

Improving EEG-based Driver Fatigue Classification using Sparse-Deep Belief Networks

1 **Rifai Chai^{1*}, Sai Ho Ling¹, Phyo Phyo San², Ganesh R. Naik¹, Tuan N. Nguyen¹, Yvonne**
2 **Tran^{1,3}, Ashley Craig³, Hung T. Nguyen¹**

3 ¹Centre for Health Technologies, Faculty of Engineering and Information Technology, University of
4 Technology, Sydney, NSW 2007, Australia

5 ²Data Analytic Department, Institute for Infocomm Research, A*STAR, Singapore

6 ³Kolling Institute of Medical Research, Sydney Medical School, The University of Sydney

7 *** Correspondence:**

8 Dr. Rifai Chai

9 Rifai.Chai@uts.edu.au

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11 **sparse-deep belief networks**

12 **Abstract**

13 This paper presents an improvement of classification performance for electroencephalography
14 (EEG)-based driver fatigue classification between fatigue and alert states with the data collected from
15 43 participants. The system employs autoregressive (AR) modeling as the features extraction
16 algorithm, and sparse-deep belief networks (sparse-DBN) as the classification algorithm. Compared
17 to other classifiers, sparse-DBN is a semi supervised learning method which combines unsupervised
18 learning for modeling features in the pre-training layer and supervised learning for classification in
19 the following layer. The sparsity in sparse-DBN is achieved with a regularization term that penalizes
20 a deviation of the expected activation of hidden units from a fixed low-level prevents the network
21 from overfitting and is able to learn low-level structures as well as high-level structures. For
22 comparison, the artificial neural networks (ANN), Bayesian neural networks (BNN) and original
23 deep belief networks (DBN) classifiers are used. The classification results show that using AR
24 feature extractor and DBN classifiers, the classification performance achieves an improved
25 classification performance with a of sensitivity of 90.8%, a specificity of 90.4%, an accuracy of
26 90.6% and an area under the receiver operating curve (AUROC) of 0.94 compared to ANN
27 (sensitivity at 80.8%, specificity at 77.8%, accuracy at 79.3% with AUC-ROC of 0.83) and BNN
28 classifiers (sensitivity at 84.3%, specificity at 83%, accuracy at 83.6% with AUROC of 0.87). Using
29 the sparse-DBN classifier, the classification performance improved further with sensitivity of 93.9%,
30 a specificity of 92.3% and an accuracy of 93.1% with AUROC of 0.96. Overall, the sparse-DBN
31 classifier improved accuracy by 13.8%, 9.5% and 2.5% over ANN, BNN and DBN classifiers
32 respectively.

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37 1 Introduction

38 Fatigue during driving is a major cause of road accidents in transportation, and therefore poses a
39 significant risk of injury and fatality, not only to the drivers themselves but also to other road users
40 such as passengers, motorbike users, other drivers and pedestrians (Desmond et al., 2012). Driver
41 fatigue reduces the ability to perform essential driving skills such as vehicle steering control, tracking
42 vehicle speed, visual awareness and sufficient selective attention during a monotonous driving
43 condition for a long period of time (Lal and Craig, 2001; Wijesuriya et al., 2007; Craig et al., 2012;
44 Jurecki and Stańczyk, 2014). As a result an automated countermeasure for a driver fatigue system
45 with reliable and improved fatigue classification/detection accuracy is needed to overcome the risk of
46 driver fatigue in transportation (Lal et al., 2003; Vanlaar et al., 2008; Touryan et al., 2013; Touryan et
47 al., 2014; Chai et al., 2016).

48 In the digital age, machine learning can be used to provide automated prediction of driver fatigue.
49 Two approaches can be used in machine learning, which are the regression and classification
50 methods. The goal of regression algorithms is the prediction of continuous values to estimate driving
51 performance (Lin et al., 2005; Touryan et al., 2013; Touryan et al., 2014). The outcome of
52 classification algorithms is to predict the target class, such as the classification between fatigue and
53 non-fatigue/alert states (Lin et al., 2010; Zhang et al., 2014; Chai et al., 2016; Xiong et al., 2016).
54 The aim of this study is to improve the accuracy of the prediction of fatigue and non-fatigue states.
55 As a result, this study focuses on using an advanced classification method for enhancing the accuracy
56 of a fatigue classification system previously studied (Chai et al., 2016).

57 As described in a previous paper (Chai et al., 2016), possible driver fatigue assessment includes
58 psychological and physiological measurements (Lal and Craig, 2001; Borghini et al., 2014). For
59 instance, psychological measurement of driver fatigue involves the need for frequent self-report of
60 fatigue status via brief psychometric questionnaires (Lai et al., 2011). Such an approach would be
61 difficult to implement and may well be biased given its subjective nature (Craig et al., 2006).
62 Physiological measurement of the driver fatigue includes video measurement of the face (Lee and
63 Chung, 2012), brain signal measurement using electroencephalography (EEG) (Lal et al., 2003; Lin
64 et al., 2005; Craig et al., 2012; Chai et al., 2016), eye movement tracking system using camera and
65 electrooculography (EOG) (Hsieh and Tai, 2013) and heart rate measurement using
66 electrocardiography (ECG) (Tran et al., 2009; Jung et al., 2014).

67 Physiological assessment of facial or eye changes using video recording of the driver's face may lead
68 to privacy issues. Physiological measurement strategies like monitoring eye blink rates using EOG
69 and heart rate variability (HRV) using ECG have been shown to reliably detect fatigue (Tran et al.,
70 2009; Hsieh and Tai, 2013). EEG has also been shown to be a reliable method of detecting fatigue,
71 as it directly measures neurophysiological signals that are correlated with mental fatigue (Wijesuriya
72 et al., 2007; Craig et al., 2012; Zhang et al., 2014; Chuang et al., 2015; He et al., 2015; Xiong et al.,
73 2016). Recently, we have shown a classification of EEG-based driver fatigue with the inclusion of
74 new ICA based pre-processing with a promising classification result (Chai et al., 2016), however, it
75 was concluded the classification accuracy needs to be improved. As a result, this paper will extend
76 the work on a potential EEG-based countermeasure driver fatigue system with an improved
77 classification of fatigue vs. alert states.

78 An EEG-based classification countermeasure system requires several components including EEG
79 signal measurement, signal pre-processing, feature extraction, and classification modules. For feature
80 extraction in EEG analysis, frequency domain data has been widely explored (Lal and Craig, 2001;
81 Craig et al., 2012). Power spectral density (PSD) methods are popular for converting the time domain
82 of EEG signal into the frequency domain (Demandt et al., 2012; Lin et al., 2014). Alternatively, an
83 autoregressive (AR) modelling parametric approach can also be used for feature extraction in an EEG
84 classification system (McFarland and Wolpaw, 2008; Chai et al., 2016; Wang et al., 2016). The
85 advantage of AR modelling is its inherent capacity to model the peak spectra that are characteristic of
86 the EEG signals and it is an all-pole model making it efficient for resolving sharp changes in the
87 spectra. In our previous finding, an AR modelling feature extractor provided superior classification
88 results compared to PSD for EEG-based driver fatigue classification (Chai et al., 2016). Therefore, in
89 this paper, we present the results of applying AR for modeling feature extraction in order to improve
90 the accuracy the classification algorithm. The PSD method is also included for comparison. For the
91 classification, non-linear methods, such as artificial neural networks (ANN), have been used widely
92 in a variety of applications involving EEG (Nguyen, 2008; Casson, 2014). Bayesian neural networks
93 (BNN) have also been used in EEG-based driver fatigue classification (Chai et al., 2016). The
94 Bayesian regularization framework is able to enhance the generalization of neural networks training
95 regardless of finite and/or noisy data.

96 Recent attention has been focused on improvement of an ANN approach called deep belief networks
97 (DBN) (Hinton et al., 2006; Hinton and Salakhutdinov, 2006; Bengio, 2009; LeCun et al., 2015),
98 which involves a fast, unsupervised learning algorithm for the deep generative model and supervised
99 learning for a discriminative model. The key advantage of this algorithm is the layer-by-layer training
100 for learning a deep hierarchical probabilistic model efficiently as well as a discriminative fine tuning
101 algorithm to optimize performance on the classification problems (Bengio, 2009; LeCun et al., 2015).
102 A DBN classifier is a promising strategy for improving classification of problems including hand-
103 writing character classification (Hinton et al., 2006), speech recognition (Mohamed et al., 2010;
104 Hinton et al., 2012), visual object recognition (Krizhevsky et al., 2012) and other biomedical
105 applications (O'Connor et al., 2013; Stromatias et al., 2015). The training of the DBN is based on the
106 restricted Boltzmann machine (RBM) with layers-wise training of the network per layer at a time
107 from the bottom up (Hinton et al., 2006). Furthermore, the original RBM approach tended to learn a
108 distributed non-sparse representation. A modified version of the RBM using sparse-RBM to form a
109 sparse-deep belief network (sparse-DBN) has shown promising results for modelling low-order
110 features as well as higher-order features for the application of image classification with improved
111 accuracy (Lee et al., 2008; Ji et al., 2014). As a result of this promising advance in classification of
112 complex features, this paper further investigates the classification of EEG signals associated with
113 driver fatigue using the sparse-DBN. For comparison purposes, the results from several different
114 classifiers are included to determine which algorithms are superior with the highest classification
115 performance.

