

Detecting and Tracking Surgical Tools for Recognizing Phases of the Awake Brain Tumor Removal Surgery

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Keywords: Computer Vision, Multiple Object Tracking, Detection, Data Association, Convolutional Neural Network, Data Augmentation, Awake Brain Tumor Removal Surgery.

Abstract: In order to realize automatic recognition of surgical processes in surgical brain tumor removal using microscopic camera, we propose a method of detecting and tracking surgical tools by video analysis. The proposed method consists of a detection part and tracking part. In the detection part, object detection is performed for each frame of surgery video, and the category and bounding box are acquired frame by frame. The convolution layer strengthens the robustness using data augmentation (central cropping and random erasing). The tracking part uses SORT, which predicts and updates the acquired bounding box corrected by using Kalman Filter; next, the object ID is assigned to each corrected bounding box using the Hungarian algorithm. The accuracy of our proposed method is very high as follows. As a result of experiments on spatial detection, the mean average precision is 90.58%. The mean accuracy of frame label detection is 96.58%. These results are very promising for surgical phase recognition.

1 INTRODUCTION

In modern operating rooms, the number of sensors such as cameras has increased and the state of the art medical instrument and equipment have been introduced, which causes the advancement of surgeries. The achievement of a system that recognizes the situation in the operating room is desired. Operation room monitoring system, staff scheduling management etc are required as functions of the surgical situation recognition system. As another function, it is important to recognize surgical phases such as what kind of actions and/or tasks the doctors currently perform. This is needed for making surgical work efficient. Many studies have been conducted to recognize surgical phases based on image information that can be obtained from cameras used for the surgery.

The MICCAI 2016 Modeling and Monitoring of Computer Assisted Interventions Workflow Challenge in conjunction with the MICCAI conference held a contest for surgical phase

recognition from videos acquired by a laparoscopic camera in cholecystectomy surgery. This community has started thinking the importance of automated surgical phase recognition.

Various attempts have been made to recognize the surgical workflows or phases by using various information such as the signal of the binary measurement device (Padoy et al., 2012), the RFID tag (Bardram et al., 2011), the data acquired via sensors of the tool tracking device (Holden et al., 2014) and the survey robot (Lin et al., 2005). However, since the amount of information obtained from the surgery through the above-mentioned sensors is huge, collecting these signals requires almost manual annotation and installation of additional equipment, which tends to increase in unnecessary workloads.

Therefore, recent studies consider to identify workflows based on video data collected during daily surgical operations. However, it is very difficult to automatically recognize the surgical phase from video scene only. Therefore, in early studies, research

to extract visual features manually from images was conducted (Blum et al, 2010) (Lalys et al, 2012) (Klank et al, 2008). Recently, with the development of convolutional neural network (CNN), for various image recognition tasks CNN is used. Studies using CNN have also been proposed in the field of surgical phase recognition (Twinanda et al, 2017). Many studies based on CNN(Raju et al, 2016) (Sahu et al, 2016) use the data set of M2CAI tool to recognize equipment and process at the frame level.

On the other hand, the surgical phase is a kind of continuous function on time domain. Therefore, it is essential to utilize temporal information for accurate phase recognition so as to effectively extract continuous dynamics. Specifically, surgical phase recognition was achieved by Twinanda et al. They constructed a 9-layer CNN for visual features and designed a 2-level hierarchical HMM for modelling temporal information (Twinanda et al, 2017).

Also, as a result of the development of a long-short term memory (LSTM) network, it is possible to model nonlinear dependence of long - range temporal dependence. SV-RCNet (Jin et al, 2018), one of the cutting-edge research on phase recognition of surgical operations using LSTM, proposed to learn both spatial (visual) information and temporal information.

This paper aims at achieving automatic analysis of surgical phases using intraoperative microscopic video images as one of the operator supporting functions of the project of the intelligent operating room (SCOT) (Okamoto et al, 2017) for the awake brain tumor removal surgery. This surgery removes brain tumor, preserving maximal brain functions; for this, the doctors communicate with awaking patients during the surgery. Difficulties in this surgery are caused by differences in individual patients' brains. As a result, the surgical phases becomes complicated; therefore, only experienced doctors can perform this surgery. It is difficult for surgical staffs other than the experienced doctor to confirm the surgical situations and predict the next surgical step; consequently, the flow of the operation is stagnant. In order to solve the above problems, phase recognition is also required in surgical removal of waking brain tumor. However, in brain tumor removal surgery, it is difficult to recognize phases by frame-level annotation like the conventional method. This is because brain tumor removal surgery uses multiple tools for each phase and the same tool, are also used in different phases; namely, the phases and the tools used do not have a one-to-one relationship.

