

NON-INVASIVE DISCRIMINATION BETWEEN DIABETIC
STATES (HBA1C<8% AND HBA1C>10%) USING
PHOTOPLETHYSMOGRAPHY

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DISKRIMINASI TIDAK INVASIF ANTARA KEADAAN DIABETIK
(HBA1C<8% DAN HBA1C>10%) MENGGUNAKAN
FOTOPLETISMOGRAFI

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TESIS YANG DIKEMUKAKAN UNTUK MEMPEROLEH IJAZAH
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ABSTRACT

Diabetes mellitus is a group of metabolic diseases associated with the production and/or reaction of insulin leading to hyperglycemia. Glycated hemoglobin (HbA1c) level is generally measured for hyperglycemia. The risk of developing complications depends on both the duration of diabetes and hyperglycemia. A trend of increasing arterial stiffness has been identified in type 2 diabetes. Photoplethysmographic (PPG) pulse wave provides a 'window' into the properties of small arteries whereas stiffening of these arteries will alter the PPG waveform. In this research, the potential of PPG in discriminating between type 2 diabetic patients at risk of having HbA1c level $> 10\%$ has been investigated. To this end, PPG signals recorded from diabetic patients with different levels of HbA1c (HbA1c level $< 8\%$ and HbA1c level $> 10\%$) were acquired from the index finger of the right arm of 101 subjects (53 subjects with HbA1c level $< 8\%$ and 48 subjects with HbA1c level $> 10\%$) at a sampling rate of 275 Hz. The area under the curve of PPG (auc-PPG) was proposed in analyzing the PPG pulse contour. Results of t-test analysis show that auc-PPG is significantly larger in diabetic patients with HbA1c level $< 8\%$ than in those with HbA1c level $> 10\%$ (p-value < 0.001). Repeated measurement of PPG using paired t-test on 30 diabetic patients with HbA1c level $< 8\%$ and 26 diabetic patients with HbA1c level $> 10\%$ (total 56 subjects) show that there is no significant difference in the mean value of auc-PPG between the first measurement and repeated measurement for both groups. Finally, a logistic regression model for estimating the risk of having HbA1c level $> 10\%$ among diabetic patients was estimated using data from 51 female diabetic patients. The model shows that the auc-PPG is an independent predictor for estimating the risk of having HbA1c level $> 10\%$ (p-value = 0.005) among female diabetic patients.

ABSTRAK

Diabetes mellitus adalah sekumpulan penyakit metabolik yang dikaitkan dengan pengeluaran dan/atau tindak balas insulin yang menyebabkan hiperglisemia. Paras 'glycated hemoglobin'(HbA1c) merupakan salah satu ukuran bagi hiperglisemia. Risiko komplikasi bergantung kepada tempoh menghidap diabetes dan hiperglisemia. Suatu trend peningkatan ketegangan arteri telah dikenalpasti pada pesakit diabetes mellitus jenis 2. Gelombang denyut photoplethysmographic (PPG) menyediakan suatu 'jendela' kepada sifat-sifat arteri dan ketegangan arteri-arteri tersebut boleh mengubah bentuk gelombang PPG. Dalam kajian ini, potensi PPG dalam membezakan antara pesakit diabetes mellitus jenis 2 yang berisiko mempunyai HbA1c >10% telah dikaji. Kemudian, isyarat PPG yang direkodkan daripada pesakit diabetes dengan paras HbA1c yang berbeza (paras HbA1c < 8% dan paras HbA1c > 10%) telah diperolehi daripada jari telunjuk tangan kanan 101 orang subjek (53 orang subjek dengan paras HbA1c < 8% dan 48 orang subjek dengan paras HbA1c > 10%) pada kadar persampelan 275 Hz. Kawasan bawah lengkung PPG (auc-PPG) adalah teknik yang dicadangkan untuk membuat analisis kontur isyarat PPG. Keputusan analisis 'independent t-test' menunjukkan bahawa auc-PPG secara signifikannya lebih besar pada pesakit diabetes dengan paras HbA1c < 8% daripada mereka yang mempunyai paras HbA1c >10% (nilai $p < 0.001$). Pengukuran ulangan PPG menggunakan 'paired t-test' pada 30 orang pesakit diabetes mellitus dengan paras HbA1c < 8% dan 26 orang pesakit diabetes mellitus dengan HbA1c > 10% (berjumlah 56 orang subjek) menunjukkan bahawa tiada terdapat perbezaan yang signifikan dalam nilai min auc-PPG antara pengukuran pertama dan pengukuran ulangan untuk kedua-dua kumpulan. Akhirnya, model regresi logistik jangkaan risiko mempunyai paras HbA1c > 10% di kalangan pesakit diabetes mellitus telah dianggarkan dengan menggunakan data daripada 51 orang pesakit diabetes wanita. Model tersebut menunjukkan bahawa auc-PPG adalah suatu pembolehubah tak bersandar bagi menjangkakan risiko mempunyai paras HbA1c > 10% (nilai $p = 0.005$) di kalangan pesakit diabetes wanita.

