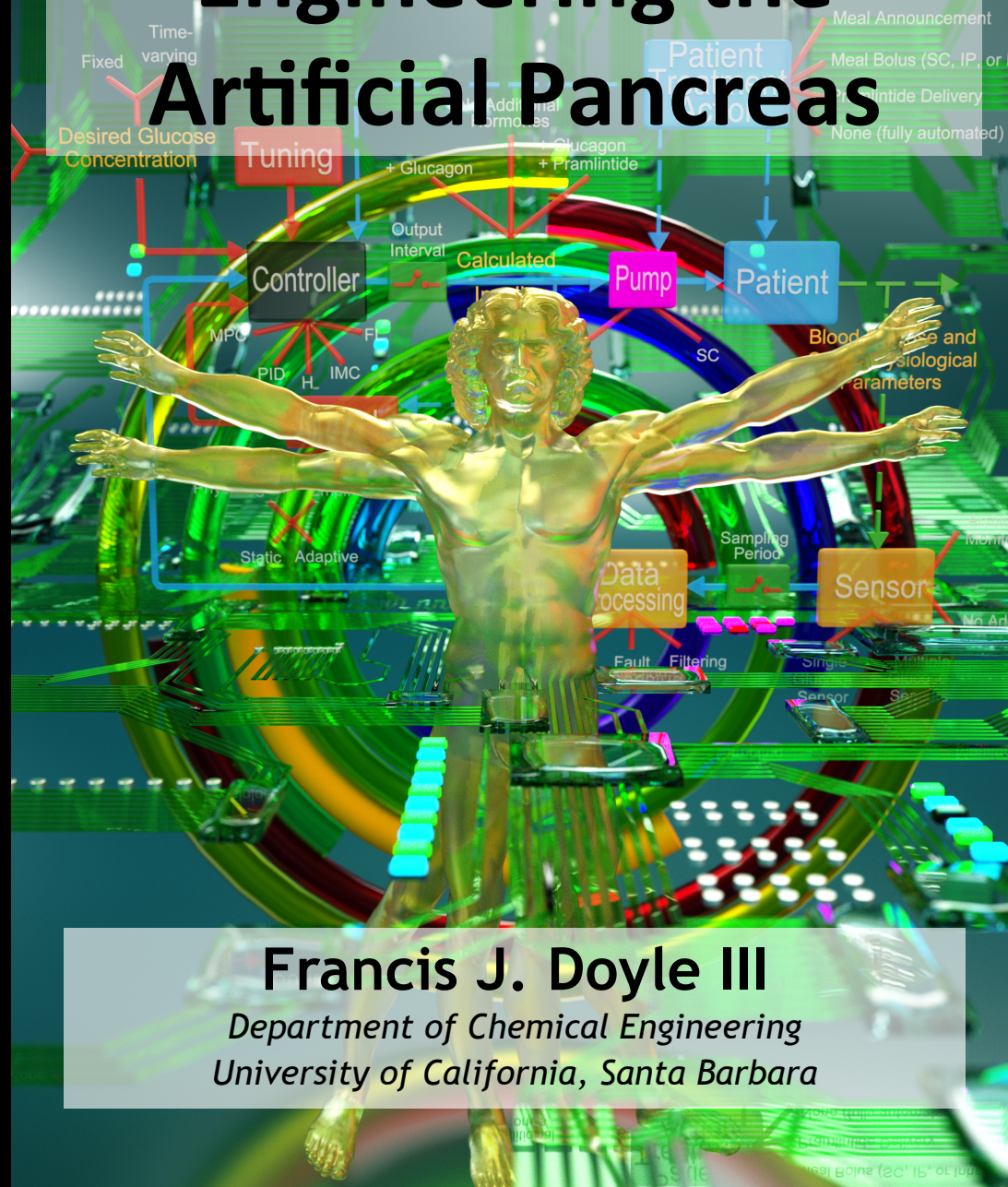
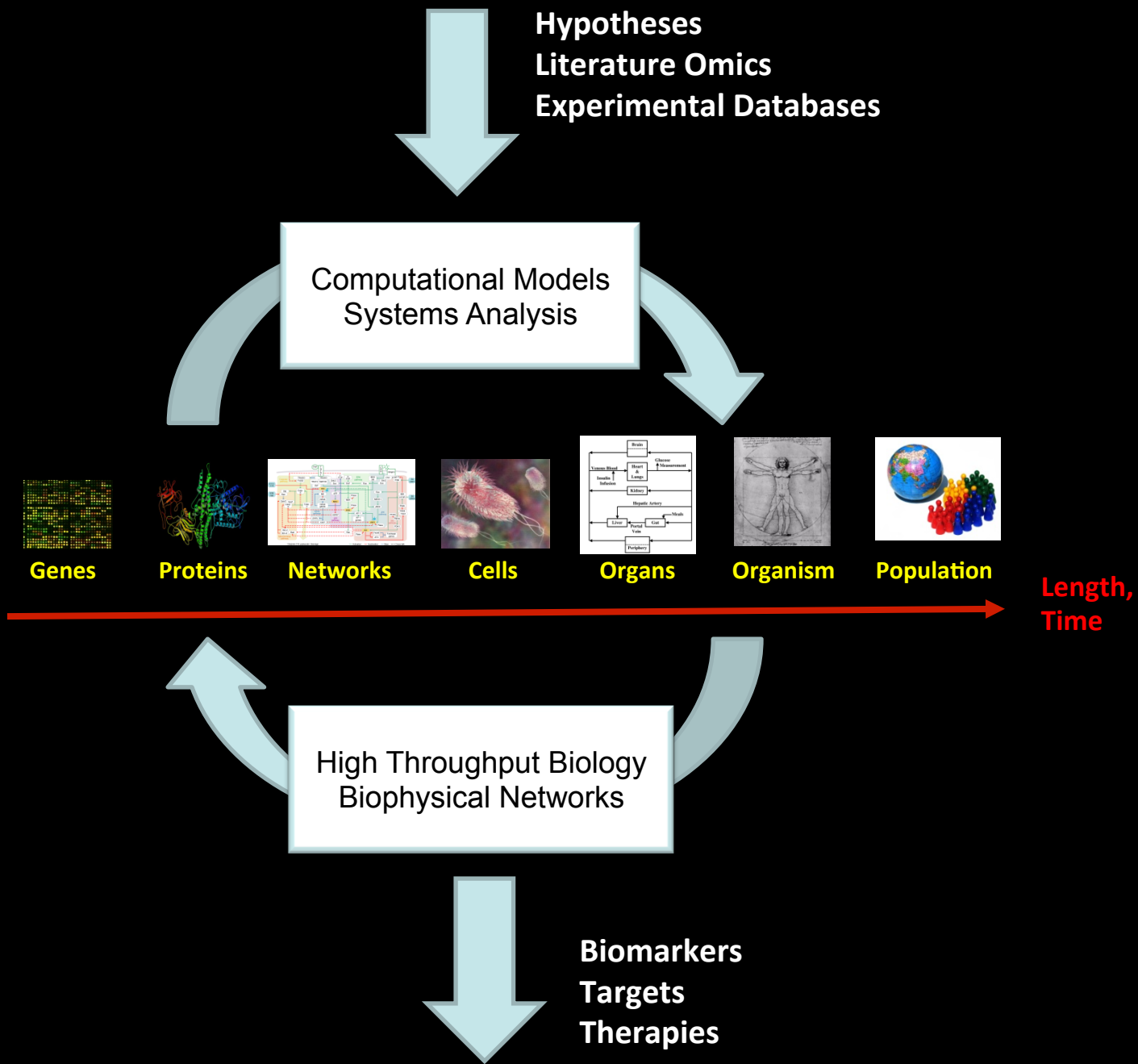


# Engineering the Artificial Pancreas



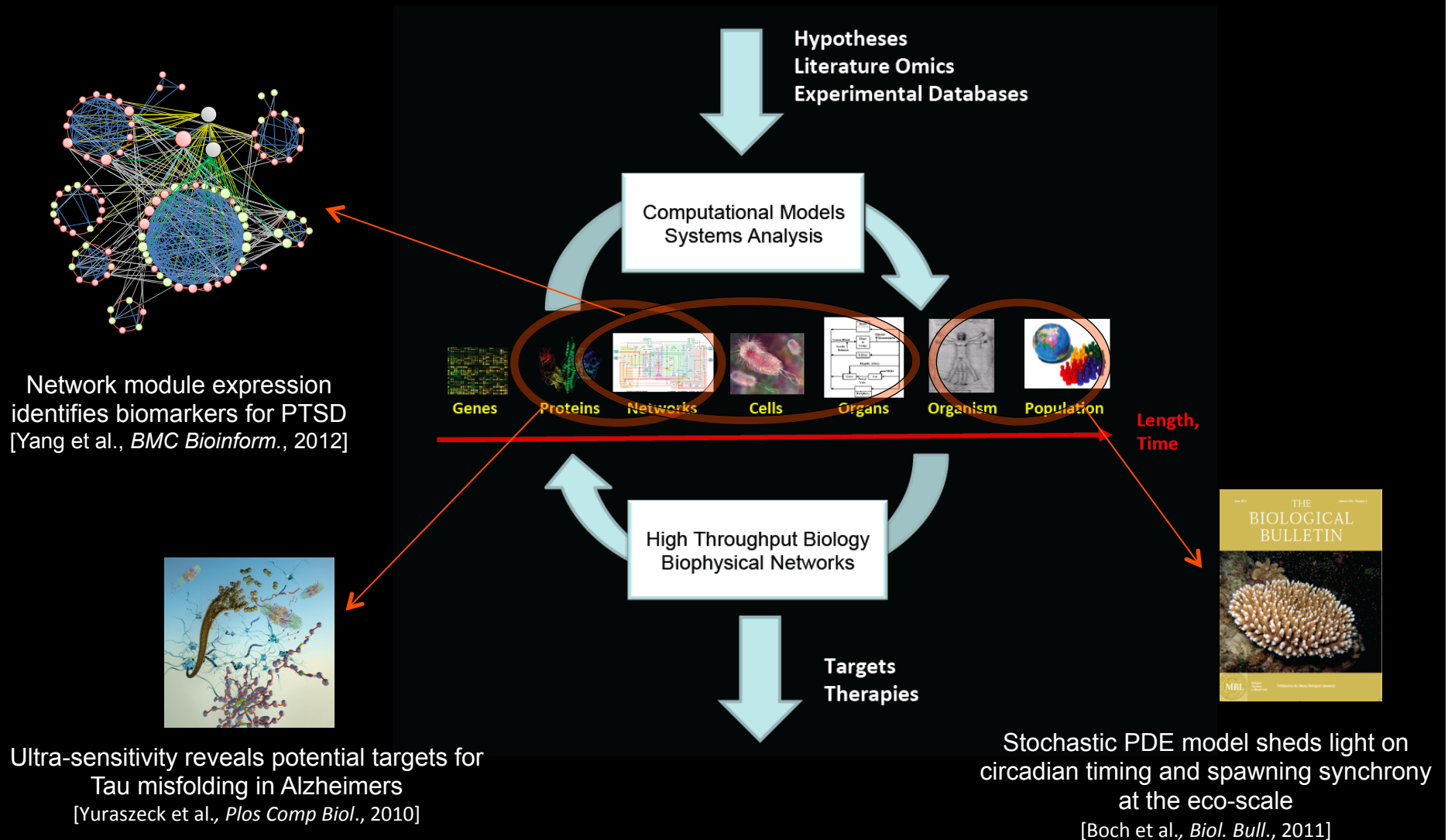
**Francis J. Doyle III**

*Department of Chemical Engineering  
University of California, Santa Barbara*





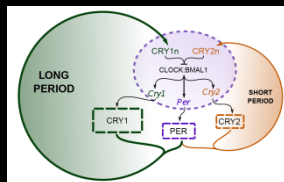
# Control Systems Analysis Unravels Biological Circuits



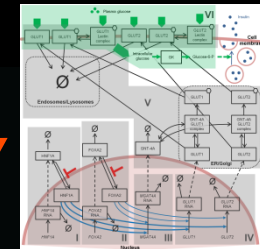
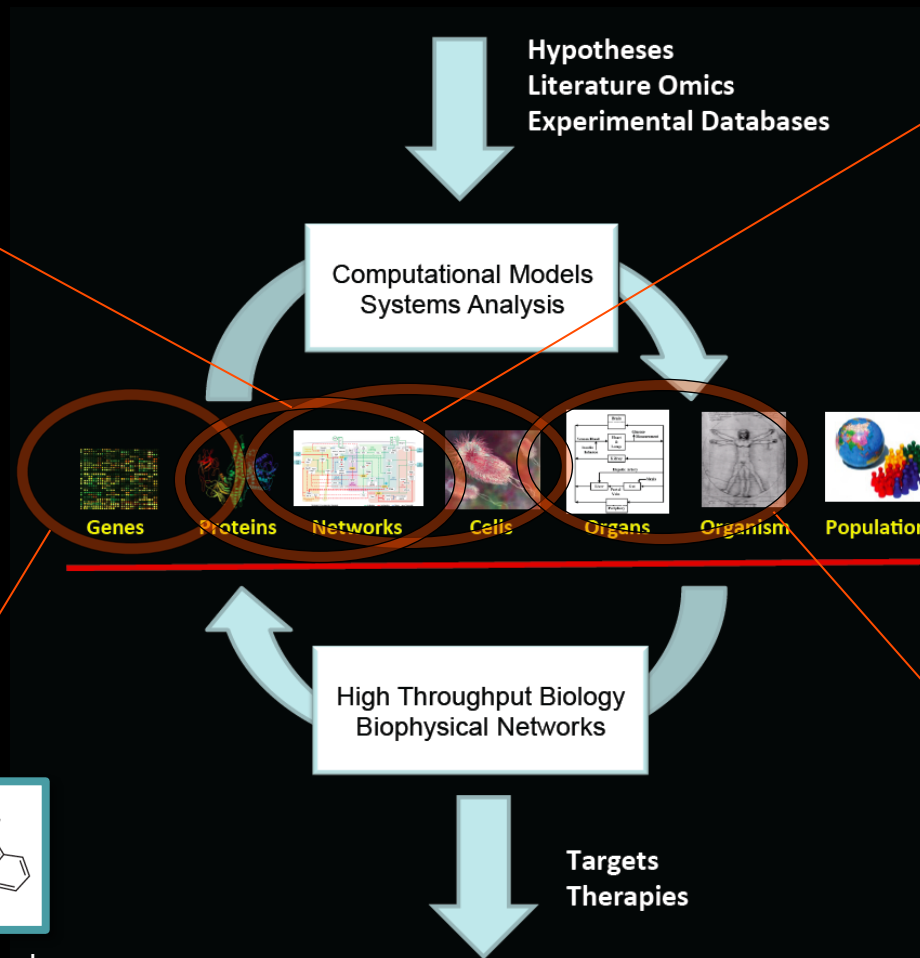
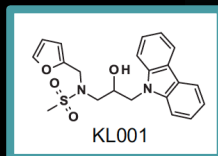
# Control Systems Analysis Unravels Biological Circuits



