

Evaluating Electrical Activity of Tibialis Anterior Muscle and Balance in Hemiparetic patients Following Central and Peripheral Electrical Stimulation - Protocol for a Randomized, Double-Blinded, Clinical Trial.

Abstract

Concomitant transcranial direct current stimulation (tDCS) is suggested to enhance the functional effects of other physical rehabilitation methods in individuals with motor impairment stemming from a chronic cerebrovascular disease. Thus, the primary aim of the proposed study is to analyze the electrical activity of the tibialis anterior (TA) muscle of the paretic limb in stroke survivors following an intervention involving the combination of tDCS over the motor cortex and peripheral electrical stimulation (PES) administered over the paretic TA. The secondary objective is to analyze the effect on dynamic balance. **Methods:** Thirty-six adult stroke survivors will be randomized into three groups: 1) Active tDCS + active PES; 2) Sham tDCS + active PES and 3) Active tDCS + sham PES. TDCS active will be positioned bilateral over the primary motor cortex of the damaged hemisphere (C1 or C2) and the cathode will be positioned over the primary motor cortex of the undamaged hemisphere (C1 or C2) with a current of 2 mA for 20 minutes. For sham tDCS, will follow the same standards, however, the equipment will be switched on for only 20 seconds. PES will be administered to the paretic TA at 50 Hz for 30 minutes. Evaluations: the median frequency and root mean square (RMS) of the paretic TA will be analyzed using electromyography (EMG) and dynamic balance will be evaluated using the Mini-Balance Evaluation System (Mini-BESTest) at baseline (pre-intervention), after 10 treatment sessions at a frequency of five times a week for two weeks (post-intervention) and 30 days after the end of the interventions (follow up). **Discussion:** PES has proven to facilitate the conduction of sensory-motor afferences to the cerebral cortex in stroke survivors. Combining PES with tDCS, which has a direct effect on increasing cortical excitability, could favor motor acquisition and neuronal plasticity in this population.

Key words: electromyography, balance, hemiparesis, peripheral electrical stimulation, tibialis anterior, transcranial direct current stimulation.

Introduction

33 The physiopathology of cerebrovascular accident (stroke) is governed by the
34 leakage of blood or restricted blood flow in a given area of the brain. According to data
35 from the World Health Organization, stroke is the third major cause of morbidity,
36 mortality, and Disability-adjusted years of life in the world.¹ In Brazil, it is the leading
37 cause of death and acquired physical disability, with an annual incidence of 108 cases
38 per 100 thousand inhabitants.²

39 Difficulty performing hip flexion, knee flexion and dorsiflexion of the foot are
40 among the disabilities commonly found in stroke survivors. In some individuals, the
41 ankle remains in the extended position, which is denominated equinus foot,
42 characterized by hypertonia of the gastrocnemius and soleus (triceps surae) muscles and
43 a reduction in or absence of strength in the tibialis anterior (TA) muscle.³ This situation
44 affects the adequate support of the feet on the ground, which makes the individual
45 distribute his/her weight more to the non-paretic side as a compensatory mechanism.⁴
46 Consequently, the individual experiences a reduction in postural control static or
47 dynamic and gait velocity, leading to greater insecurity, a risk of falls and functional
48 limitations.⁴

49 Many clinical trials have been conducted to minimize those dysfunctions by
50 using peripheral electrical stimulation (PES)⁵ Combined PES with exercises based on
51 the Bobath concept in 40 stroke survivors and found an increase in dorsiflexion range of
52 motion, a reduction in spasticity of the plantar flexors and gain in TA muscle strength.⁶
53 PES used on the TA of 15 individuals with hemiparesis stemming from a stroke
54 combined with active contraction of the dorsiflexors in the standing position on a
55 dynamic platform for 30 minutes, followed by 15 minutes of gait training focused on
56 ankle control, resulting in a reduction in dynamic spasticity of the plantar flexors, an
57 increase in dorsiflexor strength and improved gait symmetry.⁷ PES combined with ankle
58 strength and proprioception training or ankle stretching and proprioception training in
59 11 individuals with hemiparesis stemming from a stroke and found that the former
60 combination resulted in positive effects on balance performance.⁸

61 PES is performed using equipment that emits low-level electricity applied to the
62 skin, which promotes the depolarization of the motor unit (for a gain in muscle strength)
63 and the relaxation of spastic muscles.⁹ However, debates are found in the literature on
64 the ideal parameters (duration/number of applications, pulse, intensity, and frequency)
65 for neurological diseases, and better results are achieved when combined with other
66 forms of rehabilitation.