Therefore, in the brain tumor removal surgery, in order to recognize the phase, it is important to focus

on detailed information of the tool: specifically, temporal motion information of the tool, the pose of the tool, the type of the tool, and the like.

TSSD (Chen et al., 2018) is an object detection method using spatial information and time series information. However, it is not practical to perform learning using both spatial and temporal information like Chen et al.'s method, because an enormous human annotation work is necessary for recognizing phases of surgical operations. Therefore, in order to use temporal information, this paper utilizes a fast conventional tracking method and deep learning method, but not LSTM.

2 DATA SET

None of data set for recognizing surgical tools of awake brain tumor removal surgery has been disclosed. Hence, We gave spatial annotation (bounding box) to surgical tools in frames of videos of actual awake brain tumor removal surgery performed at Tokyo Women's Medical University Hospital, and constructed a new data set that enables higher level phase recognition.

Our dataset consists of 8 brain tumor removal surgeries' videos recorded at 30 fps. We pick up the frames every 15 fps, randomly select 11175 frames and labeled the 11175 frames with spatial bounding boxes as tool candidates. The 11175 frames consist of 7755, 2270, 1150 frames for training, validation, and test, respectively. The surgical tools included in the data set are Bipolar, Electrode, Scissors, Suction tube, Forceps, Clippers, which are mainly used for brain tumor removal surgery. The number of annotated instances per tool category is shown in Table 1. Figure 1 shows an example of each tool in the data set. The frequency of using surgical tools greatly varies depending on tumor location, grade and so on. Therefore, when learning is performed using n cross validation method for each patient, bias could occur in the current data set; therefore n cross validation is not used in this paper.

Table 1: Number of annotated frames for each tool.

Tool	Number of annotated instance
Bipolar	5789
Electrode	2226
Scissors	1533
Suction tube	10207
Forceps	945
Clippers	896
Total	21596
Number of frame	11175

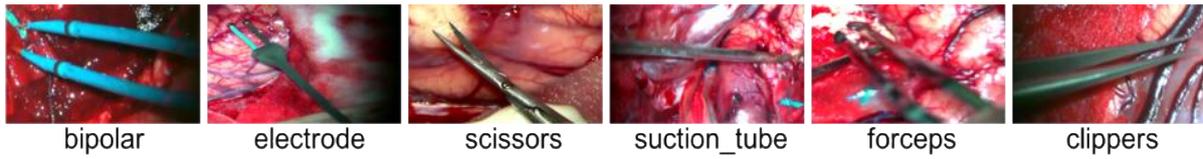


Figure 1: List of six surgical tools used in brain tumor removal surgery.

3 PROPOSED METHOD

The proposed method is composed of two parts: a detection part and a tracking part. Figure 2 shows an outline of the proposed method of this research.

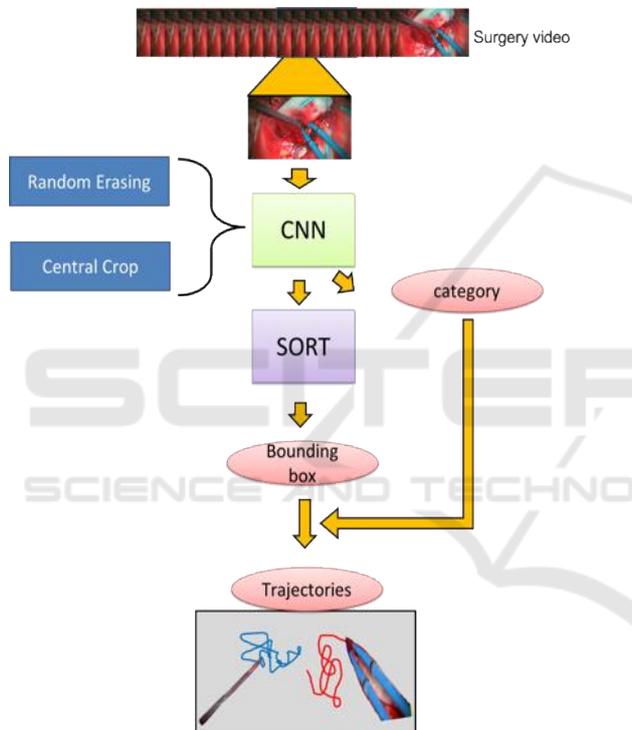


Figure 2: Diagram of the proposed method.

