# Optimal regression method for near infrared spectroscopic evaluation of articular cartilage

# Prakash M,<sup>1</sup> Sarin J. K,<sup>1,2</sup> Rieppo L,<sup>1,3</sup> Afara I. O <sup>1,2</sup> and Töyräs J<sup>1,2</sup>

# Optimal regression for NIRS evaluation of articular cartilage

Applied Spectroscopy, June 2017

Corresponding author:

Mithilesh Prakash, M.Sc. (Tech.)

Department of Applied Physics

University of Eastern Finland

Kuopio, Finland

Tel: +358 414963056

Fax: +358 17162131

Email: mithilesh.prakash@uef.fi

<sup>&</sup>lt;sup>1</sup> Department of Applied Physics, University of Eastern Finland, Kuopio, Finland

<sup>&</sup>lt;sup>2</sup> Diagnostic Imaging Center, Kuopio University Hospital, Kuopio, Finland

<sup>&</sup>lt;sup>3</sup> Research Unit of Medical Imaging, Physics and Technology, Faculty of Medicine, University of Oulu, Oulu, Finland

#### Abstract

Near infrared (NIR) spectroscopy has been successful in non-destructive assessment of biological tissue properties, such as stiffness of articular cartilage, and is proposed to be used in clinical arthroscopies. NIR spectroscopic data includes absorbance values from a broad wavelength region resulting in a large number of contributing factors. This broad spectrum includes information from potentially noisy variables, which may contribute to errors during regression analysis. We hypothesized that partial least squares regression (PLSR) is an optimal multivariate regression technique and requires application of variable selection methods to further improve the performance of NIR spectroscopy-based prediction of cartilage tissue properties, including instantaneous, equilibrium and dynamic moduli and cartilage thickness. To test this hypothesis, we conducted for the first time, a comparative analysis of multivariate regression techniques, which included, principal component regression (PCR), PLSR, ridge regression, least absolute shrinkage and selection operator (Lasso), and least square version of support vector machines (LS-SVM), on NIR spectral data of equine articular cartilage. Additionally, we evaluated the effect of variable selection methods, including Monte Carlo uninformative variable elimination (MC-UVE), competitive adaptive reweighted sampling (CARS), variable combination population analysis (VCPA), backward interval PLS (BiPLS), genetic algorithm (GA) and jack-knife, on the performance

of the optimal regression technique. PLSR technique was found as an optimal regression tool  $(R^2)_{Tissue} = 75.6$ ,  $R^2$  Dynamic modulus = 64.9) for cartilage NIR data; variable selection methods simplified the prediction models enabling the use of lesser number of regression components. However, the improvements in model performance with variable selection methods were found to be statistically insignificant. Thus, PLSR technique is recommended as the regression tool for multivariate analysis for prediction of articular cartilage properties from its NIR spectra.

## Key terms

Uninformative variable elimination (UVE), arthroscopy, multivariate regression, cartilage, near infrared (NIR) spectroscopy

#### Introduction

Articular cartilage (AC) is a specialized type of hyaline cartilage found at the distal ends of bones providing smooth, low friction, load-bearing interfaces in joints. This cartilage comprises mainly of water (65-80%) and extra-cellular matrix (ECM) consisting primarily of collagen (10-30% w/w) and proteoglycans (PGs; 10-20% w/w). Degenerative joint conditions, such as osteoarthritis (OA), are generally characterized by disruption of the superficial collagen network and loss of PGs. These changes in biochemical composition results in alteration of the biomechanical properties of AC. Light-based imaging modalities, such as Fourier transform infrared (FTIR) spectroscopy, near infrared (NIR) spectroscopy, optical coherence tomography (OCT) and Raman spectroscopy have been proposed for arthroscopic evaluation of joint tissues.

Recent cartilage studies have advocated the use of NIR spectroscopy for in vivo evaluation of articular cartilage integrity, <sup>13–15</sup> particularly due to its superior tissue depth penetration compared to other optical techniques. Furthermore, Afara et al. showed that the NIR diffuse reflectance spectrum of articular cartilage correlates with biomechanical, <sup>16</sup> biochemical and histological properties of non-calcified cartilage. NIR spectroscopy is a

vibrational spectroscopy with main contributing bonds in biological tissues being C-H, N-H, O-H and S-H.

Regression techniques enable the development of mathematical models relating NIR spectra with reference parameters (e.g. tissue composition) of the studied tissue (e.g. cartilage). Multivariate regression techniques are primarily used to extract information from NIR data, <sup>17</sup> due to non-specificity of the functional bands and overlapping overtones in NIR spectra unlike mid-IR, <sup>18</sup> a single wavelength represents multiple components. Additionally each property, such as thickness, is best described by partial contribution from multiple variables. Hence, multivariate techniques would be an appropriate choice. <sup>19</sup> The popular multivariate regression techniques utilized in NIR spectroscopy are principal component regression (PCR) and partial least squares regression (PLSR). 20,21 PLSR is the most common regression technique used in NIR spectroscopic studies of articular cartilage. However, the potential of regression shrinkage methods, such as ridge regression and least absolute shrinkage and selection operator (Lasso),<sup>22</sup> and least square version of support vector machines (LS-SVM) based regression, <sup>23</sup> for NIR evaluation of articular cartilage has not been investigated. A comparison of the aforementioned multivariate regression techniques was undertaken to determine the best technique applicable for NIR spectroscopic evaluation of cartilage. A summary of these common techniques is presented in Table 1.