67 TDCS consists of a low-intensity electrical current generally administered over
68 the scalp using two electrodes of different polarity (anode and cathode). The current is
69 able to penetrate the skull and produce modulating effects on the neural membrane,
70 either increasing (anodal stimulation) or diminishing (cathodal stimulation) cortical
71 excitability.¹⁰

72 In this context, researchers have proposed investigating the combination of PES
73 and other forms of electrical stimulation to enhance its effects, such as transcranial
74 direct current stimulation (tDCS). Kwon et al. (2011)¹¹ evaluated the activity of the
75 primary motor cortex (M1) using magnetic resonance imaging in two healthy
76 individuals during a session of anodal tDCS over M1 combined with PES of the wrist
77 extensors and found an increase in M1 activity. Rizzo et al. (2014)¹² investigated the
78 motor evoked potential in 10 young healthy individuals after 10, 20, 30 and 60 min of
79 anodal or cathodal tDCS over M1 combined with repetitive PES over the left median
80 nerve and found that anodal stimulation + repetitive PES led to an increase in the motor
81 evoked potential up to 60 minutes after stimulation. In a study involving 20 stroke
82 survivors in the subacute phase, Sattler et al. (2015)¹³ evaluated the effect of anodal
83 tDCS over M1 combined with PES over the radial nerve for five consecutive weeks and
84 found a significant increase in motor function of the hand up to one month after
85 treatment. However, Fruhauf et al. (2018)¹⁴ evaluated the immediate effect of tDCS
86 combined with PES on the electrical activity of the paretic TA muscle and balance in 30
87 stroke survivors and found no effect after the administration of the two techniques
88 combined. The researchers suggest that this may have occurred because only a single
89 session was used, implying that longer treatment with the combination of the techniques
90 could achieve different results. No clinical studies were found investigating the
91 combination of PES and tDCS for more than one treatment session with the aim of
92 assessing the electrical activity of the TA muscle and functional balance in stroke
93 survivors.

94 When combined with other forms of treatment, tDCS has been demonstrated to
95 enhance the effects of physical therapy.¹⁵ Dutta et al. (2014)¹⁶ studied the effect of tDCS
96 over the primary motor cortex and cerebellum combined with ankle training involving
97 biofeedback in healthy individuals to improve myoelectrical control of the TA muscles
98 and found that anodal stimulation over M1 resulted in the optimization in terms of the
99 onset and end of electrical activity in the muscles. Madhavan et al. (2011)¹⁷ found an
100 increase in motor evoked potential for 15 minutes and immediately after the end of

101 ankle dorsiflexion training combined with tDCS over M1 in stroke victims. Sohn et al.
102 (2013)¹⁸ investigated the effect of tDCS over the damaged M1 in 11 individuals with
103 hemiparesis and found significant increases in quadriceps strength and static postural
104 stability.

105 These interactions Central and Peripheral stimulation may have benefits
106 regrading function, especially in cases of neurological disorders, as tDCS enhances
107 cortical excitability, while PES triggered ascending sensory-motor information.
108 Therefore, the present protocol proposes the investigation of the effects of tDCS
109 combined with PES in individuals with hemiparesis stemming from a stroke on the
110 electrical activity of the TA muscle and dynamic balance, being these factors one the of
111 components important to functional independence.

112

113 **Objective primary**

114 The primary aim of the proposed study is to analyze the electrical activity of the
115 tibialis anterior (TA) muscle of the paretic limb in stroke survivors following an
116 intervention involving the combination of tDCS over the motor cortex and peripheral
117 electrical stimulation (PES) administered over the paretic TA.

118

119 **Objective secondary**

120 The secondary objective is to analyze the effect on dynamic balance in stroke
121 survivors following an intervention involving the combination of tDCS over the motor
122 cortex and peripheral electrical stimulation (PES) administered over the paretic TA.