3.1 Detection

Firstly extract the motion of a surgical tool, we detect and classify the surgical tool. We can obtain a candidate bounding box and its corresponding category of the surgical tool as the output of applying SSD (Liu et al, 2016) to a frame of the surgical video.

3.1.1 Data Augmentation

Here, before learning the data set, we execute data augmentation to improve the robustness against actual environmental changes that could occur at

surgical sites. We conduct central cropping and random erasing (Zhong et al, 2017), and reinforced our original data set. In addition to the data augmentation originally provided by SSD, and reinforced our data set.

3.1.2 Random Erasing

In actual surgery videos, there are frames in which occlusions occur, and they make it difficult to detect surgical tools accurately (Figure 3). The main reason for the occurrence of occlusions is that the surgeon’s hands appear between the microscope and the surgical tool, or multiple tools overlap, etc.

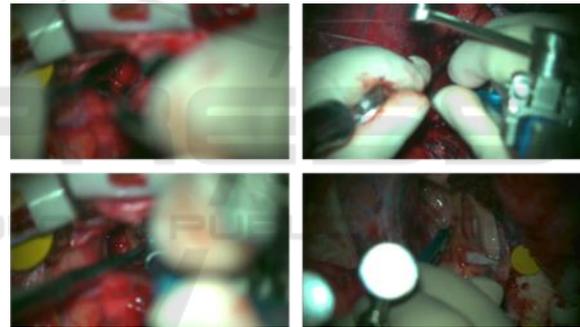


Figure 3: Frame in which occlusion occurs.

In order to solve such a problem, we use random erasing to improve robustness against the occlusions in the data set and prevent over-fitting. Object detection is important in this research. It is supposed to detect instances of semantic objects of a particular class in an image. Therefore, we use object-aware random erasing. The width and height of image be $W \times H$ (pixels) respectively. Thus, the region of the image is $S = W \times H$ (pixels). The area of the erased area is randomly initialized to S_e , where S_e/S is in the range between the minimum sl and maximum sh . The aspect ratio of the erased rectangular area is randomly initialized to re between $r1$ and $r2$. Parameters of the erasing area are $sl=0.05$, $sh=0.1$, $r1=3$, $r2 = 1/r1$.

Here, let the coordinates bounding box of the top left and the bottom right of the ground truth be $(xmin, ymin)$ and $(xmax, ymax)$, respectively. Similarly, the

coordinates of the erased area are expressed as (x_e, y_e) (x_e_max, y_e_max) . In this method, an erased area is generated so as to satisfy the condition expressed by Eqs. (1) and (2), rather than creating an erased area in the bounding box of the ground truth.

$$x_{min} < x_e_max \cap x_e < x_{max} \quad (1)$$

$$y_{min} < y_e_max \cap y_e < y_{max} \quad (2)$$

A generation model diagram of the generated erased area is shown in Figure 4, and an actual image is shown in Figure 5.

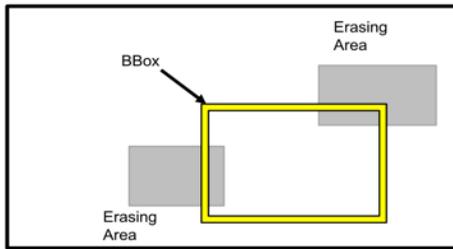


Figure 4: Model of random erasing generation.

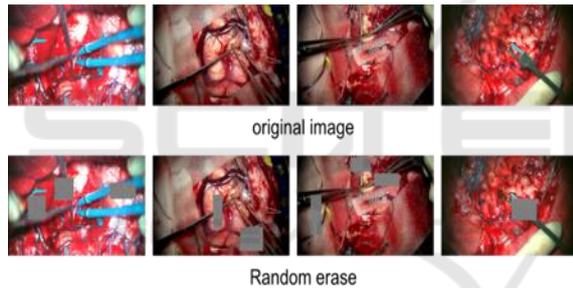


Figure 5: Example of applying random erasing to images. The upper row is the original image which are cut out from the surgical video. The lower row is an image in which erased areas are generated for each original image.

