Towards Optimal Classifier of Spectroscopy Data

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Abstract—Laser spectroscopy can produce vast amounts of data, anticipating needs for automatization of tasks such as classification and discrimination of spectra. Using the apparatus of statistical theory of detection, we develop the optimal classifier for spectroscopy data for a linear model of an echelle spectrograph system. We validate model assumptions through statistical analysis of “dark signal” and laser-breakdown induced spectra of standardized NIST glass. The experimental results suggest that the quadratic classifier may provide optimal performance if the spectroscopy signal and noise can be considered Gaussian.

Index Terms—Spectroscopy; echelle; laser-induced breakdown spectroscopy; optimal classifier; statistical learning theory.

I. INTRODUCTION

Laser spectroscopy [e.g., 1] has reached stage where it can produce vast amounts of data, anticipating needs for automatization of tasks such as classification and discrimination of spectra. Automatic classification of spectroscopy data is a scientific and technical field where chemical molecules, compounds and mixtures are distinguished based on their spectral signatures by means of computer algorithms. Automatic classification has been attempted on various spectroscopy techniques: magnetic resonance [2], Fourier Transform infrared spectroscopy [3], Raman spectroscopy [4] and laser-induced breakdown data [5—9]. The utilized methods usually involve linear models (e.g., linear discriminant analysis [2, 3]) on amplitudes of some spectral components, selected by means of feature selection machine learning algorithms. Other publications describe utilization of principal component analysis of spectral components to reduce data dimensionality, followed by an instance based machine learning algorithm, that provides a linear or non-linear model [4, 7—10]. While these approaches may perform well in practice, they are ad-hoc and lack theoretical justification; more specifically, there is no assurance of their optimality from the point of view of statistical theory of detection.

Here, we concentrate on spectroscopy data from echelle spectrograph with an Intensified Charge Coupled Device (ICCD) sensors (iStar, Andor Technology, DH734-18F 03) [11, 12] and establish the optimal classifier for this type of data. Then, we utilize experimental data to validate assumptions leading to the model.

II. METHODOLOGY

A. Model of Spectroscopy System

The conceptual schema of the Andor Meche1le 5000 spectroscopy system based on the echelle grating [11, 12] is shown in Fig.1a. The goal of the system is to measure spectrum \( s(\lambda), \lambda \in [\lambda_{\text{min}}, \lambda_{\text{max}}] \) of a light source. The light from a light source passes through diffraction grating, which creates the high dispersion of the wavelength into several different directions. Due to diffraction and interference [12, 13], the phenomena of spectral lines widening occurs, see Fig. 2. The spectral lines widening can be modeled through the following convolution:

\[
s_d(\lambda) = \int_{\lambda_{\text{min}}}^{\lambda_{\text{max}}} H_d(\lambda, \lambda')s_i(\lambda')d\lambda',
\]

where \( H_d(\lambda, \lambda') \) is a wavelength-dependent impulse response of the system.
The intensity of the measured signal is proportional to the echelle efficiency \([13, 14]\) \(e(\lambda)\) that is wavelength-dependent. Note that in the echelle spectrometer, high-order diffraction orders are utilized, and the measurements in each order appear as one linear pattern on the detector. The uneven distribution of orders may lead to closely stacking-up orders and cross-talk (“ghost lines”) \([11, 13]\). We model cross-talk with a linear system with pulse response \(H_c(\lambda, \lambda')\).