Selecting optimal variables for regression models is an essential step as the spectra may contain noisy or irrelevant variables that hinder the analysis. Conventionally, variable selection is done by restricting the spectral wavelength based on experimental knowledge or known restrictions (manual wavelength selection), which may lead to inconsistent results and is prone to human error. Statistical studies conducted by Xiaobo et al.,<sup>24</sup> Westad et al. and Mehmood et al. have shown the significance of variable selection methods in multivariate regression techniques.<sup>25,26</sup> In general, variable selection in multivariate regression is based on the principle of either choosing the most contributing variables or eliminating the noncontributing variables.<sup>24</sup> Monte Carlo uninformative variable (MC-UVE), competitive adaptive reweighted sampling (CARS), variable combination population analysis (VCPA), interval selection methods (BiPLS), genetic algorithm (GA) and jack-knife are different variable selection methods available for analyzing NIR spectra.

In this study, multiple multivariate regression and variable selection methods are utilized to determine the most optimal algorithms for analyzing articular cartilage NIR spectra. PLSR has been successfully applied in spectroscopy applications, such as paper,<sup>27</sup> food and mineral industries.<sup>28,29</sup> Recent NIR and FTIR studies have demonstrated PLSR to be a capable technique for analysis of cartilage spectra.<sup>30,31</sup> Additionally, a FTIR study demonstrated that variable selection further improves PLSR models in case of composition

and compressive properties of cartilage.<sup>32</sup> Thus, we hypothesized that PLSR is an optimal regression technique for evaluation of cartilage NIR spectra, and its model performance may further be improved with variable selection. To test the hypothesis, calibration models relating the NIR spectra with reference properties of cartilage were developed and evaluated using independent group of areas of interest (AI).

#### Materials and methods

This study was conducted on NIR spectral data collected from equine cartilage, used in an earlier study. Sequine metacarpophalangeal joints (N = 5) were obtained from a slaughterhouse and areas of interest (AI, N = 44) of intact and damaged cartilage were selected by experienced veterinary surgeons. The blind coded AIs were evaluated twice arthroscopically under independent settings by the surgeons according to the international cartilage repair society (ICRS) scoring system to differentiate healthy (N = 19) and damaged (N = 25) AIs. The AI grids,  $15 \times 15$  mm were outlined with a felt-tip marker, which did not interfere with NIR spectroscopy measurements. In each AI, 25 equally spaced locations at inter-distance spacing of 2.5 mm were measured. Fully eroded cartilage surface locations were excluded. In total, the 44 AIs yielded 869 locations which were measured by NIR spectroscopy.

Measurements were performed using a customized NIR spectroscopy diffuse reflectance instrument coupled with a fiber optic probe was utilized. The instrumentation consisted of a halogen light source (wavelength 360-2500 nm, power 5 W, optical power 239  $\mu$ W in a d<sub>fiber</sub> = 600  $\mu$ m, Avantes BW, Apeldoorn, Netherlands), a spectrometer (wavelength 200-1160 nm, Avantes BW, Apeldoorn, Netherlands) and a fiber optic probe (d = 5 mm) with seven fibers (d<sub>fiber</sub> = 600  $\mu$ m) within the central window (d = 2 mm), six peripheral transmitting fibers and one central reflectance collector.

Near infrared (NIR) spectral measurements were performed three times (with realignment of the measurement probe) on all 869 points, and the three measurements were averaged for each point. The biomechanical measurements were conducted once due to long protocol times. Instantaneous modulus was measured on all 869 points, and the dynamic and equilibrium moduli were measured for 202 points, as the measurement protocol and sample geometry limited conducting these measurements for all locations. Equilibrium, dynamic and instantaneous moduli were obtained via indentation testing.<sup>34</sup> Additionally, cartilage thickness was determined using OCT.<sup>35</sup> During NIR spectral measurements, the probe was in contact with and oriented perpendicularly to the cartilage surface. The physiological conditions of the tissue were maintained by periodically spraying phosphate-buffered solution (PBS) on cartilage and placing PBS soaked cloths around the other measurement

locations. Each spectrum was an average of three spectral measurements that consisted of eight co-added spectral scans ( $t_{eight\ scans}=720\ ms$ ). NIR spectral measurements, thickness measurements and indentation testing were conducted on the same equidistant point locations within the AI grid. The central window of the NIR spectral probe is 2 mm within the 5 mm probe housing. The field of view of OCT (wavelength  $1305\pm55\ nm$ ) is 4 mm deep and the cartilage thickness was measured in the center of the image cross-section. In biomechanical indentation testing, a plane ended indenter ( $d=0.53\ mm$ ) was utilized and both the thickness and indentation measurements were within the NIR measurement location.

The NIR spectral data was preprocessed by smoothing and filtering using a third degree Savitzky-Golay filter with 25 nm window to remove background noise. Subsequently, second derivative pretreatment was applied on the smoothed and filtered data to eliminate baseline offset and dominant linear terms, and to highlight the subtle absorption peaks. This study builds on Sarin et al. where the effect of multiple preprocessing methods on the performance of PLSR were investigated.<sup>33</sup> Therefore, further optimization with the preprocessing methods were not explored. However, changing the preprocessing methods will likely impact the prediction accuracy of the regression techniques and the selection of optimal method. The pretreatment of the dataset and subsequent splitting into training dataset and testing dataset were consistent with our earlier study. The first set (training set),

consisting of 41 AIs, was used for calibration model training, and the second set (test set), consisting of 3 AIs and independent of the training set, was used to evaluate the model performance. Test set was designed to include maximum locations (N = 25) within each AI grid and corresponding reference parameters to lie within the range of the calibration test set. All spectral analyses were done using MATLAB R2014a (Mathworks Inc, Natick, MA).