3.1.3 Training

We use SSD for spatial detection of surgical tools. SSD is one of the-state-of-arts of object detection network. For the base network of SSD, we use VGG-16 convolutional neural network (Simonyan et al, 2014), which extracts powerful visual features. The base VGG-16 uses the model pre-trained and initialized by ILSVRC CLS-LOC dataset (Russakovsky et al, 2015), and we fine-tune the model by Dataset that we created. The architecture of SSD network is shown in Figure 6.

We finetune-tune the VGG-16 network and optimize the performance of the model using probabilistic gradient descent with initial learning rates of 1×10^{-4} , 0.9 momentum, 0.0005 weight decoy.

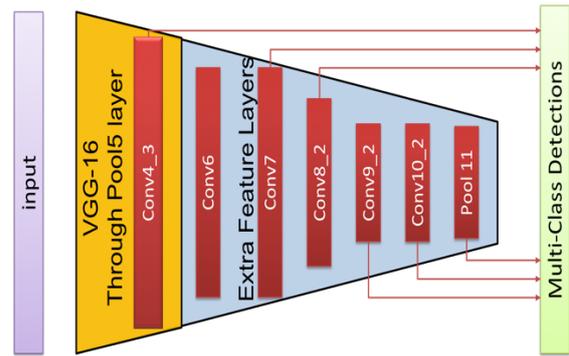


Figure 6: The architecture of SSD network.

3.2 Tracking

We track the surgical tools to detect how they are moving. In this paper, we do not use a method that requires large amounts of sequential time series data such as LSTM. The reason is that it takes a huge amount of human labor to build and self-tune our own data set for a network that combines a region proposal network such as SSD and LSTM.

Therefore, we use Alex's SORT (Bewley et al, 2016) which combines the famous Kalman Filter (Kalman et al, 1960) and Hungarian algorithm (Kuhn, 1955) as one of the cutting-edge tracking methods for real-time tracking.

3.2.1 Kalman Filter Estimation Model

The Kalman filter is one of the most stable filters that can be estimated by predicting and updating the state of the tracking object (Tracker). Here, the Kalman filter is used to propagate the identity of the detected bounding box to the next frame.

Since the predicted state of the current frame is compared with that of the next frame, a better result is obtained from the position of the detected object. The displacement between each bounding box in frames is approximated by a linear constant velocity model, which is not related to the motion of other objects and cameras. The state of each target is modeled as follows.

$$state = [x, y, s, r, dx, dy, ds]^T \quad (3)$$

where x and y are the center coordinates of each bounding box, and scales s and r represent the scale (area) and aspect ratio of the bounding box respectively.

3.2.2 Assign Detection and Tracker

In tracking multiple objects, the data assignment process is needed. In our tracking system we use Hungarian algorithm for data association.

Each detection is estimated by predicting a new position by a Kalman filter (tracker). It is calculated using the IOU matrix between the bounding box of the tracker and the bounding box detected in the current frame.

The minimum IOU (Intersection over union) is set as the threshold value in order to reject the assignment in which the overlap of each bounding box is less than IOU_{min} . In this paper, $IOU_{min} = 0.3$.

3.2.3 Tracking System

Figure 7 shows a detailed model of the tracking system.

In order to do the tracking, the algorithm initializes the tracker using only detected position information in the first frame of the video. Next, from the 2nd to final frames, a Kalman filter is applied to the tracker of the (t-1)-th frame, to predict the t-th frame, and the prediction of the t-th tracker is matched with the t-th detection of the Hungarian algorithm. By using the Hungarian algorithm, the processing of the bounding box is classified into three patterns shown below according to the relationship between tracker and detection.

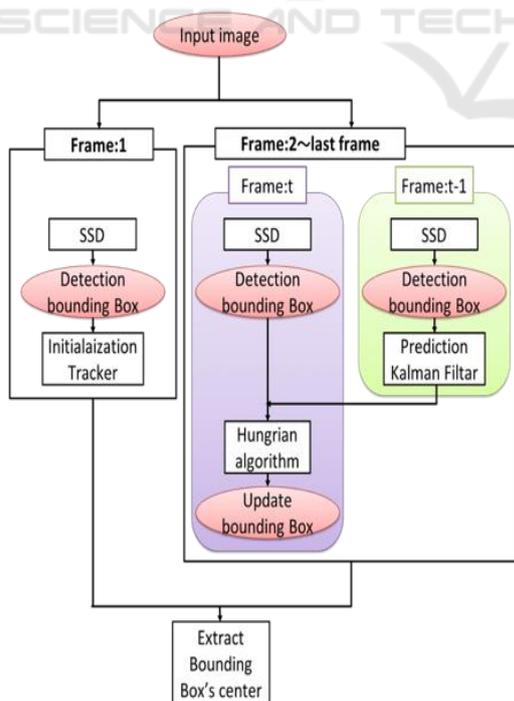


Figure 7: Our tracking system diagram.