116 The main contribution of this paper is the combination of the AR modelling feature extractor and
117 sparse-DBN classifier which have not been explored previously for EEG-based driver fatigue
118 classification, with the objective of enhancing the classification performance over past attempts (Chai
119 et al., 2016). The motivation to utilize the sparse-DBN classifier was to investigate its potential
120 superiority for classifying fatigue, in comparison to other classifiers. Sparse-DBN is a semi
121 supervised learning method that combines unsupervised learning for modelling the feature in the pre-
122 training layer and supervised learning for discriminating the feature in the following layer.
123 Incorporating the sparsity in sparse-DBN, achieved with a regularization term that penalizes a
124 deviation of the expected activation of hidden units from a fixed low-level, prevents the network

125 from overfitting and is able to learn low-level structures as well as high-level structures (Ji et al.,
126 2014). The structure of this paper is as follows: section II covers the background and methodology
127 including general structure, EEG experiment and pre-processing, feature extraction and classification.
128 Section III describes results, followed by section IV for discussion and section V for the conclusions.

129 **2 Background and Methodology**

130 **2.1 General Structure**

131 The general structure for the EEG-based driver fatigue classification used in this paper is shown in
132 **FIGURE 1** which is divided into four components: (i) the first component involves EEG data
133 collection in a simulated driver fatigue environment; (ii) the second component involves data pre-
134 processing for removing EEG artifact and the moving window segmentation; (iii) the third
135 component involves the features extraction module that converts the signals into useful features; (iv)
136 the fourth component involves the classification module to process the feature and which translates
137 into output via training and classification procedures. The output of the classification comprises two
138 states: fatigue state and alert (non-fatigue) state.

139 **FIGURE 1 | General structure EEG-based driver fatigue classification in this study**

140 **2.2 EEG Data Collection**

141 The EEG data collection has been described in a previous paper (Chai et al., 2016). The study was
142 approved by the Human Research Ethics Committee of the University of Technology Sydney (UTS)
143 obtained from previous experiments of driver fatigue study (Craig et al., 2006; Wijesuriya et al.,
144 2007; Craig et al., 2012). The dataset contains electrophysiological data from 43 healthy participants
145 aged between 18 and 55 years who had a current driver's licence. The study involved continuous
146 measurement taken during a monotonous simulated driving task followed by post EEG measures and
147 post-subjective self-report of fatigue. For the simulated driving task, the divided attention steering
148 simulator (DASS) from Stowood scientific instruments was used (Craig et al., 2012). Participants
149 were asked to keep driving at the centre of the road in the simulation task. The participants were also
150 required to respond to a target number that appeared in any of the four corners of the computer screen
151 in front of the participants when they were driving in the experiment, so as to record reaction time.

152 **FIGURE 2 | Moving window segmentation for driver fatigue study**

153 The simulation driving task was terminated if the participant drove off the simulated road for greater
154 than 15 seconds, or if they showed consistent facial signs of fatigue such as head nodding and
155 extended eyes closure, both determined by analysis of participants' faces that occurred throughout
156 the experiment. Three methods were used to validate fatigue occurrence: (i) using video monitoring
157 for consistent physiological signs of fatigue such as tired eyes, head nodding and extended eye
158 closure, verified further by EOG analysis of blink rate and eye closure; (ii) using performance
159 decrements such as deviation off the road, and (iii) using validated psychometrics such as the Chalder
160 Fatigue Scale and the Stanford Sleepiness Scale. Two participants who did not meet the criterion of
161 becoming fatigued were excluded from the dataset. The validation of fatigue versus non-fatigue in
162 these participants has been reported in prior studies (Craig et al., 2006; Craig et al., 2012). The EEG
163 signals were recorded using a 32-channel EEG system, the Active-Two system (Biosemi) with
164 electrode positions at: FP1, AF3, F7, F3, FC1, FC5, T7, C3, CP1, CP5, P7, P3, PZ, PO3, O1, OZ,
165 O2, PO4, P4, P8, CP6, CP2, C4, T8, FC6, FC2, F4, F8, AF4, FP2, FZ and CZ. The recorded EEG
166 data was down sampled from 2048Hz to 256Hz.

167 2.3 Data Pre-processing and Segmentation

168 For the alert status, the first 5 mins of EEG data was selected when the driving simulation task began.
169 For the fatigue status, the data was selected from the last 5 mins of EEG data before the task was
170 terminated, after consistent signs of fatigue were identified and verified. Then in each group of data
171 (alert and fatigue), 20s segments were taken with the segment that was chosen being the first 20
172 seconds where EEG signals were preserved. For the sample this was all within the first 1 minute of
173 the 5 minutes selected. Further artifact removal using an ICA-based method was used to remove
174 blinks, heart and muscle artifact. As a result, 20s of the alert state and 20s of the fatigue state data
175 were available from each participant.

176 In the pre-processing module before feature extraction, the second-order blind identification (SOBI)
177 and canonical correlation analysis (CCA) were utilized to remove artifacts of the eyes, muscle and
178 heart signals. The pre-processed data were segmented by applying a moving window of 2s with
179 overlapping 1.75s to the 20s EEG data which provided 73 overlapping segments for each state
180 (fatigue and alert states) as shown in **FIGURE 2**. The pre-processing segments were used in the
181 feature extraction module as described in next section.

182 2.4 Feature Extraction

183 For comparison purposes and validity of previous work, a feature extractor using the power spectral
184 density (PSD), a widely used spectral analysis of feature extractor in fatigue studies, is provided in
185 this paper.

186 An autoregressive (AR) model was also applied as a features extraction algorithm in this study. AR
187 modelling has been used in EEG studies as an alternative to Fourier-based methods, and has been
188 reported to have improved classification accuracy in previous studies compared to spectral analysis
189 of the feature extractor (Brunner et al., 2011; Chai et al., 2016). The advantage of AR modelling is its
190 inherent capacity to model the peak spectra that are characteristic of the EEG signals and it is an all-
191 pole model making it efficient for resolving sharp changes in the spectra. The fast Fourier transform
192 (FFT) is a widely used nonparametric approach that can provide accurate and efficient results, but it
193 does not have acceptable spectral resolution for short data segments (Anderson et al., 2009). AR
194 modelling requires the selection of the model order number. The best AR order number requires
195 consideration of both the signal complexity and the sampling rate. If the AR model order is too low,
196 the whole signal cannot be captured in the model. On the other hand, if the model order is too high,
197 then more noise is captured. In a previous study, the AR order number of five provided the best
198 classification accuracy (Chai et al., 2016). The calculation of the AR modelling was as follows:

$$\hat{\mathbf{x}}(t) = \sum_{k=1}^P \mathbf{a}(k)\hat{\mathbf{x}}(t-k) + \mathbf{e}(t) \quad (1)$$

199 where $\hat{\mathbf{x}}(t)$ denotes EEG data at time (t), P denotes the AR order number, $\mathbf{e}(t)$ denotes the white
200 noise with zero means error and finite variance, and $\mathbf{a}(k)$ denotes the AR coefficients.

201 2.5 Classification Algorithm

202 The key feature of DBN is the greedy layer-by-layer training to learn a deep, hierarchical model
203 (Hinton et al., 2006). The main structure of the DBN learning is the restricted Boltzmann machine
204 (RBM). A RBM is a type of Markov random field (MRF) which is a graphical model that has a two-

205 layer architecture in which the observed data variables as visible neurons are connected to hidden
 206 neurons. A RBM is as shown in which m visible neuron ($v=(v_1, v_2, v_3, \dots, v_m)$) and n hidden neurons
 207 ($h=(h_1, h_2, \dots, h_n)$) are fully connected via symmetric undirected weights and there is no intra-layer
 208 connections within either the visible or the hidden layer.

209 The connections weights and the biases define a probability over the joint states of visible and hidden
 210 neurons through energy function $E(v, h)$, defined as follows:

$$E(v, h; \theta) = - \sum_{i=1}^m \sum_{j=1}^n w_{ij} v_i h_j - \sum_{i=1}^m a_i v_i - \sum_{j=1}^n b_j h_j \quad (2)$$

211 where w_{ij} denotes the weight between v_i and h_j for all $i \in \{1, \dots, m\}$ and $j \in \{1, \dots, n\}$; a_i and b_j are
 212 the bias term associated with the i^{th} and j^{th} visible and hidden neurons; $\theta = \{W, b, a\}$ is the model
 213 parameter with symmetric weight parameters W_{nm} .

214 For RBM training, the gradient of log probability of a visible vector (v) over the weight w_{ij} with the
 215 updated rule calculated by constructive divergence (CD) method is as follows:

$$\Delta w_{ij} = \eta (\langle v_i h_j \rangle_{data} - \langle v_i h_j \rangle_{recon}) \quad (3)$$

216 where η is a learning rate, $\langle v_i h_j \rangle_{recon}$ is the reconstruction of original visible units which is calculated
 217 by setting the visible unit to a random training vector. The updating of the hidden and visible states is
 218 considered as follows:

$$p(h_j = 1 | v) = \sigma \left(b_j + \sum_i v_i w_{ij} \right) \quad (4)$$

$$p(v_i = 1 | h) = \sigma \left(a_i + \sum_j h_j w_{ij} \right) \quad (5)$$

219 where σ is the logistic sigmoid function.

220 The original RBM tended to learn a distributed, non-sparse representation of the data, however
 221 sparse-RBM is able to play an important role in learning algorithms. In an information-theoretic
 222 sense, sparse representations are more efficient than the non-sparse ones, allowing for varying of the
 223 effective number of bits per example and able to learn useful low-level and high-level feature
 224 representations for unlabeled data (ie. unsupervised learning) (Lee et al., 2008; Ji et al., 2014).