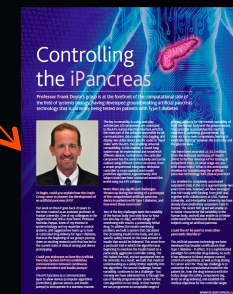
Coupled oscillator control  
reveals SCN neuron  
synchrony  
[Liu et al., *Cell*, 2007;  
Bagheri et al., *Interface*, 2008]



Systems approach identifies novel  
small molecule that targets  
circadian period  
[Hirota et al., *Science*, 2012  
St. John et al., *PNAS*, 2014]

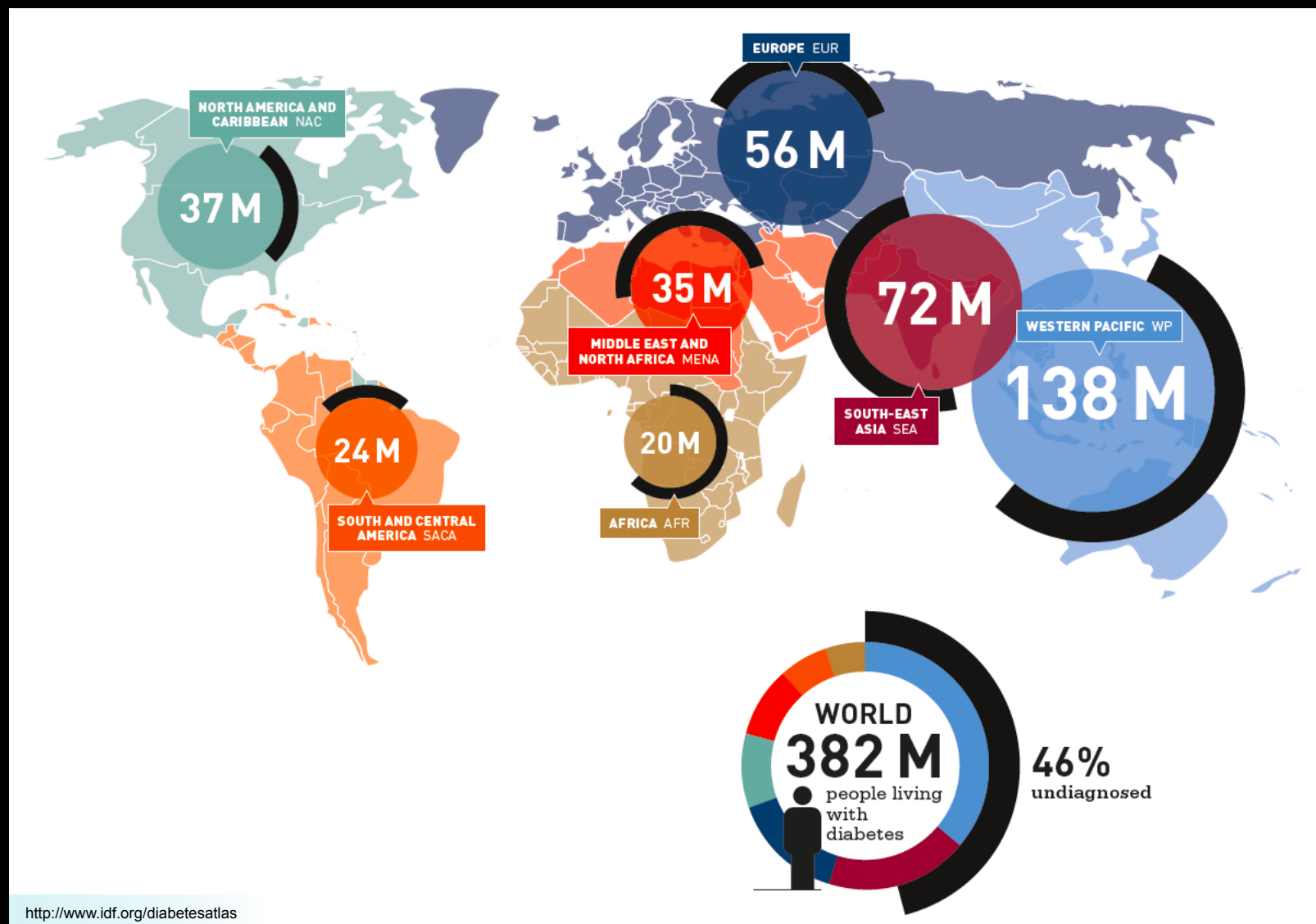


Robust control strategy for  
multi-target drug design in  
type 2 diabetes  
[Luni et al., *IJRN*, 2011;  
Luni et al., *PLoS One*, 2012]



Clinical testing of  
artificial pancreas for  
type 1 diabetes  
[Dassau et al., *Diabetes Care*, 2012]

# Diabetes: A Worldwide Problem





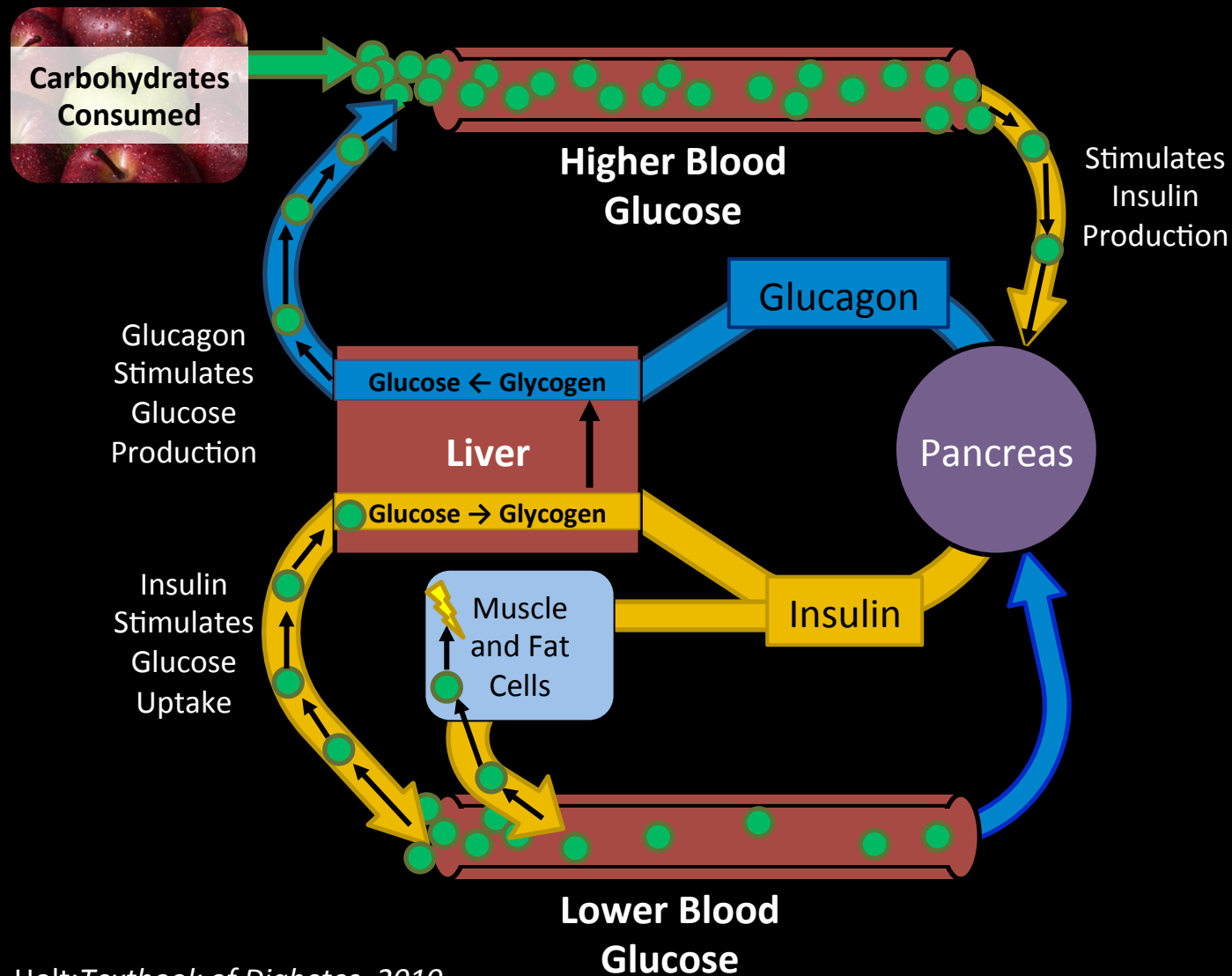
# Diabetes Incidence in China



- A nationally representative sample of 46,239 adults, 20 years of age or older, from 14 provinces and municipalities participated in the study
- Prevalence of total diabetes = 9.7% (92.4 million) and prediabetes was 15.5% (148.2 million)

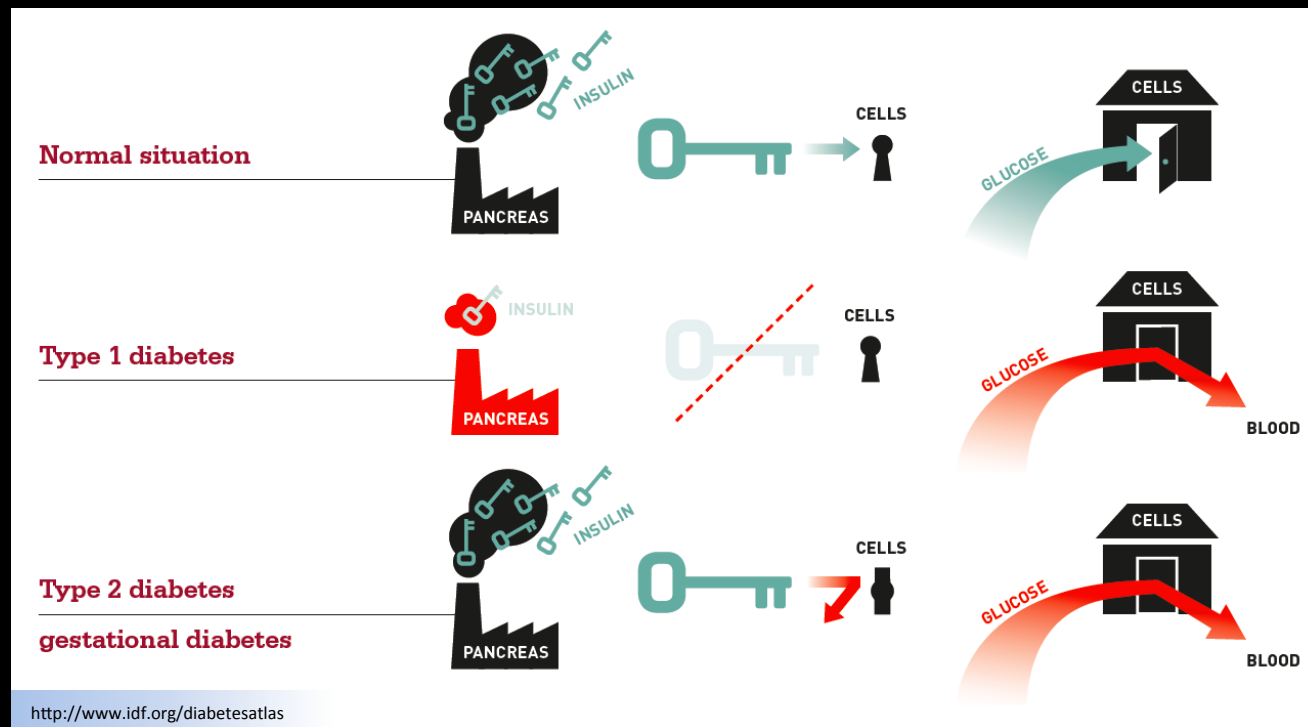
***“These results indicate that diabetes has become a major public health problem in China and that strategies aimed at the prevention and treatment of diabetes are needed.”***

# Natural Glucose Regulation



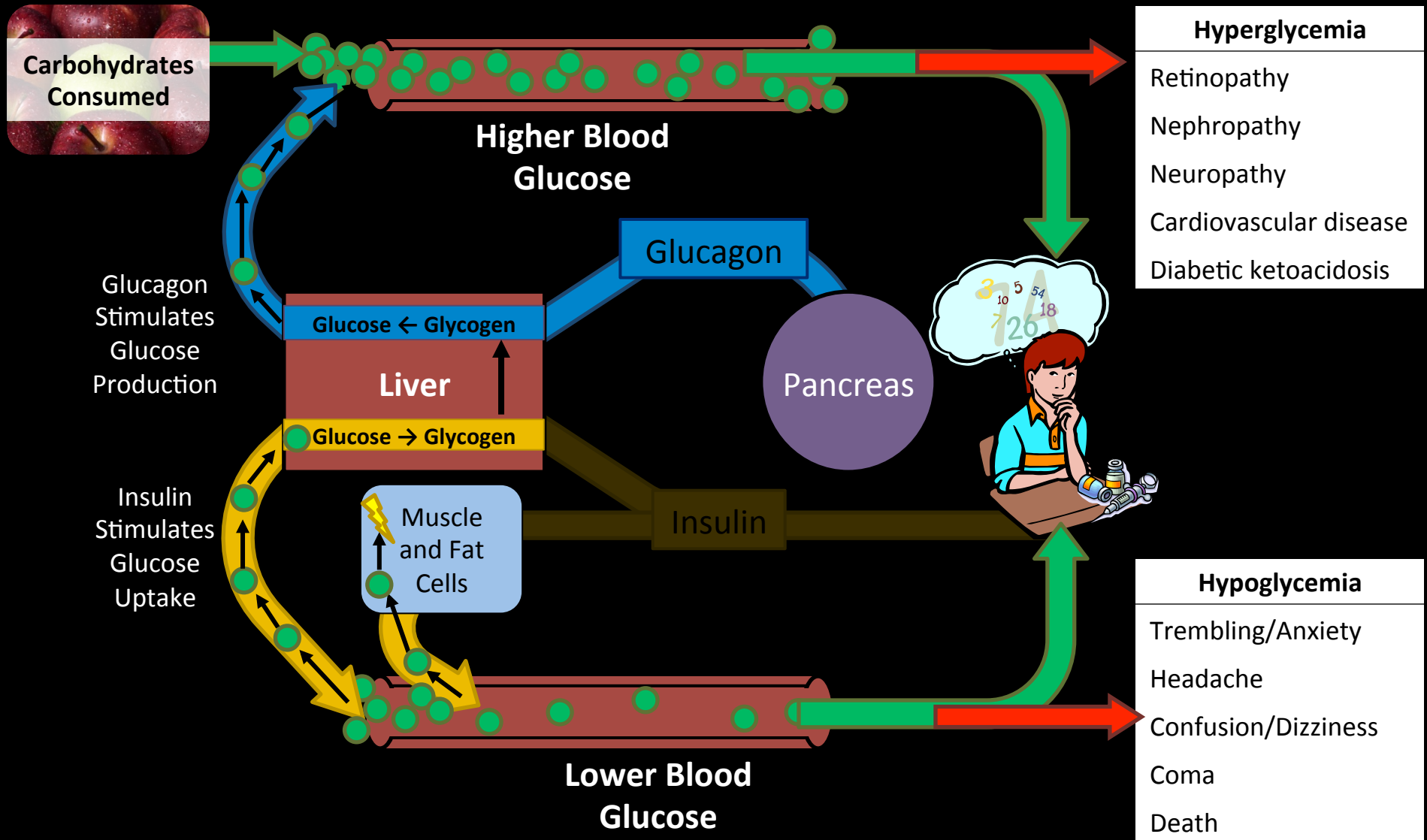
Holt: *Textbook of Diabetes*, 2010.