## Regression techniques

Partial least squares regression (PLSR), PCR, ridge, Lasso and LS-SVM techniques were employed for multivariate regression comparative analysis. In this study, the tuning parameters as indicated in Table 1 for each regression technique were varied from minimum to maximum values resulting in a series of models with each model using k-fold cross-validation (k = 10). The models were then tested on an independent test set. The model which performed the best, in terms of root mean square error of calibration (RMSEC),  $R^2_{Train}$  and  $R^2_{Test}$  from each series, was retained. Finally, the retained parameters of each model were compared. This protocol ascertained optimal settings for each regression technique.

#### Variable selection methods

Monte Carlo uninformative variable elimination (MC-UVE), CARS, VCPA, BiPLS, GA and jack-knife methods were used for variable selection to further optimize the best regression technique. The algorithms for MC-UVE and CARS were obtained from Integrated library for PLS and discriminant analysis, 37,38 VCPA from Variable Combination Population Analysis toolbox, GA algorithm from PLS-Genetic algorithm toolbox and jack-knife algorithm was coded in-house. 40,41

The MC-UVE (mcuvepls) variable selection was optimized by first calculating the reliability index of all the wavelengths and then determining the optimal threshold for reliability index by finding the maximum correlation with the training set. CARS (carspls) and VCPA (vcpa) did not require additional input, as the respective functions auto-handled the optimization protocol. In interval selection BiPLS method, the algorithm was optimized by eliminating uninformative intervals and the three intervals with the lowest RMSECV were retained. In GA algorithm, the effective number of evaluation and number of variables were first determined, using the gaplsopt function in the toolbox and the main function gaplssp was invoked to perform variable selections for spectral data. In jack-knife method, the student's t-statistics was used for variable selection by selecting variables with values less than the predefined threshold (t = 0.05).

## Statistics and model comparison

The calibration models developed were analyzed based on the following key parameters: root mean square error of calibration (RMSEC), R<sup>2</sup> in training set, root mean square error of prediction (RMSEP), R<sup>2</sup> in test set, error percentage in the test dataset and run times in seconds. Additionally, for PCR and PLSR models the number of components were recorded.

In order to investigate statistically the difference in performance (correlation coefficient) of models developed with the different regression techniques, Zou's confidence interval test,<sup>42</sup> with dependent dataset condition, was conducted. The test was also applied to investigate the significance of variable selection methods on the performance of PLSR.

## Results

The regression models were built and optimized for cartilage thickness, instantaneous modulus, equilibrium modulus and dynamic modulus. The statistical description of the dataset is given in Table 2. PLSR technique was found to be the best, with the highest R<sup>2</sup> in test set and the lowest RMSEP and error percentages, amongst the investigated regression

techniques in the cases of cartilage thickness, instantaneous modulus and equilibrium modulus (Table 3). In the case of dynamic modulus, Lasso was found to have the highest R<sup>2</sup> for the training set; however, it presented a higher percentage error than PLSR. The computational times in Table 3 suggests that PLSR is quicker when compared to other regression techniques. Zou's test showed that the differences between the best three regression techniques (with respect to test set R<sup>2</sup>) were not statistically significant. Similarly, the improvement in model performance with variable selection was not statistically significant when compared with traditional PLSR technique.

PLSR models optimized using variable selection methods indicated improved model performance (Table 4). As evident from Table 4 in comparison with Table 3 the variable selection methods do not significantly add value to the calibration models in terms of R<sup>2</sup> but there is improvement in terms of simplicity of the model with reduced number of components. MC-UVE was found to improve the PLSR model performance consistently for all tissue parameters. The MC-UVE algorithm eliminated the wavelength variables (Figure 1) depending on the relative importance of each variable in the calibration model.

## Discussion

The NIR spectra is affected by instrumentation noise (e.g. thermal noise and readout noise) and interference with the measurement environment. Longer acquisition times and averaging, and preprocessing methods, such as baseline correction, smoothing and normalizations are utilized to reduce the noise in the signal. In this study, for the first time a comparative analysis of multivariate regression technique for analysis of articular cartilage NIR spectral data is done.

First, comparison of different optimized multivariate regression techniques, namely PCR, PLSR, Lasso, ridge, and LS-SVM, using key statistical parameters, was conducted. PLSR was found to be the most optimal regression technique for evaluation of cartilage NIR data based on its consistent performance across all the reference parameters of cartilage. PLSR showed better consistency in comparison to the other regression techniques investigated, which is in agreement with the findings of Yeniay et al. <sup>43</sup> Second, the effect of variable selection methods on the performance of PLSR regression models was evaluated. MC-UVE algorithm, which was the best performing variable selection method in this study, consistently selected variables in the 730 to 780 nm (CH and OH bonds) and 925 to 980 nm (CH and OH bonds) spectral ranges retaining essential spectral information characteristic for AC. <sup>24</sup> The NIR absorption spectra in AC arise mainly from CH, NH, OH and SH bonds which form the molecular constituents of the cartilage matrix, <sup>44</sup> and thus, the information in

this region indicates the biochemical composition of the tissue. Cartilage NIR spectrum (Figure 1) in the region between 800 to 1100 nm is due to 3<sup>rd</sup> overtone CH and NH bond vibrations, associated with the tissue's solid matrix components (PGs and collagen), and absorption at 970 nm is due to the 3<sup>rd</sup> overtone OH bond vibrations resulting from the water content of the tissue.<sup>45</sup> Application of MC-UVE method not only improved the performance of the prediction models, but also preserved the essential spectral information indicating the tissue condition.

The PLSR technique has been shown to perform well with multicollinear data in NIR spectroscopy. He probably performed best because the algorithm decomposes the predictor into latent variables (maximum co-variance first) with respect to reference parameters. This intrinsic property of the algorithm maximizes the variance, and thus relationship, between the predictor and response variables. As shown by Afara et al., our results depict that the error associated with using NIR spectroscopy for predicting cartilage thickness are relatively low in comparison with the resolution of clinical MRI, turnently used in diagnosis of joint defects.