(i) Matched

In this case, Both results from the tracker and the detection match. The Kalman filter correction process is performed to help the system model work better in the next sequence.

(ii) Unmatched detection

There is the tracker, but there is no corresponding detection. In this case the tracker is removed. This is mainly used when the object leaves the image and deletes the ID unique to the object.

(iii) Unmatched tracker

The detection exists, and there is no corresponding tracker. In this case we create a tracker that corresponds to the detection. This is mainly used when an object enters the image and creates a unique ID for the object.

By combining (ii) and (iii), in the tracking system, the tracker is not deleted immediately after the tracker is hidden, the tracker is deleted only when no tool is detected in two consecutive frames, and the object ID is assigned to the corresponding tracker. By recognizing the object ID, it is considered that the individual tool can be accurately identified and the tracking can be performed more accurately.

4 EXPERIMENTS AND RESULTS

In this chapter, we evaluate the method of tracking surgical tools using our data set we created. In the detection section (Sec. 4.1) we quantitatively evaluate the validity of our data augmentation, the task of spatial detection and frame level presence detection of surgical tools. In the tracking section (Sec. 4.2), we evaluate the trajectory of each tool qualitatively.

Note that we have received approval by the ethics review committee of Tokyo Women's Medical University (1955-R2).

4.1 Detection

We use SSD for object detection. First of all, in order to confirm the validity of data augmentation, all layers of VGG-16 are fine-tuned for repeating 250 K times with 8 mini batch sizes. The learning rate is initialized to 10^{-4} , and it decreases by 10 times at 100K, 150K, 200K iterations. Total training time was approximately 8 days on an NVIDIA GeForce 1080Ti. Finally, the parameters of the model in this system were learned 150,000 times with batch size

24. The learning rate is initialized to 5×10^{-4} , and it decreases by 10 times at 100K iterations. Total training time was approximately 10 days on an NVIDIA GeForce 1080Ti.

4.1.1 Effectiveness of Data Augmentation

We verified the effectiveness of our data augmentation method. The learning conditions are as follows. ①Default: the data set described in Section 2. ②CCrop: central cropped data set. ③RE: random erasing data set. Table 2 summarizes the conditions.

Table 2: Number of annotated frames for each tool.

condition	Train frames	Test frames
Default	7755	1150
CCrop	23418	3296
RE	31020	457

① Default

First, we compare the results of testing under each condition using default test data of our data set. Table 3 summarizes the results.

Table 3: vs Default Test each condition.

Tool	default	CCrop	RE
Bipolar	89.78	89.78	90.72
Electrode	99.38	94.81	99.66
Scissors	97.77	96.61	96.41
Suction tube	89.47	89.22	90.35
Forceps	86.78	85.59	90.11
Clippers	95.58	94.00	90.67
Mean AP	93.02	91.67	92.99

From Table 3, the mean AP (Average Precision) for default is the most accurate. In case of central crop, the average precision of all tools decreased. On the other hand, random erasing reduced the mean AP by 0.02%, but this reduction is ignorable. In addition, for all tools other than scissors and clippers, it can be seen that the average precision of all have improved.

② Central Crop

Next, we verify using the dataset to which the data enlarged and cutted off by central crop are added. The results are shown in Table 4.

As shown in Table 4, the accuracy is improved in all the tools in the test data for CCrop, although the improvement is very small. Therefore, performing the central crop tends to be effective against the environmental change due to the magnification change of the microscopic image.

Table 4: vs Central Crop Test Data.

Tool	default	CCrop
Bipolar	90.60	90.64
Electrode	89.54	90.02
Scissors	90.54	90.72
Suction tube	89.49	90.13
Forceps	89.76	90.07
Clippers	89.95	90.30
Mean AP	89.98	90.32

On the other hand, as the reason why the improvement in accuracy was insignificant is that the ratio of cutting to the original image is [0.8, 0.9] this time; it is considered that the image does not change significantly and the accuracy does not improve.