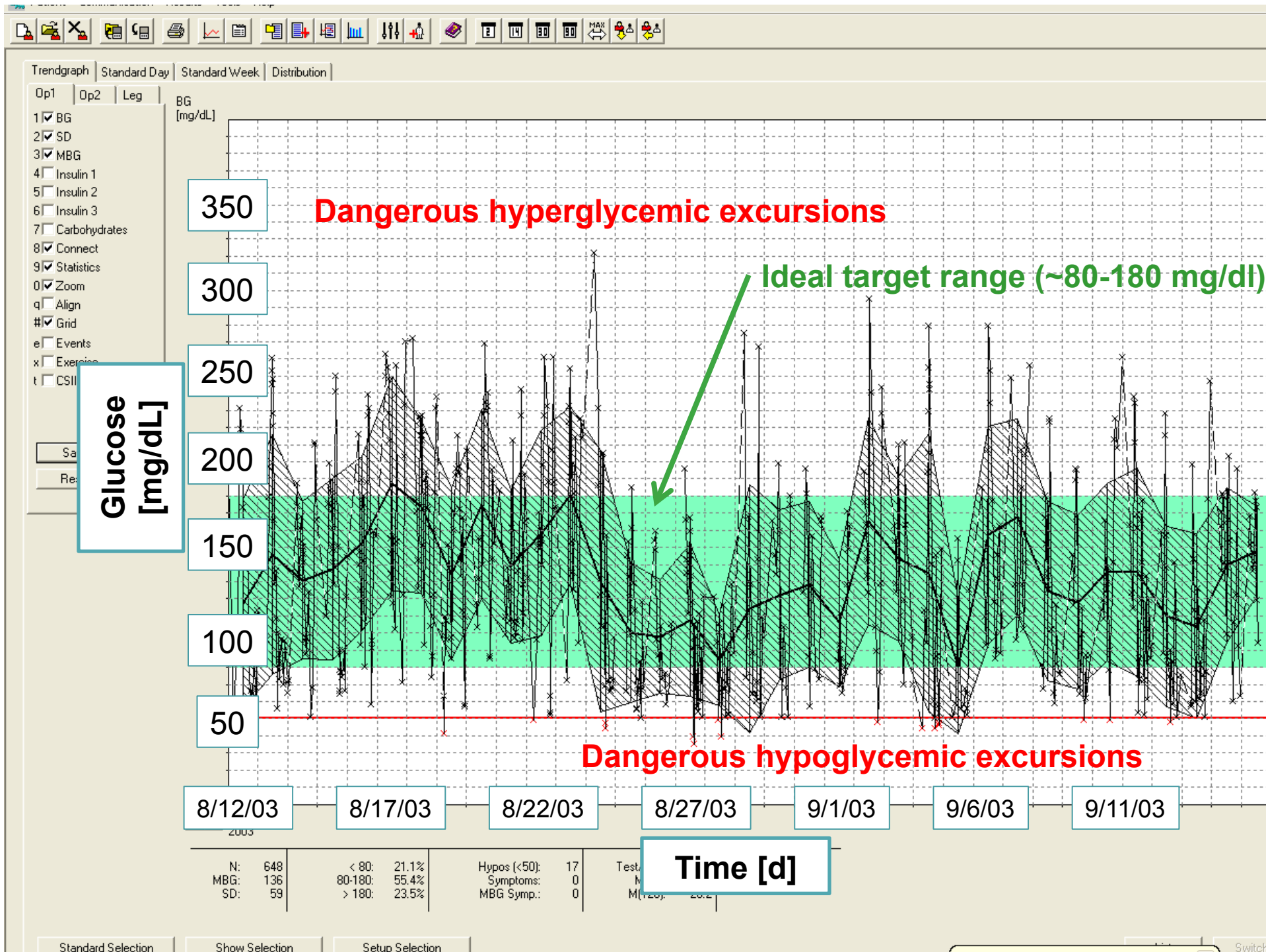
# Glucose Dysregulation



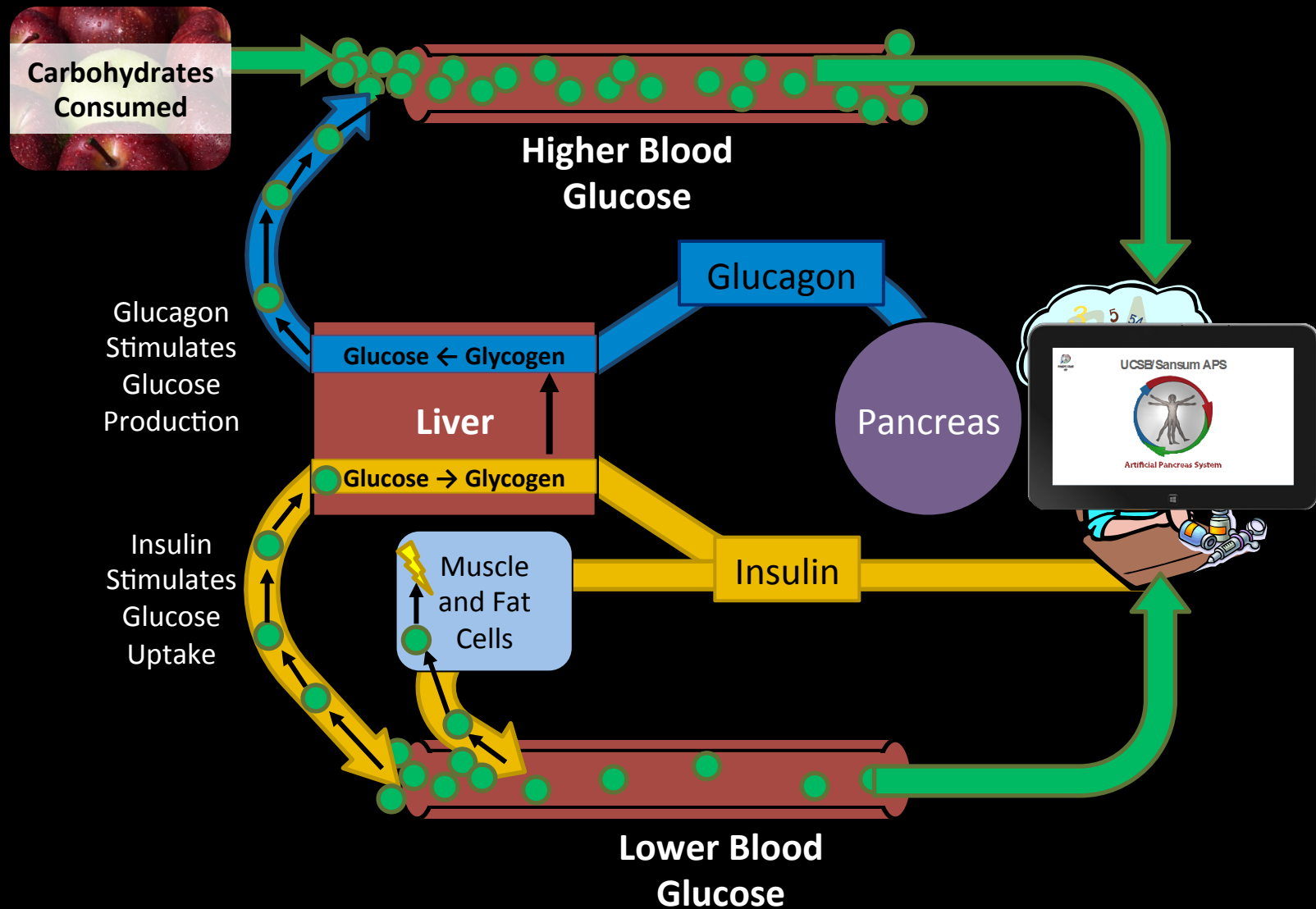


# Manual Glucose Control





# Automated Glucose Control





# Control Actuation: Insulin Pumps



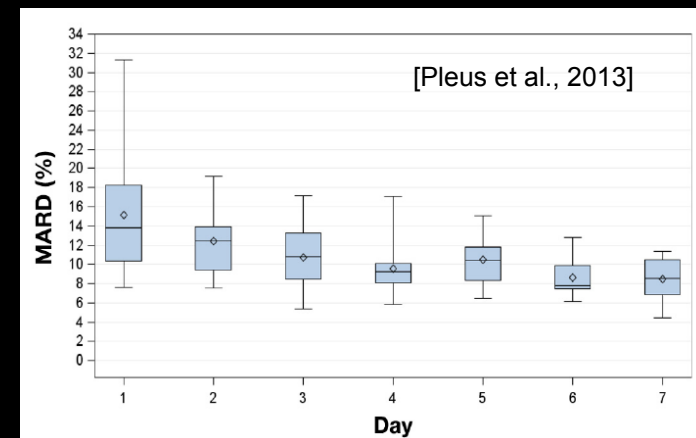
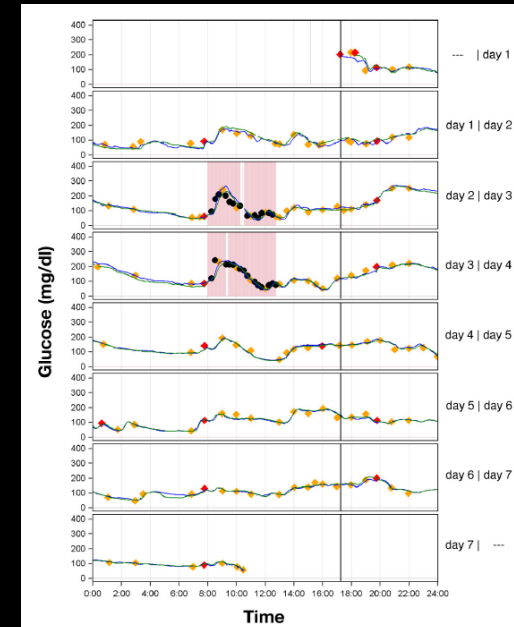
	<i>Implantable cardiac defibrillator</i>	<i>Insulin pump</i>	<i>Mobile phone</i>	<i>MP3 player</i>
End-user interactions	±	++	+++	++++
Cost	\$\$\$\$	\$\$\$	\$\$	\$
Design flexibility	+	++	+++	++++
Constituencies	FDA, HCPs	FDA, HCPs, end-users	FCC, end-users	End-users
Nominal lifespan	++++	+++	++	+
Consequence of device failure	Arrhythmia	Dysglycemia	Inconvenience	Peace and quiet

FCC, Federal Communications Commission; FDA, Food and Drug Administration; HCP, healthcare professional.

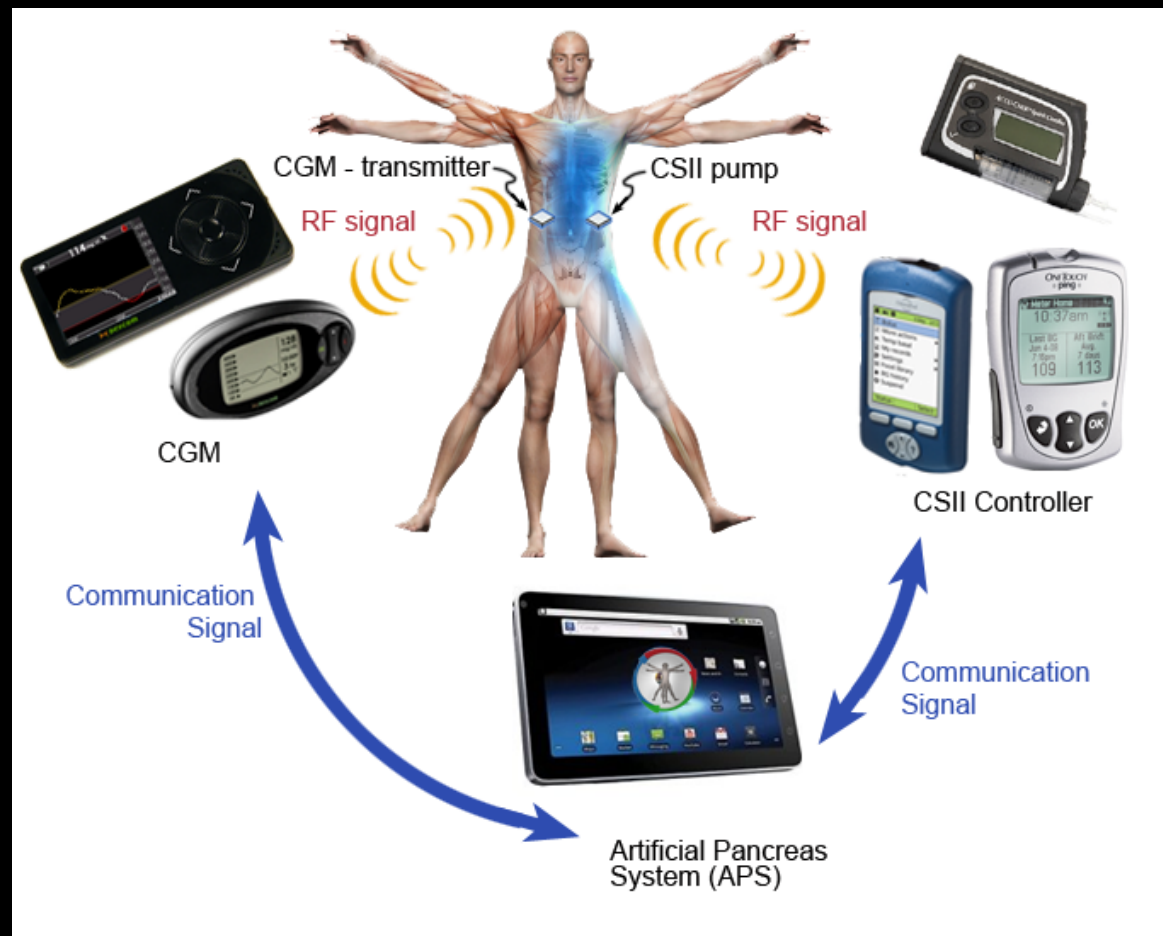
# Control Sensor: Continuous Glucose Measurement (CGM)