In the present study, cartilage thickness was predicted more efficiently ( $R^2 = 75$  vs. 57 - 66) by PLSR in comparison to biomechanical properties of the tissue. This can be attributed to direct relationship between the NIR spectra and the tissue thickness since the

path length affects the light absorption as the rays traverse the tissue.<sup>13</sup> The regression comparison highlighted some limitations of sophisticated regression techniques in modelling cartilage NIR data, as LS-SVM and PCR seemed to suffer from overfitting and under fitting, respectively (Table 3). While it is difficult to speculate on the acceptable error limit for NIR predicted values of cartilage mechanical parameters with respect to clinical diagnostics, a motivation of the current study was to provide a quantitative approach that could be complementary and add more value to traditional tissue palpation. With prediction errors between 11 - 13 % (Table 4), diagnosis of cartilage health based on NIR predicted equilibrium or dynamic moduli values may not be optimal, but still better than current qualitative and subjective arthroscopic assessment. In practice, orthopedic surgeons assess the stiffness of cartilage by palpating it with a metallic hook. This method, however, is subjective and unreliable compared to the gold standard of indentation testing performed in a laboratory.<sup>34,49</sup>

Recent cartilage studies have favored projection regression techniques such as PLSR and PCR due to ease of implementation. However, the effect of variable selection methods has not been investigated. Following the previous study,<sup>33</sup> the wavelength region of the NIR spectra was limited to 700 - 1050 nm.<sup>50</sup> Thus, the variable selection methods had a relatively narrow spectrum of variables. Nonetheless, the results demonstrate the applicability of

variable selection methods in regression analysis, which is consistent with the findings of Abrahamsson et al. where NIR transmission spectroscopy was applied in intact tablets.<sup>51</sup> The present results indicate that variable selection improves model performance and enhances the results of PLSR. In particular, MC-UVE is well suited for NIR spectroscopy of cartilage.

Comparison of the present results with an earlier study on the corresponding equine data, <sup>33</sup> encourages the use of variable selection methods for analysis of cartilage thickness and dynamic modulus from its NIR spectra. MC-UVE prediction models displayed 7 to 8% improvement of the R<sup>2</sup> in the test set in thickness prediction and 15% lower RMSEP in dynamic modulus prediction. On the other hand, with instantaneous and equilibrium moduli, variable selection methods showed no improvements in R<sup>2</sup> or RMSEP over the standard PLSR models. This may be due to the limited spectral range used in this study. However, it is worth noting that variable selection based prediction models required lesser number of PLSR components than the standard PLSR models, which reduces the possibility of overfitting. Although the variable selection methods presented only marginal improvement in PLSR models, the simplification of the model and potential improvement in computational times could be considered as advantages.

Zou's test showed the statistical significance between regression models only based on their R<sup>2</sup>. The test suggests that there are no significant differences between correlation

coefficients of the top performing regression techniques, and that variable selection methods did not significantly improve the performance of PLSR models. Nevertheless, a major drawback of the Zou's test in this comparison is that certain factors specific to the different regression techniques, such as number of components, in the case of PLSR and PCR, are not taken into consideration. In addition, models based on fewer variables are computationally efficient and better suited for real time applications.

Chemometrics in horticultural studies, <sup>52</sup> food engineering and fuel analytical studies found GA to be the most suitable variable selection method for PLSR. <sup>53,54</sup> However, in the current study on articular cartilage NIR spectra, MC-UVE surpassed GA and VCPA, contradicting the results of Yun et al. regarding VCPA. <sup>39</sup> The limited input wavelength range could have reduced the performance of the VCPA, as in a previous study VCPA performed better than other variable selection methods in multiple NIR datasets. <sup>39</sup> Likewise, the narrow wavelength band and the resolution of the NIR system probably limited the performance of the other variable selection methods, as there are less relevant variables. It is worth noting that besides PLSR the interaction effects of variable selection on the other regression techniques were not investigated in this study, as the purpose was to investigate the potential of variable selection in further improving the performance of the optimal regression technique. In conclusion, the results of the present study recommend PLSR technique as the

multivariate regression tool for prediction of articular cartilage properties from its NIR spectra. Application of variable selection methods simplified the models by reducing the number of spectral variables and components; however, the improvements in model performance were statistically insignificant.

## Acknowledgments

This study was funded by the Academy of Finland (project 267551, University of Eastern Finland), Kuopio University Hospital (VTR projects 5041750 and 5041744, PY210 Clinical Neurophysiology) and Instrumentarium Science Foundation (170033). Dr. Afara would like to acknowledge grant funding from the Finnish Cultural Foundation (00160079).

### Contributions

**Prakash M**: Analysis and interpretation of data and the main writer of the manuscript.

**Sarin J.K**: Acquisition of data and drafting of manuscript.

**Rieppo L**: Study design and drafting of manuscript.

**Afara I.O**: Spectral measurements, supervision of statistical analyses and drafting of manuscript.

Töyräs J: Study conception and design, drafting of manuscript.

All authors contributed in the preparation and approval of the final submitted manuscript.

#### Conflict of Interest

The authors have no conflicts of interest in the execution of this study and preparation of the manuscript.