③ Random Erasing

Finally, we verify test data with high occlusion level(RE test in Table. 2.) as shown in Figure 3. The results are shown in Table 5. However, clippers are excluded, because there was no scene in which the clippers were hidden significantly in the surgery video.

Table 5: vs Random Erasing Test Data.

Tool	Default	RE
Bipolar	89.86	89.70
Electrode	70.15	66.80
Scissors	46.56	69.35
Suction tube	80.00	84.00
Forceps	81.90	87.68
Clippers		
Mean AP	73.69	79.51

From Table 5, accuracy improvement can be seen in all the tools except Bipolar and Electrode, and the average accuracy increased by 5.82%. In particular, Scissors gained dramatically by about 23%. Figure 8 shows some results of detection using the weights of Default and RE, respectively. (The visual-threshold is the value of the score : 0.6.)

By doing RE we can successfully detect, classify and localize surgical tools. Figure 8(a)-(c) show that the detection is improved. In Figure 8(a), in the Default, the suction tube existing in the upper left cannot be detected, but it can be detected in the RE. In Figure 8(b), the suction tube (the area surrounded by the red color) existing in the upper left of both Default and RE is detected as forceps. However, when comparing the two, RE shows that the score of forceps classification is lower. (Default: 0.97 > RE: 0.86). In Figure 8(c), two suction tubes overlap in the lower right corner of the image. In Default it is found that only one can be detected and bounding box is

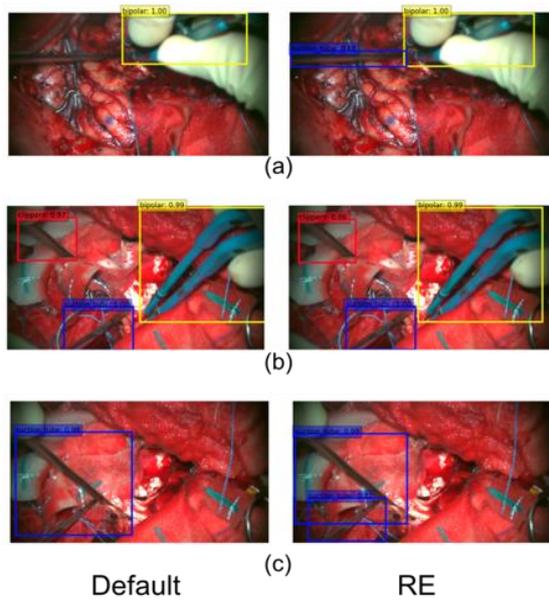


Figure 8: Example of detection result in frame where occlusion occurs.(Left: Default weight, Right : RE weight).

redundant. In RE, two suction tubes can be detected and bounding box can be localized more accurately.

However, for Electrode the score drops by 3.35%. The reason for this is that the shapes of electrodes excluding the tips and of the surgical tool called brain spatula, which is not to be classified in this paper, look very similar to each other. An example of erroneously recognizing the brain spatula as electrode is shown in Figure 9.

From the above result, it was found that random erasing is very effective to the image data set acquired from an environment like the awake brain tumor removal surgery where occlusions frequently occur.

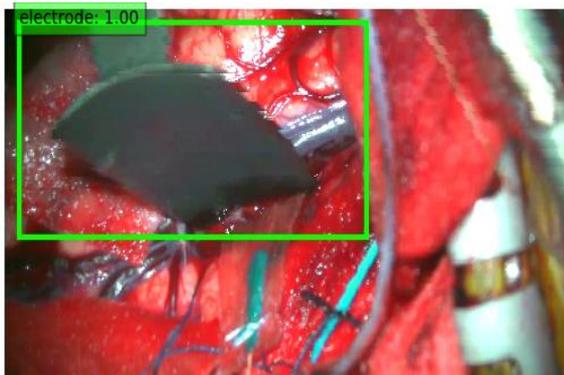


Figure 9: Example of misrecognition that brain spatula as electrode.

4.1.2 Spatial Detection

To the best of our knowledge, this study first performed robust localization and classification according to the actual environment of the surgical tool with actual brain tumor removed video. We analyze the movement of the surgical tools in more detail.