<http://www.diabetesmanager.pbworks.com>

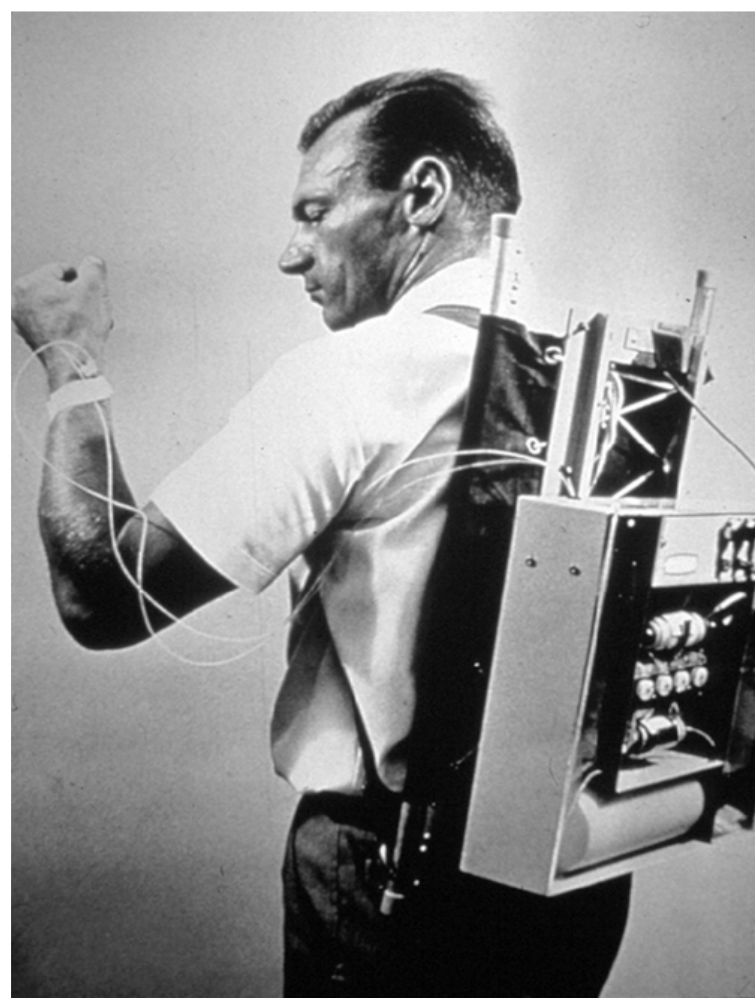


# Control Feedback Loop

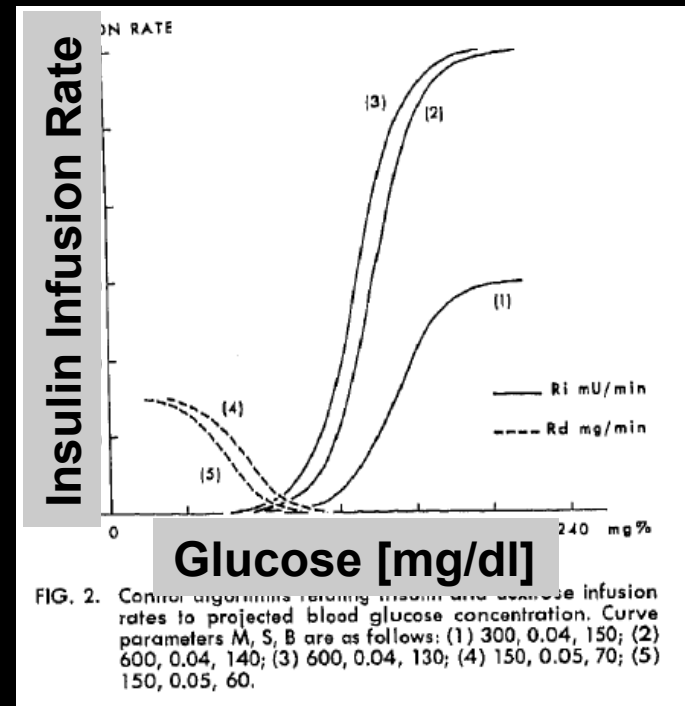




# Artificial Pancreas circa 1960s/1970s



## Static control law



[Albisser et al., 1974]

# Artificial Pancreas Today



## NEWSFOCUS

Rest easy. An artificial pancreas will protect diabetics from low blood sugar while sleeping.

can't consume it, and liver and fat tissue can't store it for later use. Type 1 diabetics, whose condition develops early in life, lack insulin because their own immune system has attacked insulin-producing cells in their pancreas known as  $\beta$  cells. (Another form of diabetes, type 2, usually affects older people and results from insensitivity to insulin rather than a lack of it.)

## MEDICINE

### A Pancreas in a Box

Sophisticated sensors, insulin pumps, and algorithms may help give type 1 diabetics a more normal life while researchers work on a cure

One morning last April, a woman named Jane checked out after an overnight stay in Addenbrooke's Hospital in Cambridge, U.K. She had spent 24 hours connected by tubes to several medical devices—mostly bored, she says, but also “mildly apprehensive.” Now, she was taking them home to do something she hadn't done for 3 decades, something that she and the rest of the world's 30 million type 1 diabetics are never able to do: forget about her diabetes.

The devices—an insulin pump, a blood glucose sensor, and a computer about the size of a paperback book—make up a prototype of what researchers call an artificial pancreas. Together, they replicate the function of the pancreas that is lacking in diabetics: producing insulin in response to rises in blood glucose level. Groups in Europe, the United States, and elsewhere are now testing such systems in small groups of patients, hoping to show that the technology can work efficiently and safely. If so, it could transform the lives of diabetics, improving their health and allowing them something closer to an ordinary life. After controlling her diabetes with blood tests and injections for most of her life, having an artificial pancreas “would be magical,” Jane says.

With its tubes and needles and gadgets, an artificial pancreas is not an elegant solution to the problem of diabetes. But research-

ers say it could provide a valuable stopgap until effective biological treatments—or even cures—come along. The principle is simple: Connect a commercially available glucose sensor to a commercially available insulin pump via a computer programmed to interpret the sensor readings and decide how much of the drug is needed. But implementing it has turned out to be far from straightforward. Controlling the level of sugar in the blood from outside the body is fiendishly difficult because sensors are slow and error-prone, while injected insulin can take hours to have an effect and overdoses can be fatal. For a person with diabetes, used to calculating insulin doses multiple times every day and dealing with the consequences, handing over that responsibility to a computer is daunting. Patients may be clamoring for such a solution, but researchers will have to convince them that it is safe.

Glucose, ingested in the form of sugar and other carbohydrates, is the body's energy source. But without the hormone insulin to help glucose out of the bloodstream and into cells, muscle and brain

Before the discovery of insulin in the early 1920s, type 1 diabetics would simply wither away, fall into a coma, and die within months or years. In the developed world at least, today's diabetics (including the writer of this article) can live a relatively normal life—although one dominated by a never-ending round of blood sugar tests, usually achieved with a finger prick to draw blood and an electronic meter, insulin injections, and meals carefully weighed to estimate how much carbohydrate is being eaten.

The consequences of getting it wrong can be severe. Give slightly too much insulin and glucose in the blood drops to low levels. Starved of fuel, the brain first shows symptoms similar to drunkenness, followed by unconsciousness and even death. Allow sugar levels to get too high and the syrupy blood can damage delicate blood vessels, leading to long-term complications that include heart disease, blindness, kidney failure, and limb amputation. Completely uncontrolled blood sugar leads to a coma

and a trip to the hospital by ambulance, which is how many type 1 diabetics find out that they have the disease. So living with diabetes is a continual balancing act: trying to keep blood sugar levels close to those of a normal person using sporadic and erratic information (finger-prick tests) and inadequate tools (injected insulin).

Researchers worldwide are working on biological



*“We're trying to do this invisibly and automatically. But we need faster insulin and we need faster [sensors].”*

—FRANK DOYLE,  
UC SANTA BARBARA

## News & Analysis

### Medical News & Perspectives

### Fully Automated Artificial Pancreas Finally Within Reach

Tracy Hampton, PhD

Even with increasingly effective treatments and glucose monitors, most individuals with type 1 diabetes still cannot achieve recommended glucose control goals. Many experts believe that the best near-term solution for patients will be a system that can independently restore insulin and glucose balance.

“Artificial pancreas systems will be the most revolutionary advance in diabetes care since the discovery of insulin,” said Aaron Kowalski, PhD, a vice president at the Juvenile Diabetes Research Foundation (JDRF), a global organization that funds type 1 diabetes research.

An artificial pancreas is based on a simple concept: an automated system to dispense insulin and other pancreatic hormones based on real-time changes in blood sugar levels. But researchers face numerous challenges in turning the concept into reality.

“Some of us have been working in this field for more than 20 years, and these days most of us would say that a true automated device is maybe 3 to 5 years in the future,” said Frank Doyle, PhD, chair of the chemical engineering department at the University of California, Santa Barbara. “But there will be evolution and continual improvement, as with any piece of technology.”

#### Stages of Development

According to the US Food and Drug Administration (FDA), an artificial pancreas can be entirely mechanical, entirely biological (such as islet transplantation), or a mechanical-biological hybrid. “I don't think there is only one definition of an artificial pancreas—and furthermore, parts of the artificial pancreas are already showing up in devices in the market,” said Doyle.

A first-generation model of an artificial pancreas system is now available in many countries. Last fall, the FDA approved an insulin delivery system made by Medtronic that can automatically stop insulin release when sensor glucose values reach a preset level and when the patient does not respond to a low-glucose alarm. The company says that the device's sensor

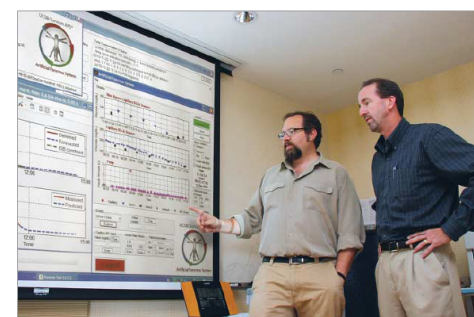
detects up to 93% of hypoglycemia episodes when predictive and threshold alerts are on. Still, the system does not mimic the full biological function of the pancreas, and it requires the patient to take actions such as eating or drinking to correct low glucose levels.

Based on a road map created by JDRF, the Medtronic device is at step 1 of a 6-step process toward generating an artificial pancreas (<http://bit.ly/1jYknJL>). Each step represents incremental advances, beginning with devices that shut off insulin delivery to prevent low blood sugar and progressing ultimately to a fully automated system that maintains blood glucose at a target level without the need to manually take insulin for meals or adjust for exercise. First-generation products focus on preventing unsafe blood sugar levels and aim to maintain blood sugar between approximately 70 and 180 mg/dL.

While a step 1 product like Medtronic's continuously monitors glucose levels and suspends insulin delivery when such levels become low, a step 2 product can predict when a user will reach the bottom threshold and automatically suspend or reduce insulin delivery before reaching that point.

Such a device, called a predictive low glucose suspend system, can be created by adding controlling software to currently marketed pumps and sensors. Medtronic has developed a version that is expected to be approved in Europe first. “Device makers have to go through a different review process for each country where they plan to offer their products,” said Kowalski. “The timing of each [review] for a single product is different, so there are often lags in availability from one country to the next.”

A step 3 product, called a hypoglycemia/hyperglycemia minimizer, prevents unsafe high blood sugar levels as well as low ones. Step 4, a hybrid closed-loop product, adjusts for both upper and lower thresholds and targets a specific blood sugar level instead of a range, while step 5 eliminates manual administration of insulin before meals. Finally, a step 6 product adds the ability to dispense additional hormonal drugs to more closely mimic the way the body maintains blood sugar levels. For example, glucagon may be administered to counter the effects of insulin and increase blood glucose levels if they become too low. This is crucial because hypoglycemia can cause seizures, coma, or death, and it can strike at



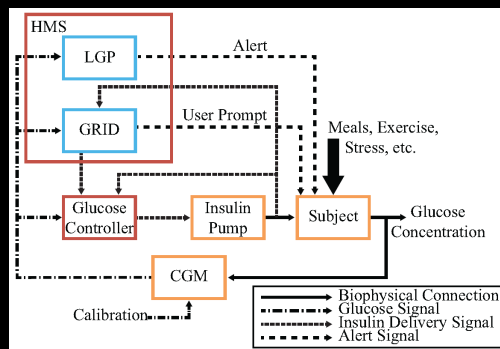
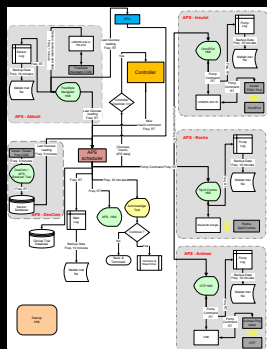
Howard Zisser, MD, and Frank Doyle, PhD, of the department of chemical engineering at the University of California, Santa Barbara, monitor the performance of an artificial pancreas system during a clinical trial.