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LIST OF ABBREVIATIONS

ADA	American Diabetes Association
AIx	Aortic augmentation index
AGEs	Advanced glycation end products
AM	Amplitude
ANOVA	Analysis of variance
ANCOVA	Analysis of covariance
APSS	Air pressure sensing system
ASCII	American Standard Code for Information Interchange
Auc-PPG	Area under the curve of PPG
Ba-PWV	Brachial-ankle pulse wave velocity
BL	Baseline
BMI	Body mass index
BP	Blood pressure
CAD	Coronary artery disease
cf-PWV	Carotid to femoral PWV
CHD	Coronary heart disease
CI	Confidence interval
CR	Coefficient of correlation
CRP	C-reactive protein
CV	Coefficient of variation
CVD	Cardiovascular diseases
ECG	Electrocardiograph/Electrocardiogram
FFT	Fast Fourier Transform
FN	False negative
FP	False positive
GCP	Good clinical practice
GDM	Gestational diabetes
GUI	Graphical user interface
HDL	High-density lipoprotein
HF	High frequency
HRV	Heart rate variability

hs-CRP	High-sensitivity C-reactive protein
ID	Identification number
KPP2	Klinik Pakar Perubatan 2
LDL	Low-density lipoprotein
LED	Light emitting diode
LF	Low frequency
M	Mean
NO	Nitric oxide
NPV	Negative predictive value
OA	Obliterating atherosclerosis
PC	Personal computer
PP	Pulse pressure
PPG	Photoplethysmography
PPV	Positive predictive value
PPUKM	Pusat Perubatan Universiti Kebangsaan Malaysia
PSD	Power spectral density
PTT	Pulse transit time
PWV	Pulse wave velocity
ROC	Receiver operating characteristic
ROS	Reactive oxygen species
SD	Standard deviation
SDPTG	Second derivative PPG
SE	Standard error
SEM	Standard error of mean
SI	Stiffness index
Sn	Sensitivity
Sp	Specificity
TG	Triglycerides
TN	True negative
TP	True positive
VLF	Very low frequency
WHO	World Health Organization

LIST OF NOMENCLATURES

Hb	Deoxygenated hemoglobin
HbA1c	Glycated hemoglobin
HbO ₂	Oxygenated hemoglobin
SpO ₂	Blood oxygen saturation

LIST OF SYMBOLS

π	Probability of the outcome of interest or ‘event’
a	Y intercept
B	Regression coefficient
\ln	Natural logarithm
ΔT	Time delay
H_0	Null hypothesis
p -value	Significance level (probability of rejecting the H_0)
R	Correlation coefficient
Z	Probability distribution

CHAPTER I

INTRODUCTION

1.1 INTRODUCTION

Diabetes mellitus also known as diabetes is defined as abnormally high blood glucose with disturbances of protein metabolism and altered fat (Iftikhar & Waqar 2011). Diabetes has been a silent killer all over the world. Hence, the primary goal of any diabetes treatment is to maintain the glucose level and the risk of developing late-stage diabetic complications. A stable blood glucose level would significantly reduce any cardiovascular disease (CVD) among diabetic patients.

There are two major types of diabetes which are Type 1 diabetes and Type 2 diabetes. The absence (Type 1) or insufficient production (Type 2) of insulin can elevate the blood glucose levels, leading to a condition known as hyperglycemia. The risk of developing complications of diabetes depends on both the duration and the severity of hyperglycemia (Fowler 2008; ADA 2002).

