max-SNR). The second is a beamformer based on the Fisher criterion (FC). The third approach cascades the FC beamformer with the Max-SNR beamformer satisfying simultaneously sub-optimally both criteria (C-FMS). The calibration process of the BCI system takes about 5 minutes to collect data and a couple of minutes to obtain spatial filters and classification models.

Online results showed that subjects with disabilities have achieved, on average, an accuracy and transfer rate only slightly lower than able-bodied subjects. Taking 23 of the 24 participants, the averaged results achieved

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a transfer rate of 4.33 symbols per minute with a 91.80% accuracy, corresponding to a bandwidth of 19.18 bits per minute. This study shows the feasibility of the proposed methodology and that effective communication rates are achievable.

*Keywords:* Brain computer interface, electroencephalography, P300, spatial filtering, signal-to-noise ratio.

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## 1 Introduction

Brain computer interfaces (BCI) based on electroencephalography (EEG) emerge as a feasible type of human-computer and human-machine interfaces that open new communication channels to persons suffering from severe motor disabilities, such as amyotrophic lateral sclerosis (ALS), full paraplegia and certain types of cerebral palsy, without recurring to the conventional motor output pathways. For some of these patients, standard interfaces such as speech recognition, eye tracking and head or teeth switches are not suitable because they suffer from total lack of motor control or very low dexterity affecting head, limbs, eyes and speech.

Scalp recorded EEG is a non-invasive technique that presents a very good temporal resolution and requires relatively low-cost devices. These are the two main reasons that explain its widespread use in BCI. However, EEG presents a poor spatial resolution mainly due to volume conduction (Srinivasan et al., 1998). This phenomena associated with the presence of artifacts such as muscular activity, external stimuli, environmental noise and spontaneous ongoing EEG, substantially degrade the signal-to-noise ratio (SNR), particularly in event related potentials (ERP). Moreover, EEG signals are nonstationary and present inter-subject and within-subject variability. The decoding of user intentions from brain patterns therefore requires the application of signal processing and pattern recognition techniques that can enhance the desired components and attenuate noise from EEG data. In the context of classification, another important issue is the reduction of feature dimensionality to attenuate overfitting of training data and to increase the computational efficiency of algorithms for real time operation (Hall, 2000).

Several approaches have been proposed for classification in P300-based BCI systems. One common practice is to apply feature extraction, or simply decimation, on each raw channel, and then concatenate the features from every channel into a feature vector used for classification (Thulasidas et al.,

2006; Lenhardt et al., 2008). This approach can be combined with feature selection algorithms, via wrapper or filter methods, able to find the most discriminative features (Rakotomamonjy and Guigue, 2008; Hoffmann et al., 2008b). One popular combination of classification and feature selection is the stepwise linear discriminant analysis (SWLDA), which has demonstrated good classification results (Farwell and Donchin, 1988; Donchin et al., 2000; Krusienski et al., 2008; Townsend et al., 2010). Other efficient classification methods were already proposed such as support vector machine (SVM) (Rakotomamonjy and Guigue, 2008; Kaper et al., 2004) and Fisher linear discriminant analysis (FLDA) (Hoffmann et al., 2008a). See (Krusienski et al., 2006) for a comparison of several P300 classification methods. Feature selection is a way of increasing the SNR because it removes noisy and non-discriminative features, but it does not take full advantage of the spatial combination of multichannel data as it happens in spatial filtering. When signal and noise have different spatial foci, spatial filtering can decompose raw signals into different components separating noise and meaningful components, leading to an enhanced SNR. Feature selection algorithms can still be applied after spatial filtering further improving the SNR. Spatial filtering assumes particular importance when the temporal frequency spectrum of noise and interferences overlaps the temporal frequency spectrum of the transient P300 signal, since temporal filtering is not able to separate noise from signal (see section 3.1).

Three spatial filtering methods are commonly applied in BCI: independent component analysis (ICA), principal component analysis (PCA) and common spatial patterns (CSP). Both ICA and PCA are mainly used on an unsupervised way, the former for separation of multichannel EEG data into statistically independent components, and the second for dimensionality reduction (Lenhardt et al., 2008) and denoising. Most of the ICA applications have been on offline neurophysiologic analysis (Makeig et al., 1999), and for strong artifact removal, such as eye blinking, eye movement and muscular activity (Jung et al., 2000; Müller et al., 2004). Still, there are successful online and offline applications of ICA in the context of P300-based systems, as you can see respectively in (Serby et al., 2005; Piccione et al., 2006) and (Xu et al., 2004). The CSP method is a supervised technique that relies on the simultaneous diagonalization of two covariance matrices, maximizing the differences between two classes (Fukunaga and Koontz, 1970). It was first applied in (Soong and Koles, 1995) for localization of neurophysiologic features and since then it has been mainly applied in motor imagery

68 based BCIs (Müller-Gerking et al., 1999; Ramoser et al., 2000; Blanchard  
69 and Blankertz, 2004; Li et al., 2004; Lemm et al., 2005; Dornhege et al.,  
70 2006), outperforming ICA and classical EEG re-referencing montages such  
71 as Laplacian derivations (Naeem et al., 2006). As concerns the effective  
72 use of CSP for P300 detection, see (Krusienski et al., 2007) for a variant  
73 of CSP called common spatio-temporal patterns (CSTP) and (Pires et al.,  
74 2009) where a straightforward application of CSP was proposed. In (Rivet  
75 et al., 2009) it is proposed the xDAWN algorithm, which estimates spatial  
76 filters that find the evoked subspace by maximizing the signal-to-signal plus  
77 noise ratio. In other contexts than BCI, many other spatial filtering tech-  
78 niques have been proposed specifically for ERP denoising (de Cheveigne and  
79 Simon, 2008; Ivannikov et al., 2009).

80 This paper analyzes and assesses the application of several statistical  
81 beamformers in a P300 based BCI, with experimental testing on a stan-  
82 dard row-column speller paradigm. Beamforming techniques were origi-  
83 nally developed in the field of antenna and sonar array signal processing  
84 (Van Veen and Buckley, 1988; Trees, 2002) and are currently used in many  
85 other areas including magnetoencephalography (MEG) and EEG source re-  
86 construction/localization (Van Veen et al., 1997; Sekihara et al., 2001; Grosse-  
87 Wentrup et al., 2009).

88 Firstly, we propose a beamformer based on the classical SNR maximiza-  
89 tion criterion (Max-SNR) (Van Veen and Buckley, 1988). The filter is ob-  
90 tained from the eigenvector that maximizes the output ratio of signal and  
91 noise powers. The method works blindly, i.e., it does not use geometrical  
92 information about the sensor array or the underlying sources. It requires the  
93 estimation of covariances matrices associated with periods of the P300 signal,  
94 and periods of only noise-plus-interference. Secondly, a beamformer based on  
95 the Fisher Criterion (FC) is proposed following the same eigenvector-based  
96 principle used in Max-SNR. The method extends the well known Fisher lin-  
97 ear discriminant (FLD) to the spatial domain using an approach similar to  
98 (Hoffmann et al., 2006). Third, the two beamformers are cascaded in order to  
99 satisfy simultaneously in a suboptimum way both criteria (Fukunaga, 1990,  
100 Ch.10). This spatial filter is henceforth designated C-FMS.

101 Experimental assessment of the spatial filters show the effective improve-  
102 ment as concerns SNR and classification accuracy. Their performance is com-  
103 pared with the one obtained with best channel and with Laplacian spatial  
104 filtering. The Laplacian method is a high-pass spatial filter that computes  
105 for each electrode the instantaneous second derivative of the spatial voltage



Figure 1: Screenshot of  $6 \times 6$  matrix speller paradigm.

106 distribution, emphasizing localized activity and attenuating surrounding ac-  
 107 tivity. It is an unsupervised technique that significantly increases the SNR  
 108 and thereby increases the classification accuracy (McFarland et al., 1997).  
 109 Two classification methodologies, one combining the average of the signal  
 110 epochs and the other combining the *a posteriori* probabilities, are compared.  
 111 The system requires a short calibration time of about 7 minutes, more ex-  
 112 actly, 5 minutes to collect data plus 2 minutes to obtain spatial filters and  
 113 classification models. The C-FMS filter combined with feature selection and  
 114 a Bayesian classifier is tested online on a group of 19 able-bodied partici-  
 115 pants and 5 disabled participants. For performance comparison purposes,  
 116 the C-FMS method is also tested on the data sets of the BCI-competition  
 117 2003 (BCI-Competition, 2003).

118 Although the methods are applied in a P300-based BCI framework, they  
 119 can also be used to reduce the recording duration in patient examinations,  
 120 when P300 detection is used as a diagnostic tool (e.g., cognitive impairments,  
 121 neurological and psychiatric disorders) (Mell et al., 2008).