Science, January 2014

JAMA, May 2014

33<sup>rd</sup> Chinese Control Conference, Nanjing, July 29, 2014

# Control Design



$$J_{\text{zone}}(u) = \sum_{i=1}^{n_p} Q(y_z(k+i|k) - r(k+i))^2 + \sum_{i=1}^{n_p} R u(k+i-1)^2$$

$$y_z(k+i|k) = \begin{cases} y(k+i|k) - y_{ab} & \text{if } y(k+i|k) > y_{ab} \\ 0 & \text{if } y_{lb} \leq y(k+i|k) \leq y_{ab} \\ y_{lb} - y(k+i|k) & \text{if } y(k+i|k) < y_{lb} \end{cases}$$

$$x(k+1|k) = Ax(k|k) + B^u u(k) + B^u u(k) + \hat{d}_1(k)$$

$$y(k+1|k) = Cx(k+1|k) + \hat{d}_2(k)$$

$$u_{\min}^{\text{pump}} \leq u(k) \leq u_{\max}^{\text{pump}}$$

$$\Delta u_{\min}^{\text{pump}} \leq u(k) - u(k-1) \leq \Delta u_{\max}^{\text{pump}}$$

$$u(k) \leq u_{\max}^{\text{safety}} = F_{PK}(u(k-1), \dots, u(k-h))$$

# Challenges for Feedback Control

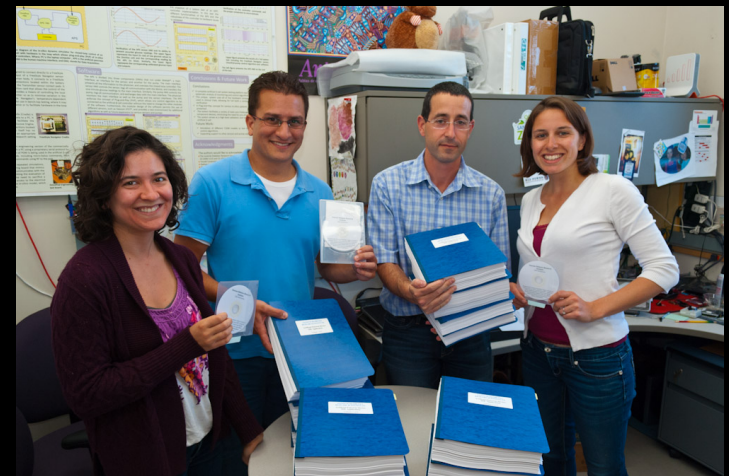
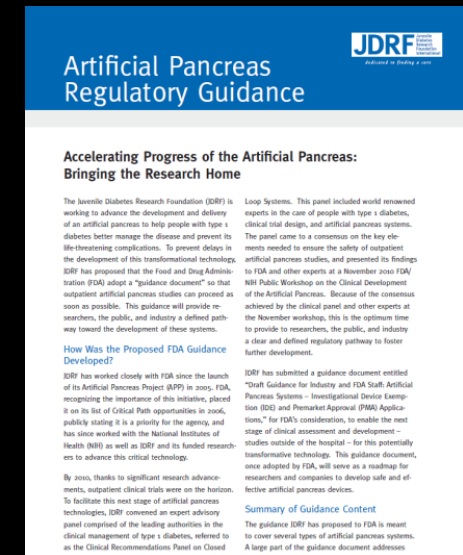
- CGM sensors lag blood glucose by 5-15 mins [sensor lag]
- CGM systems have an average absolute error of 10-15% (95% confidence limit of  $\pm 30-40\%$ ) [sensor accuracy]
- Insulin (rapid acting analogs) have a lag of 60-90 mins in their peak action after subcutaneous administration [actuator lag]
- Natural response exploits neurally mediated cephalic phase [no feedforward]
- Time-varying nature of human body (stress, activity, etc.)
  - Insulin absorption from subcutaneous sites has a variability of 20-35% (95% confidence limit of  $\pm 50-87\%$ )
  - Insulin sensitivity may vary as much as 50% during the day

**→ Overall errors related to CGM and insulin absorption is 24-37% with a lag of 70-110 mins**



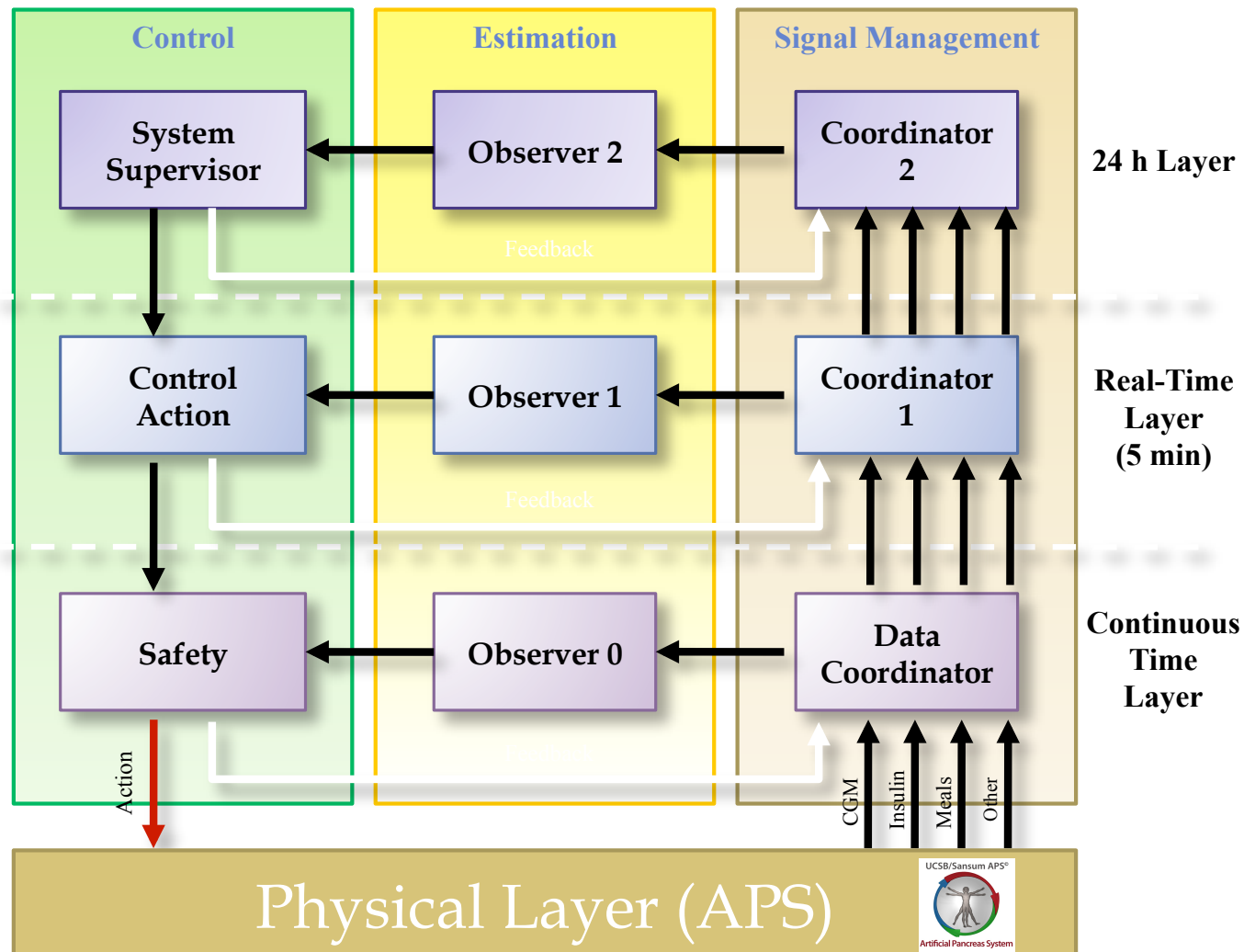
# Regulatory Process

- FDA is playing an active role in supporting the development of the artificial pancreas
  - Critical Path Initiative
  - Convened multiple workshops [July 2008, Nov. 2010]
- Clinical studies (incl. academic) require Investigational Device Exemption
  - **Clinical studies using investigational devices, that have the potential for significant risk**
  - Elements
    - Protocol
    - Risk analysis
    - Monitoring procedures
    - IRB review



# Modular Control Architecture

[Dassau *et al.*, 2008; Kovatchev *et al.*, 2009; Patek *et al.*, 2012]

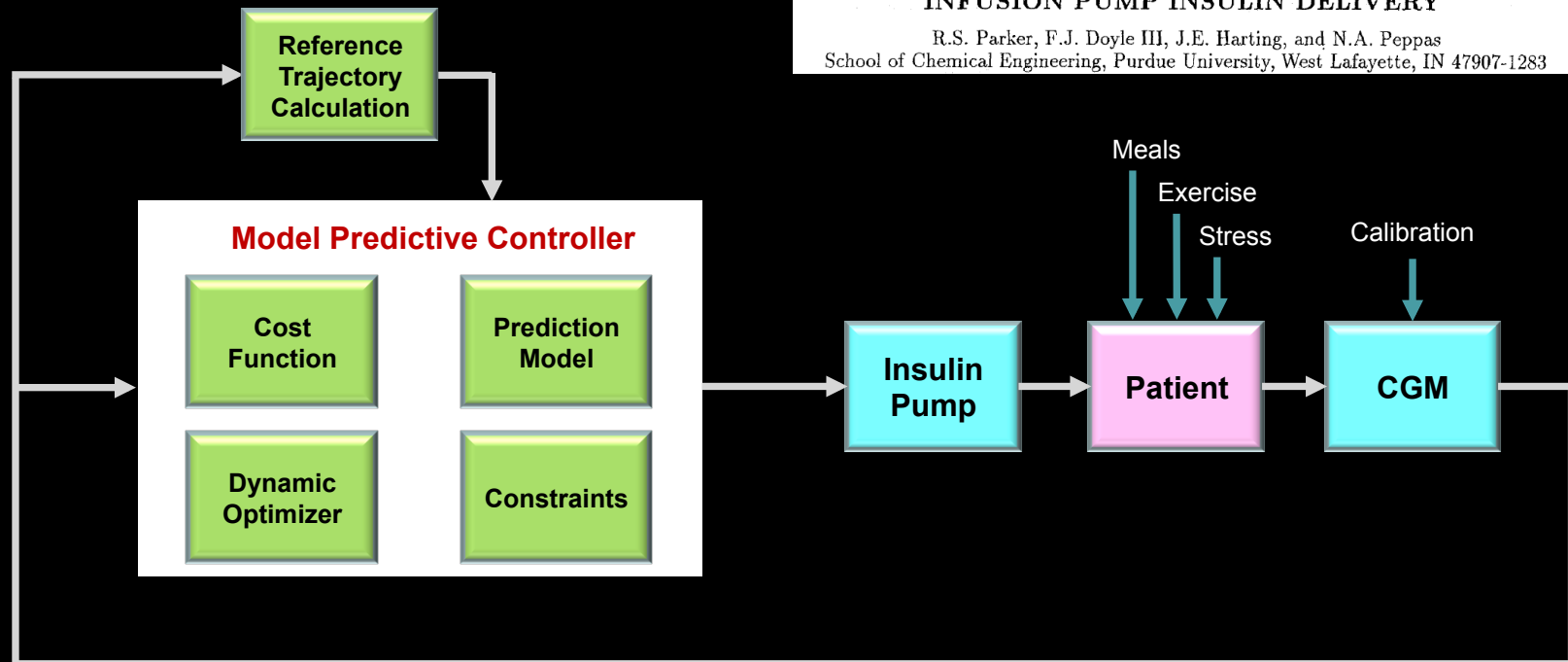


# Core Algorithm Summary

18th Annual International Conference of the IEEE Engineering in Medicine and Biology Society, Amsterdam 1996  
6.3.4: Physiological Modelling - Glucose

## MODEL PREDICTIVE CONTROL FOR INFUSION PUMP INSULIN DELIVERY

R.S. Parker, F.J. Doyle III, J.E. Harting, and N.A. Peppas  
School of Chemical Engineering, Purdue University, West Lafayette, IN 47907-1283

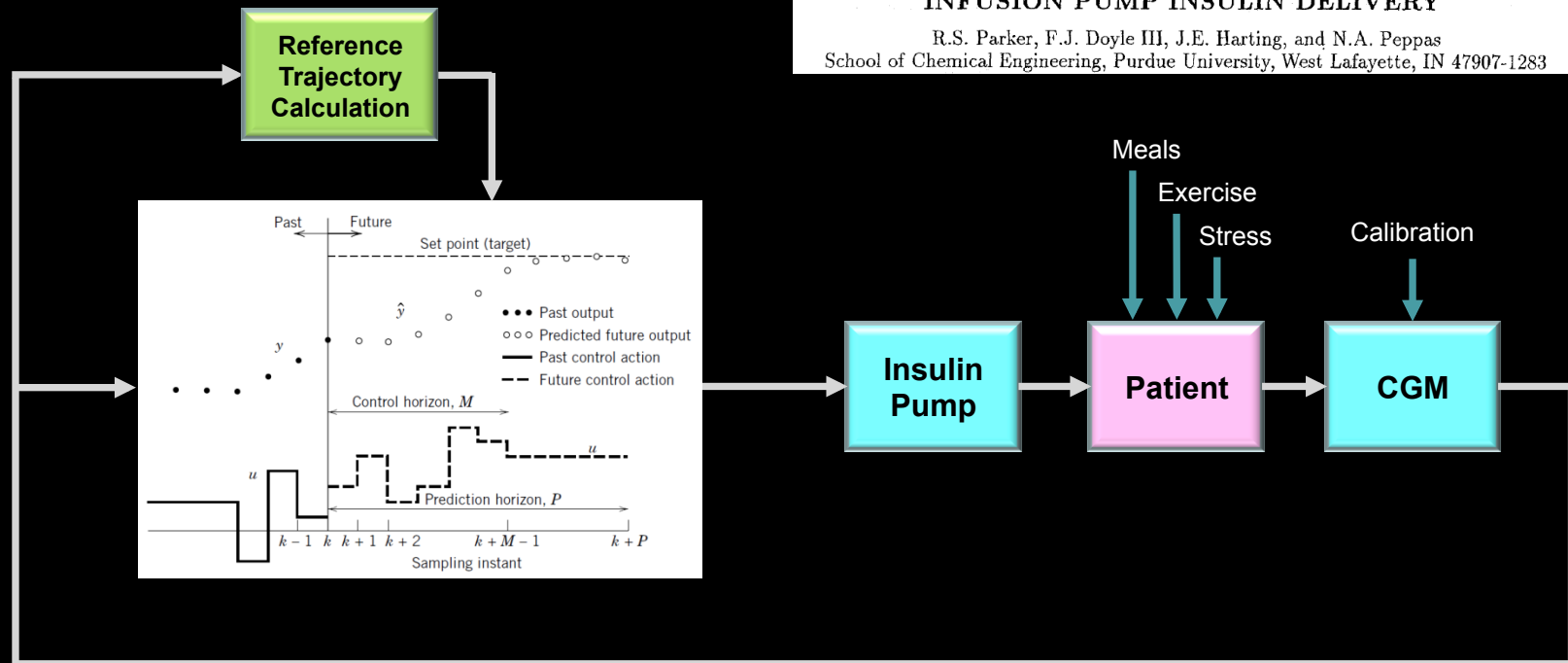


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# System (Patient) Identification

- Wide variety of models employed in theoretical studies:
  - Pharmacokinetic/pharmacodynamic [Bergman et al., 1981; Cobelli et al., 1995; Kovatchev et al., 2008]
  - Subspace identification [Ståhl and Johansson, 2008; Lee et al., 2009]
  - Time series (ARX, ARMA, etc.) [Parker et al., 1999; Desai et al., 2002; Finan et al., 2006; Eren-Oruklu et al., 2009]
  - Transfer functions [Percival et al., 2010]
  - Volterra models [Florian and Parker, 2002; Mitsis et al., 2009]
  - Artificial neural networks [Trajanoski et al., 1997]
- Limitations for clinical testing:
  - Short patient records
  - Limited excitation for inputs (incl. cancellation/identifiability)
  - Sensor accuracy
- Current work:
  - Personalized *a priori* patient models