225 This paper uses the sparse-RBM to form the sparse-DBN for EEG-based driver fatigue classification.
 226 The sparsity in sparse-DBN is achieved with a regularization term that penalizes a deviation of the
 227 expected activation of hidden units from a fixed low-level, which prevents the network from
 228 overfitting, as well as allowing it to learn low-level structures as well as high-level structures (Ji et
 229 al., 2014). The sparse-RBM is obtained by adding a regularization term to the full data negative log
 230 likelihood with the following optimization:

$$\min_{\{w_{ij}, a_i, b_j\}} E(v, h, \theta) - \sum_{l=1}^m \log \sum_h P(v^{(l)}, h^{(l)}) + \lambda \sum_{j=1}^n \left| p - \frac{1}{m} \sum_{l=1}^m \mathbb{E} [h_j^{(l)} | v^{(l)}] \right|^2 \quad (6)$$

231 where $\mathbb{E}[\cdot]$ is the conditional expectation given the data, λ is a regularization constant and p is a
 232 constant controlling the sparseness of the hidden neurons h_j . The DBN is constructed by stacking a
 233 predefined number of RBMs to allow each RBM model in the sequence to receive a different
 234 representation of the EEG data. The modelling between visible input (v) and N hidden layer h_k is as
 235 follows:

$$P(v, h^1, \dots, h^l) = \left(\prod_{k=0}^{l-2} P([h^{(k)} | h^{(k+1)}]) \right) P(h^{l-1}, h^l) \quad (7)$$

236 where $v = h^0$, $P(h^k | h^{k+1})$ is a conditional distribution for the visible units conditioned on the hidden
 237 units of the RBM at level k and $P(h^{l-1}, h^l)$ is the visible-hidden joint distribution at the top-level RBM.
 238 Two training types of the RBM can be used: generative and discriminative. The generative training
 239 of RBM is used as pre-training with un-supervised learning rule. After greedy layer-wise
 240 unsupervised learning, the DBN can be used for discriminative ability using the supervised learning.
 241 This paper uses a sparse variant of DBN with 2 layers of semi supervised sparse-DBN as shown in
 242 **FIGURE 3** with the first layer using the sparse-RBM for generative mode (un-supervised learning)
 243 and the second layer using the sparse-RBM in discriminative mode (supervised learning). After
 244 layer-by-layer training in DBN, an ANN with back-propagation method is used through the whole
 245 classifier to fine-tune the weights for optimal classification.

246 **FIGURE 3 | Structure of sparse-DBN for driver fatigue classification: (A) Greedy learning**
 247 **stack of sparse-RBM; (B) the corresponding sparse-DBN.**

248 The performance indicators, including, sensitivity or true positive rate ($TPR = TP / (TP + FN)$),
 249 specificity or true negative rate ($TNR = TN / (TN + FP)$) and accuracy $(TP + TN) / (TP + TN + FP + FN)$, were
 250 used for the performance measurement. TP (true positive) denotes the number of the fatigue data
 251 correctly classified as fatigue state. FP (false positive) is the number of alert datasets classified as a
 252 fatigue state. TN (true negative) is number of alert datasets correctly classified as an alert state. FN
 253 (false negative) is the fatigue datasets classified as an alert state.

254 For network learning generalization, we presented the results based on two cross-validation
 255 techniques: an early stopping technique and k -fold cross-validation. The early stopping technique
 256 used the ‘hold-out cross validation’ – one of the widely used cross validations techniques. Basically,
 257 it divided the dataset into three subsets (training, validation and testing sets). The model is trained
 258 using the training set while the validation set is periodically used to evaluate the model performance
 259 to avoid over-fitting/over-training. The accuracy of the testing set is used as the result of the model’s
 260 performance. Another cross validation technique is known as k -fold cross-validation ($k=3$). In k -fold
 261 cross-validation ($k=3$), the dataset is divided into three equal (or near equal) sized folds. The training
 262 of the network uses 2 folds and the testing the network uses the remaining fold. The process of
 263 training and testing is repeated for three possible choices of the subset omitted from the training. The
 264 average performance on the three omitted subsets is then used as an estimate of the generalization
 265 performance.

266 Furthermore, a receiver operating characteristic (ROC) graph is used to evaluate further the
 267 performance of the proposed method with the compared method for this study. The areas under the
 268 curve of the ROC (AUROC) were also computed to evaluate quantitatively the classification
 269 performance.

270

271 3 Results

272 From the 32-EEG channel dataset for the 43 participants (2 participants who did not meet the
273 criterion of becoming fatigued were excluded from original 45 participants), 20s of alert state and 20s
274 of fatigue state data were available from each participant. This was fed to the pre-processing module
275 including artifact removal and a 2s moving window segmentation with overlapping 1.75s to the 20s
276 EEG data, providing 73 overlapping segments for each state. As a result, from the 43 participants, a
277 total 6278 units of datasets were formed for the alert and fatigue states (each state having 3139 units).

278 The segmented datasets were fed to the feature extraction module. AR modelling with the order
279 number of 5 was used for the feature extractor as it provided an optimum result from the previous
280 study (Chai et al., 2016). The size of the AR features equaled the AR order number multiplied with
281 32 units of EEG channels, thus the AR order number of 5 resulted in 160 units of the AR features.
282 For comparison and validity purposes, this paper includes the PSD, a popular feature extractor in the
283 EEG classification for driver fatigue classification. The spectrum of EEG bands consisted of: delta
284 (0.5-3Hz), theta (3.5-7.5Hz), alpha (8-13Hz) and beta activity (13.5-30Hz). The total power for each
285 EEG activity band was used for the features that were calculated using the numerical integration
286 trapezoidal method, providing 4 units of power values. This resulted in 128 units of total power of
287 PSD for the 32 EEG channels used.

288 The variant of standard DBN algorithm, sparse-DBN with semi supervised learning used in this
289 paper, comprised of one layer of sparse-RBM with the generative type learning and the second layer
290 of sparse-RBM with discriminative type of learning. The training of the sparse-DBN is done layer-
291 by-layer. The ANN with back-propagation method was used to fine-tune the weights for optimal
292 classification.

293 **TABLE 1 | Testing several values of regularization constant (λ) and the constant controlling the** 294 **sparseness (p) in order to select values with the lowest MSE (trial-and-error method)**

295 For the discriminative learning of sparse-DBN, the total 6278 datasets were divided into three
296 subsets with similar amounts of number sets: training (2093 sets) validation (2093 sets) and testing
297 sets (2092 sets). The generative learning of sparse-DBN uses unlabeled data from the training sets.
298 For the training of the sparse-DBN using the learning rate (η) of 0.01, the maximum epoch is set to
299 200, with a regularization constant (λ) of 1, and the constant controlling the sparseness (p) of 0.02.
300 The selection of these training parameters was chosen by trial-and-error, with the chosen values
301 achieving the best training result. **TABLE 1** shows the selection of the regularization constant (λ),
302 with the chosen value of 1 and the constant controlling the sparseness (p) with the chosen value of
303 0.02, providing lowest the mean square error (MSE) values of 0.00119 (training set) and 0.0521
304 (validation set) with the iteration number of 69. The average of the MSE values was 0.0046 ± 0.0018
305 (training set), and 0.0760 ± 0.0124 .

306 **FIGURE 4 |Plot of the training and validation MSE for early stopping of classifiers: (A) MSE**
307 **training and validation of ANN. (B) MSE training of BNN. (C) MSE training of DBN in hidden**
308 **layer 1 (Generative mode). (D) MSE training of sparse-DBN in hidden layer 1 (Generative**
309 **mode). (E) MSE training and validation of DBN in hidden layer 2 (Discriminative mode). (F)**
310 **MSE training and validation of DBN in hidden layer 2 (Discriminative mode).**

311 **TABLE 2 | The best MSE and iteration numbers from the training of the classifiers (ANN,**
312 **BNN, DBN and Sparse-DBN)**

313 In order to prevent overfitting/over-training in the network, a validation-based early stopping method
314 was used for the proposed classifier of sparse-DBN. The plot of the mean square error (MSE)
315 training set and validation set are shown in **FIGURE 4** for classification using AR and sparse-DBN.
316 **TABLE 2** shows the best performance of the training in term of the MSE values and iteration
317 numbers. For comparison, the results for ANN, BNN and DBN classifier are also included.

318 ANN, DBN and sparse-DBN classifiers utilized the early stopping framework (with the dataset
319 divided into training validation and test sets) to prevent the overfitting problem, except for BNN
320 (where the dataset was divided into training and testing). The BNN used a different framework for
321 preventing the overfitting problem utilizing adaptive hyper-parameters in the cost function to prevent
322 the neural network weight from being too large, which would have resulted in poor generalization.
323 As a result, the validation set is not required for the BNN. A detailed analysis of BNN for EEG based
324 driver fatigue classification has been addressed in our previous study (Chai et al., 2016). The core
325 parameters for the training classifiers (ANN, BNN, DBN and sparse-DBN) are the ANN-based
326 classifier which includes the number of hidden nodes, an activation function and learning rate. In the
327 BNN classifier, an additional hyper-parameter is introduced to fine tune the optimal structure of the
328 ANN. Further, in the sparse-DBN classifier, the regulation constant and constant controlling of
329 sparseness were introduced for the training the DBN classifier. The DBN and sparse-DBN used two
330 hidden layers: the first hidden layer as generative mode (un-supervised learning) and second hidden
331 layer as discriminative mode (supervised learning).