123

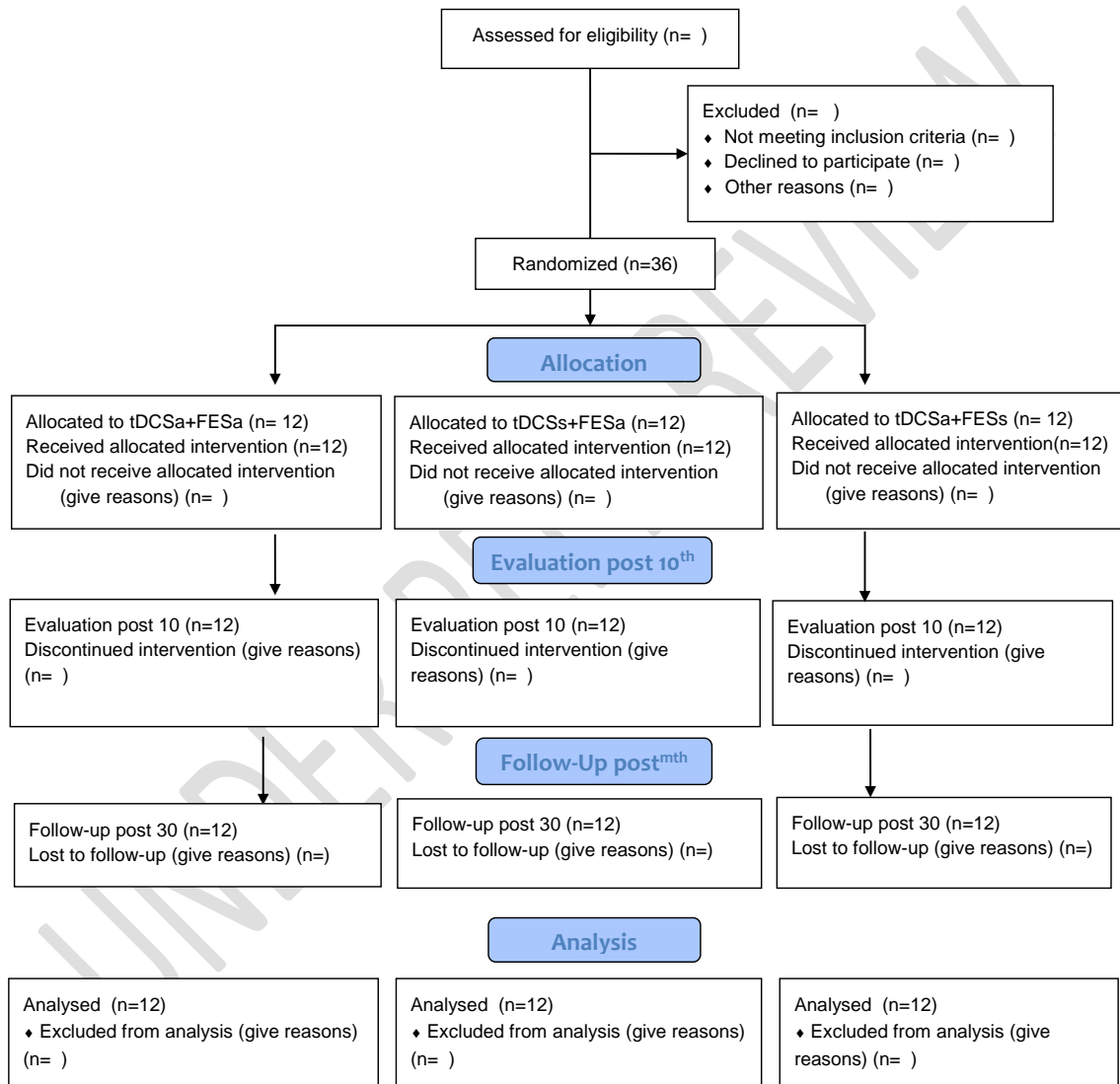
124 **Methods**

125 *Study design*

126 A protocol, randomized, sham-controlled, double-blind, longitudinal, clinical
127 trial is proposed (Figure 1). This protocol received approval from the Human Research
128 Ethics Committee of University Nove de Julho, São Paulo, Brazil (certificate number:
129 2.015.168) in compliance with Resolution 466/12 of the Brazilian National Board of
130 Health. Written informed consent will be obtained from each participant and approval of
131 the register of Clinical Trials: NCT03008720.