The light is converted into an electric signal in a CCD sensor, where the number of electrons at each pixel is proportional to the intensity of the incident light at the pixel. In a CCD sensor, three types of noises exist based on the intensity of the photo signal present on CCD pixel \([15]\). These three noises are: read-out noise (at low light intensities), shot noise (at medium intensities) and fixed pattern noise (at high intensities). The shot noise is a combination of photon noise and dark noise. Photon noise comes from random variation of photon flux from the light source while the dark noise is created because of the thermal generation of carriers. Fixed pattern noise exists because of the variation of charge created in individual pixels of CCD for photon signal input. Considering the laser signal as medium intensity, the dominating noise source for this case is shot noise, which comes mainly from dark current as the device was operating at room temperature. We assume that component of dark current noise is \(n_d(\lambda)\) \([16]\). In the CCD sensor, the signal gets discretized in space (corresponding to discrete wavelengths \(\lambda_k\)) which we model with a low-pass filter \(H_s(\lambda)\) followed by multiplication with a Dirac pulse trail \(s_s(\lambda) = \sum_{k=1}^{K} \delta(\lambda - \lambda_k)\) \([e.g., 17]\). The pixel voltages get amplified (A) and quantized. The amplifier introduces the amplifier noise \(n_q(\lambda_k)\). The quantization adds quantization noise \(n_q(\lambda_k)\). The output of the system is therefore the signal \(s_{\text{out}}(\lambda_k)\) discretized in the wavelength domain. Due to the linearity of the observed system, it can be simplified as shown in Fig. 1b. The output signal \(s_{\text{out}}(\lambda_k)\) consists of the equivalent input signal \(s^*(\lambda_k)\) and additive equivalent noise \(n^*(\lambda_k)\).

Note that the input signal \(s(\lambda_k)\) is proportional to the number of photons with energy \(hc/\lambda_k\) and hence has a Poisson distribution \([18]\). Under assumption that \(s(\lambda_i)\) and \(s(\lambda_j)\) are independent for \(\lambda_i \neq \lambda_j\), since the sum of independent Poisson variables has Poisson distribution \([19]\), \(s^*(\lambda_k)\) has the Poisson distribution which can be approximated as Gaussian when its mean is large enough \([20]\). Dark current noise \(n_d(\lambda)\) is here modeled as Gaussian \([21]\). The read-out noise \(n_q(\lambda_k)\) consists of thermal (Johnson) noise and \(1/f\) noise (flicker) and can also be modeled as Gaussian \([22]\). Quantization noise \(n_q(\lambda_k)\), on the other hand, has uniform distribution (if the quantizer is not overloaded) and is not correlated with the discretized signal value \([23]\). We assume that the number of quantization levels is large enough so that the influence of \(n_q(\lambda_k)\) is small and that \(n^*(\lambda_k)\) can also be modeled as Gaussian.

It is known \([24]\) that dark current noise in CCD detectors is spatially uncorrelated (leading to \(E(n_d(\lambda_i)n_d(\lambda_j)) = 0, \lambda_i \neq \lambda_j\)) (here, \(E\) denotes expectation). We assume that the independence of the noise applies to all components of \(n^*(\lambda_k)\), i.e., \(E(n^*(\lambda_i)n^*(\lambda_j)) = 0, \lambda_i \neq \lambda_j\).

![Fig. 1.](image) a) Block diagram of spectrograph; b) Simplified block diagram
The likelihood ratio test \( \Sigma \) matrices are defined as:

\[
H_1: s_{out}(\lambda_k) = s_{i,1}^T(\lambda_k) + n^*(\lambda_k), k = 1, \ldots, K
\]

\[
H_2: s_{out}(\lambda_k) = s_{i,2}^T(\lambda_k) + n^*(\lambda_k), k = 1, \ldots, K
\]

Based on observed values of \( s_{out}(\lambda_k), k = 1, \ldots, K \).

Following the discussion in Section II.A, we assume that \( s_{i,1}^T(\lambda_k), s_{i,2}^T(\lambda_k) \) and \( n^*(\lambda_k) \) are Gaussian. Since the sum of two Gaussian variables is always Gaussian [19], we can write hypotheses in the vector form:

\[
H_1: s_{out} = r_1,
\]

\[
H_2: s_{out} = r_2,
\]

where \( r_1, r_2 \) are \( K \)-variate Gaussian vectors. By the Gaussian assumption, a sample \( s_{out} \) has the following conditional probability density function under hypothesis \( H_i, i=1,2 \) [25]:

\[
p(s_{out}|H_i) = \frac{1}{(2\pi)^{K/2}|\Sigma_i|^{1/2}}e^{-\frac{1}{2}(s_{out}-\mathbf{m}_i)^T\Sigma_i^{-1}(s_{out}-\mathbf{m}_i)} \]

where the mean vectors \( \mathbf{m}_i \) and \( K \times K \) covariance matrices are defined as:

\[
\mathbf{m}_i \triangleq E(r_i),
\]

\[
\Sigma_i \triangleq E((r_i-\mathbf{m}_i)(r_i-\mathbf{m}_i)^T), i = 1,2.
\]