#### References

- 1. Armstrong CG, Mow VC. Variations in the intrinsic mechanical properties of human articular cartilage with age, degeneration, and water content. *J Bone Joint Surg Am*. 1982;64(1):88–94. Available at: http://www.ncbi.nlm.nih.gov/pubmed/7054208. Accessed September 6, 2016.
- 2. Laasanen MS, Töyräs J, Korhonen RK, et al. Biomechanical properties of knee articular cartilage. *Biorheology*. 2003;40(1,2,3):133–140.
- 3. Buckwalter JA, Mankin HJ. Articular cartilage: degeneration and osteoarthritis, repair, regeneration, and transplantation. *Instr Course Lect.* 1998;47:487–504. Available at: http://europepmc.org/abstract/med/9571450. Accessed February 9, 2016.
- 4. Saarakkala S, Julkunen P, Kiviranta P, Mäkitalo J, Jurvelin JS, Korhonen RK. Depth-wise progression of osteoarthritis in human articular cartilage: investigation of composition, structure and biomechanics. *Osteoarthr Cartil*. 2010;18(1):73–81. doi:10.1016/j.joca.2009.08.003.
- 5. Guilak F, Ratcliffe A, Lane N, Rosenwasser MP, Mow VC. Mechanical and biochemical changes in the superficial zone of articular cartilage in canine experimental osteoarthritis. *J Orthop Res.* 1994;12(4):474–484. doi:10.1002/jor.1100120404.
- 6. West PA, Bostrom MPG, Torzilli PA, Camacho NP. Fourier Transform Infrared Spectral Analysis of Degenerative Cartilage: An Infrared Fiber Optic Probe and Imaging Study. *Appl Spectrosc Vol 58, Issue 4, pp 376-381*. 2004;58(4):376–381.
- 7. Spahn G, Plettenberg H, Kahl E, et al. Near-infrared (NIR) spectroscopy. A new method for arthroscopic evaluation of low grade degenerated cartilage lesions. Results of a pilot study. *BMC Musculoskelet Disord*. 2007;8(1):47. doi:10.1186/1471-2474-8-47.

- 8. Spahn G, Felmet G, Hofmann GO. Traumatic and degenerative cartilage lesions: Arthroscopic differentiation using near-infrared spectroscopy (NIRS). *Arch Orthop Trauma Surg*. 2013;133(7):997–1002. doi:10.1007/s00402-013-1747-0.
- 9. Hofmann GO, Marticke J, Grossstuck R, et al. Detection and evaluation of initial cartilage pathology in man: A comparison between MRT, arthroscopy and near-infrared spectroscopy (NIR) in their relation to initial knee pain. *Pathophysiology*. 2010;17(1):1–8. doi:10.1016/j.pathophys.2009.04.001.
- 10. Chu CR, Lin D, Geisler JL, Chu CT, Fu FH, Pan Y. Arthroscopic Microscopy of Articular Cartilage Using Optical Coherence Tomography. *Am J Sports Med*. 2004;32(3):699–709. doi:10.1177/0363546503261736.
- 11. Pan Y, Li Z, Xie T, Chu CR. Hand-held arthroscopic optical coherence tomography for in vivo high-resolution imaging of articular cartilage. *J Biomed Opt*. 2003;8(4):648. doi:10.1117/1.1609201.
- 12. Esmonde-White KA, Esmonde-White FWL, Morris MD, Roessler BJ. Fiber-optic Raman spectroscopy of joint tissues. *Analyst*. 2011;136(8):1675–85. doi:10.1039/c0an00824a.
- 13. Afara I, Singh S, Oloyede A. Application of near infrared (NIR) spectroscopy for determining the thickness of articular cartilage. *Med Eng Phys.* 2013;35(1):88–95. doi:10.1016/j.medengphy.2012.04.003.
- 14. Oinas J, Rieppo L, Finnilä MAJ, Valkealahti M, Lehenkari P, Saarakkala S. Imaging of Osteoarthritic Human Articular Cartilage using Fourier Transform Infrared Microspectroscopy Combined with Multivariate and Univariate Analysis. *Sci Rep.* 2016;6:30008. doi:10.1038/srep30008.
- 15. McGoverin CM, Hanifi A, Palukuru UP, et al. Non-destructive Assessment of Engineered Cartilage Composition by Near Infrared Spectroscopy. *Ann Biomed Eng.* 2016. doi:10.1007/s10439-015-1536-8.
- 16. Afara IO, Hauta-Kasari M, Jurvelin JS, et al. Optical absorption spectra of human articular cartilage correlate with biomechanical properties, histological score and

- biochemical composition. *Physiol Meas*. 2015;36(9):1913–1928. doi:10.1088/0967-3334/36/9/1913.
- 17. Esbensen KH, Guyot D, Westad F, Lars P H. Multivariate Data Analysis: In Practice: an Introduction to Multivariate Data Analysis and Experimental Design.; 2002.
- 18. Viscarra Rossel RA, Walvoort DJJ, McBratney AB, Janik LJ, Skjemstad JO. Visible, near infrared, mid infrared or combined diffuse reflectance spectroscopy for simultaneous assessment of various soil properties. *Geoderma*. 2006;131(1):59–75. doi:10.1016/j.geoderma.2005.03.007.
- 19. Larrechi M., Callao M. Strategy for introducing NIR spectroscopy and multivariate calibration techniques in industry. *TrAC Trends Anal Chem.* 2003;22(9):634–640. doi:10.1016/S0165-9936(03)01005-7.
- 20. Næs T, Martens H. Principal component regression in NIR analysis: Viewpoints, background details and selection of components. *J Chemom.* 1988;2(2):155–167. doi:10.1002/cem.1180020207.
- 21. Trygg J, Wold S. PLS regression on wavelet compressed NIR spectra. *Chemom Intell Lab Syst.* 1998;42(1):209–220. doi:10.1016/S0169-7439(98)00013-6.
- 22. Tibshirani R. Regression Shrinkage and Selection via the Lasso. *J R Stat Soc.* 1996;58(B):267–88.
- 23. Chauchard F, Cogdill R, Roussel S, Roger JM, Bellon-Maurel V. Application of LS-SVM to non-linear phenomena in NIR spectroscopy: development of a robust and portable sensor for acidity prediction in grapes. *Chemom Intell Lab Syst*. 2004;71(2):141–150. doi:10.1016/j.chemolab.2004.01.003.
- 24. Xiaobo Z, Jiewen Z, Povey MJW, Holmes M, Hanpin M. Variables selection methods in near-infrared spectroscopy. *Anal Chim Acta*. 2010;667(1):14–32. doi:10.1016/j.aca.2010.03.048.