Hyperglycemia is the main metabolic abnormality of diabetes (Iftikhar & Waqar 2011; ADA 2010) and can be measured as glycated haemoglobin (HbA1c). HbA1c, also known as long-term glucose, shows the amount of glycation of haemoglobin, a condition where haemoglobin cell in blood had been bound to a glucose molecule. The HbA1c is measure of long-term glucose level is approximately the same for the period of six to eight weeks. The HbA1c level is given in percentage value.

The target level of HbA1c is 7% as recommended by the American Diabetes Association (ADA) in all patients with diabetes mellitus (Iftikhar & Waqar 2011). Besides, diabetic patients should be maintained their HbA1c level less than 6% without causing significant hypoglycemia (Iftikhar & Waqar 2011). Therefore, the determination of HbA1c level may assist in the initial diagnosis of diabetes and can be used to indicate the degree of long-term diabetic control among diabetic patients.

Impaired glycemic control is another possible factor, instead of aging, for increased arterial stiffness among Type 2 diabetic patients (Schram et al. 2004; Woodman & Watt 2003). Arterial stiffness reflects the rigidity of arterial wall, and other terms used to characterize the properties of the arterial wall are compliance, elasticity (or elastic modulus), distensibility and vascular impedance (Mackenzie et al. 2002). Various different techniques were applied for measuring arterial stiffness which includes pulse pressure, pulse wave velocity (PWV), ultrasound-derived indices, magnetic resonance imaging (MRI)-derived indices and waveform analysis. Technique proposed by researchers for measuring arterial stiffness using waveform analysis is photoplethysmography (PPG) (Huotari et al. 2011; Pilt et al. 2013, Qawqzeh et al. 2014). PPG is an optical non-invasive technique that detects and measures blood volume changes in the peripheral vessels at any location on skin surface (fingers, earlobes, toes, etc.) and it is often used in clinical research (Allen 2007). The blood volume pulsations, produced by heart, propagate through the arterial tree and are affected by reflected waves from the arterial branching sites (Rubins et al. 2008). The relation of PWV and PPG has been reported in previously published works (Alty et al. 2007; Padilla et al. 2006; Loukogeorgakis et al. 2002).

1.2 PROBLEM STATEMENT AND MOTIVATION

Previous studies have shown the relation between HbA1c level and increased risk of microvascular complications (UKPDS 33 1998; Shichiri et al. 2000), myocardial infarction, macrovascular mortality and all causes of death among Type 2 diabetes (Stratton et al. 2000; Craig et al. 2010). Selvin et al. (2005) reported that the risk of coronary heart disease (CHD) is associated with HbA1c level and thus is increased throughout the range of HbA1c level.

The ability to detect alterations in the vascular structure and function in hypertension, diabetes, and atherosclerosis such as by the assessment of vascular compliance has potential advantages for improving risk stratification (Verma & Anderson 2002). Several studies have demonstrated an increased trend in arterial stiffness for patients with Type 2 diabetes (Tamminen et al. 2002; Henry et al. 2003; Schram et al. 2004). Although previous studies reported about the cardiovascular events related to arterial stiffness for diabetic patients, these available publications did not report about the relationship of vascular condition and HbA1c level among diabetic patients. Therefore, the aim of this research is to investigate and study the relationship between vascular condition and HbA1c level.

Analysis of HbA1c usually in blood sample can be obtained by venipuncture or finger prick. Such technique has the drawbacks of pain and also delay before the result is available. For this reason, it is desirable that noninvasive technique in estimation of HbA1c should be developed. The existing noninvasive PPG could be a suitable technique. Contour analysis of the PPG pulse wave is a promising method to obtain the information of vascular condition (Shi 2009). The PPG pulse wave provides a 'window' into the properties of small arteries and stiffening of the small arteries alters the magnitude and timing of reflected waves (Duprez et al. 2004).