332 The mean square error (MSE) of the training set decreased smoothly. Using ANN classifier, the
333 training network stopped after 100 iterations as the MSE validation set reached a maximum fail of 10
334 times the increment value to ensure no over-training happened with the best validation MSE at 0.115.
335 Using a BNN classifier, the training network stopped after 77 iterations as the conditions are met
336 with the BNN parameters with the best validation MSE at 0.0979. Using a DBN classifier in the first
337 hidden layer (generative mode), the training network stopped after 200 iterations with best MSE at
338 0.434. Using a DBN classifier in the second hidden layer (discriminative mode), the training
339 network stopped after 68 iterations as the MSE validation set reached maximum fail of 10 times
340 increment value to ensure no over-training happened with the best validation MSE at 0.0649. Using
341 the proposed method of sparse-DBN classifier in the first hidden layer (generative mode), the training
342 network stopped after 200 iterations with the best of MSE at 0.388. Using the proposed method of
343 sparse-DBN classifier in the second hidden layer (discriminative mode), the training network stopped
344 after 69 iterations as the MSE validation set reached maximum fail of 10 times increment value to
345 ensure no over-training happened, with the best validation MSE at 0.0520.

346 Using the classification results from the validation set, the optimal number of hidden neurons of the
347 sparse-DBN is shown in **FIGURE 5**. For the PSD feature extraction, using 10 hidden nodes resulted
348 in the best classification performance. For the AR feature extraction, using 15 hidden nodes produced
349 the best classification performance. These optimal hidden nodes were then used for the training of the
350 network to classify the test set. Also, the results using a different number of layers (two layers, three
351 layers, five layers and ten layers) are also provided in **FIGURE 5**, with the 2 layers (generative mode
352 for the first layer and discriminative mode for second layer) providing the optimal number of layers
353 in this study. This figure shows that using a higher number of layers (three layers, five layers and ten
354 layers) results in a lower accuracy compared to results of using only two layers. Therefore, the two
355 layers sparse-DBN was the chosen architecture providing the higher accuracy. The optimal size of

356 sparse-DBN to classify the PSD features of the EEG-based driver fatigue is [128-10-10-2] and the
357 optimal size of sparse DBN to classify the AR feature is [160-15-15-2]. **TABLE 3** shows the results
358 for the classification of the fatigue state vs. alert state using AR feature extractor and sparse-DBN
359 classifier. For a feature extractor comparison and validity of previous result, the result of the
360 classification using PSD feature extractor method is included. Also for classifier comparison, the
361 classification results using original DBN, BNN and ANN are given.

362 **FIGURE 5 | Plot of the optimal number hidden nodes and layers**

363 First, for the artificial neural network (ANN) classifier: (i) ANN with PSD, for the fatigue data, of a
364 total with 1046 units of actual fatigue dataset, 782 units were correctly classified as fatigue states
365 (true positive: TP), resulting in a sensitivity of 74.8%. For the alert group, of a total of 1046 units of
366 actual alert dataset, 731 units of alert data were correctly classified as alert state (true negative: TN),
367 resulting in a specificity of 69.9%. The combination of ANN and PSD resulted in an accuracy of
368 72.3%. (ii) ANN with AR, for the fatigue group, of a total of 1046 units of actual fatigue dataset, 845
369 units of fatigue data were correctly classified as fatigue states (TP), resulting in a sensitivity of
370 80.8%. For the alert group, of a total of 1046 units of actual alert dataset, 814 units of alert data were
371 correctly classified as alert states (TN), resulting in a specificity of 77.8%, while the combination of
372 ANN with AR resulted in an improved accuracy of 79.3% compared to ANN with PSD.

373 Second, for the Bayesian neural networks (BNN) classifier: (i) BNN with PSD achieved an
374 improvement compared to ANN with PSD, and for the fatigue group, of a total of 1046 units of
375 actual fatigue dataset, 808 units of fatigue data were correctly classified as fatigue states (TP),
376 resulting in a sensitivity of 77.2%. For the alert state, of a total of 1046 units of actual alert dataset,
377 791 units of alert data were correctly classified as alert state (TN), resulting in a specificity of 75.6%.
378 The combination BNN with PSD resulted in an accuracy of 76.4%. (ii) BNN with AR achieved an
379 improvement compared to ANN with AR, and ANN with PSD. BNN with PSD, for the fatigue state,
380 of a total of 1046 units of actual fatigue data, 882 units were correctly classified as fatigue states
381 (TP), resulting in a sensitivity of 84.3%. For the alert state, of a total of 1046 units of actual alert
382 data, 868 units of alert data were correctly classified as alert states (TN), resulting in a specificity of
383 83%. The combination BNN with AR resulted in an accuracy of 83.6%.

384 **TABLE 3 | Results classification fatigue state versus alert state for the test set on different** 385 **feature extractors and classifiers**

386 Third, when using the deep belief network (DBN) classifier: (i) DBN with PSD achieved a further
387 improvement compared to BNN with PSD, ANN with PSD and ANN with AR; for the fatigue state,
388 of a total of 1046 units of actual fatigue data, 873 units of fatigue data were correctly classified as
389 fatigue states (TP), resulting in a sensitivity of 83.5%. For the alert state, of a total of 1046 units of
390 actual alert data, 833 units of alert data were correctly classified as alert state (TN), resulting in a
391 specificity of 79.6%. The combination DBN with PSD resulted in an accuracy of 81.5%. (ii) DBN
392 with AR achieved further improvement compared to BNN with AR, ANN with AR, DBN with PSD,
393 BNN with PSD and ANN with PSD, for the fatigue state, of a total of 1046 units of actual fatigue
394 data, 950 units of fatigue data were correctly classified as fatigue states (TP), resulting in a sensitivity
395 of 90.8%. For the alert state, of a total of 1046 units of actual alert data, 946 units of alert data were
396 correctly classified as alert states (TN), resulting in a specificity of 90.4%. The combination of DBN
397 with AR resulted in an accuracy of 90.6%.

398 Fourth, using sparse deep belief networks (sparse-DBN): (i) sparse-DBN with PSD achieved
399 additional improvements compared to DBN with PSD, BNN with PSD, ANN with PSD, BNN with
400 AR and ANN with AR; for the fatigue state, of a total of 1046 units of actual fatigue data, 919 units
401 of fatigue data were correctly classified as fatigue states (TP), resulting in a sensitivity of 87.9%. For
402 the alert state, of a total of 1046 units of actual alert dataset, 855 units of alert data were correctly
403 classified as alert state (TN), resulting in a specificity of 81.7%. The combination sparse-DBN with
404 PSD resulted in an accuracy of 84.8%. (ii) sparse-DBN with AR achieved the most superior result to
405 the other classifier and feature extractor combination with the fatigue state, of a total of 1046 units
406 of actual fatigue data, 982 units of fatigue data were correctly classified as fatigue states (TP),
407 resulting in a sensitivity of 93.9%. For the alert state, of a total of 1046 units of actual alert data, 965
408 units of alert data were correctly classified as alert states (TN), resulting in a specificity of 92.3%.
409 The combination sparse-DBN with AR resulted in best accuracy of 93.1% compared to the other
410 classifier and feature extractor combinations.

411 **4 Discussion**

412 In summary, using the PSD feature extractor: (i) compared to the ANN classifier, the sparse-DBN
413 classifier improved the classification performance with sensitivity by 13.1% (from 74.8% to 87.9%),
414 specificity by 11.8% (from 69.9% to 81.7%) and accuracy by 12.5% (from 72.3% to 84.8%); (ii)
415 compared to the BNN classifier, the sparse-DBN resulted in improved performance indicators for
416 sensitivity by 10.7% (from 77.2% to 87.9%), specificity by 6.1% (from 75.6% to 81.7%) and
417 accuracy by 8.4% (from 76.4% to 84.8%); (iii) compared to the DBN classifier, the sparse-DBN
418 resulted in improved performance indicators for sensitivity by 4.4% (from 83.5% to 87.9%),
419 specificity by 2.1% (from 79.6% to 81.7%) and accuracy by 3.3% (from 81.5% to 84.8%).

420 Further, using the AR feature extractor: (i) compared to the ANN classifier, the sparse-DBN
421 classifier improved the classification performance with sensitivity by 13.1% (from 80.8% to 93.9%),
422 specificity by 14.5% (from 77.8% to 92.3%) and accuracy by 13.8% (from 79.3% to 93.1%); (ii)
423 compared to the BNN classifier, the sparse-DBN resulted in improved performance indicators for
424 sensitivity by 9.6% (from 84.3% to 93.9%), specificity by 9.3% (from 83.0% to 92.3%) and accuracy
425 by 9.5% (from 83.6% to 93.1%); (iii) compared to the DBN classifier, the sparse-DBN resulted in
426 improved performance indicators for sensitivity by 3.1% (from 90.8% to 93.9%), specificity by 1.9%
427 (from 90.4% to 92.3%) and accuracy by 2.5% (from 90.6% to 93.1%).

428 The result of sensitivity (TPR) and specificity (TNR) analyses can also be viewed as the false
429 positive rate ($FPR=1-\text{specificity}$) and false negative rate ($FNR = 1-\text{sensitivity}$). The FPR is the rate
430 of the non-fatigue (alert) state being incorrectly classified as fatigue state. The FNR is the rate of
431 fatigue state being incorrectly classified as an alert state. As a result, the proposed classifier (sparse-
432 DBN) with the AR feature extractor resulted in a sensitivity (TPR) of 93.9%, FNR of 6.1%,
433 specificity (TNR) of 92.3% and FPR of 7.7%. For a real-time implementation, an additional
434 debounce algorithm could be implemented. By adding a debounce component, it masks multiple
435 consecutive false positive detection that may decrease the FPR (Bashashati et al., 2006). The real-
436 time implementation with a debounce algorithm will be a future direction in this area of our study.