- 25. Westad F, Martens H. Variable selection in near infrared spectroscopy based on significance testing in partial least squares regression. *J Near Infrared Spectrosc*. 2000;8(1):117. doi:10.1255/jnirs.271.
- 26. Mehmood T, Liland KH, Snipen L, Sæbø S. A review of variable selection methods in Partial Least Squares Regression. *Chemom Intell Lab Syst.* 2012;118:62–69. doi:10.1016/j.chemolab.2012.07.010.
- 27. Antti H, Sjöström M, Wallbäcks L. Multivariate calibration models using NIR spectroscopy on pulp and paper industrial applications. *J Chemom.* 1996;10(5-6):591–603. doi:10.1002/(SICI)1099-128X(199609)10:5/6<591::AID-CEM474>3.0.CO;2-L.
- 28. Xiao X, Hou Y, Du J, Sun D, Bai G, Luo G. Determination of vitamins B2, B3, B6 and B7 in corn steep liquor by NIR and PLSR. *Trans Tianjin Univ*. 2012;18(5):372–377. doi:10.1007/s12209-012-1932-1.
- 29. Viscarra Rossel RA, McGlynn RN, McBratney AB. Determining the composition of mineral-organic mixes using UV–vis–NIR diffuse reflectance spectroscopy. *Geoderma*. 2006;137(1):70–82. doi:10.1016/j.geoderma.2006.07.004.
- 30. Afara I, Prasadam I, Crawford R, Xiao Y, Oloyede a. Non-destructive evaluation of articular cartilage defects using near-infrared (NIR) spectroscopy in osteoarthritic rat models and its direct relation to Mankin score. *Osteoarthr Cartil*. 2012;20(11):1367–1373. doi:10.1016/j.joca.2012.07.007.
- 31. Rieppo L, Rieppo J, Jurvelin JS, Saarakkala S. Fourier transform infrared spectroscopic imaging and multivariate regression for prediction of proteoglycan content of articular cartilage. *PLoS One*. 2012;7(2). doi:10.1371/journal.pone.0032344.
- 32. Rieppo L, Saarakkala S, Jurvelin JS, Rieppo J. Optimal variable selection for Fourier transform infrared spectroscopic analysis of articular cartilage composition. *J Biomed Opt.* 2014;19(2):027003. doi:10.1117/1.JBO.19.2.027003.

- 33. Sarin JK, Amissah M, Brommer H, Argüelles D, Töyräs J, Afara IO. Near Infrared Spectroscopic Mapping of Functional Properties of Equine Articular Cartilage. *Ann Biomed Eng.* 2016:1–11. doi:10.1007/s10439-016-1659-6.
- 34. Korhonen R., Laasanen M., Töyräs J, et al. Comparison of the equilibrium response of articular cartilage in unconfined compression, confined compression and indentation. *J Biomech.* 2002;35(7):903–909. doi:10.1016/S0021-9290(02)00052-0.
- 35. Fard AM, Vacas-Jacques P, Hamidi E, et al. Optical coherence tomography- near infrared spectroscopy system and catheter for intravascular imaging. *Opt Express*. 2013;21(25):30849–58. Available at: http://www.pubmedcentral.nih.gov/articlerender.fcgi?artid=3926541&tool=pmcentre z&rendertype=abstract. Accessed March 17, 2016.
- 36. Reunanen J. Overfitting in Making Comparisons Between Variable Selection Methods. *J Mach Learn Res.* 2003;3:1371–1382.
- 37. Li H, Liang Y, Xu Q, Cao D. Key wavelengths screening using competitive adaptive reweighted sampling method for multivariate calibration. *Anal Chim Acta*. 2009;648(1):77–84. doi:10.1016/j.aca.2009.06.046.
- 38. Li H.-D., Xu Q.-S. LY-Z. An Integrated Library for Partial Least Squares Regression and Discriminant Analysis. *PeerJ Prepr 2e190v*. 2014.
- 39. Yun Y-H, Wang W-T, Deng B-C, et al. Using variable combination population analysis for variable selection in multivariate calibration. *Anal Chim Acta*. 2015;862:14–23. doi:10.1016/j.aca.2014.12.048.
- 40. Efron B. *The Jackknife, the Bootstrap and Other Resampling Plans*. Society for Industrial and Applied Mathematics; 1982. doi:10.1137/1.9781611970319.
- 41. R. Leardi and A. Lupiáñez. Genetic algorithms applied to feature selection in PLS regression: how and when to use them. *Chemom Intell Lab Syst.* 1998;41:95–207.
- 42. Zou GY. Toward using confidence intervals to compare correlations. *Psychol Methods*. 2007;12.4(399). Available at:

- http://psycnet.apa.org/?&fa=main.doiLanding&doi=10.1037/1082-989X.12.4.399. Accessed May 26, 2017.
- 43. Yeniay O, Goktas A. A comparison of partial least squares regression with other prediction methods. *Hacettepe J Math.* 2002; Vol. 31:99–111.
- 44. Afara I, Sahama TR, Oloyede A. Near infrared for non-destructive testing of articular cartilage. *Int Symp Nondestruct Test Mater Struct*. 2011;6:399–404. doi:10.1007/978-94-007-0723-8\_58.
- 45. Torzilli PA, Grigiene R, Borrelli J, Helfet DL. Effect of Impact Load on Articular Cartilage: Cell Metabolism and Viability, and Matrix Water Content. *J Biomech Eng.* 1999;121(5):433. doi:10.1115/1.2835070.
- 46. Aucott LS, Garthwaite PH, Currall J. Regression methods for high dimensional multicollinear data. *Commun Stat Simul Comput*. 2000;29(4):1021–1037. doi:10.1080/03610910008813652.
- 47. Cohen ZA, McCarthy DM, Kwak SD, et al. Knee cartilage topography, thickness, and contact areas from MRI: in-vitro calibration and in-vivo measurements. *Osteoarthr Cartil*. 1999;7(1):95–109. doi:10.1053/joca.1998.0165.
- 48. Li G, Park SE, DeFrate LE, et al. The cartilage thickness distribution in the tibiofemoral joint and its correlation with cartilage-to-cartilage contact. *Clin Biomech*. 2005;20(7):736–744. doi:10.1016/j.clinbiomech.2005.04.001.
- 49. Spahn G, Klinger HM, Hofmann GO. How valid is the arthroscopic diagnosis of cartilage lesions? Results of an opinion survey among highly experienced arthroscopic surgeons. *Arch Orthop Trauma Surg.* 2009;129(8):1117–1121. doi:10.1007/s00402-009-0868-y.
- 50. Padalkar M V, Pleshko N. Wavelength-dependent penetration depth of near infrared radiation into cartilage. *Analyst*. 2015;140(7):2093–100. doi:10.1039/c4an01987c.
- 51. Abrahamsson C, Johansson J, Sparén A, Lindgren F. Comparison of different variable selection methods conducted on NIR transmission measurements on intact

- tablets. *Chemom Intell Lab Syst.* 2003;69(1-2):3–12. doi:10.1016/S0169-7439(03)00064-9.
- 52. Xiaobo Z, Jiewen Z, Xingyi H, Yanxiao L. Use of FT-NIR spectrometry in non-invasive measurements of soluble solid contents (SSC) of "Fuji" apple based on different PLS models. *Chemom Intell Lab Syst.* 2007;87(1):43–51. doi:10.1016/j.chemolab.2006.09.003.
- 53. Ying Y, Liu Y. Nondestructive measurement of internal quality in pear using genetic algorithms and FT-NIR spectroscopy. *J Food Eng.* 2008;84(2):206–213. doi:10.1016/j.jfoodeng.2007.05.012.
- 54. Breitkreitz MC, Raimundo, Jr IM, Rohwedder JJR, et al. Determination of total sulfur in diesel fuel employing NIR spectroscopy and multivariate calibration. *Analyst.* 2003;128(9):1204–1207. doi:10.1039/B305265F.

Table 1: Summary of regression techniques utilized in this study.

Technique	Summary	Tuning Parameter(s) and Range utilized.	Advantage(s)	Disadvantage(s)	Matlab function(s)/ Toolbox utilized
PCR	Linear projection method, reduces the dimensionality of the data using only explanatory data, X, * into uncorrelated subspace. Ordinary least squares applied to regress.	Number of components:1 to 15	Dimensionality reduction, handles multicollinearity in X.	As latent variables are based only on explaining the variance X, they are not optimal for every problem.	pcrsse, pca
PLS	Linear regression technique based on dimensionality reduction method by projecting explanatory data, X, to subspace of latent components maximizing covariance between X and the response matrix, Y. **	Number of components:1 to 15	Dimensionality reduction, handles multicollinearity.	Output is a linear combination of input.	plsregress
Ridge	Shrinkage regression technique. Shrinks the dimensions with the least variance the most.	Shrinkage penalty: 0 to 1000.	Stable when p >> N.	Selects all predictors in the final model instead of subset of variables.	ridge
Lasso	Shrinkage regression technique by minimizing the sum of squared error and setting some to zero.	Step size = 0.01	Solution is sparse.	Covariate selection is arbitrarily done if the dataset is highly collinear.	lasso
LS-SVM	Least squares version of support vector variant. Creates model based on newly formed support vectors from the training dataset.	Lambda: 0	Can also model nonlinear relationships.	Lack of sparseness.	LS-SVM lab: initlssvm,tunelssvm and trainlssvm

<sup>\*</sup> X is explanatory input data matrix containing NIR spectra.

<sup>\*\*</sup> Y is response data matrix containing reference data.

Table 2: Reference data and NIR spectra. NIR wavelength in  $700-1050 \ \text{nm}$  range was utilized.

Defense a management	Trainir	ng Dataset	Testing Dataset		
Reference parameter	Mean	Range	Mean	Range	
Thickness (mm)	0.88	0.32 - 1.81	0.96	0.52 - 1.32	
Instantaneous Modulus (MPa)	4.74	0.11 - 20.88	4.88	0.29 - 12.67	
Equilibrium Modulus (MPa)	1.97	0.36- 5.38	2.96	0.30 - 4.96	
Dynamic Modulus (MPa)	8.38	0.36 - 22.97	10.02	0.69 - 17.32	

Table 3: Comparison of the different regression technique across different tissue parameters for equine articular cartilage. Data is arranged in descending order of the test set  $R^2$  as highlighted in bold. The error percentage for prediction of the test set indicated in the table was calculated as the average error divided by the range of the respective reference variable.