132 The participants will be recruited from the physical therapy clinics (waiting list)

133 of University Nove de Julho, São Paulo, Brazil. Evaluations primary
 134 (electromyography-EMG of TA) and secondary Dynamic Balance (Mini-Balance
 135 Evaluation System- Mini BESTest) will be performed on three occasions: 1) baseline
 136 (pre-intervention) 2), after ten treatment sessions (post-intervention) and 3) 30 days
 137 after the end of the sessions (follow up).



138
 139 **Figure 1. Flowchart of study.**

140

141 *Eligibility criteria*

142 The following are the inclusion criteria: hemiparesis stemming from a stroke in
 143 the chronic stage (six months after stroke);² TA muscle weakness > 1 and < 5 on the

144 Medical Research Council scale (this scale grades muscle power on a scale of 0 to 5 in
145 relation to the maximum expected for that muscle. In a recent comparison to an
146 analogue scale the MRC scale is more reliable and accurate for clinical assessment in
147 weak muscles);¹⁹ adults (> 20 years of age) with independent gait (with or without a gait
148 assistance device); agreement to participate through the signing of a statement of
149 informed consent. The following are the exclusion criteria: positive cutoff point for
150 cognitive impairment on the Mini Mental State Examination (less than 11 points;
151 corrected for schooling);²⁰ diagnosis of severe depression (Beck Depression
152 Inventory);²¹ active ankle mobility less than 5 degrees (determined using a universal
153 goniometer);²² participants presenting grade 5 spasticity in triceps suralis muscle
154 (Ashworth Scale);²³ need for the use of orthopedic insoles or rigid braces; use of
155 botulinum toxin in the lower limbs; severe visual impairment (confirmed by
156 ophthalmological exams); contraindication for tDCS (history of seizures, tumors at
157 stimulation site; metal implants in skull [all confirmed by medical exams]); skin lesion
158 at application site of tDCS or PES (visual inspection by therapist); anesthesia or
159 hyperesthesia at central or peripheral stimulation site (physical evaluation of surface
160 sensitivity using a esthesiometer); diagnosis of deep vein thrombosis (confirmed by
161 medical exam); diagnosis of degenerative disease or polyneuropathy (confirmed by
162 medical exam); undergoing physical therapy or alternative therapy during the
163 development of the study or in the one-month period after the 10 treatment sessions.

164

165 *Sample size*

166 The sample size was calculated using the G*Power program. Based on the
167 results of a study by Sabut et al. (2010),²⁴ the calculation was performed considering
168 mean and standard deviation root mean square (RMS) values for the experimental group
169 before and after PES (60 ± 6 and 110 ± 11 , respectively), $\alpha = 0.05$, $\beta = 0.2$ (80% power)
170 and a 0.94 effect size. Twelve individuals were determined for each group (total sample:
171 36 individuals).

172 *Randomization*

173 The allocation of the 36 participants (12 per group) will be randomized and
174 counterbalanced using a randomization table in ExcelTM with codes for the
175 combinations of the two central (active or sham) and two peripheral (active or sham)

176 stimulations.¹⁴ A researcher not involved in the evaluations or treatment will be
177 responsible for the randomized allocation of the participants to the three groups:

178 1- Active tDCS + active PES over paretic TA;

179 2- Sham tDCS + active PES over paretic TA;

180 3- Active tDCS + sham PES over paretic TA.

181

182 *Blinding*

183 The NeuroConn DC-STIMULATOR PLUS device has settings that enable the
184 selection of the active stimulation mode or sham mode by entering codes. A researcher
185 not involved in the treatment or evaluations will program the equipment with the code
186 to which the patient was allocated. The type of stimulation (active or sham) will not be
187 perceptible by visual cues or the external functioning of the device. Therefore, neither
188 the researcher who will place the equipment on the patient nor the patient will know
189 which treatment he/she is receiving (double-blind study).