Previously, analysis of PPG pulse contour using second derivative technique has been developed in several studies (Takazawa et al. 1993; Takazawa et al. 1998; Miyai et al. 2001; Otsuka et al. 2006; Otsuka et al. 2007). Most of these studies were focused mainly on peripheral pressure pulse that including the evaluation of ageing effect in the cardiovascular system and the screening of arteriosclerotic disease (Bortolotto et al. 2000; Takazawa et al. 1998; Takada et al. 1996; Imanaga et al. 1998). Besides artificial neural networks (Allen & Murray 1995; Salih et al. 2012), nonlinear dynamic analysis (Bhattacharya et al. 2001) and the extraction of periodic components using frequency analysis (Sherebrin & Sherebrin 1990) were also used to recognize features or patterns of pulse wave.

A study by Spigulis et al. (2002) has shown that diabetes can damp the PPG pulses and cause the dicrotic notch to become less prominent. Furthermore, Allen and Murray (2003) has reported that it is difficult to locate the dicrotic notch in subjects who are more than 50 years old as well as in some other diseases, thereby increasing the uncertainty in the timing measurements related to the reflected wave. Hence, it is meaningful to investigate the vascular condition of diabetic patients through contour analysis of PPG pulse wave without locating dicrotic notch.

The simplicity of the PPG measurements and the valuable 'global' cardiovascular information contained would make the PPG a useful clinical investigation tool (Allen 2007). Non-invasive measuring technique which is cost-effective is the reason for utilising PPG in this project. The advantages of the HbA1c level assessment among diabetic patients based on PPG signal analysis are the simplicity of the instrumentation system, manageable data size and digital signal processing techniques by computer programming that offers prospective advancement of the technique. Besides, this research is motivated by the ease in the setting-up of PPG measurement with easy application on the index finger and the measurement is operator-independence.

1.3 OBJECTIVES OF THE RESEARCH

The main objective of this research is to develop a non-invasive technique to discriminate between diabetic patients at risk of having HbA1c level >10% by utilizing the PPG system. Through this research, the PPG signals acquired from index finger are analyzed, and thus the area under the curve of PPG (auc-PPG) has been selected as a parameter to predict the HbA1c level of diabetic patients. The relation of the auc-PPG index and HbA1c level is investigated. This research has involved experimentation, data acquisition and data analysis on diabetic patients using PPG measurement. The specific objectives of the research are as follows:

- To determine the relationship between HbA1c and auc-PPG by statistical analysis.
- To generate the possible statistical model to estimate the risk of having HbA1c level >10%.

- To validate the PPG technique using repeated measurement.

The overall structure of the research work is shown in Figures 1.1 to 1.5.