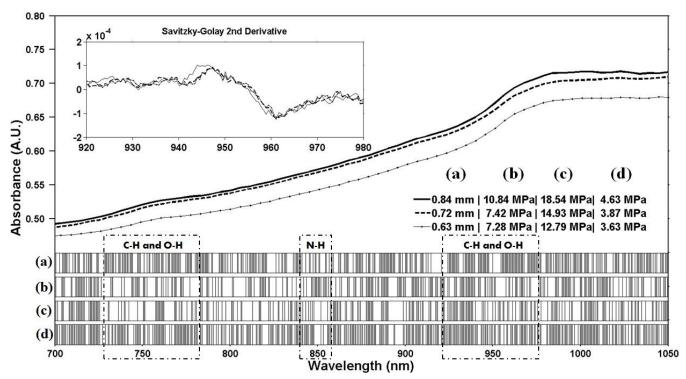
	Cartilage Thickness (mm)							
Regression	Train Set		Test Set		Error	Computation		
techniques	$\mathbb{R}^2$	RMSEC	$\mathbb{R}^2$	RMSEP	Percentage	Time (sec)**		
$PLSR (C^* = 5)$	70.28	0.13	75.57	0.11	5.94	2.50		
RIDGE	73.02	0.12	74.09	0.11	6.17	1200		
LASSO	72.90	0.12	68.63	0.12	6.90	170		
LS-SVM	77.55	0.11	67.87	0.13	6.89	0.30		
PCR (C= 13)	60.44	0.15	67.38	0.13	7.02	1.0		
Instantaneous Modulus (MPa)								
PLSR (C = 6)	42.88	2.60	51.00	2.46	10.04	2.0		
RIDGE	46.69	2.51	49.76	2.49	10.24	1100		
LASSO	41.21	2.97	48.71	2.52	10.20	5800		
PCR (C = 5)	25.41	2.97	44.29	2.62	9.77	0.60		
LS-SVM	99.98	0.04	42.82	2.66	11.16	0.25		
	Equilibrium Modulus (MPa)							
PLSR (C = 5)	PLSR (C = 5) 67.81 0.84 68.58 0.94 15.35 1.0							
LASSO	80.27	0.65	60.13	1.06	17.91	96		
LS-SVM	99.99	0.00	54.22	1.14	19.48	0.16		
RIDGE	80.69	0.65	54.12	1.15	20.23	505		
PCR (C = 15)	22.89	1.30	32.60	1.38	22.13	0.37		
	Dynamic Modulus (MPa)							
LASSO	69.16	3.44	66.35	3.56	13.85	102		
LS-SVM	99.69	0.34	65.90	3.58	14.67	0.15		
PLSR (C = 2)	37.27	4.90	64.88	3.63	13.05	1.0		
RIDGE	63.45	3.74	61.30	3.82	15.44	470		
PCR	27.02	5.29	60.34	3.86	14.55	0.33		

<sup>\*</sup> Number of components for PLSR and PCR is indicated by C

<sup>\*\*</sup> The computation times were calculated on Intel(R) Core(TM) i5-2400 CPU at 3.10 GHz, 64 bit Operating System.

Table 4: Comparison of variable selection methods. The data is presented in descending order of  $R^2$  for the test set as highlighted in bold. The error percentage for prediction of the test set indicated in the table was calculated as the average error divided by the range of the respective reference variable.

	Cartilage Thickness (mm)					
Variable	No. Of PLS	Training set		Test set		Error
Selection	Components	$\mathbb{R}^2$	RMSEC	$\mathbb{R}^2$	RMSEP	Percentage
method						
MC-UVE	4	70.61	0.14	75.94	0.10	5.95
None	5	70.28	0.13	75.57	0.11	5.94
GA	8	69.55	0.14	74.86	0.11	5.93
JK	1	59.64	0.15	74.05	0.11	6.13
BiPLS	12	59.05	0.15	70.05	0.12	6.58
CARS	5	72.33	0.13	69.77	0.12	6.68
VCPA	5	63.67	0.14	65.59	0.12	7.22
,	Instantaneous Modulus (MPa)					
CARS	3	38.56	2.78	51.85	2.44	9.44
None	5	42.88	2.60	51.00	2.46	10.04
VCPA	4	34.90	2.81	49.07	2.51	9.57
MC-UVE	2	34.20	2.85	48.35	2.53	9.46
GA	4	36.69	2.81	48.33	2.53	9.94
BiPLS	7	28.92	2.90	45.56	2.59	9.83
JK	7	33.79	2.91	45.43	2.60	10.20
	Equ	ilibriun	n Modulus	(MPa)		
None	5	67.81	0.84	68.58	0.94	15.35
MC-UVE	5	70.95	1.27	65.53	0.99	16.30
VCPA	6	48.95	1.12	54.76	1.13	19.08
CARS	2	43.29	1.29	54.16	1.14	19.13
GA	3	50.06	1.22	51.99	1.17	19.18
JK	6	39.03	1.36	43.05	1.27	21.36
BiPLS	6	34.85	1.19	38.29	1.32	20.50
	Dy					
CARS	3	61.36	4.69	77.82	2.89	11.04
MC-UVE	3	63.60	4.78	73.92	3.13	12.46
GA	3	50.66	4.85	72.79	3.50	13.49
JK	5	43.63	5.40	67.47	3.50	13.49
None	2	37.27	4.90	64.88	3.63	13.05
BiPLS	7	38.73	4.85	55.98	4.07	14.87
VCPA	1	37.85	5.04	50.59	4.31	17.12



**Figure 1**: Representative absorbance spectra of articular cartilage with different (**A**) thickness values, (**B**) instantaneous modulus values, (**C**) dynamic modulus values (**D**) equilibrium modulus values and 2<sup>nd</sup> derivative preprocessed spectra (top inset). The MC-UVE selection ranges (bottom inset) shows regions of wavelength selected (black bars) and empty (white) spaces indicates the eliminated variables.