190 **Assessment Procedures**

191 The evaluation of the tibial anterior muscle will be made by electromyographic
192 analysis and all individuals will be seated on a chair with a backrest, with knees flexed
193 at 90 degrees and ankle in the neutral position.¹⁴ Dynamic Balance analysis will be
194 performed by Mini BESTest Scale (consists of 14 functional tasks). Already,
195 confounding variables will be collected in order to prevent potential factors such as
196 depression or severe motor impairment from influencing intervention responses.

197

198 *Electromyography of tibialis anterior muscle*

199

200 The EMG data of TA muscle activity will be analyzed by the amplitude/power
201 of the signal (RMS) and muscle fiber recruitment rate (median frequency) captured
202 using the electromyography (EMG SYSTEM® BRAZIL), consisting of an A/D
203 converter with 16 bits of resolution, six channels and data transmission. The EMG
204 signals will be pre-amplified with a gain of 1000 fold, a common rejection mode ratio >
205 100 dB and filtered using a 20-450 Hz bandpass filter, with a sampling frequency of 1

206 kHz. The data will subsequently be coded using routines developed in MATLAB®
207 version R2010a (The MathWorks Inc., Natick, Massachusetts, USA).

208 Two disposable surface electrodes (Ag/AgCl – Medical Trace®) measuring 10
209 mm in diameter will be positioned over the skin (previously cleaned with 70% alcohol)
210 in the region of the TA, following the guidelines of the Surface Electromyography for
211 the Noninvasive Assessment of Muscles (SENIAM).²⁵ For each reading, the
212 patient will perform three maximum voluntary isometric contractions of
213 the TA (maximum active dorsiflexion) for 10 seconds following a verbal command,
214 followed by rest for 2-3 minutes between each reading. Next, the participant will
215 perform five consecutive concentric contractions (isotonic) of the TA three times, with
216 2-3 minutes of rest between each reading.¹⁴

217 No previous study has been conducted to determine the reliability of this tool for
218 the population of stroke survivors, but this instrument has demonstrated solid, effective
219 results in the investigation of muscle actions in this group of patients.^{26,27}

220

221 *Mini-Balance Evaluation System (Mini-BESTest)*

222

223 **Dynamic** balance will be evaluated using the Mini-BESTest, which consists of
224 14 tasks distributed among four domains: (1) anticipatory postural adjustments
225 (transition from sitting to standing position; standing on the tips of the toes; one-legged
226 stance); (2) postural responses (four different direction of body movement: anterior,
227 posterior and side-to-side); (3) sensory orientation (feet together on a stable surface with
228 eyes open; feet together on an unstable surface with eyes open; leaning with eyes
229 closed) and (4) gait stability (walking with change in velocity; horizontal movement of
230 the head; around obstacles; turning on one's own axes; and with and without a cognitive
231 dual task).²⁸

232 **Each item is scored on a two-point** scale from zero (worst performance) to two
233 (best performance). The maximum score is 28 points (**domain 1= 6 points; 2= 6 points;**
234 **3= 6 points and 4= 10 points**).²⁸ This instrument has high reliability for the evaluation of
235 balance in stroke survivors (ICC > 0.90).²⁹

236

237 *Determination of potential confounding factors*

238 *Depressive symptoms*

239 Depressive symptoms will be evaluated and graded with regard to severity using
240 the Beck Depression Inventory (BDI),³⁰ which is a self-administered questionnaire
241 composed of 21 items. Each item is scored from 0 to 3 points. The total ranges from 0
242 to 63 points and is interpreted as follows: 0 to 10 indicates the absence of depression; 11
243 to 18 = mild depression; 19 to 29 = moderate depression; and 30 to 63 = severe
244 depression. The BDI score will be determined on three occasions (pre-intervention,
245 post-intervention and 30-day follow up) and used as a covariant to determine whether
246 motor recovery is independent of possible mood-related effects.³¹ The reliability of the
247 BDI is 0.89, and this measure has been used in studies that have shown good clinical
248 results.³²