437 **TABLE 4 | Results of classification accuracy fatigue state versus alert state with chosen AR** 438 **feature extractors and different classifiers – *k*-fold cross validation (3 folds) approach**

439 For the early stopping classifier comparison, a *k*-fold cross-validation, a popular method for EEG

440 machine learning, is evaluated as well (Billinger et al., 2012). As a result, this study used k -fold
441 cross-validation ($k = 3$) with the mean value of ten results of accuracies on each fold. A total of 6278
442 datasets were divided into three folds (first fold=2093 sets, second fold=2093 sets and third fold=
443 2092 sets). Overall, the mean value accuracy of three folds was reported. **TABLE 4** shows results
444 using k -fold cross validation approach with the chosen AR feature extraction and different classifiers.
445 The result shows that the mean accuracy using the k -fold cross validation approach is comparable to
446 the early stopping approach with the proposed classifier of sparse-DBN as the best classifier
447 (94.8%±0.011 of sensitivity, 93.3%±0.012 of specificity and 94.1%±0.011 of accuracy) and followed
448 by DBN (90.9%±0.005 of sensitivity, 90.5%±0.005 of specificity and 90.7%±0.005 of accuracy),
449 BNN (84.8%±0.012 of sensitivity, 83.6%±0.015 of specificity and 84.2%±0.014 of accuracy) and
450 ANN (81.4%±0.010 of sensitivity, 78.4%±0.012 of specificity and 79.9%±0.011 of accuracy).

451

452 **TABLE 5 | Result of Statistical significance of Tukey–Kramer HSD in pairwise comparison**

453 One-way ANOVA was used to compare the four classifiers (ANN, BNN, DBN and sparse-DBN) and
454 the resultant p -value was 9.3666e-07. This p -value corresponding to the F-statistic of one-way
455 ANOVA is much lower than 0.05, suggesting that one or more classifiers are significantly different
456 for which Tukey’s HSD test (Tukey–Kramer method) was used to detect where the differences were.
457 The critical value of the Tukey–Kramer HSD Q statistic based on the four classifiers and $\nu = 8$
458 degree of freedom for the error term, were significance levels of $\alpha = 0.01$ and 0.05 (p -value). The
459 critical value for Q , for α of 0.01 ($Q^{\alpha=0.01}$) is 6.2044 and the critical value for Q for α of 0.05 ($Q^{\alpha=0.05}$)
460 is 4.5293. The Tukey HSD Q -statistic ($Q_{i,j}$) values were calculated for pairwise comparison of the
461 classifiers. In each pair, the statistical significance is found when $Q_{i,j}$ is more than the critical value of
462 Q . **TABLE 5** presents the Tukey HSD Q -statistic ($Q_{i,j}$) and Tukey HSD p -value and Tukey HSD
463 inference of the pairwise comparisons. The results in **TABLE 5** show all six pairwise combinations
464 reached statistical significance (* p <0.05 and ** p <0.01). In addition, to compare the proposed
465 classifier (sparse-DBN) and other classifiers (DBN, BNN, ANN), the sparse-DBN vs. DBN resulted
466 in a p -value of 0.021 (* p <0.05), while sparse-DBN vs. BNN and sparse-DBN vs. ANN resulted in a
467 p -value of 0.001 (** p <0.01).

468 Overall, the combination of the AR feature extractor and sparse-DBN achieved the best result with
469 improved sensitivity, specificity and accuracy for the classification fatigue vs. alert states in a
470 simulated driving scenario.

471

472 **FIGURE 6 | ROC plot with AUC values for AR feature extractor and ANN, BNN, DBN and** 473 **sparse-DBN classifiers of early stopping (hold-out cross-validation) technique.**

474 **FIGURE 7 | ROC plot with AUC values for AR feature extractor and ANN, BNN, DBN and** 475 **sparse-DBN classifiers of k -fold cross validation ($k=3$) technique.**

476

477 **FIGURE 6** shows the results displayed in the receiver operating characteristic (ROC) curve analyses
478 with AR feature extractor and ANN, BNN, DBN and sparse-DBN classifiers of early stopping (hold-
479 out cross-validation) techniques. The ROC graph is a plot of true positive rate or sensitivity (TPR) on
480 the Y axis and false positive rate (FPR) or 1– specificity on the X axis by varying different threshold

481 ratios as the sweeping variable. A random performance of a classifier would have a straight line
482 connecting (0, 0) to (1, 1). A ROC curve of the classifier appearing in the lower right triangle suggest
483 it performs worse than random guessing and if the ROC curve appears in the upper left, the classifier
484 is believed to have a superior performance classification (Huang and Ling, 2005; Castanho et al.,
485 2007). All ROC curves in **FIGURE 6** for ANN, BNN, DBN and sparse-DBN classifier shows the
486 curves plotted in the upper left or above random guess classification. The result also shows that the
487 ROC curve for sparse-DBN classifier achieved the best upper left curve compared to DBN, BNN and
488 ANN.

489 The areas under the curve of ROC (AUROC) were also computed to evaluate quantitatively the
490 classification performance. AUROC represents the probability that the classifier will rank a randomly
491 chosen positive example higher than a randomly chosen negative example, and it exhibits several
492 interesting properties compared to accuracy measurement (Huang and Ling, 2005). The AUROC
493 value lies between 0 and 1 with a higher AUROC value indicating a better classification
494 performance. Fig. 6 shows that the classifier using sparse-DBN and AR feature extractor achieved
495 the best performance result with the highest AUROC of 0.9624 compared to original DBN classifier
496 with AUROC of 0.9428, BNN classifier with AUROC 0.8725 and conventional ANN with AUROC
497 of 0.8306.

498 **FIGURE 7** shows the results displayed in the receiver operating characteristic (ROC) curve analyses
499 with AR feature extractor and ANN, BNN, DBN and sparse-DBN classifiers of k -fold cross-
500 validation (3 folds) technique with three subplots for each fold. Similar with the ROC plot from the
501 hold-out cross validation technique, all ROC curves in **FIGURE 7** for ANN, BNN, DBN and sparse-
502 DBN classifier shows the curves plotted in the upper left or above random guess classification, and
503 the ROC curve for the sparse-DBN classifier again had best upper left curve compared to DBN, BNN
504 and ANN. For the area under the curve analysis, in first fold ($k=1$), sparse-DBN achieved the best
505 AUROC of 0.9643 compared to DBN classifier with AUROC of 0.9484, BNN classifier with
506 AUROC of 0.8879 and ANN classifier with AUROC of 0.8419. For second fold ($k=2$), the sparse-
507 DBN achieved the best AUROC of 0.9673 compared to DBN classifier with AUROC of 0.9520,
508 BNN classifier with AUROC of 0.8968 and ANN classifier with AUROC of 0.8458. For third fold
509 ($k=3$), the sparse-DBN achieved the best AUROC of 0.9627 compared to DBN classifier with
510 AUROC of 0.9434, BNN classifier with AUROC of 0.8858 and ANN classifier with AUROC of
511 0.8372.

512 Our previous work in (Chai et al., 2016) showed a promising result with the inclusion of an
513 additional pre-processing component using a recent independent component analysis (ICA)
514 algorithm, AR feature extractor and BNN classifier. However, it was concluded that the performance
515 of the classification needed to be improved. The findings presented in this paper, strongly suggests
516 that the use of an AR feature extractor provides superior results compared to PSD method, and also
517 extends further the study by improving the reliability including the sensitivity, specificity and
518 accuracy using sparse-DBN classifier in combination with the AR feature extractor, even without the
519 need to include the ICA pre-processing component.

520 **TABLE 6 | Comparison of the training time and testing time for different classifiers**

521 Using chosen classifier parameters, **TABLE 6** shows the comparison of computation times between
522 the proposed classifier (sparse-DBN) and other classifiers (ANN, BNN and DBN). The
523 computational time is estimated using the MATLAB *tic/toc* function, where the *tic* function was
524 called before the program and the *toc* function afterward on the computer (Intel Core i5-4570

525 processor 3.20 GHz, 8-GB RAM). The result shows that for the training time, the sparse-DBN
526 required 169.23 ± 0.93 s which was slower compared to other classifiers (86.79 ± 0.24 s for DBN,
527 55.82 ± 2.77 s for BNN and 24.02 ± 1.04 for ANN). In terms of the testing (classification) time, all
528 classifiers required the same amount of time of 0.03s or less than a second to complete the task.
529 Although the proposed sparse-DBN required more time to complete the training process, the
530 classifier was able to perform as fast as other classifiers during the testing process. The reason that
531 the testing times of the classifier are comparable to each other was because, after the training process,
532 the final weights were used as constants and in the classification process all classifiers used the same
533 ANN feed-forward classification routine. For the operation of real-time classification, there is no
534 necessity to perform the classifier training again. The classifier just needs to compute the feed
535 forward ANN routine with the saved weight parameters. Thus, sparse-DBN classification time in the
536 runtime mode (execution) is fast, taking less than a second.

537 The potential future direction of this research includes: (i) real-time driver fatigue with the active
538 transfer learning approach for new user adaptation (Wu et al., 2014; Marathe et al., 2016; Wu, 2016),
539 (ii) improvement of the classification result through an intelligent fusion algorithm, and (iii) testing
540 the efficacy of hybrid driver fatigue detection systems using a combination of physiological
541 measurement strategies known to be related to fatigue status, such as brain signal measurement using
542 electroencephalography (EEG), eye movement and facial tracking systems using camera and
543 electrooculography (EOG) and heart rate variability measurement using electrocardiography (ECG).