## 122 2. Paradigm, Data Acquisition and Participants

### 123 2.1. Participants

124 The experiments were performed by nineteen able-bodied volunteers, three  
 125 subjects with cerebral palsy (CP), and two subjects with amyotrophic lat-  
 126 eral sclerosis (ALS). All participants gave informed consent to participate  
 127 in the study. Fourteen of the able-bodied subjects and the five disabled

Table 1: Clinical data of CP and ALS patients

Patient	Age	Sex	Diagnosis	Time since diagnosis (years)
S20	18	F	CP: spastic tetraparesis and dysarthria	posnatal
S21	34	M	CP: spastic tetraparesis and dysarthria, and involuntary movements with high amplitude	perinatal
S22	46	M	CP: spastic tetraparesis, dysarthria and discal hernia C3-C4	perinatal
S23	67	F	bulbar ALS (FRS-r 46)	7
S24	75	F	bulbar ALS (FRS-r 40)	1

128 subjects never had used a BCI before. Table 1 presents a summary of clin-  
 129 ical data of disabled subjects. The three subjects with CP present severe  
 130 spastic tetraparesis (neuromuscular mobility impairment characterized by  
 131 hypertonic muscle tone affecting all four limbs and trunk) and dysarthria  
 132 (speech disorder characterized by poor articulation), and are all confined to  
 133 a wheelchair. Subject S20 steers the wheelchair using an head-switch that  
 134 selects the direction via a scanning interface, subject S21 uses an adapted joy-  
 135 stick controlled by the right foot, and subject S22 controls the wheelchair with  
 136 the chin. All present involuntary movements which are more pronounced on  
 137 subject S21. Subjects S23 and S24 present a bulbar-onset ALS whose main  
 138 signs are dysarthria and dysphagia (swallowing difficulty). Subject S23 also  
 139 begins to exhibit muscular weakness in upper limbs with distal predominance.  
 140 The degree of disability was rated by using the revised ALS functional rating  
 141 scale (ALSFRS-r) where 48 is normal and 0 a complete loss of functionality  
 142 (Cedarbaum et al., 1999). Spoken communication with subjects S20-S23 was  
 143 hard, and impossible with subject S24. All patients presented normal cog-  
 144 nitive capabilities. The group of able-bodied volunteers was composed of 10  
 145 males and 9 females with ages from 18 to 42 years old, averaging 30.1 years  
 146 old.

## 147 2.2. Paradigm and procedure

148 The speller system is based on the paradigm proposed by Farwell and  
 149 Donchin (Farwell and Donchin, 1988) as shown in Fig.1. The speller paradigm  
 150 presents a  $6 \times 6$  matrix with the alphabet letters and other useful symbols  
 151 such as the 'spc' and 'del'. The rows and columns are intensified during 100

152 ms with an inter-stimulus interval (ISI) settled to 200 ms. For every complete  
153 scanning (round), each row and column is intensified once in a random order.  
154 The target events are the row and column that include the symbol mentally  
155 selected by the user. All other rows and columns are the non-target events.  
156 Thus, for each round there are 2 target events and 10 non-target events,  
157 which corresponds to a target event probability of 2/12. It is expected that  
158 target events will elicit a P300 ERP. The EEG signals are recorded and syn-  
159 chronously marked with event codes. The data segment associated to each  
160 event is called an epoch and has a duration of 1 second. The interval be-  
161 tween each group of rounds is called inter-trial interval (ITI). This interval  
162 was settled to 2.5 seconds to allow the user to switch the attention focus for  
163 a new letter mentally selected.

164 The experiments took place on regular rooms in an environment with  
165 some noise and people moving around. The sessions with CP and ALS sub-  
166 jects took place respectively at the facilities of the Cerebral Palsy Association  
167 of Coimbra (APCC) and the Hospitals of the University of Coimbra (HUC).  
168 The sessions with able-bodied participants took place at working labs. The  
169 experiments consisted of a calibration phase and of an online phase. Before  
170 the calibration phase, the subjects were instructed to be relaxed and attend  
171 the desired target, mentally counting the number of intensifications of tar-  
172 get rows and columns. The able-bodied and ALS subjects were seated on a  
173 standard chair, while the CP subjects were seated at their own wheelchairs.  
174 A 15" computer screen was positioned in front of the participants at about  
175 60-70 cm. It was asked only to the able-bodied subjects to avoid blinking  
176 and moving the eyes.

177 During the calibration phase, the subjects attended the letters of the word  
178 'INTERFACE' (9 characters) which were successively provided at the top of  
179 the monitor (Fig. 1). Each row and column was repeated 10 times for each  
180 letter. Therefore, the data collected during the calibration phase consisted  
181 of 180 target epochs and 900 non-target epochs. This calibration session  
182 took about 5 minutes, and after that, the classification models were trained  
183 from collected and labeled data, taking only a couple of minutes. The online  
184 sessions took place just after the calibration phase.

185 The EEG activity was acquired with a g.tec gUSBamp amplifier. Signals  
186 were recorded from 12 Ag/Cl electrodes at positions Fz, Cz, C3, C4, CPz,  
187 Pz, P3, P4, PO7, PO8, POz and Oz of the internacional extended 10-20  
188 standard system with a g.tec cap. The electrodes were referenced to the  
189 right ear lobe and the ground was placed at AFz. Signals were sampled at

190 256 Hz, and filtered by a 0.1-30 Hz bandpass filter and a 50 Hz notch filter.  
 191 The electrodes impedance varied from subject to subject, but were almost  
 192 always kept under  $10K\Omega$ .

### 193 3. Signal Processing and Classification Methods

#### 194 3.1. Assumptions and notation

195 Consider an EEG epoch  $\mathbf{X}$  defined as a time sequence of measures,  $\mathbf{X} =$   
 196  $[\mathbf{x}(t_1) \ \mathbf{x}(t_2) \ \cdots \ \mathbf{x}(t_T)]$ , where  $T$  is the number of time samples and  $\mathbf{x}(t)$   
 197 is a column vector with dimension  $N$  (number of EEG channels). Therefore,  
 198 each epoch is represented by a spatio-temporal matrix  $\mathbf{X}$  with dimension  
 199  $N \times T$  (in our case,  $N = 12$  channels and  $T = 256$  samples). Target and  
 200 non-target epochs are represented respectively by  $\mathbf{X}_+$  and  $\mathbf{X}_-$ , where the  
 201 subscripts  $+$  and  $-$  stand respectively for target and non-target.

202 Let us consider target epochs modeled according to

$$\mathbf{X}_{+,k} = \mathbf{S}_k + \mathbf{V}_k \quad (1)$$

203 where  $\mathbf{X}_{+,k}$  is the  $k_{th}$  recorded epoch and  $\mathbf{S}_k$  is the  $k_{th}$  P300 signal, mea-  
 204 sured in the  $N$  dimensional space.  $\mathbf{V}_k$  contains activity from ongoing EEG,  
 205 plus the interference from not-attended flashes, plus white noise. Non-target  
 206 epochs occur immediately before target epochs and thus the activity should  
 207 be similar to  $\mathbf{V}_k$ . Hence,  $\mathbf{X}_{-,k}$  is modeled as the noise and interference part  
 208 of the measured target epochs

$$\mathbf{X}_{-,k} = \mathbf{V}_k. \quad (2)$$

209 Models (1) and (2) were experimentally sustained by means of a fre-  
 210 quency analysis. It consisted of calculating and analyzing the FFT spectra  
 211 over representative data collected from one session (180 target epochs and  
 212 900 non-target epochs). Color maps in Fig. 2(a) and Fig. 2(b) represent  
 213 respectively the FFT spectra of 90 target and 90 non-target epochs mea-  
 214 sured at channel Pz. The spectra for both conditions,  $\mathbf{X}_+$  and  $\mathbf{X}_-$ , present  
 215 similar frequency distributions. This overlapping of spectra is evidenced in  
 216 the example of a single realization in Fig. 2(c). This shows, firstly, that  
 217 much of the non-target activity is contained in target epochs, and secondly,  
 218 that temporal filtering is insufficient to remove noise from target epochs, and  
 219 thus it should be used carefully. Figure 2(d) presents the average of the  
 220 FFT spectra of target and non-target epochs. The average attenuates the