Table 6 shows the performance when using the average accuracy (AP) for spatial detection of the surgical tool of brain tumor removal surgery in this study.

Table 6: Spatial detection average precision (AP) per-class and mean average precision (Mean AP) in All Dataset.

Tool	AP
Bipolar	90.71
Electrode	90.55
Scissors	90.74
Suction tube	90.18
Forceps	90.72
Clippers	90.57
Mean AP	90.58

Mean AP is 90.58, showing overall good performance. Figure 10 shows some examples of detection results. Images surrounded by a red thick frame are these that can be detected correctly. It can be seen that, irrespective of class and quantity, existing tools are successfully detected. In addition, although two suction tubes in the second row are overlapped, it can be detected accurately. This also indicates that the random erasing is effective. Next, the images surrounded by the blue frame is an incorrectly detected image. Figure 10(a) is a misdetection of forceps as scissors. It is considered that this is due to the similar shape of the tip portion. Figure 10(b) bipolar appeared in the right part of the image is false positive. Our system misunderstood that surgeon's left hand has the tool(bipolar). Figure 10(c) also misrecognized bipolar as electrode. Figure 10(d) shows that forceps existing right in the image is unrecognized. Since we set visual threshold = 0.6 and the value of confidence was less than the threshold, the forceps couldn't found. Overall our model has strong accuracy in spatial detection.

4.1.3 Frame Level Presence Detection

Next, in this subsection we calculate the detection accuracy at the frame level. We computed the accuracy based on whether the visual threshold of the detected object is greater than 0.6 for each frame. The accuracy is shown in Table 7, and the confusion matrix is shown in Table 8.

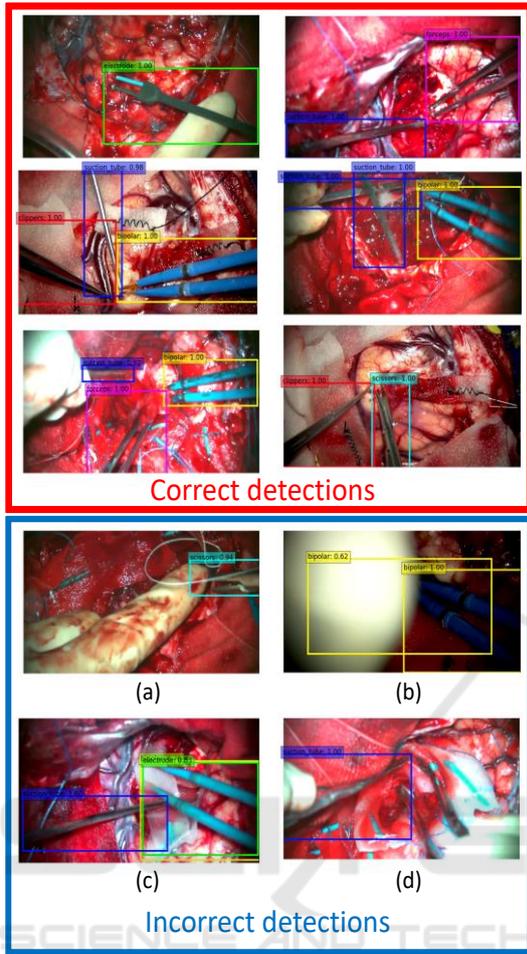


Figure 10: Example of detection result in frame.

Table 7: Flame label detection accuracy per-class and mean accuracy in All Dataset.

Tool	Accuracy
Bipolar	98.19
Electrode	97.79
Scissors	97.79
Suction tube	94.85
Forceps	95.89
Clippers	94.98

From Table 7, we can see that the detection accuracy by our approach demonstrates high performance.

Empty cells in the confusion matrix in Table 8 shows that the value is 0. Yellow cells give correct detections. False detections are indicated in blue. The right most column named “RE” in the table indicates reject, and it is a set of things which cannot be detected and which are lower than the threshold in the first place.

Table 8: Confusion matrix. (T0:Biolar, T1: Electrode, T2: Scissors, T3: Suction tube, T4: Forceps, T5: Clippers, RE: reject.).

	T0	T1	T2	T3	T4	T5	RE
T0	1679	4		3			24
T1	1	620					13
T2		1	443				9
T3	2	2		2891	1		152
T4			1		303		11
T5						265	13

4.2 Tracking

In this section, we show that the bounding box obtained from the model of the SSD that we have metastasized and learned is stabilizing the locus corrected by SORT. The method qualitatively evaluates the trajectory of the center coordinates of the bounding box by comparing it with the presence or absence of SORT.