544

545 **5 Conclusions**

546 In this paper, the EEG-based classification of fatigue vs. alert states during a simulated driving task
547 was applied with 43 participants. The AR was used for feature extractor and the sparse-DBN was
548 used as a classifier. For comparison, the PSD feature extractor and ANN, BNN, original DBN were
549 included.

550 Using the early stopping (hold-out cross validation) evaluation, the results showed that for a PSD
551 feature extractor, the sparse-DBN classifier achieved a superior classification result (sensitivity at
552 87.9%, specificity at 81.7% and accuracy at 84.8%) compared to the DBN classifier (sensitivity at
553 83.5%, specificity at 79.6% and accuracy at 81.6%), BNN classifier (sensitivity at 77.2%, specificity
554 at 75.6% and accuracy at 76.4%) and ANN classifier (sensitivity at 74.8%, specificity at 69.9% and
555 accuracy at 72.3%). Further, using an AR feature extractor and the sparse-DBN achieves a
556 significantly superior classification result (sensitivity at 93.9%, specificity at 92.3% and accuracy at
557 93.1% with AUROC at 0.96) compared to DBN classifier (sensitivity at 90.8%, specificity at 90.4%
558 and accuracy at 90.6% with AUROC at 0.94), BNN classifier (sensitivity at 84.3%, specificity at
559 83% and accuracy at 83.6% with AUROC at 0.87) and ANN classifier (sensitivity at 80.8%,
560 specificity at 77.8% and accuracy at 79.3% with AUROC at 0.83).

561 Overall the findings strongly suggest that a combination of the AR feature extractor and sparse-DBN
562 provides a superior performance of fatigue classification, especially in terms of overall sensitivity,
563 specificity and accuracy for classifying the fatigue vs. alert states. The k -fold cross-validation ($k=3$)
564 also validated that the sparse-DBN with the AR features extractor is the best algorithm compared to
565 the other classifiers (ANN, BNN and DBN), confirmed by a significance of a p -value < 0.05 .

566 It is hoped these results provide a foundation for the development of real-time sensitive fatigue
567 countermeasure algorithms that can be applied in on-road settings where fatigue is a major

568 contributor to traffic injury and mortality (Craig et al., 2006; Wijesuriya et al., 2007). The challenge
569 for this type of technology to be implemented will involve valid assessment of EEG and fatigue
570 based on classification strategies discussed in this paper, while using an optimal number of EEG
571 channels (that is, the minimum number that will result in valid EEG signals from relevant cortical
572 sites) that can be easily applied. These remain the challenges for detecting fatigue using brain signal
573 classification.

574

575 **6 Author Contributions**

576 RC performed all data analysis and wrote the manuscript. SL, PS, GN and TN advised the analysis
577 and edited the manuscript. YT and AC conceptualized the experiment and edit the manuscript, HN
578 supervised the study, advised the analysis and edited the manuscript.

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727 **TABLE 1 | Testing several values of regularization constant (λ) and the constant controlling the**
 728 **sparseness (p) in order to select values with the lowest MSE (trial-and-error method)**

Regularization constant(λ)	Sparseness constant (p)	MSE training	MSE validation	Iteration number
0.5	0.1	0.00492	0.06625	90
1	0.1	0.00680	0.06710	82
2	0.1	0.00676	0.07961	64
0.5	0.01	0.00542	0.07365	66
1	0.01	0.00507	0.08360	71
2	0.01	0.00395	0.06831	85
0.5	0.02	0.00288	0.07664	73
<u>1</u>	<u>0.02</u>	<u>0.00119</u>	<u>0.05206</u>	<u>69</u>
2	0.02	0.00288	0.07181	66
0.5	0.03	0.00327	0.08289	88
1	0.03	0.00574	0.09207	73
2	0.03	0.00665	0.09825	89
Mean		0.004629	0.07615	76.42
SD		0.001803	0.01269	9.72

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733 **TABLE 2 | The best MSE and iteration numbers from the training of the classifiers (ANN,**
 734 **BNN, DBN and Sparse-DBN)**

Classifiers	Best MSE	Best Iteration Number
ANN	0.115	110
BNN	0.0979	77
DBN	0.0649	68
Sparse-DBN	0.0520	69

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740 **TABLE 3 | Results classification fatigue state versus alert state for the test set on different**
 741 **feature extractors and classifiers – early stopping approach**

Feature Extraction Methods:	Classification Results	Classification Methods:			
		ANN	BNN	DBN	Sparse- DBN
PSD	TP	782	808	873	919
	FN	264	238	173	127
	TN	731	791	833	855
	FP	315	255	213	191
	Sensitivity (%)	74.8%	77.2%	83.5%	87.9%
	Specificity (%)	69.9%	75.6%	79.6%	81.7%
	Accuracy (%)	72.3%	76.4%	81.5%	84.8%
AR	TP	845	882	950	982
	FN	201	164	96	64
	TN	814	868	946	965
	FP	232	178	100	81
	Sensitivity (%)	80.8%	84.3%	90.8%	<u>93.9%</u>
	Specificity (%)	77.8%	83.0%	90.4%	<u>92.3%</u>
	Accuracy (%)	79.3%	83.6%	90.6%	<u>93.1%</u>

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745 **TABLE 4 | Results of classification accuracy fatigue state versus alert state with chosen AR**
 746 **feature extractors and different classifiers – *k*-fold cross validation (3 folds) approach**

Classification Results	Classification Methods:			
	ANN (Mean±SD)	BNN (Mean±SD)	DBN (Mean±SD)	Sparse-DBN (Mean±SD)
TP	852.0±10.583	888.0±13.229	951.3±4.933	992±11.930
FN	194.7±10.408	158.7±13.051	95.3±4.726	54.3±11.719
TN	820.3±13.051	874.7±15.308	947.0±5.292	976.0±12.288
FP	225.7±13.051	171.3±15.308	99.0±5.292	70.0±12.288
Sensitivity	81.4%±0.010	84.8%±0.012	90.9%±0.005	<u>94.8%</u> ±0.011
Specificity	78.4%±0.012	83.6%±0.015	90.5%±0.005	<u>93.3%</u> ±0.012
Accuracy	79.9%±0.011	84.2%±0.014	90.7%±0.005	<u>94.1%</u> ±0.011

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751 **TABLE 5 | Result of Statistical significance of Tukey–Kramer HSD in pairwise comparison**

Pairwise Comparison	Tukey HSD Q statistic	Tukey HSD p-value	Tukey HSD inference
Sparse DBN vs. DBN	5.376	0.021	*$p < 0.05$
Sparse DBN vs. BNN	15.795	0.001	**$p < 0.01$
Sparse DBN vs. ANN	22.733	0.001	**$p < 0.01$
DBN vs. BNN	10.419	0.001	**$p < 0.01$
DBN vs. ANN	17.357	0.001	**$p < 0.01$
BNN vs. ANN	6.938	0.005	**$p < 0.01$

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754 **TABLE 6 | Comparison of the training time and testing time for different classifiers**

Classifiers	Training time (s) (Mean±SD)	Testing time (s) (Mean±SD)
ANN	24.02±1.04	0.0371±0.0023
BNN	55.82±2.77	0.0381±0.0082
DBN	86.79±0.24	0.0334±0.0016
Sparse-DBN	169.23±0.93	0.0385±0.0043

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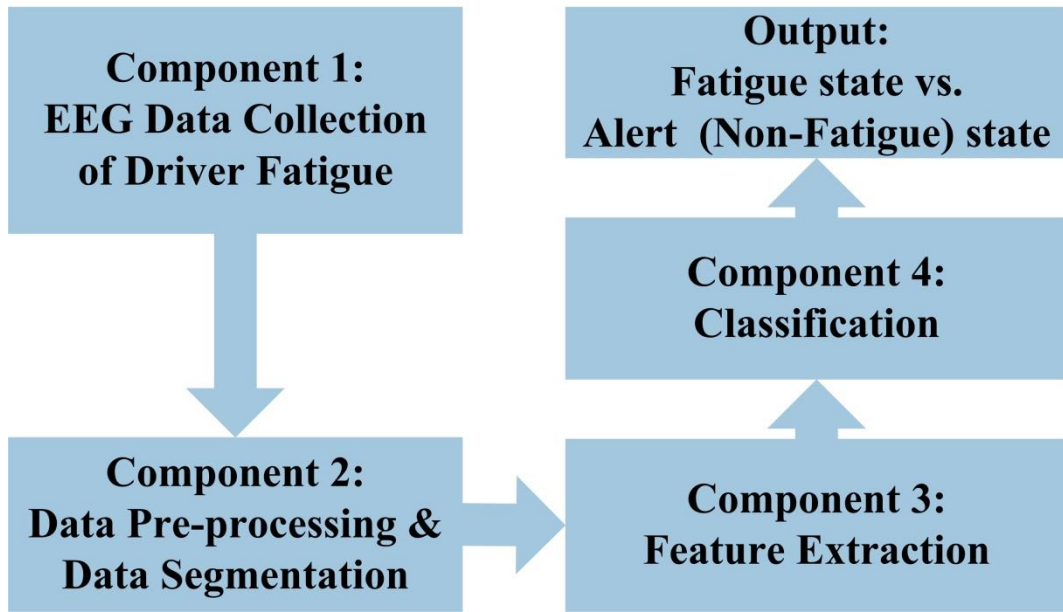
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767 **Figure Legends**

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770 **FIGURE 1 | General structure EEG-based driver fatigue classification in this study**