249 *Fugl-Meyer Scale*

250 The measures proposed on the Fugl-Meyer Scale are based on the neurological
251 examination and sensory-motor activity of the upper and lower limbs to determine
252 selective activity and synergic patterns in patients who have suffered a stroke. This is an
253 accumulative numeric scoring system used to evaluate range of motion, pain,
254 sensitivity, upper and lower limb motor function, balance, coordination and velocity,
255 totaling 226 points.³³ A three-point ordinal scale is used for each item: 0 – not
256 performed; 1 – partially performed; and 2 – fully performed. The scale has a total of 100
257 points for normal motor function, in which the maximum score is 66 for the upper limbs
258 and 34 for the lower limbs.³³ The score is interpreted as follows: < 50 points = severe
259 motor impairment; 50-84 = marked impairment; 85-95 = moderate impairment; and 96-
260 99 = mild impairment. The Fugl-Meyer Scale will be used in this study for the
261 characterization of the individuals considering demographic aspects, degree of global
262 motor impairment and specific motor impairment of the lower limbs. In the literature,
263 this scale has high reliability (ICC = 0.99 and 0.98, respectively) for the evaluation of
264 stroke survivors.³⁴

265

266 **Assessment Interventions**

267

268 For both interventions, the patient will be seated on a chair with a backrest and
269 knees flexed at 90° and ankle in the neutral position.¹⁴ Treatment will consist of 10
270 sessions (five per week for two weeks). PES will last 30 minutes per session,⁵ the first
271 20 minutes of which will be combined with tDCS.¹⁴

272

273 ***Transcranial direct current stimulation***

274

275 The one-channel unipolar DC Stimulation Plus (NeuroConn®) will be used.
276 Stimulation will be administered through two silicone/carbon electrodes 5 x 5 cm
277 covered in a sponge soaked in saline solution. The anode will be positioned over the
278 primary motor cortex of the damaged hemisphere (C1 or C2), and the cathode will be
279 positioned over the primary motor cortex of the undamaged hemisphere (C1 or C2) –
280 both at a distance of 2 cm from Cz based on the map of the 10-20 International
281 Electroencephalogram System.³⁵ Central stimulation with tDCS will occur
282 concomitantly to peripheral stimulation (first 20 minutes of PES) with a current of 2
283 mA.³⁶

284 Sham stimulation will involve the same procedures as active stimulation, but the
285 stimulator will only be switched on for the first 20 seconds, after which the current will
286 be reduced to zero. All patients will be informed that they may feel a mild initial
287 tingling that may disappear or may continue throughout the 30 minutes of treatment.
288 This is considered a valid control procedure for the use of tDCS.³⁷

289

290 ***Determination of potential side effects***

291 Possible adverse effects stemming from noninvasive brain stimulation will be
292 determined using the tDCS – Side Effects Questionnaire (version translated into
293 Portuguese) after each session with tDCS.³⁸

294

295 ***Peripheral electrical stimulation***

296

297 The two-channel QUARK® FES VIF 995 DUAL will be used for PES. Two
298 self-adhesive rubber electrodes measuring 5 x 9 cm will be positioned on the motor
299 point and belly of the paretic TA muscle.¹⁴ PES will be performed with a pulse width of
300 250 µs and a frequency of 50 Hz. The intensity will be increased until reaching the
301 motor threshold (20-30% of maximum voluntary contraction).¹⁴ The stimulation cycles
302 will be 1:2 (six seconds on and 12 seconds off)¹³ combined with active contraction of
303 the TA every six seconds for 30 minutes.¹⁴ Sham stimulation will involve the same

304 procedures as active PES, but the electrodes will be positioned in the tibial region (bone
305 portion).³⁹

306

307 **Statistical analysis**

308

309 Descriptive data, characteristics of the sample (gender, age, type of stroke
310 [ischemic or hemorrhagic], damaged hemisphere [right or left], time elapsed since the
311 stroke event, Fugl-Meyer lower limb score, Beck Depression Inventory (BDI), use of
312 controlled medications and associated comorbidities will be expressed as mean and
313 standard deviation values or median and interquartile range.

314 The Shapiro-Wilk test will be used to determine the normality of the data (EMG
315 and Mini-BesTest). Repeated-measures ANOVA will be used for the comparison
316 parametric data and the Kruskal-Wallis will be used for nonparametric data. The effect
317 size will also be determined for the comparison of evaluation times (pre-intervention,
318 post-intervention and 30-day follow-up). A ($P = < 0.05$ will be considered indicative of
319 statistical significance. All analyzes will be processed using the IBM SPSS program
320 v.19.