4.2.1 Detection and Tracker Assignment

The proposed method performs detector and tracker assignment by using Hungarian method. In trajectory extraction, this method can delete erroneous detections and avoid unnecessary their assignment to the tracker. An example of this deletion is shown in Figure 11. In Figure 11, on the right side of Figure 11(a), multiple bounding boxes are detected at the tip of the electrode. On the other hand, on the left Figure 11(a), using SORT, only one bounding box is generated at the electrode, because a point of electrodes was not detected in the previous frame and there is no corresponding tracker, the single bounding box was deleted. For Figure 11(b) and Figure 11(c), erroneous detection is also suppressed for the same reason.

4.2.2 Trajectory

Figure 12. shows an example of trajectory extraction using SORT. By using SORT, a smooth trajectory compared with “not using SORT” is obtained. The difference between with and without SORT can clearly be demonstrated by movies, while not clear in still images such as Figure 12.

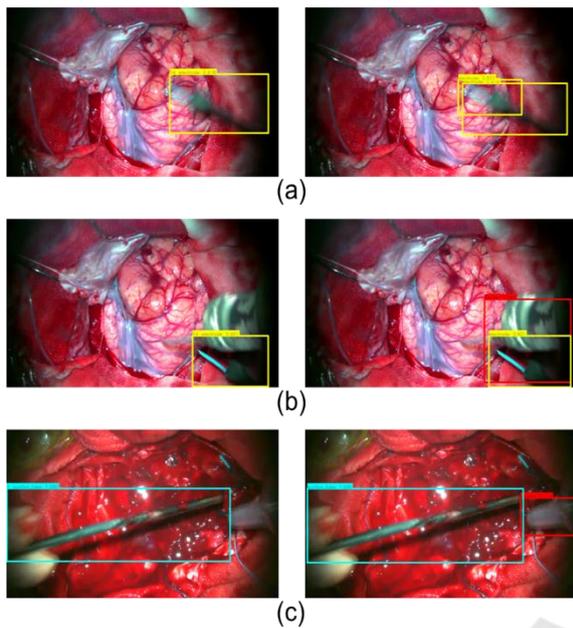


Figure 11: Delete detection with no corresponding tracker.(Left: SORT, Right: without SORT).

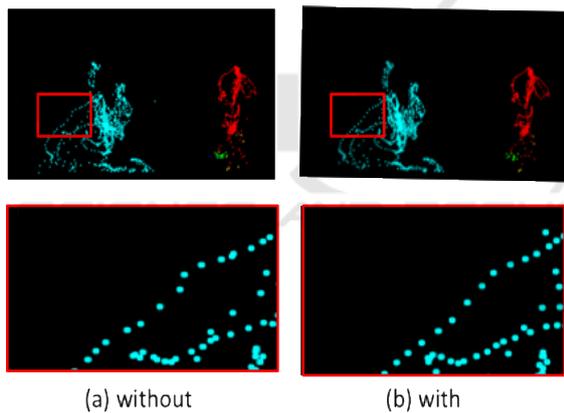


Figure 12: Trajectory.

5 CONCLUSIONS

This paper has proposed a method for detecting and tracking surgical tools from microscope video of brain tumor removal surgery. The proposed method consists of a detection part and tracking part. In the detection part, object detection (SSD) is performed for each frame in surgery video, and the category (tool) and bounding box are acquired. The convolution layer strengthens the robustness using Data Augmentation. The tracking part uses SORT, which predicts and updates the acquired bounding box to which the object ID is assigned.

Experiments using 3751 frames is conducted. Main results are as follows.

1. Spatial detection's mean AP is 90.58%.
2. Frame label detection's mean accuracy is 96.58%.

The future work of this research is as follows.

- ① In order to deal with unrecognized result, preprocess for CNN should be improved.
- ② More advanced recognition system will be studied which utilizes the content obtained from the time series data trajectory and class information of each tool.
- ③ Using RFID tags the classification accuracy will be improved. We get information on the currently used surgical tools. We can improve the classification of actual surgical tools using acquired sensor information. In particular , we believe the above-mentioned method is effective for detecting tools with similar appearances (clipper, forceps, scissors).

Furthermore, we plan to conduct research to identify the surgical phase.

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