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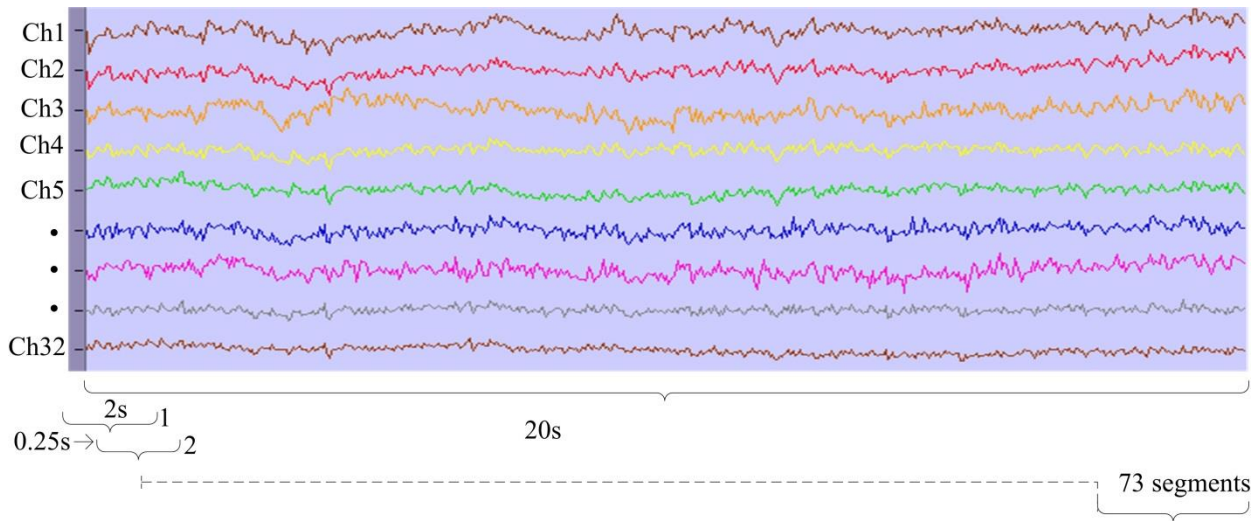
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788 **FIGURE 2 | Moving window segmentation for driver fatigue study**

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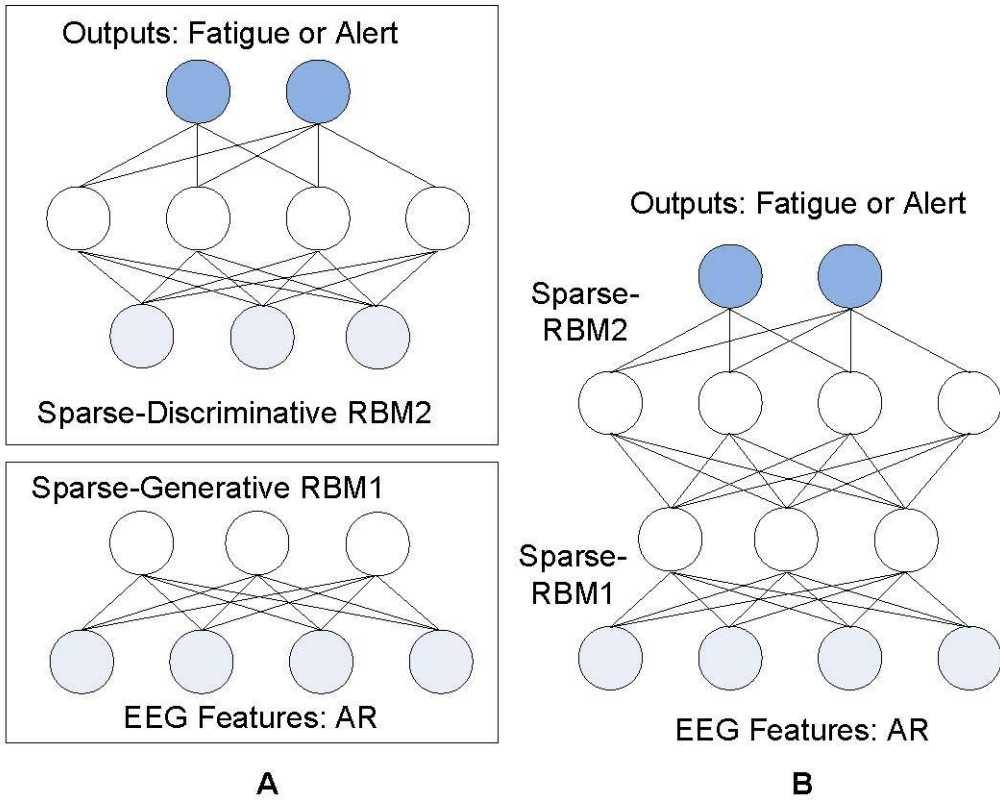
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806 **FIGURE 3 | Structure of sparse-DBN for driver fatigue classification: (A) Greedy learning**
807 **stack of sparse-RBM; (B) the corresponding sparse-DBN.**

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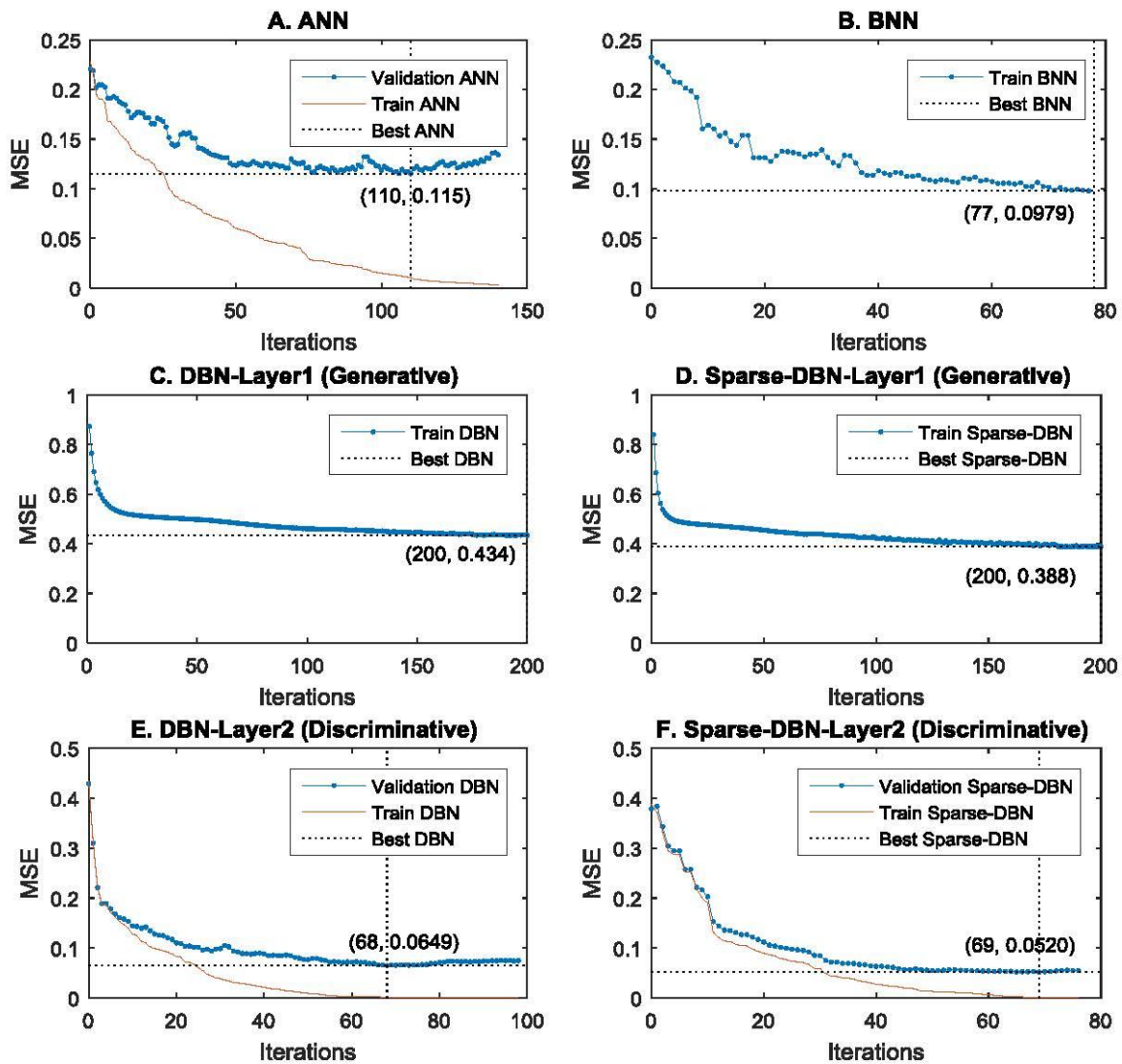
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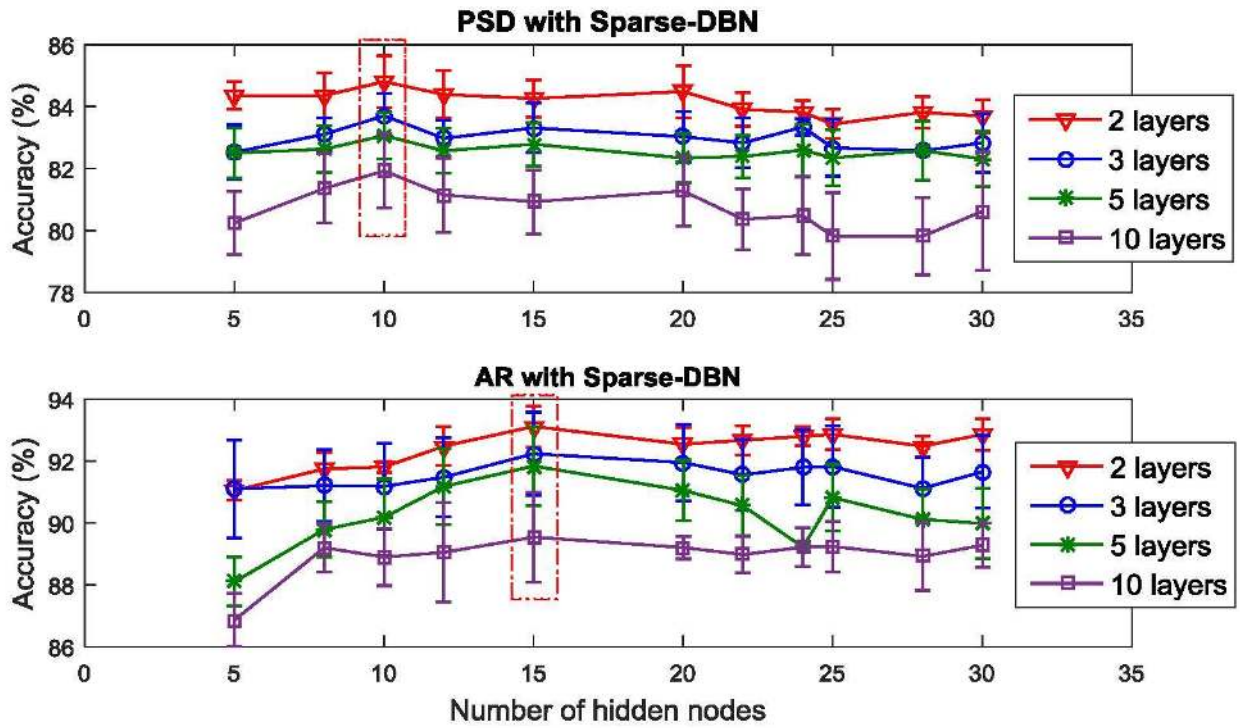
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819 **FIGURE 4** |Plot of the training and validation MSE for early stopping of classifiers: (A) MSE
 820 training and validation of ANN. (B) MSE training of BNN. (C) MSE training of DBN in hidden
 821 layer 1 (Generative mode). (D) MSE training of sparse-DBN in hidden layer 1 (Generative
 822 mode). (E) MSE training and validation of DBN in hidden layer 2 (Discriminative mode). (F)
 823 MSE training and validation of DBN in hidden layer 2 (Discriminative mode).