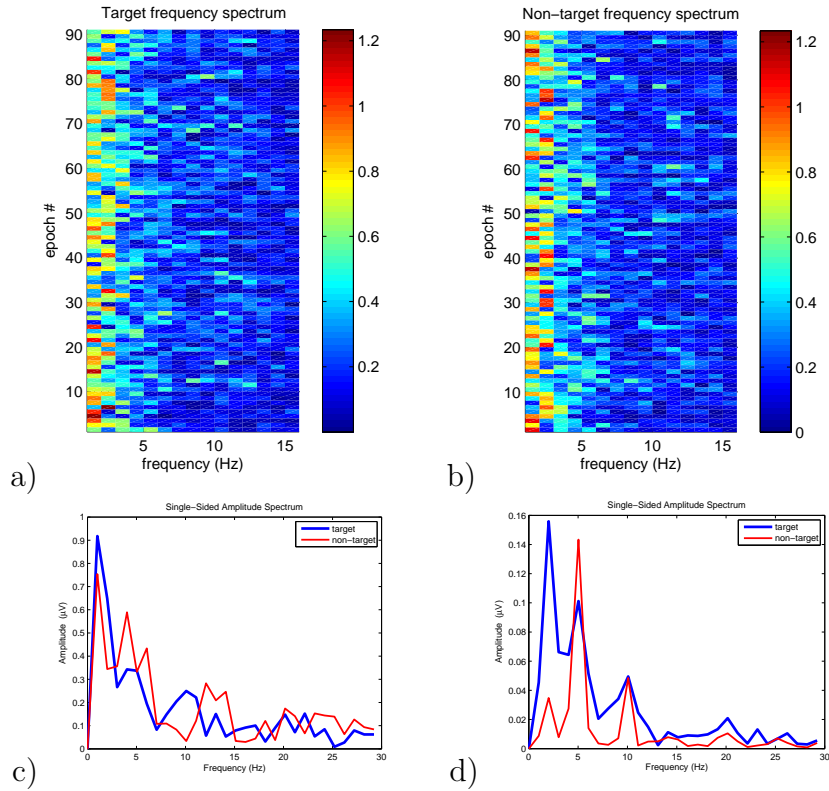


Figure 2: FFT spectrum of a representative data set of one session (180 target and 900 non-target epochs) measured at channel Pz; (a) Color map of the FFT spectra over 90 out of the 180 target epochs; (b) Color map of the FFT spectra over 90 out of the 900 non-target epochs; (c) Example of one FFT of a single epoch (target and non-target); (d) Average of the FFT spectra of all epochs (180 FFTs of target epochs and 900 FFTs of non-target epochs).

221 spectrum of random components, and emphasizes the spectrum of the P300  
 222 ERP and other uncorrelated interfering signals. A strong interference at 5 Hz  
 223 appears in the target spectrum (see Fig. 2(d)). This interference comes from  
 224 the rows/columns flashing with an ISI of 200 ms, i.e, 5 Hz (see its effect in  
 225 time domain in Fig. 3). These stimuli generate a steady state visual evoked  
 226 potential (SSVEP) at 5 Hz, and a 2nd harmonic at 10 Hz as well. This 2nd  
 227 harmonic affects target epochs with less impact because it does not overlap  
 228 the spectrum of the P300 signal.

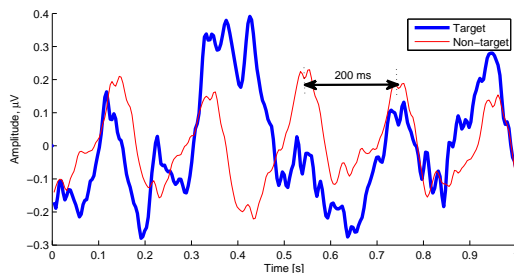


Figure 3: Average of 180 unfiltered target epochs and 900 unfiltered non-target epochs recorded at channel Pz. The result evidences an oscillatory component with 200 ms period in non-target epochs, which is also visible in target epochs.

### 229 3.2. Spatial Filtering

230 A spatial filter is generically an weighting vector,  $w$ , that combines the  
231 data of  $N$  channels at each time instant  $t$

$$y_j(t) = \sum_{i=1}^N w_{ij}x_i(t) \quad , j = 1, \dots, N \quad (3)$$

232 where  $y_j$  is the output projection obtained from input channels  $x_i$ , which can  
233 be denoted in the matrix notation from:

$$\mathbf{Y} = \mathbf{W}'\mathbf{X} \quad (4)$$

234 where  $'$  denotes the transpose operator.

#### 235 3.2.1. Max-SNR beamformer

236 In this first approach, the spatial filtering of P300 is stated as a denoising  
237 problem. The solution is an optimum beamformer, based on statistical data,  
238 that maximizes the output SNR

$$\text{SNR} = \frac{\text{E}[W'\mathbf{S}\mathbf{S}'W]}{\text{E}[W'\mathbf{X}_-\mathbf{X}'_-\mathbf{W}]} \simeq \frac{W'\bar{\mathbf{R}}_+W}{W'\bar{\mathbf{R}}_-W} \quad (5)$$

239 where  $W$  is the weighting vector,  $\text{E}[\cdot]$  represents the expectation operator,  
240 and the matrices  $\bar{\mathbf{R}}_+$  and  $\bar{\mathbf{R}}_-$  are the estimated covariance matrices for target  
241 and non-target. The maximum SNR is obtained by maximizing the discrimi-  
242 native Rayleigh quotient in (5). The optimal  $W$  is the eigenvector associated

243 to the largest eigenvalue. The solution is achieved by finding the generalized  
 244 eigenvalue decomposition that satisfies the equation

$$\bar{\mathbf{R}}_+ W = \bar{\mathbf{R}}_- W \Lambda \quad (6)$$

245 where  $\Lambda$  is the eigenvalue matrix. The eigenvectors  $W$  are obtained from  
 246 the eigenvalue decomposition of  $(\bar{\mathbf{R}}_-)^{-1} \bar{\mathbf{R}}_+$  provided that  $\bar{\mathbf{R}}_-$  is nonsingular.  
 247 The principal eigenvector  $W^{(1)}$  maximizes the SNR, and therefore the output  
 248 of the beamformer is given by

$$\mathbf{y} = W^{(1)'} \mathbf{X}. \quad (7)$$

249 The  $N \times T$ -dimensional measurement  $\mathbf{X}$  is transformed into a 1-dimensional  
 250 subspace,  $1 \times T$ . This reduction of the feature space is an important achieve-  
 251 ment for subsequent classification.

252 The matrices  $\bar{\mathbf{R}}_+$  and  $\bar{\mathbf{R}}_-$  are estimated from the average over the epochs  
 253 within each class, gathered during calibration sessions. Consider the  $N \times N$   
 254 normalized spatial covariance for each epoch  $k$  given by  $\mathbf{R}_k = \mathbf{X}_k \mathbf{X}_k' / \text{tr}(\mathbf{X}_k \mathbf{X}_k')$ ,  
 255 then,  $\bar{\mathbf{R}}_+$  and  $\bar{\mathbf{R}}_-$  are computed from

$$\bar{\mathbf{R}}_+ = \frac{1}{K_+} \sum_{k=1}^{K_+} \mathbf{R}_{+,k} \quad \text{and} \quad \bar{\mathbf{R}}_- = \frac{1}{K_-} \sum_{k=1}^{K_-} \mathbf{R}_{-,k} \quad (8)$$

256 where  $K_+$  and  $K_-$  are the number of target and non-target training sam-  
 257 ples. The size of the target and non-target classes is highly unbalanced and  
 258 therefore a regularization of the covariance matrices according to

$$\bar{\mathbf{R}}_+ W = (\bar{\mathbf{R}}_+ + \alpha \bar{\mathbf{R}}_-) W \Lambda, \quad (9)$$

259 where  $\alpha \leq 1$ , can alleviate overfitting and improve class discrimination.

260 The Max-SNR solution (6) is similar to that obtained from CSP, which  
 261 can also be stated as a generalized eigenvalue problem as can be seen in  
 262 (Tomioka et al., 2007). The Max-SNR can be regarded as a particular case  
 263 of CSP.

### 264 3.2.2. FC Beamformer

265 The Max-SNR criterion relies on the ratio of signal and noise cross-powers.  
 266 From a pattern recognition perspective, other criteria can be investigated to  
 267 implement a beamformer. One of such criteria is the Fisher's criterion (FC)

268 (Duda et al., 2001), which aims to increase the separation between classes  
 269 while minimizing the variance within a class (Fisher linear discriminant -  
 270 FLD). This concept can easily be extrapolated to the spatial domain us-  
 271 ing spatio-temporal data as was done in Max-SNR (section 3.2.1). The FC  
 272 takes into consideration the difference between target and non-target spatio-  
 273 temporal patterns. Then it is expected that the spatial filter maximizes the  
 274 spatio-temporal differences, leading to an enhancement of specific subcom-  
 275 ponents of the ERP. The FC is given by the Rayleigh quotient

$$J(W) = \frac{W' \mathbf{S}_b W}{W' \mathbf{S}_w W} \quad (10)$$

276 where  $\mathbf{S}_b$  is the spatial between-class matrix and  $\mathbf{S}_w$  is the spatial within-class  
 277 matrix. The optimum filter  $W$  is found solving the generalized eigenvalue  
 278 problem

$$\mathbf{S}_b W = \mathbf{S}_w W \Lambda. \quad (11)$$

279 The selected filter is the eigenvector associated with the largest eigenvalue,  
 280 i.e.,  $W^{(1)}$ , and the spatial filter output is obtained by applying expression  
 281 (7).