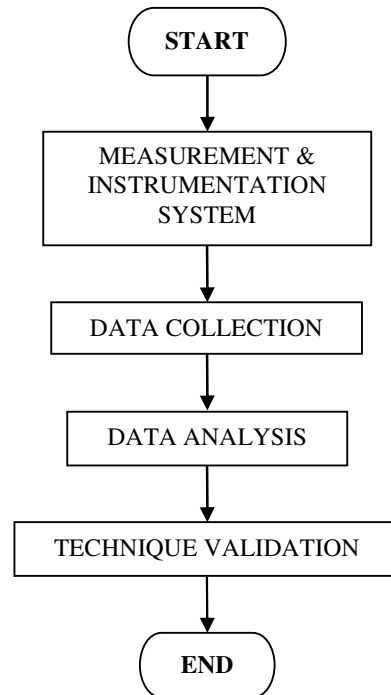


FIGURE 1.1 The structure of the research

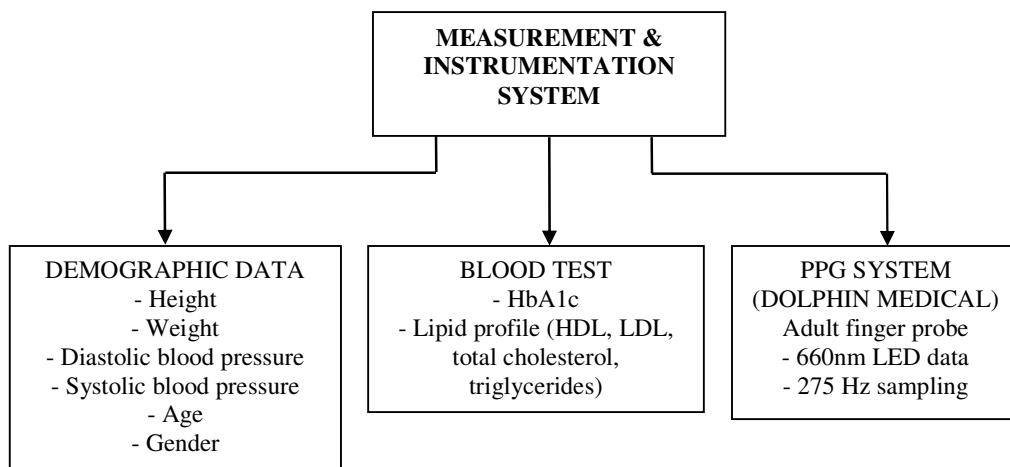


FIGURE 1.2 The structure of the measurement and instrumentation systems

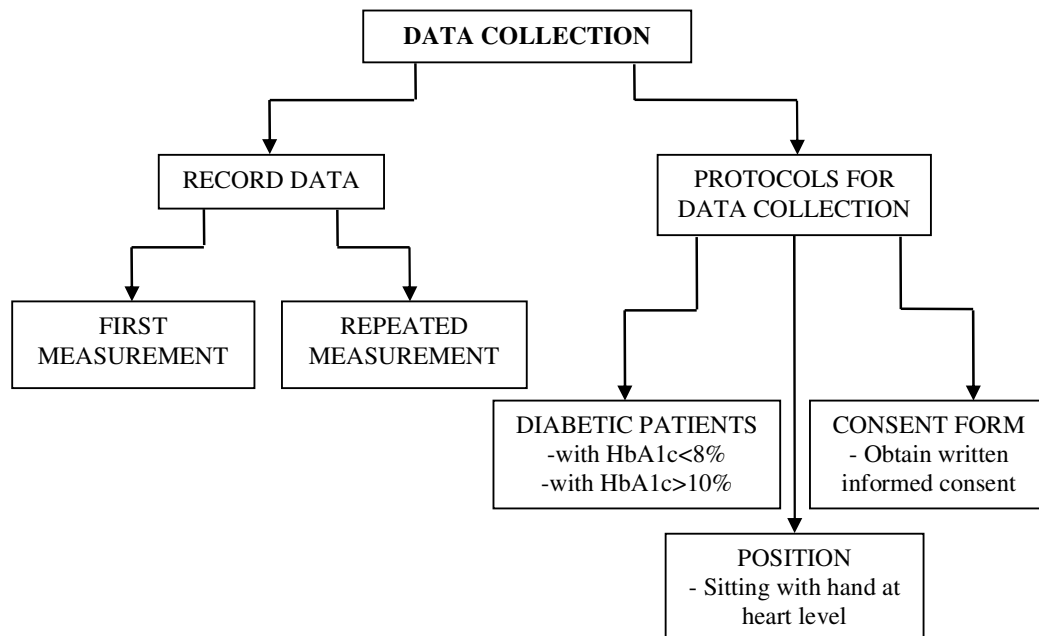


FIGURE 1.3 The structure of the data collection

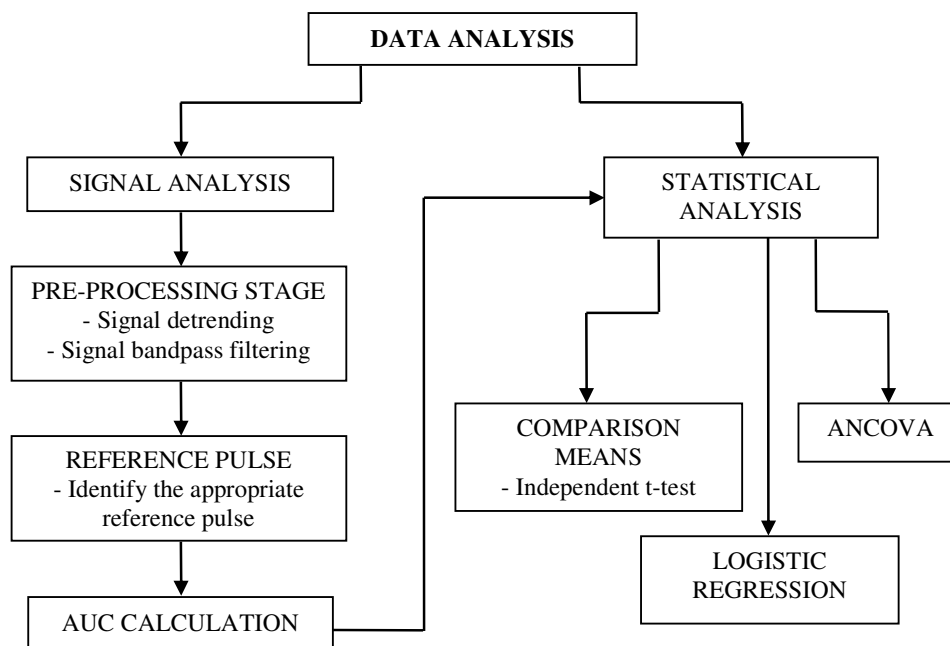


FIGURE 1.4 The structure of the data analysis

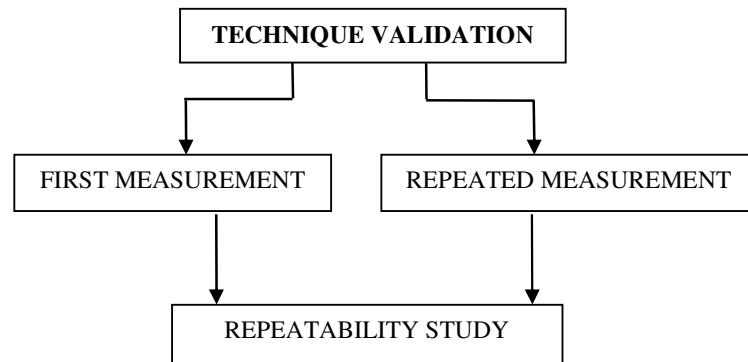


FIGURE 1.5 The structure of the technique validation

1.4 HYPOTHESIS OF THE RESEARCH

Well controlled diabetic patients is defined as those with HbA1c less than 7 (Iftikhar & Waqar 2011) and those with having HbA1c greater than 9 (Juarez et al. 2012; Shani et al. 2008) is categorized as poorly controlled diabetic patients. Besides, Wu et al. (1997) reported that HbA1c levels $<10\%$ were considered as indicatives of satisfactory glycemic control.

The value of HbA1c greater than 10% was chosen to make sure that only diabetic patients with very poorly controlled diabetes would be included in this study. HbA1c of less than 8% was chosen to enlarge the well-controlled group. The intermediate group was excluded from the study in advance to sharpen the differences.

The hypothesis of this research is the analysis of PPG signals of the diabetic patients with HbA1c level less than 8% and among those with HbA1c level greater than 10% will reveal significant trends, which will characterize their vascular condition based on HbA1c level.

1.5 ORGANIZATION OF THE THESIS

This thesis is organized to describe fundamentals of the research and activities involved in the study. The framework of this thesis dissertation is associated with the research objectives and the research structure mentioned earlier.