321

322 **Discussão**

323 Considering that, after brain injury, functions such as the ability to ambulate
324 can be substantially modified due to several changes, among them the inability to
325 properly move the ankle and knowing that the ankle is of fundamental importance
326 especially in the mechanisms of balance, mobility and adequate plantar distribution; to
327 prove the efficiency of treatments currently available for this purpose become
328 important.

329 It is known that the PES has already presented promising results. However,
330 understanding the tDCS efficiency, still little studied for this purpose, becomes
331 necessary. Additionally, authors suggest that tDCS can facilitate central nervous system
332 modulation, favoring increased local synaptic efficacy and cortical excitability in
333 humans; promoting short-term or long-term cerebral neuroplasticity. Therefore, the
334 hypothesis of this research would be that tDCS associated PES in individuals with
335 hemiparesis due to stroke may potentiate TA muscle activity and functional balance,
336 promoted and expected by PES stimulation, especially in the chronic phase of the
337 disease (when installed the mechanisms of maladaptive plasticity).

338

339 **Conclusion**

340 This article presents a detailed description of a prospective, randomized,
341 controlled, double-blind trial designed to demonstrate the effects of the combination of
342 transcranial direct current stimulation and peripheral electrical stimulation on electrical
343 activity of the tibialis anterior muscle and postural control in individuals with
344 hemiparesis stemming from a stroke. The results will be published and the evidence
345 could contribute to the rehabilitation of this population.

346

347 **Limitations**

348 The authors of the present study believe that performing the application of tDCS
349 and PES combined with neuronavigation equipment would offer better interpretation of
350 the investigated variables. However, availability will not be possible, but there are
351 validated and reliable functional resources such as EMG and the Mini- BESTest scale
352 that will be used for collection and proper analysis of the results in this stroke
353 individuals.

354

355 **Trial status**

356 At the time of manuscript submission, we were recruiting patients. The study in
357 question is expected to be completed in December 2019.

358 **Abbreviations**

359

360 **BDI:** Beck Depression Inventory

361 **EMG:** electromyography

362 **Hz:** Hertz

363 **Mini-BESTest:** Mini-Balance Evaluation System

364 **PES:** peripheral electrical stimulation

365 **RMS:** root mean square

366 **SENIAM:** Surface Electromyography for the Non-Invasive Assessment of Muscles.

367 **TA:** tibialis anterior

368 **tDCS:** transcranial direct current stimulation

369 **Acknowledgments**

370 The authors are grateful to University Nove de Julho for supporting the present
371 study.

372

373 **Availability of data and materials**

374 Data sharing is not applicable to this article because no datasets were generated
375 or analyzed during the present study.

376 **Authors' contributions**

377 FIC and AMAF designed the study. The data collection, interventions and
378 recruitment of the participants were performed by CCS and DCA. The manuscript was
379 prepared by FIC and AMAF, which was revised and edited by FP and JCF. All authors
380 read and approved the final manuscript.

381 **Trial Registration:** Clinical Trials: NCT03008720.

382 **Ethics approval and consent to participate**

383 This protocol received approval from the Human Research Ethics Committee of
384 University Nove de Julho, São Paulo, Brazil (certificate number: 2.015.168) in
385 compliance with Resolution 466/12 of the Brazilian National Board of Health. Written
386 informed consent will be obtained from each participant.

387 Participating volunteers must accept the study consent form (attached
388 document), which ensures the confidentiality of data, free access to the final data,
389 explanations of any nature related to treatment and compensation for those suffering
390 from participation in trials. The results of this study will be published in a journal of
391 interest in the field of physical therapy and rehabilitation.

392

393 **Ethics approval:** This protocol received approval from the Human Research Ethics
394 Committee of University Nove de Julho, São Paulo, Brazil (certificate number:
395 2.015.168) in compliance with Resolution 466/12 of the Brazilian National Board of
396 Health.

397

398 **Competing interests**

399 The authors declare that they have no competing interests.

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