# Personalized *a priori* Patient Models

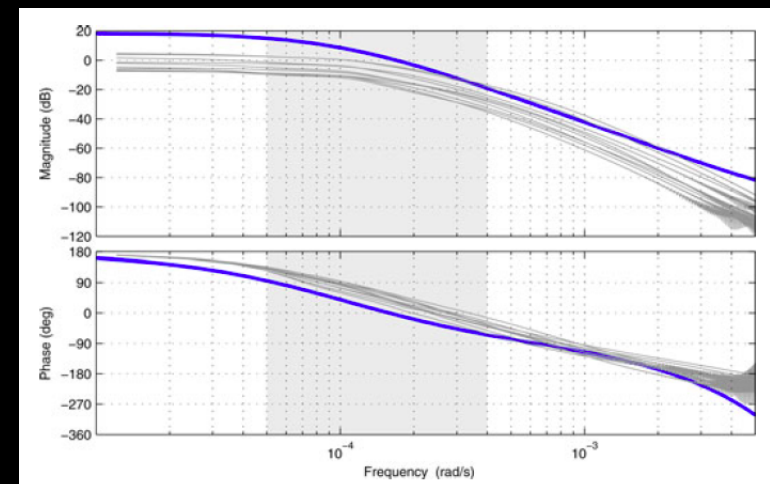
[van Heusden et al., *IEEE Trans. Biomed. Eng.*, 2012]

$$\frac{G_i(z)}{I_D(z)} = F_s K_i \frac{Cz^{-3}}{(1 - 0.98z^{-1})(1 - 0.965z^{-1})(1 - 0.965z^{-1})},$$

$K_i$  Individual gain based on the correction factor  
 $F_s$  Safety factor

## *Universal Dynamics*

- A parametric model is estimated using the output-error approach from the UVa/Padova FDA accepted metabolic simulator
- The safety factor leads to (further) underestimation of the system phase and overestimation of system gain



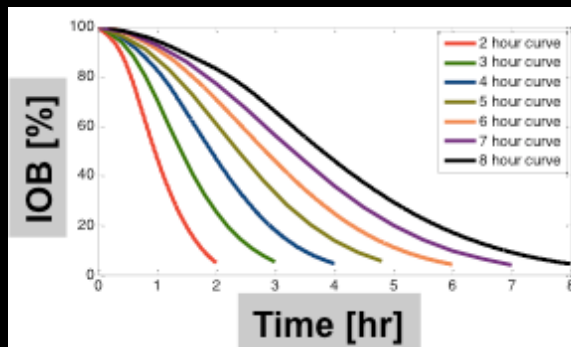


# Designing MPC Constraints for Patient Safety

[Ellingsen et al., *JDST*, 2009; Gondhalekar, et al., *DTM*, 2012]

## Hard constraints on Insulin

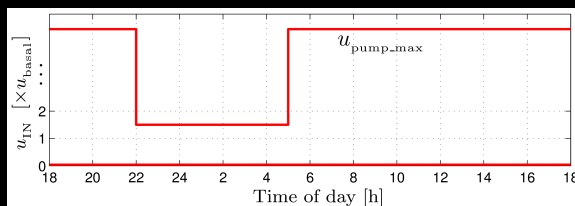
- Insulin on Board (IOB) Curves
- Periodic (diurnal) Pump Constraints



$$x_{IOB}(k) = \sum_{i=1}^h f_i \cdot u(k-i)$$

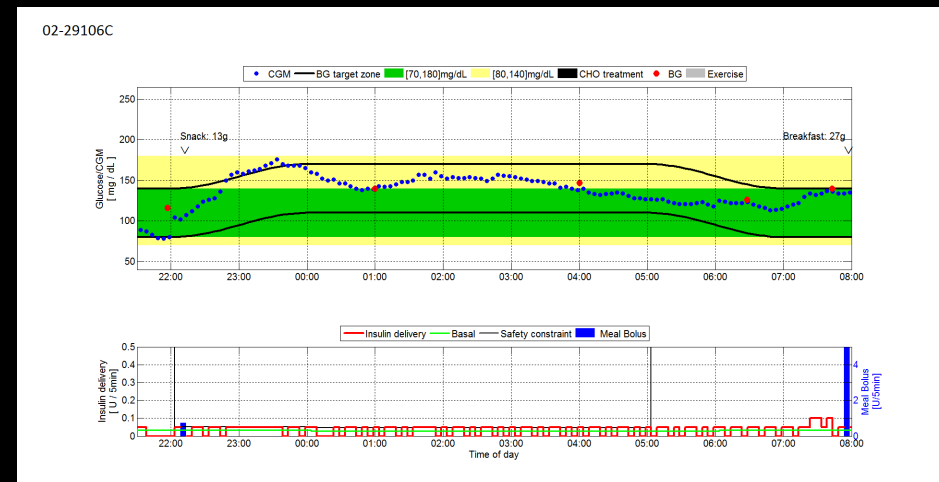
$$u_{max}^{safety} = \max(0, K_{CF} \cdot y_m(k) + K_{IC} \cdot d_m(k) - x_{IOB}(k))$$

$$u(k) \leq u_{max}^{safety} = F_{PK}(u(k-1), K, u(k-h))$$



## “Soft” constraints on Glucose

- Zone MPC
- Periodic (diurnal) Zones

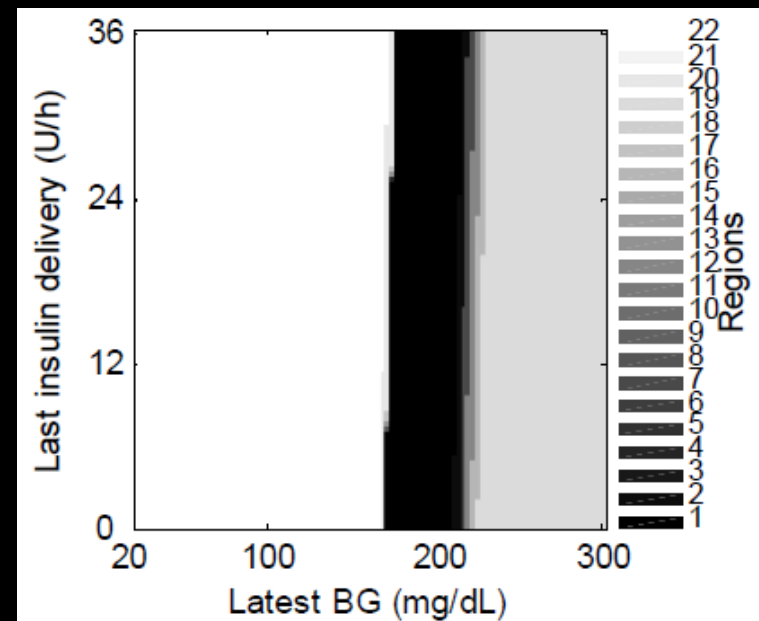


# Multi-Parametric Programming Implementation

[Bemporad et al., *Aut.*, 2002; Pistikopoulos et al., *Comp. Chem. Eng.*, 2002; Dua et al., *IEEE TBME*, 2006]

- Motivation:
  - Early studies focused on computational limitations
  - Current research motivated by regulatory review
- Transform QP-MPC into mpMPC

$$\begin{aligned} \min_U \quad & \frac{1}{2} U^T H U + x_t^T F U + \frac{1}{2} x_t^T Y x_t \\ \text{s.t.} \quad & G U \leq W + E x_t \\ & \Downarrow \\ V_z(x) = \min_z \quad & \frac{1}{2} z^T H z \\ \text{s.t.} \quad & G z \leq W + S x_t \\ & \Downarrow \\ U = & z - H^{-1} F^T x_t \end{aligned}$$



- Formulation for Artificial Pancreas
  - ARX model (past measurements)
  - Low dimensional model+constraints
    - ~200-300 regions

# Summary – Core Algorithm

- LTI model:  $x_{i+1} = Ax_i + Bu_i$  ,  $y_i = Cx_i$
- Zone boundaries:  $\check{z}_i$  ,  $\hat{z}_i$  (want  $y_i \in [\check{z}_i, \hat{z}_i]$ )
- Input constraints:  $u_i \in \mathbb{U}_i$

Zone MPC problem: Determine

$$\{\mathbf{u}_0^*, \dots, \mathbf{u}_{N_u-1}^*\} := \arg \min_{\{\mathbf{u}_0, \dots, \mathbf{u}_{N_u-1}\}} \sum_{k=1}^{N_y} \mathbf{z}_k^2 + R \sum_{k=0}^{N_u-1} \mathbf{u}_k^2$$

subject to

$$\mathbf{x}_0 := x_i$$

$$\mathbf{x}_{k+1} := A\mathbf{x}_k + B\mathbf{u}_k \quad \forall k \in \mathbb{Z}_0^{N_y-1}$$

$$\mathbf{y}_k := C\mathbf{x}_k \quad \forall k \in \mathbb{Z}_0^{N_y-1}$$

$$\mathbf{z}_k := \arg \min_{\alpha} \{ \alpha^2 \mid \mathbf{y}_k - \alpha \in [\check{z}_{i+k}, \hat{z}_{i+k}] \} \quad \forall k \in \mathbb{Z}_0^{N_y-1}$$

$$\mathbf{u}_k \in \mathbb{U}_{i+k} \quad \forall k \in \mathbb{Z}_0^{N_u-1}$$

$$\mathbf{u}_k := 0 \quad \forall k \in \mathbb{Z}_{N_u}^{N_y-1}$$

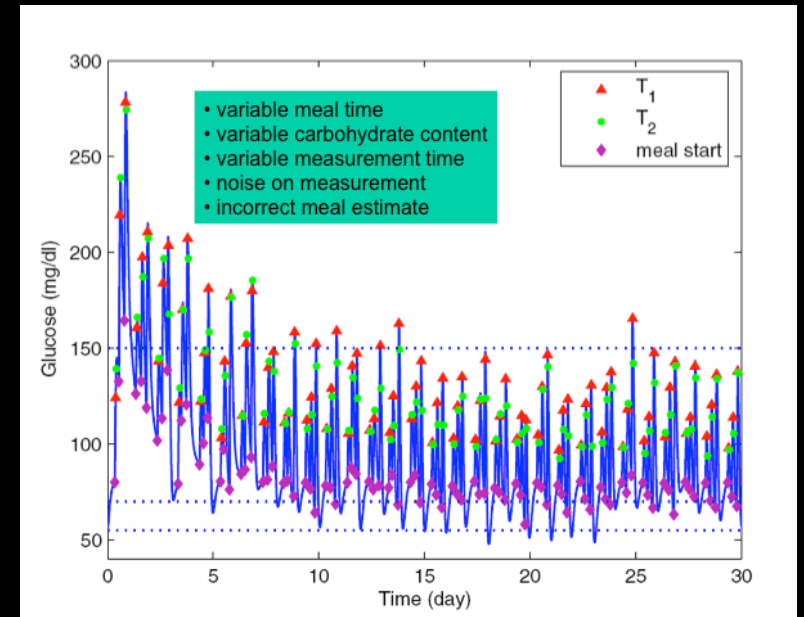
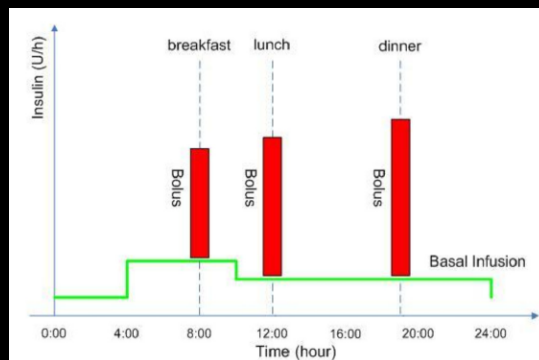
MPC law:  $u_i = \kappa(x_i, i) := \mathbf{u}_0^*$

# Adaptation: Iterative Learning Control

[Doyle III *et al.*, 2001; Zisser *et al.*, 2005; Owens *et al.*, 2006; Wang *et al.*, 2009; Wang *et al.*, 2010]

- Common in robotics and semiconductor processing problems where “repetition” is key
  - emphasis on measurement-based framework
  - batch-to-batch optimization  $\Rightarrow$  iteratively converge to optimal input profile in fewest number of (sub-optimal) runs
  - terminal constraints (end-conditions) are a critical element of the optimization problem
- **Concept: Exploit recurrent cycles (meals, basal profiles, etc.)**

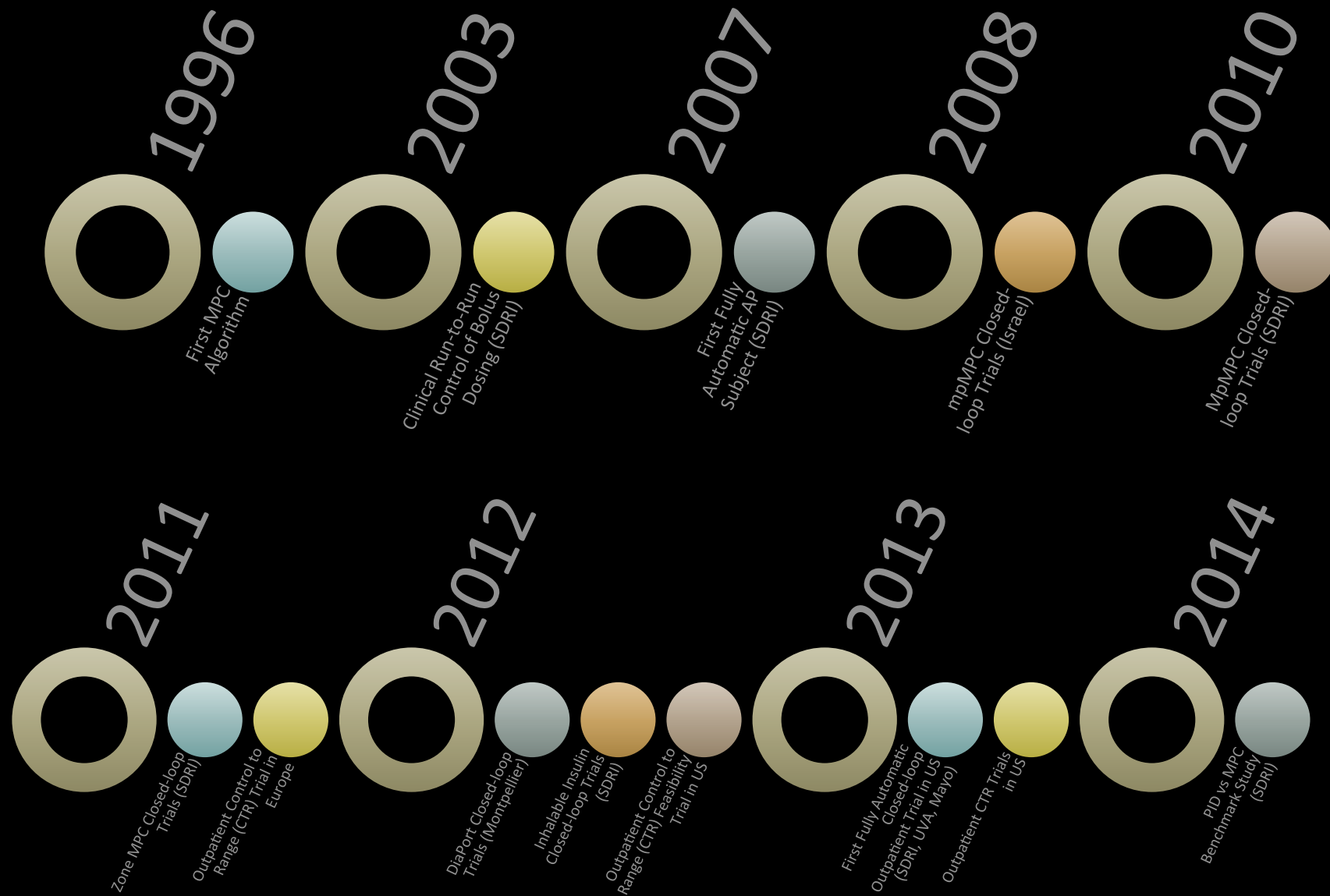
$$T(k+1) = T(k) + K_T \min(0, G_{\max}^r - G_{\max}(k))$$
$$Q(k+1) = Q(k) + K_Q \max(0, G_{\min}^r - G_{\min}(k))$$