282 Taking the spatio-temporal matrix  $\mathbf{X}_k$  (dimension  $N \times T$ ) from each epoch  
 283  $k$ , the matrices  $\mathbf{S}_b$  and  $\mathbf{S}_w$  are computed from

$$\mathbf{S}_b = \sum_i p_i (\bar{\mathbf{X}}_i - \bar{\mathbf{X}})(\bar{\mathbf{X}}_i - \bar{\mathbf{X}})' \quad (12)$$

284 and

$$\mathbf{S}_w = \sum_i \sum_{k \in C_i} (\mathbf{X}_{i,k} - \bar{\mathbf{X}}_i)(\mathbf{X}_{i,k} - \bar{\mathbf{X}}_i)' \quad (13)$$

285 where  $i \in \{+, -\}$  and,  $C_+$  and  $C_-$  represent respectively the target and non-  
 286 target classes, and  $p_i$  is the class probability. The average of the epochs in  
 287 class  $C_i$  and the average of all epochs are respectively denoted  $\bar{\mathbf{X}}_i$  and  $\bar{\mathbf{X}}$ ,  
 288 with

$$\bar{\mathbf{X}}_i = \frac{1}{K_i} \sum_{k=1}^{K_i} \mathbf{X}_{i,k} \quad \text{and} \quad \bar{\mathbf{X}} = \frac{1}{K} \sum_{k=1}^K \mathbf{X}_k \quad (14)$$

289 where  $K_i$  is the number of epochs in class  $C_i$  and  $K$  is the total number of  
 290 epochs. To increase generalization,  $\mathbf{S}_w$  in (11) can be regularized according  
 291 to

$$\mathbf{S}_b W = [(I - \theta)\mathbf{S}_w + \theta I] W \Lambda \quad (15)$$

292 where  $\theta$  is the regularized parameter that can be adjusted from training data  
 293 to increase class discrimination.

### 294 3.2.3. C-FMS beamformer

295 In order to satisfy both Max-SNR and FC, a cascade of the two spatial  
 296 filters is proposed using a suboptimum approach (Fukunaga, 1990, Ch.10).  
 297 FC is applied first since it is more discriminative than Max-SNR. The first  
 298 transform is obtained from

$$\mathbf{Y} = W_1' \mathbf{X} \quad (16)$$

299 where  $W_1$  is the spatial filter computed according to (15). The first feature  
 300 vector is obtained from the first projection

$$\mathbf{y}_1 = W_1^{(1)'} \mathbf{X}. \quad (17)$$

301 The feature vector  $\mathbf{y}_1$  preserves the information about FC while the remain-  
 302 ing components in the  $(N - 1)$ -dimensional space are used for a second  
 303 transform

$$\mathbf{Z} = W_2' \mathbf{Y}^{(2:N)} \quad (18)$$

304 where the spatial filter  $W_2$  is estimated according to (9) taking  $\mathbf{Y}^{(2:N)}$  data  
 305 from the 1st stage of cascade (16). The first projection satisfies the Max-SNR  
 306 criterion

$$\mathbf{z}_1 = W_2^{(1)'} \mathbf{Z}. \quad (19)$$

307 The concatenation of the two projections

$$\mathbf{v} = [\mathbf{y}_1 \quad \mathbf{z}_1] \quad (20)$$

308 maximizes both FC and max-SNR criteria in a suboptimum way.

### 309 3.3. Classification and Feature Selection

310 In terms of pattern recognition, the oddball paradigm reduces a  $n$ -events  
 311 detection to a binary discrimination problem, i.e., the discrimination between  
 312 target events (desired row and column events: *two* of the  $n$ -events) and non-  
 313 target events (remaining  $(n - 2)$  events). The final decision to detect the  
 314 target is reached combining the  $n$  binary classification outputs.

The classification is performed by a Bayesian classifier. It presents prop-  
 erties that makes it a suitable option for our classification problem. Namely,  
 it offers an easy way to include prior probabilities and to control false pos-  
 itive and false negative rates, it returns probability values that can be used

for combination of event classification outputs, and the parameters are easily tuned requiring a short period of training. Furthermore, its application is straightforward and computationally undemanding. More powerful classification algorithms could be implemented such as SVM or neural networks, further improving the classification results presented in this study. The comparison of classification methods is however beyond the scope of this paper. After spatial filtering, the feature space is an unidimensional vector  $\mathbf{y} = [y(t_1) \ y(t_2) \ \cdots \ y(t_T)]$ . The features are scored according to the r-square discrimination (square of the Pearson's correlation coefficient) between target and non-target epochs, and then the features with higher score are selected for classification. The Bayesian classifier is presented in its naïve form (NB), i.e., it assumes that the features are conditionally independent. Under this assumption, the joint pdf is given by the product of the pdf of each individual feature

$$\begin{aligned}
 p(\mathbf{y}|C_i) &= \prod_{j=1}^{N_f} p(y(j)|C_i) = \\
 &= \prod_{j=1}^{N_f} \frac{1}{\sqrt{2\pi}\sigma_i(j)} \exp\left(-\frac{(y(j) - \mu_i(j))^2}{2\sigma_i^2(j)}\right)
 \end{aligned} \tag{21}$$

315 where each feature  $j$  is assumed to have a normal distribution  $\mathcal{N}(\mu_i(j), \sigma_i^2(j))$ .  
 316 The number of features is defined by  $N_f$ , and  $C_i$  ( $i \in \{+, -\}$ ) represents  
 317 the target and non-target classes. The *a posteriori* probability  $p(C_i|\mathbf{y})$  is  
 318 computed from the conditional probabilities using the Bayes theorem:

$$P(C_i|\mathbf{y}) = \frac{P(C_i)p(y|C_i)}{p(\mathbf{y})}. \tag{22}$$

319 The prior probabilities  $P(C_i)$  are respectively 2/12 and 10/12 for target and  
 320 non-target. The class is detected using the following maximum *a posteriori*  
 321 decision rule

$$\hat{c} = \arg \max\{P(C_+|\mathbf{y}), P(C_-|\mathbf{y})\}. \tag{23}$$

## 322 4. Results

323 The proposed spatial filter methods were experimentally evaluated through  
 324 two assessment parameters: SNR measure and classification accuracy.

325 The data sets for this analysis were obtained for each participant during  
 326 the calibration phase, according to the protocol defined in section 2. The  
 327 beamformers Max-SNR, FC and C-FMS were estimated from calibration  
 328 data sets using respectively (9), (15), and combining (15) with (9) following  
 329 the methodology in section 3.2.3. The parameters  $\alpha$  in (9) and  $\theta$  in (15) were  
 330 pre-set with the same values for all participants.

#### 331 4.1. SNR and Discrimination Enhancement

One natural measure to evaluate the performance of the spatial filters is the SNR. It was estimated according to (Lemm et al., 2006)

$$\begin{aligned} \text{SNR}(\mathbf{y}) &= 10 \log \frac{\text{Var}_t(\mathbb{E}_k[\mathbf{y}])}{\mathbb{E}_k[\text{Var}_t(\mathbf{y} - \mathbb{E}_k[\mathbf{y}])]} \\ &= 10 \log \frac{\text{Var}_t(\bar{\mathbf{y}})}{\mathbb{E}_k[\text{Var}_t(\mathbf{y} - \bar{\mathbf{y}})]} \end{aligned} \quad (24)$$

332 where  $\text{Var}_t$  is the temporal variance of the ERP signal and  $\mathbb{E}_k[\cdot]$  denotes the  
 333 mathematical expectation operator, applied over all  $K$  epochs of calibration  
 334 data sets. To assess the improvement performance, the SNRs of Max-SNR  
 335 and FC beamformers were respectively compared with: 1) the SNR of the  
 336 best channel; 2) the averaged SNR over the 12 channels; and 3) the SNR  
 337 of Laplacian derivations at channels Cz and Pz, taking respectively (Fz, C3,  
 338 C4, Pz) and (Cz, Oz, PO7, PO8) as surrounding electrodes. The SNR of  
 339 C-FMS was not computed because its first projection coincides with the FC  
 340 beamformer, and thereby would lead to the same results. The SNR estimates  
 341 were then averaged taking 23 of the 24 subjects, achieving the results in Fig.  
 342 4. The results were obtained for different number of averaged epochs<sup>1</sup>,  $K$ ,  
 343 ( $K = 1 \dots 7$ ), thus simulating a different number of repetitions of the events.  
 344 The data sets from subject S21 were discarded in the analysis because this  
 345 subject did not evoke a visible P300. The results are statistically evaluated  
 346 with a  $t$ -test. For single epochs ( $K = 1$ ), the SNR is  $-6.36$  dB for FC  
 347 beamformer, which is significantly higher than the values obtained respec-  
 348 tively for: 1) all-channel average,  $-14.60$  dB, ( $t(22) = 9.93$ ,  $p \leq 0.001$ );

---

<sup>1</sup>It is important to note that, when averaging, the number of samples of the data sets is reduced by the number of epochs,  $K$ , used in the average. For instance, if  $K = 2$  the number of target and non-targets epochs will be respectively  $180/2 = 90$  and  $900/2 = 450$ ; for  $K = 3$ ,  $180/3 = 60$  and  $900/3 = 300$ , and so on.