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829 **FIGURE 5 | Plot of the optimal number hidden nodes and layers**

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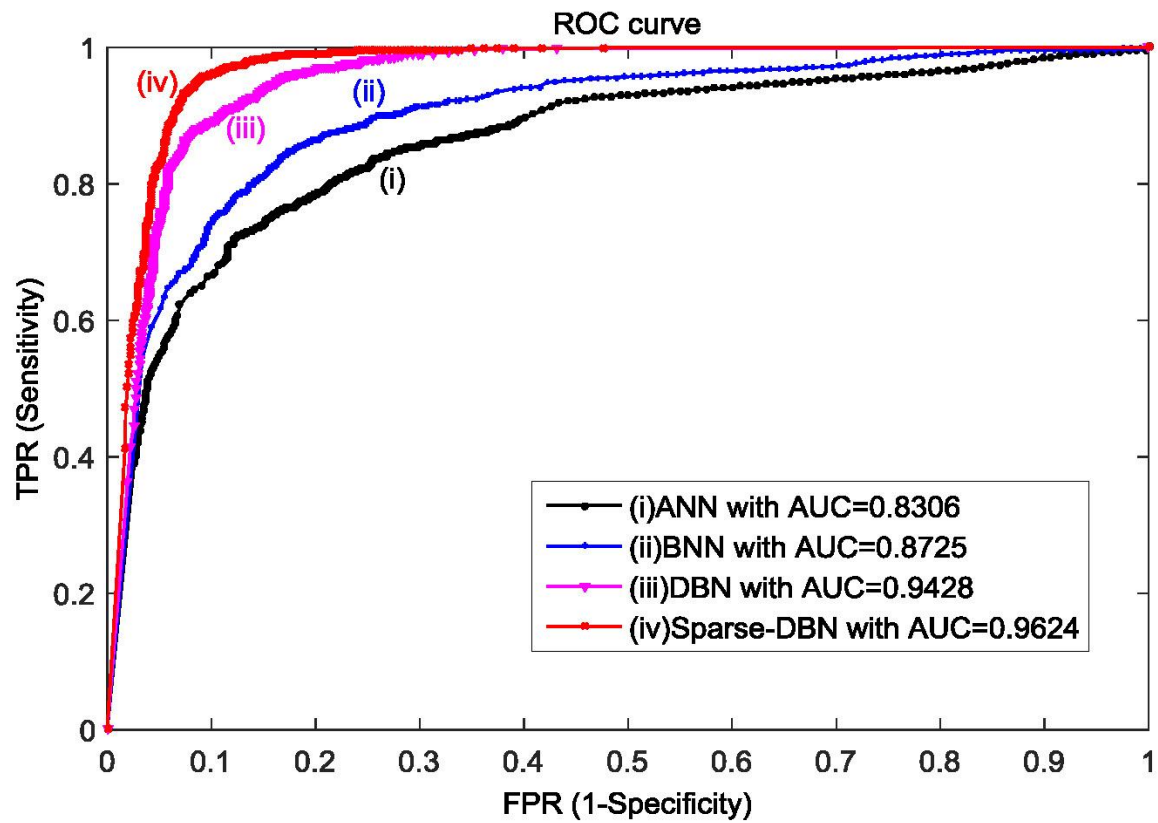
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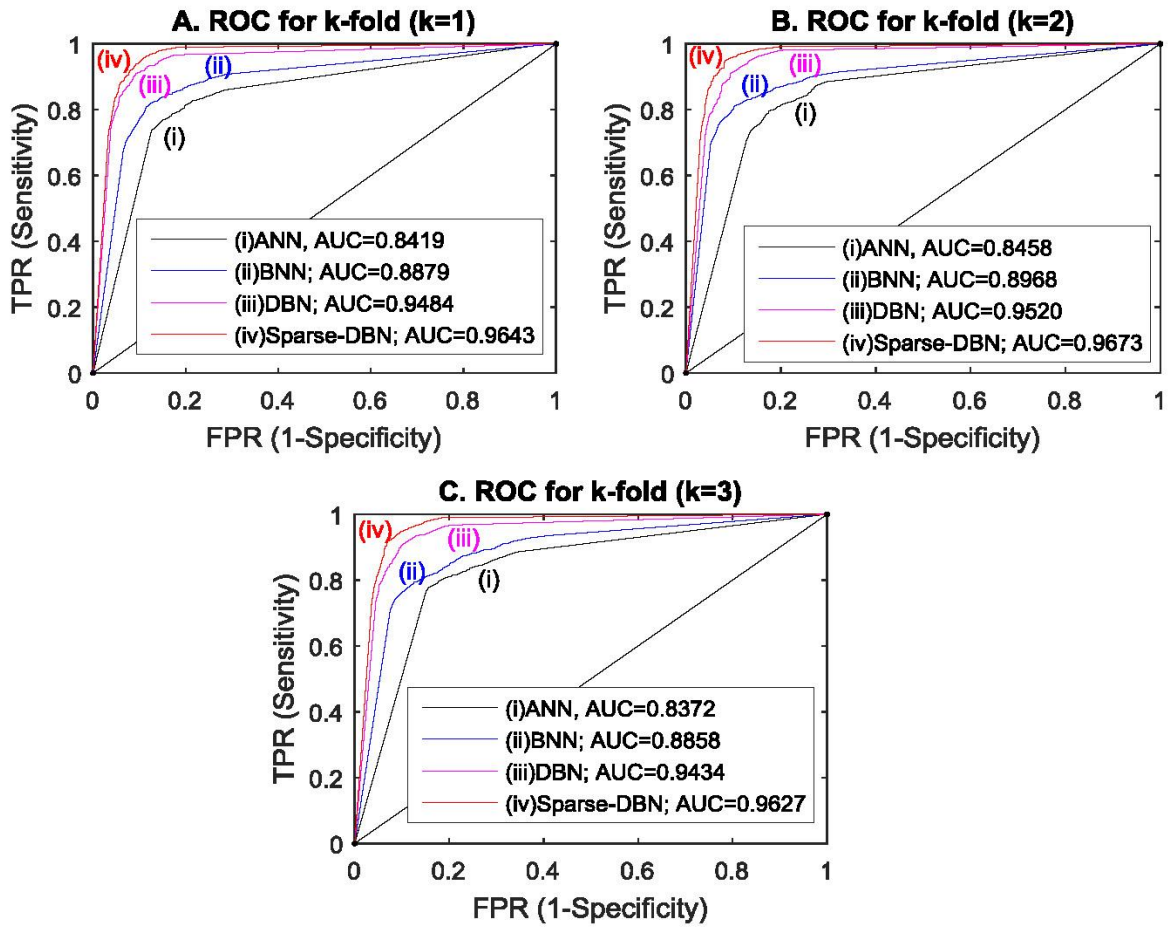
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844 **FIGURE 6 | ROC plot with AUC values for AR feature extractor and ANN, BNN, DBN and**
845 **sparse-DBN classifiers of early stopping (hold-out cross-validation) technique.**

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848 **FIGURE 7 | ROC plot with AUC values for AR feature extractor and ANN, BNN, DBN and**
 849 **sparse-DBN classifiers of k -fold cross validation ($k=3$) technique.**

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