Chapter I begins with background information on all matters pertaining to this research as well as the motivation behind the research. The research objectives, structure of the research work, research hypothesis and the framework of the dissertation are also described in this chapter.

Chapter II begins with a comprehensive introduction regarding diabetes mellitus and reviews some literatures about the relation of diabetes and vascular condition. Subsequent to the fundamentals of PPG, descriptions of the various methods of PPG signal analysis are elaborated in this chapter. The clinical applications, advantages and limitations of the PPG technique are discussed towards the end of the chapter.

Chapter III describes the instrumentation systems utilized in this research, including their specifications for the hardware and software for PPG systems. This chapter also covers data collection, data organization and protocols for data acquisition. The primary steps involved in the data processing in preparation for further analysis for PPG are described in this chapter as well.

Chapter IV covers the results and discussion of the overall research finding. This chapter begins with discussion of the results obtained from the pre-processing of raw PPG data. This is followed with the discussion on the results after comparing the mean of area under curve of PPG (auc-PPG) between the different levels of HbA1c. Then, the result of the comparison of the mean and age is discussed. The proposed method is verified by the study of the measurement repeatability. Finally, statistical modelling is identified to estimate the risk of having HbA1c level >10%.

Chapter V summarizes the research, describes some limitations of the research, recommends necessary future improvements, and proposes future research directions initiated from this study.

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