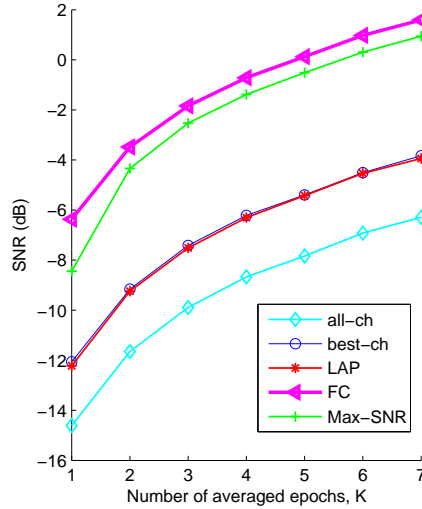


Figure 4: SNR estimated from 23 subjects. Analysis for a single epoch ( $K=1$ ) and  $K$ -epoch average  $K = 2 \dots 7$ .

349 2) best-channel,  $-12.05$  dB ( $t(22) = 10.68$ ,  $p \leq 0.001$ ); 3) Laplace deriva-  
 350 tions,  $-12.22$  dB ( $t(22) = 9.05$ ,  $p \leq 0.001$ ); and 4) Max-SNR,  $-8.44$  dB  
 351 ( $t(22) = 6.68$ ,  $p \leq 0.001$ ). In the case of  $K$ -epoch average,  $K = 2 \dots 7$ , the  
 352 spatial filters were applied to the average of  $K$  epochs and then the SNR was  
 353 computed from the spatial projection. The positive SNR margin between FC  
 354 and, all-channel average, best channel, Laplace derivations and Max-SNR,  
 355 are respectively  $8.18$  dB,  $5.68$  dB,  $5.76$  dB and  $0.87$  dB. These differences  
 356 are approximately constant over the  $K = 2 \dots 7$  averaged epochs, and al-  
 357 ways statistically significant ( $p \leq 0.001$ ). For all methods, as the number  
 358 of epochs taken for average increases, the SNR also increases, which was ex-  
 359 pected given the phase-locked properties of ERPs. The SNR improvements  
 360 led to an enhancement of the ERP and thereby to an increased discrimina-  
 361 tion between target vs. non-target. The statistical r-square measure was  
 362 used to assess this discrimination. The color maps in Fig. 5 compares the  
 363 r-square values before spatial filtering (top) and after C-FMS spatial filter-  
 364 ing (bottom), for a representative data set with 180 target epochs and 900  
 365 non-target epochs. Channels with higher discrimination are usually over the  
 366 parietal and parietal/occipital regions (typically, PO7 and PO8 provide the  
 367 higher levels of discrimination). For C-FMS filtered data, the r-square was



368 computed from projections obtained in (20). Projection 1 is the output of FC  
 369 beamformer,  $\mathbf{y}_1$ , and projection 2 is the output of Max-SNR beamformer,  $\mathbf{z}_1$ .  
 370 The remaining projections are obtained from  $\mathbf{Z}^{(2:N-1)}$  (18). As expected, the  
 371 first C-FMS projection shows the higher r-square discrimination, increasing  
 372 the pre-filter maximum of approximately 0.3 to a 0.6 post-filter maximum.  
 373 Although lower, the second projection of C-FMS also shows some degree of  
 374 discrimination. The other projections show no discrimination. This result  
 375 confirms that FC and Max-SNR outputs retain the most discriminative in-  
 376 formation. Figure 6 shows the mean,  $\mu(t)$ , and mean  $\pm$  standard deviations,  
 377  $\mu(t) \pm \sigma(t)$ , of target and non-target epochs measured at each instant  $t$  at  
 378 channel Cz before spatial filtering (top), and  $\mu(t)$  and  $\mu(t) \pm \sigma(t)$  of first  
 379 C-FMS projection (bottom). The increased margin of separation between  
 380 the patterns of the two classes after C-FMS filtering is remarkable. Figure  
 381 7 shows also the effect of spatial filtering in the frequency domain. The  
 382 plot represents the average of the FFTs spectra of the first spatial projec-  
 383 tion. Comparing with Fig. 2(d), it can be seen that the 5 Hz interference is  
 384 almost eliminated from target epochs.

#### 385 4.2. Spatial Filtering Robustness

386 The ERP exhibits an inter-trial variability regarding latency, amplitude  
 387 and morphology. However, there is a spatial correlation between channels  
 388 (scalp distribution) that is invariant across trials in normal conditions. The  
 389 estimation of spatial filters takes advantage of this spatial correlation which  
 390 gives the spatial filter the property of robustness to inter-trial variability.  
 391 To test the robustness of spatial filtering, we compared the FC beamformer  
 392 estimated from two independent data sets obtained from the same subjects.  
 393 Figure 8 shows the weights of the two filters obtained from one subject of the  
 394 able-bodied group, one subject of the CP group and one subject of the ALS  
 395 group. The weights of the spatial filters obtained from the two data sets are  
 396 very similar. These and similar results give good indications that the spatial  
 397 filters provide a good generalization without training overfitting.

#### 398 4.3. Offline Classification Results

399 For each participant, the classification models were obtained from one  
 400 training data set collected during the calibration session. A second data set,  
 401 with the same amount of data, was collected for testing, such that all offline  
 402 results presented in this section were obtained from unseen data.

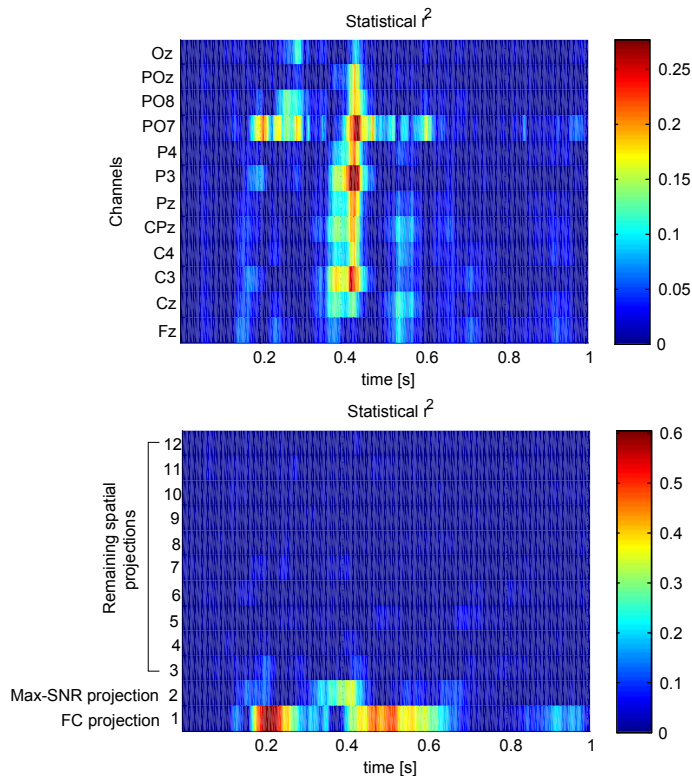


Figure 5: Results obtained from representative data of one session: 180 target epochs and 900 non-target epochs using a 5-epoch average. Color map representing the r-square statistical measure of the discrimination between target and non-target classes. Top: r-square of channels Fz, Cz, C3, C4, CPz, Pz, P3, P4, PO7, PO8, POz and Oz before spatial filtering ( $\mathbf{X}_+$ ,  $\mathbf{X}_-$ ). Bottom: r-square of projections of C-FMS beamformer according to (20), where projection 1 is the output of FC beamformer,  $\mathbf{y}_1$ , and projection 2 is the output of Max-SNR beamformer,  $\mathbf{z}_1$ . The remaining projections are  $\mathbf{Z}^{(2:N-1)}$  according to (18).