# Clinical Testing



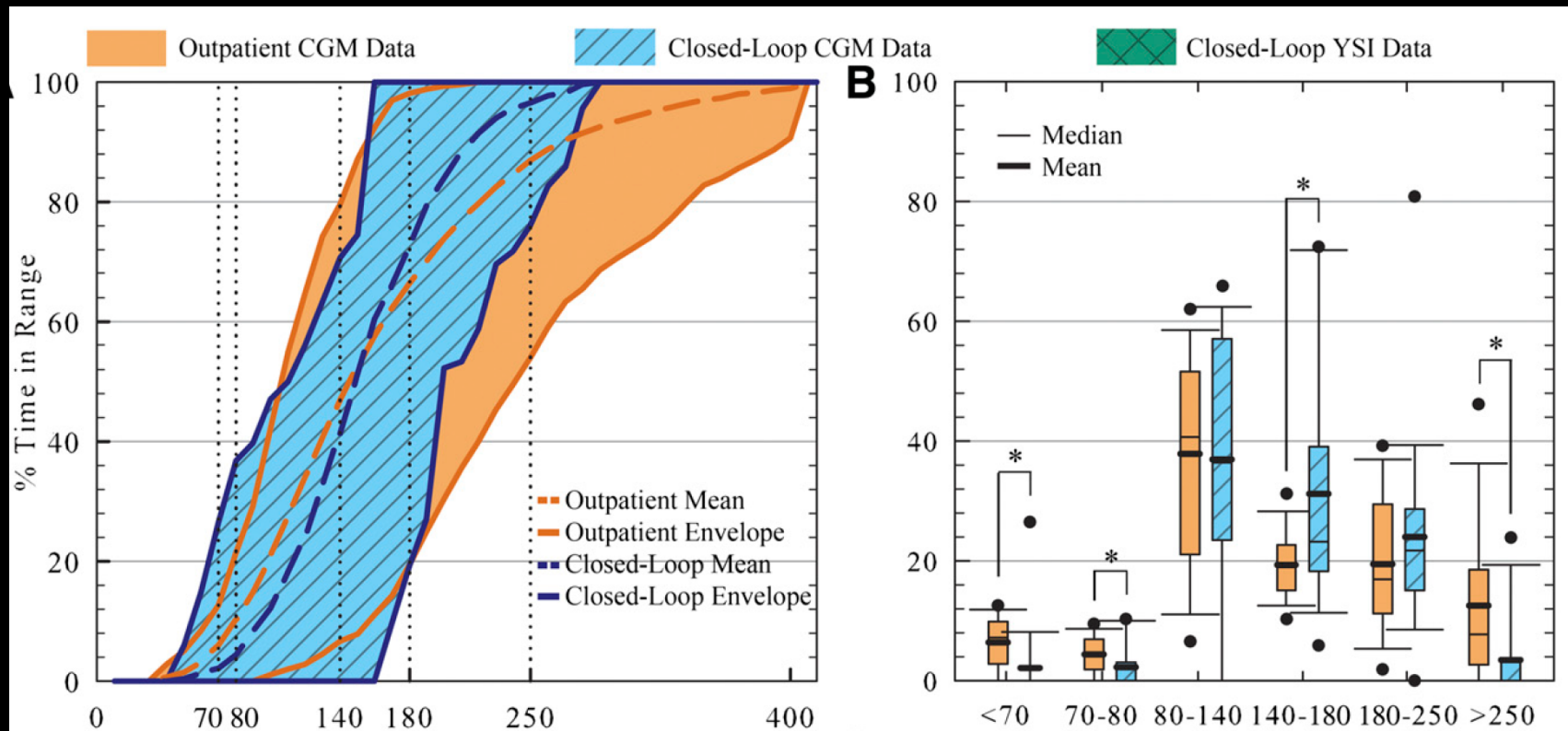
# AP Timeline @ UCSB





# Control to Target Trial [Israel & Santa Barbara]

mpMPC, IOB constraints, Tailored ARX Model

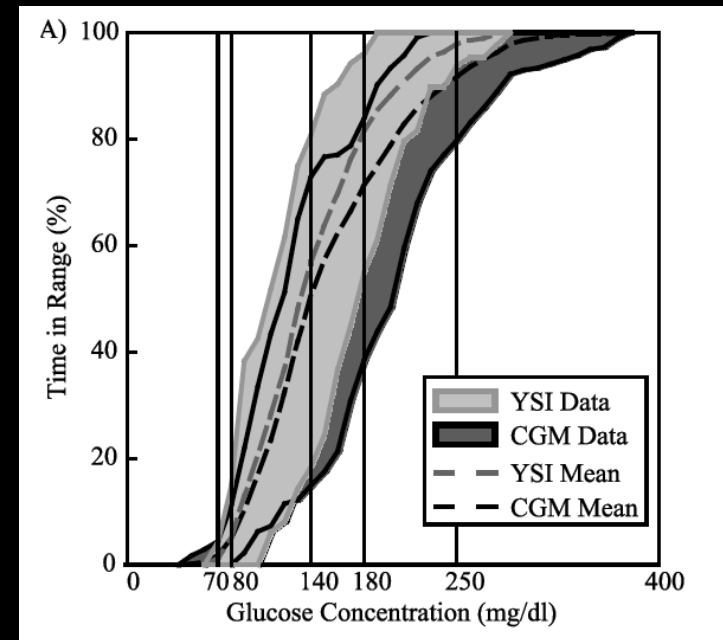
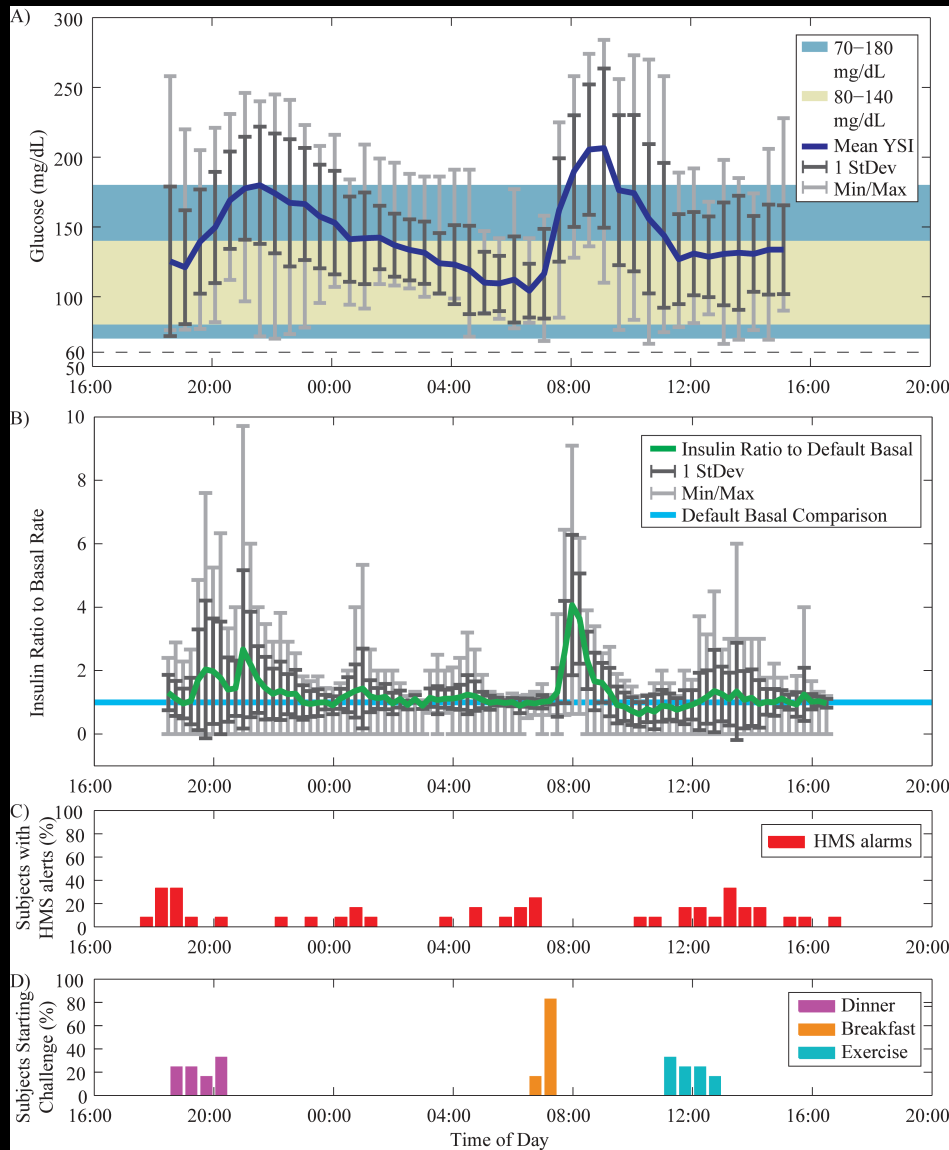


[Dassau et al., *Diabetes Care*, 2013]



# Control to Zone Clinical Trial

zone MPC, HMS, IOB constraints, *a priori* Model



[Harvey et al., *Diab. Tech. Ther.*, 2014]

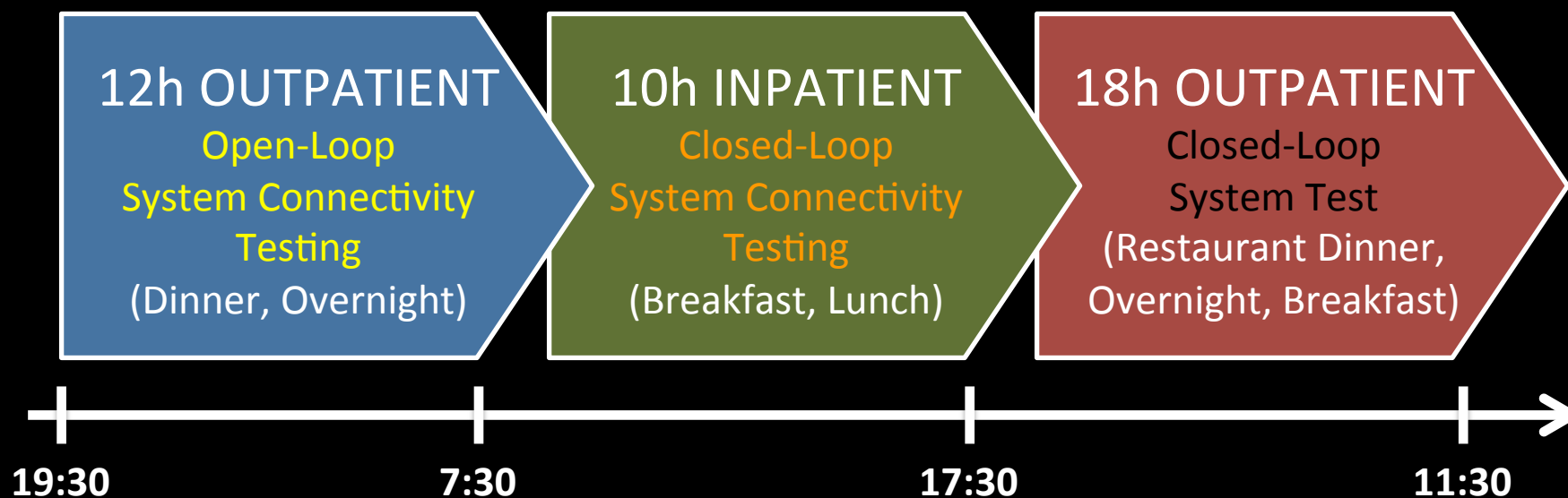


# Getting Outside the Clinic



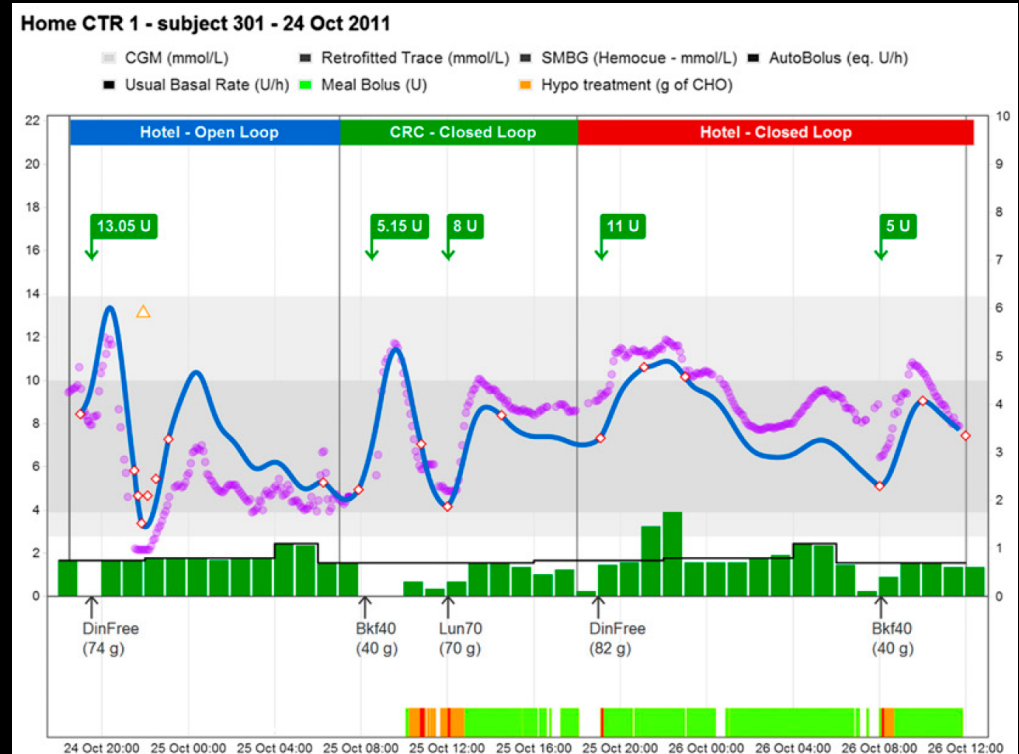
# JDRF: First Outpatient Closed-Loop Control Study in Europe