403 The classification performance is assessed using the NB classifier (21),  
 404 (22), (23). Since the target and non-target classes are highly unbalanced,  
 405 the measure of error was  $\frac{FNR+FPR}{2}$ , where FNR and FPR denote respec-  
 406 tively false negative rate and false positive rate. Opting for testing on an  
 407 equal number of target and non-target epochs would be misleading because  
 408 the classifier assumes different target and non-target probabilities. Two ap-  
 409 proaches were followed. In the first, the spatial filtering was applied to the  
 410 average of K-epoch and then the *a posteriori* probability obtained according

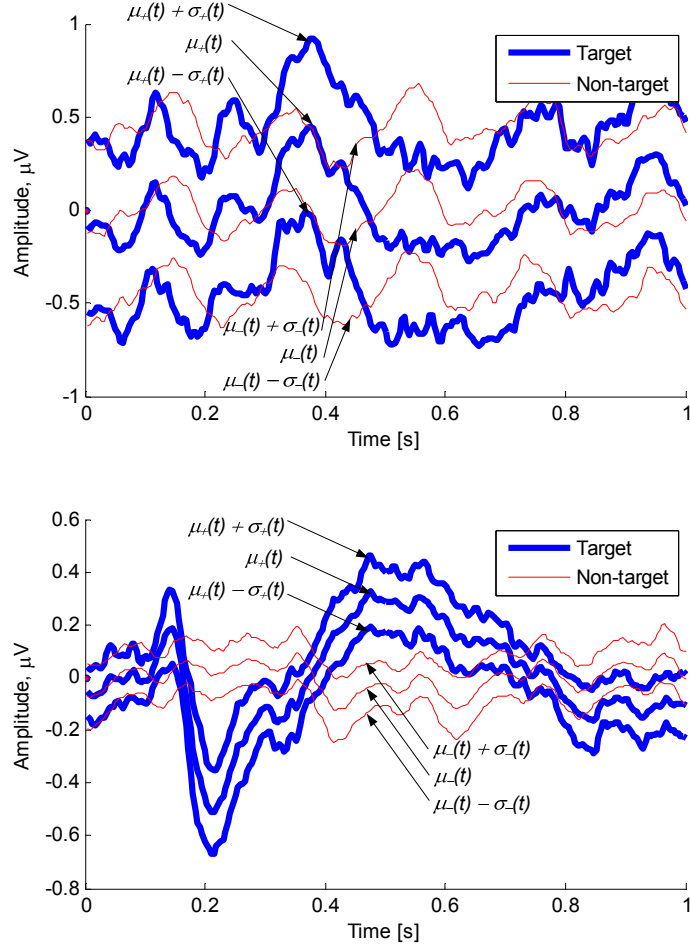


Figure 6: Results obtained from the same data shown in Fig. 5. Top: mean,  $\mu(t)$ , and mean  $\pm$  standard deviation,  $\mu(t) \pm \sigma(t)$ , of 180 target epochs and 900 non-target epochs measured at channel Cz using a 5-epoch average; Bottom:  $\mu(t)$  and  $\mu(t) \pm \sigma(t)$  of the first C-FMS projection,  $\mathbf{y}_1$ , of the 5-epoch average of 180 target epochs and 900 non-target epochs.

411 to

$$P(C_i|\mathbf{y}) \equiv P(C_i | \frac{1}{K} \sum_{k=1}^K \mathbf{y}_k) \quad , i \in \{+, -\}. \quad (25)$$

412 In the second approach, the spatial filtering was applied to single epochs and

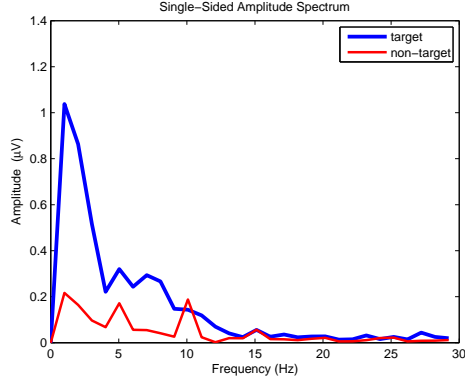


Figure 7: Average of the FFT spectra of the first projection obtained from C-FMS filtered epochs (180 FFTs of target epochs and 900 FFTs of non-target epochs).

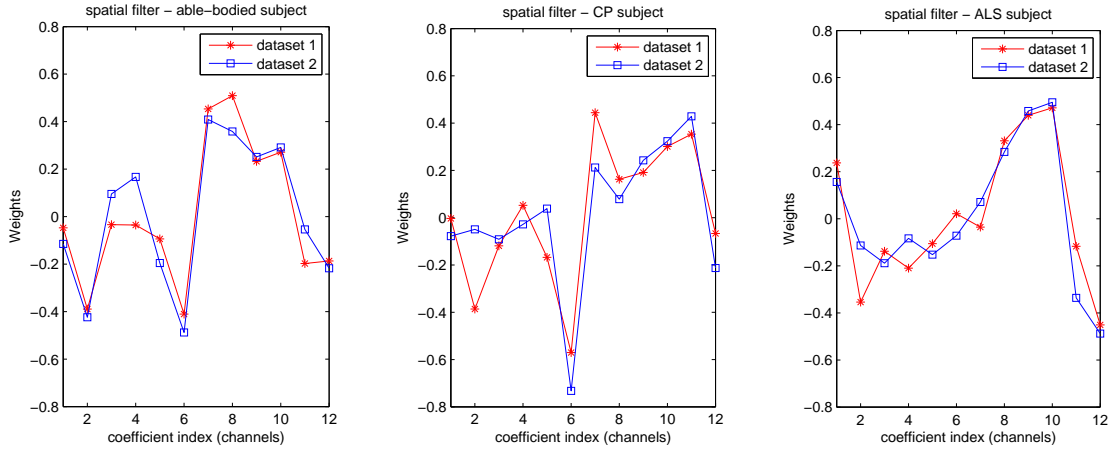


Figure 8: Comparison of FC beamformer estimated from two independent data sets. Results obtained from one subject of the able-bodied group (left), one subject of the CP group (middle), and one subject of the ALS group (right).

413 then the K-posterior probabilities were combined according to

$$P(C_i|\mathbf{y}) \equiv \prod_{k=1}^K P(C_i|\mathbf{y}_k) \quad , i \in \{+, -\} \quad (26)$$

414 where  $P(C_i|\mathbf{y}_k)$  is the *a posteriori* probability for the epoch  $k$  and  $K$  is the  
 415 number of epochs (repetitions). Class detection was done in both cases using  
 416  $P(C_i|\mathbf{y})$  in (23).

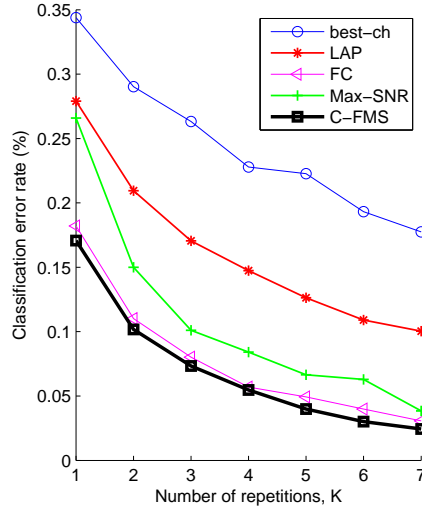


Figure 9: Classification results using the K-epoch average approach for  $K \in \{1, \dots, 7\}$ . The results are the averaged values obtained from 23 subjects.

417 Figure 9 shows the classification error rate following the K-epoch average  
418 approach. The error rate was obtained averaging the results of all 23 subjects,  
419 i.e., using  $23 \times 180 = 4140$  target epochs and  $23 \times 900 = 20700$  non-target  
420 epochs. The plot shows results of the the 3 proposed spatial filters, and for  
421 sake of comparison, the results of the Laplacian derivations, as well as the  
422 results concerning the channel presenting the highest discrimination. Figure  
423 9 shows that the classification accuracy increases sharply, for all methods,  
424 for  $K \leq 3$ . For a single epoch ( $K = 1$ ), the spatial filter C-FMS, when  
425 compared respectively with the best channel, Laplace derivations, Max-SNR  
426 and FC, presents a reduction in the error rate of about 17.3% ( $t(22)=16.95$   
427  $p \leq 0.001$ ), 10.8% ( $t(22)=12.17$   $p \leq 0.001$ ), 9.5% ( $t(22)=5.10$   $p \leq 0.001$ ) and  
428 1.1% ( $t(22)=3.65$   $p = 0.0014$ ). For  $K \geq 2$  these differences remain constant  
429 or slightly decrease for best channel, Laplace derivations and FC. For Max-  
430 SNR the difference decreases to approximately 5%. This result shows that  
431 the Max-SNR filter benefits from higher SNR levels. For best channel and  
432 Laplace derivations, their differences to C-FMS are always statistically sig-  
433 nificant ( $p \leq 0.001$ ). For Max-SNR and FC, their differences to C-FMS for a  
434 given  $K$  provide the following statistical values:  $K = 2$ ,  $p \leq 0.001$  for Max-  
435 SNR and  $p \leq 0.01$  for FC;  $K = 3$ ,  $p \leq 0.005$  for Max-SNR and  $p = 0.056$  for

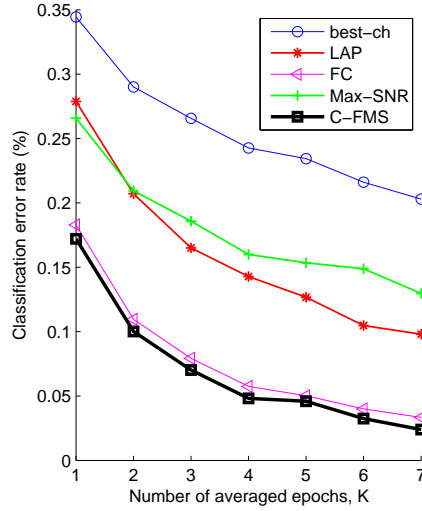


Figure 10: Classification results using the K-probability approach for  $K \in \{1, \dots, 7\}$ . The results are the averaged values obtained from 23 subjects.