Padova and Montpellier, October 24-26, 2011  
(n=1) (n=1)



[Cobelli et al., *Diabetes Care*, 2012]

# JDRF: First Outpatient Closed-Loop Control Study in Europe



[Cobelli et al., *Diabetes Care*, 2012]





# JDRF: Feasibility Study for Outpatient Control in US and Europe

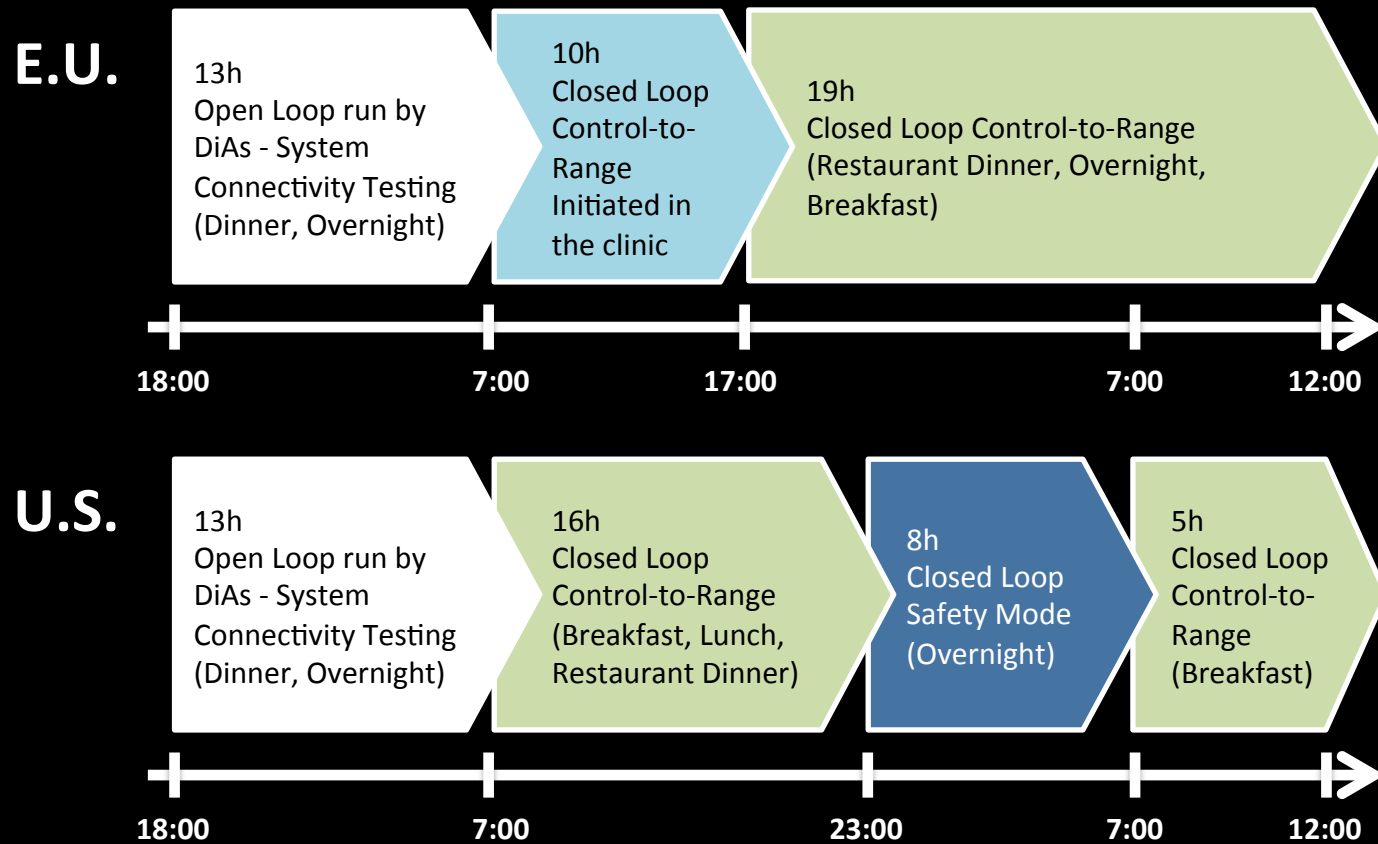
UVA Center for Diabetes Technology

Padova (Italy)

Montpellier (France)

Sansum Diabetes Research Institute / UC Santa Barbara

n = 5 per site

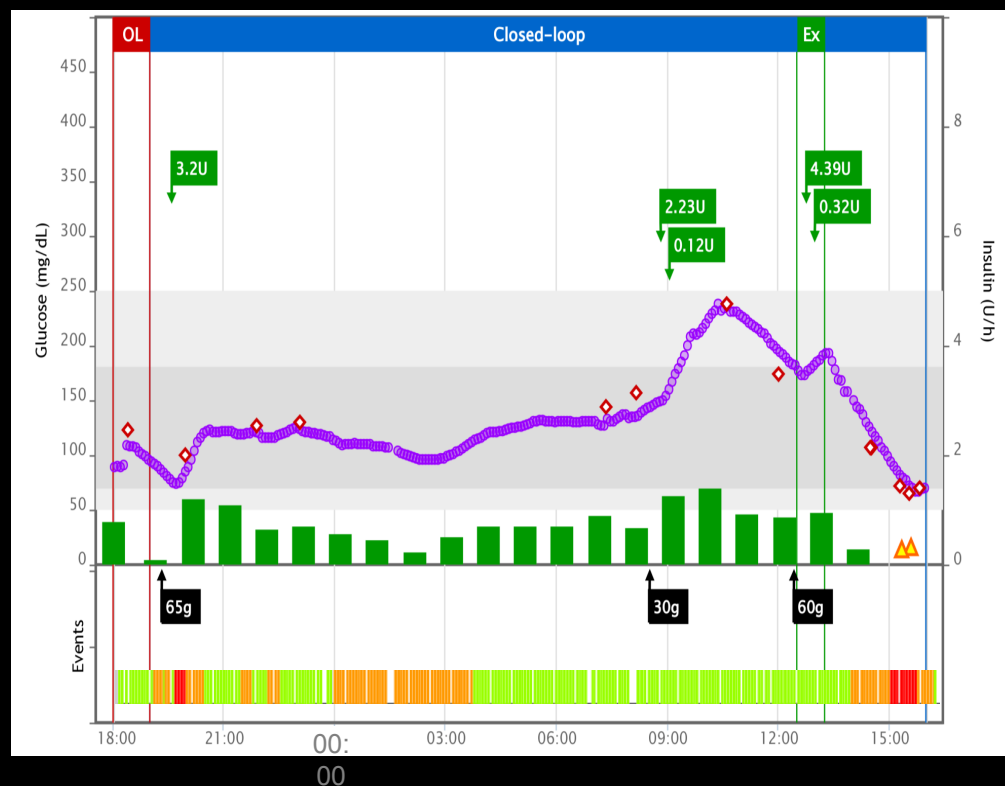


[Kovatchev et al., *Diabetes Care*, 2013]

33<sup>rd</sup> Chinese Control Conference, Nanjing, July 29, 2014



# JDRF: Feasibility Study for Outpatient Control in US and Europe

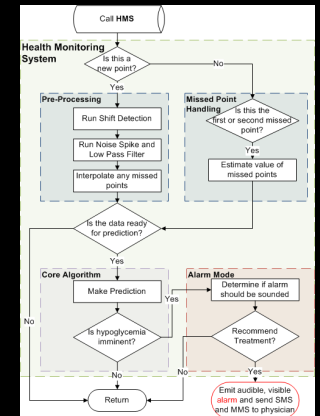
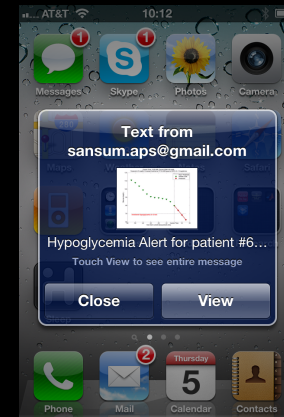
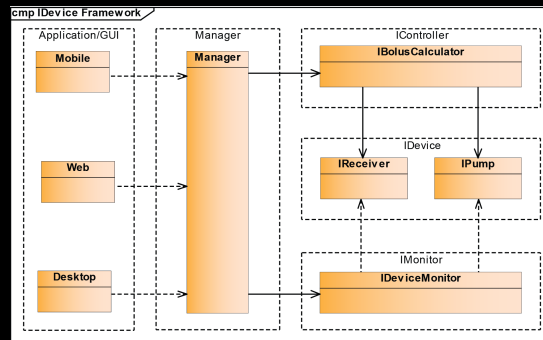


[Kovatchev et al., *Diabetes Care*, 2013]

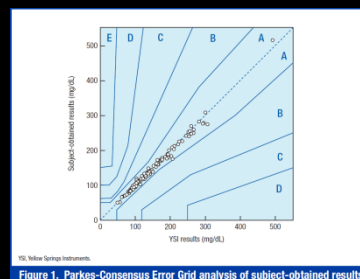


# Additional Developments for Outpatient Studies

- Modular APS™ iDevice Framework
- Health Monitoring Systems (HMS™)



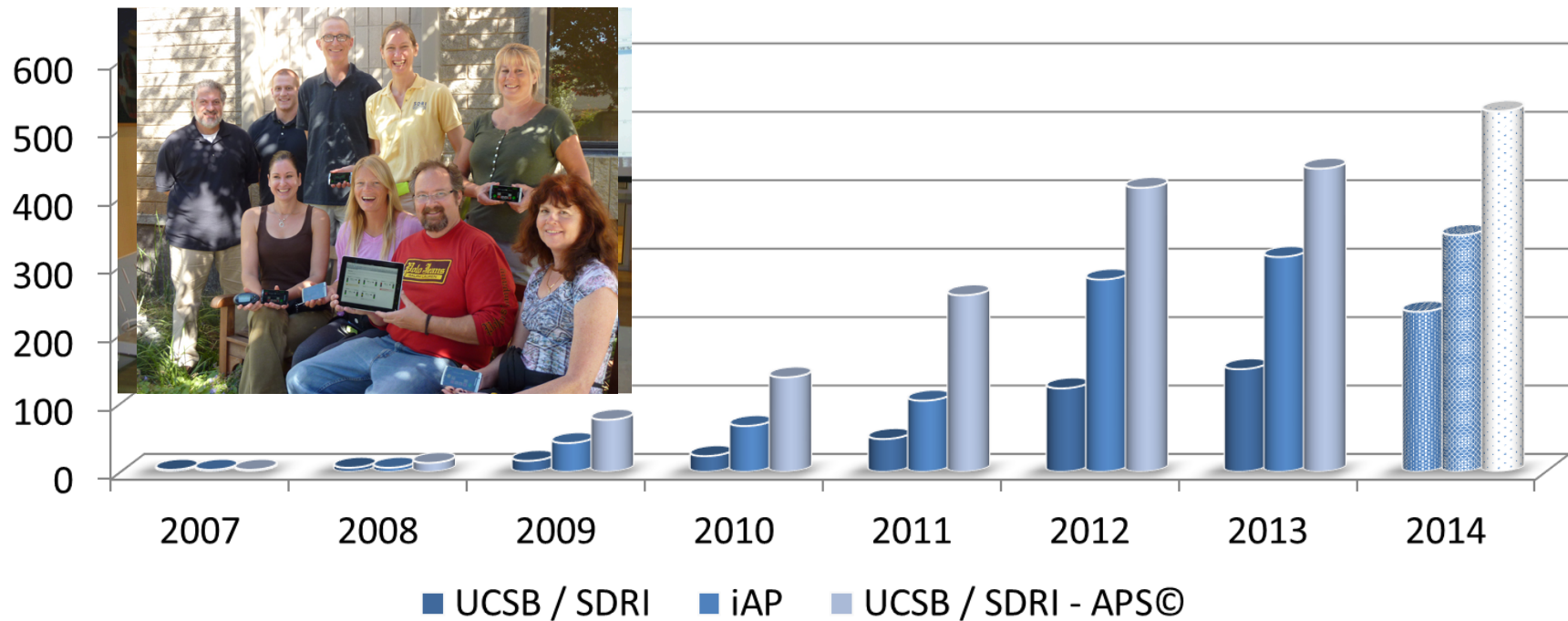
- Reduced measurement requirements  
(IDE approved for TI protocol using new Bayer BG meter)



[Bailey et al., ADA, 2012]

# Clinical Trial Summary

## Progression and Translation of Artificial Pancreas Clinical Evaluations in Humans with Type 1 Diabetes

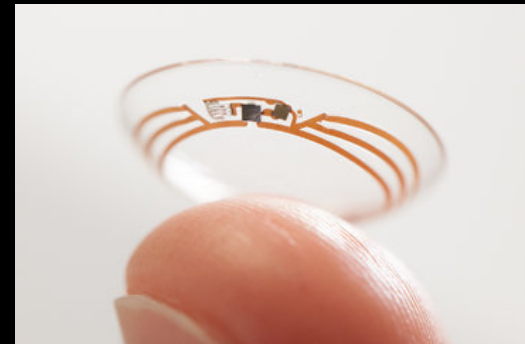
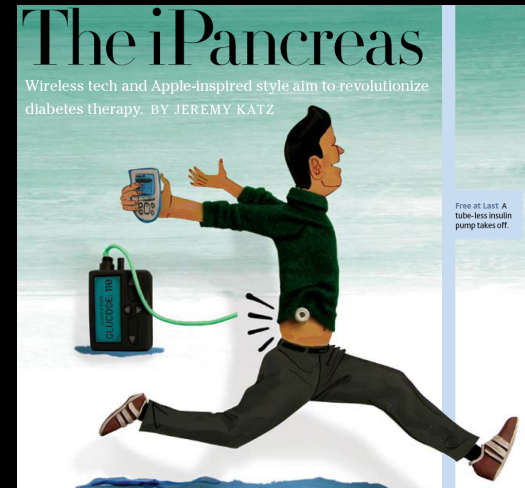






# Summary

- **Control engineering has put the artificial pancreas within reach**
- Enabling technologies:
  - (zone) Model Predictive Control
  - Tailored patient models
  - Safety constraints
- Many challenges still remain:
  - Technical
    - State estimation
    - Patient customization
    - Reliable (long-term) sensors (Google lens?)
  - Medical
    - Transport and site issues
    - Patient variability (incl. stress, activity, etc.)
  - Regulatory





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Dr. Ravi Gonghalekar  
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Dr. Isuri Dasanayake  
Dr. Alejandro Laguna



## Collaborators:

Lois Jovanovic, MD (Sansum), Howard Zisser, MD (Sansum), Dale Seborg (UCSB)

iAP Study Group [Montpellier, Padova, Pavia, UVA, UCSB]

DP3 Consortium: [UVA, Mayo, Padova, SDRI, UCSB]