436 FC;  $K = 4$ ,  $p \leq 0.05$  for Max-SNR and  $p = 0.52$  for FC;  $K = 5$ ,  $p \leq 0.05$   
437 for Max-SNR and  $p = 0.067$  for FC;  $K = 6$ ,  $p = 0.084$  for Max-SNR and  
438  $p \leq 0.02$  for FC;  $K = 7$ ,  $p \leq 0.005$  for Max-SNR and  $p = 0.13$  for FC. The  
439 difference between C-FMS and FC fails the significance test for some values  
440 of K. Comparing Fig. 4 and Fig. 9 a direct relationship between SNR and  
441 classification results becomes apparent, i.e., methods with higher SNR pro-  
442 vide a better classification. The exception goes to the Laplacian derivations,  
443 which shows a better classification than best channel and notwithstanding  
444 similar SNRs.

445 In the K-probability approach, the NB classifier is applied to single epochs  
446 and the probabilities are combined using (26). Figure 10 presents the clas-  
447 sification results. The statistical  $t$ -test was again applied to evaluate the  
448 significance of the results. For a single epoch, the results are coincident with  
449 the K-epoch approach, since for  $K = 1$ , (26) is equal to (25). For  $K = 2 \dots 7$   
450 the reduction of classification error rates between C-FMS, and best channel,  
451 Laplace derivations and FC, is very similar to the K-epoch average approach.  
452 The differences are statistically significant with  $p \leq 0.001$  for best channel  
453 and Laplace derivations, and  $p \leq 0.005$  for FC. The Max-SNR results are  
454 poorer than for the K-epoch average. The difference between C-FMS and

455 Max-SNR is about 10% ( $p \leq 0.001$ ). As referred above, these results show  
 456 that Max-SNR works better with data with higher SNR provided by the K-  
 457 epoch average approach. The C-FMS filter is not affected because the feature  
 458 selection algorithm selects mainly features from the FC filter.

#### 459 4.4. Online Results

In online operation, the binary classifier is applied to each one of the 12 events. Each event is classified as target or non-target with an associated *a posteriori* probability using (25) or (26). The selected method for our online experiments was the  $K$ -epoch approach (25). The final decoded symbol (detected row number, #row, and detected column number, #column) is obtained from the combination of the *a posteriori* probabilities according to

$$\begin{aligned} &\text{if the number of events detected as target is } \geq 1, \quad \text{then} && (27) \\ &\#_{row} = \arg \max_{j \in \{1, \dots, 6\}} P_+^j \wedge \#_{col} = \arg \max_{l \in \{1, \dots, 6\}} P_+^l \\ &\text{else, if all events are detected as non-target,} \quad \text{then} \\ &\#_{row} = \arg \min_{j \in \{1, \dots, 6\}} P_-^j \wedge \#_{col} = \arg \min_{l \in \{1, \dots, 6\}} P_-^l \end{aligned}$$

460 where  $P_{\{+,-\}}^{j,l}$  are the *a posteriori* probabilities associated the events of rows  
 461 (index  $j$ ) and columns (index  $l$ ). By words, if more than one event is detected  
 462 as target, the method chooses the event most likely to be a target. If all the  
 463 events are detected as non-target, then the method chooses the event less  
 464 likely to be a non-target.

465 Each online session occurred after the respective calibration session. The  
 466 classification models were tested offline and it was selected the least number  
 467 of repetitions,  $K$ , for which an error rate up to 5-10% was found. The  
 468 number of repetitions was then adjusted, when necessary, according to the  
 469 online performance of the subject. The C-FMS was the selected spatial filter  
 470 since it consistently provided better results during the pilot experiments and  
 471 throughout the sessions in this study as confirmed by the offline analysis in  
 472 the last section.

473 Under the same conditions that occurred during the calibration sessions,  
 474 the subjects were asked to write a sentence. Subjects S1 to S12 (see Table  
 475 2) wrote the sentence 'THE-QUICK-BROWN-FOX-JUMPS-OVER-LAZY-  
 476 DOG' (39 characters), subjects S13 to S19 wrote the sentence 'THE-QUICK-  
 477 BROWN-FOX' (19 characters) and subjects S20 to S24 wrote the Portuguese

478 sentence 'ESTOU-A-ESCREVER' (16 characters) which means in English ('I  
479 am writing'). Participants S13 to S24 wrote a shorter sentence since they  
480 underwent an additional paradigm during the same sessions (for a study  
481 beyond the scope of this paper). The sentences were written at once without  
482 interruptions. In case of error, subjects could opt to correct the character  
483 using the 'del' symbol.

484 To assess the online classification and for comparison with state of the art  
485 results it was computed the number of decoded symbols per minute (SPM),  
486 and the bandwidth,  $B$ , according to (Wolpaw et al., 2000)

$$B = M \left[ \log_2(N_s) + P_{ac} \log_2(P_{ac}) + (1 - P_{ac}) \log_2 \frac{(1 - P_{ac})}{(N_s - 1)} \right] \quad (28)$$

487 where  $N_s$  is the number of possible selections (36 symbols),  $P_{ac}$  is the accu-  
488 racy, and  $M$  is the number of possible decisions per minute. The parameter  
489  $M$  takes into consideration the number of event repetitions and ISI time.  
490 Table 2 summarizes the online results, showing the number of SPM and the  
491 associated number of repetitions (NRep), and respective accuracy and band-  
492 width measured in bit/min (bpm). The online accuracy,  $P_{ac}$ , was measured  
493 according to

$$P_{ac} = 1 - \frac{N_e}{N_c + N_{ce}} \quad (29)$$

494 where  $N_e$  is the number of misspelled characters/symbols,  $N_c$  is the number  
495 of characters of the sentence and  $N_{ce}$  is the number of corrected errors with  
496 'del'. The average of the results are presented for each group of subjects.  
497 Group 1 (S1-S12) spelled on average 4.3 SPM with a success rate of 91.01%  
498 corresponding to a bandwidth of 18.78 bpm. The best result was achieved  
499 by subject S11 who wrote the sentence with 100% accuracy requiring only 3  
500 repetitions. Group 2 (S13-S19) spelled on average 4.89 SPM with a success  
501 rate of 90.32% (bandwidth of 21.31 bpm). These results are better than for  
502 group 1, which is understandable because the spelled sentence is shorter and  
503 therefore less susceptible to fatigue. The best result was achieved by subject  
504 S18 who wrote the sentence with 95% accuracy requiring only 2 repetitions.  
505 From the group of participants with CP, subject S21 was unable to perform  
506 the online session because the algorithms did not detect target events with  
507 an accuracy above 80% even for  $K \geq 7$ , which was insufficient for online  
508 operation. The averaged results were obtained only from S20 and S22. This  
509 group spelled on average 3.13 SPM with a success rate of 96.68% (bandwidth



510 of 15.12 bpm). The group of ALS participants spelled on average 3.75 SPM  
511 with a success rate of 96.87% (bandwidth of 18.15 bpm). The SPM was  
512 computed omitting the ITI of 2.5 seconds. Taking into account the ITI time,  
513 the SPM averages were respectively 3.63, 3.96, 2.76 and 3.24 for group 1,  
514 2, 3 and 4. Comparing the results of able-bodied and disabled participants,  
515 and taking the bandwidth as the main parameter, we see that on average the  
516 results are only slightly lower for disabled participants. It is worth noting  
517 that almost all SPM values were obtained for classification accuracies above  
518 85%. Many of the participants wrote the sentences with a fewer number of  
519 repetitions (some of them with a single repetition) but with lower accuracies,  
520 so we chose not to show these results. Comparing the online and offline  
521 results (see Table 3), we can observe that the achieved results for similar  
522 SPM and accuracy are just slightly lower for online than for offline. These  
523 results corroborate that the online experiments validate the offline results.

#### 524 *4.5. Benchmarking dataset*

525 For performance comparison purposes, the C-SMF filter was tested on the  
526 benchmark data sets available for the BCI-Competition 2003 (BCI-Competition,  
527 2003). Simulating the conditions of the competition, we trained the spatial  
528 filter, feature selection and classifier from labeled data sets (sessions 10 and  
529 11), which were then tested on unlabeled data sets (session 12), for a differ-  
530 ent number of repetitions. The inferred words and error rates are shown at  
531 Table 4. The achieved results are very competitive with ones presented in  
532 (BCI-Competition, 2003).

### 533 **5. Discussion and Conclusion**

534 This paper has shown that statistical spatial filtering is an effective ap-  
535 proach to increase the SNR of ERP components. As a direct consequence,  
536 the P300 component is enhanced and classified with a higher accuracy. There  
537 are two different trends in the BCI literature for EEG signal classification:  
538 spatial filtering preprocessing followed by classification, and spatiotemporal  
539 classification (where feature vectors are the concatenation of spatiotemporal  
540 features). As was seen in section 4.2, spatial filtering results give indications  
541 of good generalization properties, which provides an important argument to  
542 use the spatial filtering approach. From a neurophysiologic perspective, the  
543 spatial filtering provides enhanced versions of the input signals. From one  
544 hand, this contributes to a better signal interpretation by neurophysiologists

Subject	Table 2: Online results.		Bandwidth (bpm)
	SPM (NRep)	$P_{ac}$ (%)	
S1	4.68 (4)	95.12	21.74
S2	3.75 (5)	95.12	17.39
S3	3.75 (5)	86.67	14.69
S4	6.25 (3)	95.12	28.99
S5	3.75 (5)	95.12	17.39
S6	3.75 (5)	86.67	14.69
S7	2.67 (7)	90.70	11.37
S8	3.75 (5)	79.59	12.72
S9	4.68 (4)	90.70	19.90
S10	3.75 (5)	90.70	15.92
S11	6.25 (3)	100.0	<b>32.31</b>
S12	4.68 (4)	86.67	18.37
<b>Average 1</b>	<b>4.30 (4.6)</b>	<b>91.01</b>	<b>18.79</b>
S13	2.67 (7)	84.21	9.99
S14	3.75 (5)	82.60	13.54
S15	3.75 (5)	100.0	19.38
S16	4.68 (4)	90.47	19.81
S17	3.75 (5)	85.00	14.21
S18	9.38 (2)	95.00	<b>43.38</b>
S19	6.25 (3)	95.00	28.91
<b>Average 2</b>	<b>4.89 (4.4)</b>	<b>90.32</b>	<b>21.31</b>
S20	3.13 (6)	100.0	<b>16.15</b>
S21	-	-	-
S22	3.13 (6)	93.37	14.10
<b>Average 3</b>	<b>3.13 (6)</b>	<b>96.68</b>	<b>15.12</b>
S23	3.75 (5)	100.0	<b>19.38</b>
S24	3.75 (5)	93.75	16.92
<b>Average 4</b>	<b>3.75 (5)</b>	<b>96.87</b>	<b>18.15</b>
<b>Overall Average</b>	<b>4.33 (4.7)</b>	<b>91.80</b>	<b>19.18</b>

Table 3: SPM and bandwidth using the offline classification accuracy obtained in Fig. 9 with C-FMS.

	Number of repetitions (K)						
	1	2	3	4	5	6	7
$P_{ac}(\%)$	82.92	89.82	92.66	94.52	96.01	96.99	97.56
SPM	18.75	9.37	6.25	4.68	3.75	3.12	2.67
bpm	68.14	39.12	27.59	21.48	17.71	15.06	13.07

545 or psychologists, because it preserves and accentuates the biomarkers, and  
546 on the other hand it can reduce the duration time of clinical tests.

Table 4: Inferred words and associated error rates for different number of repetitions, using data sets from BCI - Competition 2003.

NRep	Inferred words	Error
1	FCOD MMON BBM JIC CAAC TTNB ZTBUT XXX1	58.0 %
2	FCOD GMOT BAM JIE CALC TCNA ZMAOT X0Z7	41.9 %
3	FOOD MOOT HAM JIE CAKC TCNA ZSAOT X457	25.8 %
4	FOOD MOOT HAM PIE CAKE TUNA ZYGOT 4567	0.0 %

547 Following the K-epoch average approach, the three proposed spatial filters  
548 showed higher classification accuracy than those obtained with Laplacian  
549 derivations and best channel. Following the K-probability approach, the  
550 Max-SNR beamformer had a lower performance than Laplace derivations,  
551 however FC and C-FMS remained with higher accuracies. The classification  
552 accuracy of C-FMS filter was statistically higher than all other methods using  
553 both approaches.

554 The gold standards to evaluate a BCI performance should be the on-  
555 line accuracy and online bandwidth. Only these parameters can attest the  
556 effective application of BCI in real world scenarios. Additionally, the require-  
557 ment of a reduced time (ideally a zero time) for calibration is also an im-  
558 portant issue for effective use of BCI. We demonstrate in this paper that the  
559 proposed methodology provides efficient accuracy and bandwidth for able-  
560 bodied subjects and subjects with CP and ALS. Considering only the group  
561 of able-bodied participants, the achieved online results were on average 4.3  
562 SPM with a success rate of 91.01% and a respective bandwidth of 18.78  
563 bpm for group 1, and 4.89 SPM, 90.32%, 18.79 bpm for group 2. These  
564 results are higher than those found in (Farwell and Donchin, 1988; Serby  
565 et al., 2005; Thulasidas et al., 2006; Krusienski et al., 2008) and similar to  
566 the ones presented in (Lenhardt et al., 2008), which presents an effective  
567 SPM (including ITI) of 3.91 with 83.33% mean accuracy in comparison to  
568 our result of 3.63 SPM (including ITI) with a 91.01% accuracy for group  
569 1, and 3.96 SPM (including ITI) with 90.32% accuracy for group 2. The  
570 results were obtained for 12 subjects with a sentence of 22 characters, while  
571 in our case the sentences had lengths of 39 and 19 characters, tested by 19  
572 participants. Considering the group of subjects suffering from CP and ALS,  
573 only subject S21 was unable to perform the online task. Apparently, the  
574 high amplitude of nonvoluntary movements affected his attention to relevant  
575 targets, but there may be other neurophysiologic causes. The other ALS and

576 CP participants achieved, on average, results just slightly lower than those  
577 achieved by able-bodied. The results are good in comparison with other  
578 studies reported in the state of the art. However, the results can not be di-  
579 rectly comparable because there are many different parameters to take into  
580 account, namely, different levels of functionality, different pathologies and  
581 stage of the disease, different number of sessions (extension of the study),  
582 and different visual paradigms. For the purpose of comparison of P300 BCI  
583 studies on people with motor disabilities, the following recent studies are  
584 suggested. In (Nijboer et al., 2008), 10 subjects with advanced ALS tested  
585 a  $6 \times 6$  and a  $7 \times 7$  matrix speller paradigm. Two  $8 \times 9$  speller paradigms  
586 were compared by 3 advanced ALS participants in (Townsend et al., 2010).  
587 Donchin et al. (2000) describes a study with 4 paraplegic participants who  
588 tested a  $6 \times 6$  matrix speller paradigm. Five subjects with different motor  
589 disabilities (ALS, locked-in, spinal cord injury, multiple sclerosis and Guillain  
590 Barre syndrome) tested a 4 choice paradigm in (Piccione et al., 2006). The  
591 study in (Sellers and Donchin, 2006) reports 4 choice paradigm tested by 3  
592 ALS subjects but all with communication ability. In (Hoffmann et al., 2008a)  
593 5 subjects with different motor disabilities (CP, multiple sclerosis, late-stage  
594 ALS, spinal cord injury and post-anoxic encephalopathy) tested a 6 choice  
595 visual paradigm. It is worth to note that this last study is the only reported  
596 work on P300 based BCIs that includes a CP subject. The achieved results  
597 in our study indicate the effective possibility of people with severe CP to be  
598 able to use a BCI as a communication channel. Taking into consideration  
599 that the participants were non-experienced users, it is expected that they  
600 can still improve their performances. The use of our BCI as an alternative  
601 to other standard interfaces still requires a higher bandwidth. For instance,  
602 subject S20 uses in his daily life a scanning interface controlled by an head  
603 switch to write. The number of selected symbols per minute is on average  
604 6.5, i.e., twice of what he achieved with our BCI system. Furthermore, the  
605 strong involuntary movements of the head and the body of some subjects  
606 can be a limitative factor for the use of a P300-based BCI. The good results  
607 obtained with ALS participants are encouraging. However, they only had  
608 their spoken communication affected, still retaining other alternative means  
609 of communication.

610 For a more robust evaluation, the next step is to extend the study to  
611 a larger group of CP patients and include ALS patients in more advanced  
612 stages.

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