The likelihood ratio test [25] decides between hypotheses based on comparison of the likelihood ratio \( \Lambda(s_{out}) \) with a threshold \( \eta \):

\[
\Lambda(s_{out}) \triangleq \frac{p(s_{out}|H_1) > \frac{1}{2}}{p(s_{out}|H_0) < H_0} \eta.
\]

Note that when the statistical parameters of the output signal, Eq. (4), are known, the log-likelihood test, Eq. (6), results in decision boundary quadratic in terms of the observed output vector of the system.

Assuming the availability of a sufficiently large number \( n>K+1 \) of experimental realizations, means and the invertible covariance matrices, Eq. (4), can be estimated from experimental data [25]. The estimates can be subsequently plugged into Eq. (6)-(7). Alternatively, an approximately optimal classifier can be obtained using support vector machines (SVM) [26] with the following polynomial kernel:

\[
\kappa(x, y) = (x^T y + 1)^2
\]

where \( x, y \) are \( K \) dimensional feature vectors.

III. EXPERIMENTAL RESULTS

A. Experimental Setup

We utilized Andor Mechelle ME5000 spectrograph with an ICCD camera (iStar, Andor Technology, DH734-18F 03), see Fig. 3. The spectral resolution was R=4000 corresponding to 4 pixels FWHM [27]. The total number of channels was 26,040. The wavelength range was 199.04–974.83 nm. The spectrometer used orders \( m=21-100 \). The grating had 52.13 line/mm with grating constant \( d=5-30 \mu m \), blazed at 32.35 degrees. The spectra were collected 50 ns after the laser pulse with integration time of 700 \( \mu s \) by an onboard digital delay generator (DDG) of the spectrograph. The CCD was kept at a stable temperature at -10 °C using a
Thermoelectric (TE) cooler of the spectrograph to reduce dark signal. To excite plasma in Laser-induced Breakdown Spectroscopy (LIBS) [28], a broadband CPA-Series Ti-Sapphire ultra-short laser (Clark-MXR, Inc, Model: 2210) generating 150 fs long pulses operating at 775nm was used. For experiments with dark signal, the laser beam was blocked.

\[ \alpha = 0.05 \]

rejected at \( \alpha = 0.05 \) out of 24,650 wavelengths. Smirnov test indicated that \( H_0 \) skewness and kurtosis for Lilliefors test. To test \( H_0 \), we considered wavelengths included 24,650 discrete zero for all realizations. In the spectrometer provided signals equal to \( \lambda \) range the spectrometer provided signals equal to \( \lambda \).

For the 25 wavelengths where \( H_{01} \) was rejected using the Kolmogorov-Smirnov test, we visually examined the histograms of 1,000 realizations. For wavelengths 211.9nm, 228.19nm, 303.82nm, the histograms indicated that the distribution of \( s_{out}(\lambda_k) \) may be bimodal. For the other wavelengths, the histograms indicate presence of obvious outliers. These outliers (the maximal values) corresponded to eight realizations that were subsequently removed from the dataset.

The skewness and kurtosis [31] were calculated for each \( s_{out}(\lambda_k) \) using the remaining 992 realizations. Fig. 4 and 5 show histograms of the obtained skewness and kurtosis.

To test \( H_{02} \), we estimated normalized sample autocorrelation [32] of signals \( s_{out}(\lambda_k) \) in the domain of discretized wavelengths \( \lambda_k \), \( k=1,...,K \). First, for each spectral order \( m \), we determined discrete wavelengths \( \lambda_{m,1} < \lambda_{m,2} < \cdots < \lambda_k < \cdots \lambda_{m,m_k} \) satisfying \( m=\text{round}(\frac{20139}{\lambda_k}) \) (where \( \lambda_k \) is given in nanometers) [27]. Then, we computed sample autocorrelations \( r_m(l) \) for signals \( s(\lambda_{m,1}), \cdots, s(\lambda_{m,m_k}) \) where the signals in each realizations were normalized to have the zero mean. Finally, we averaged normalized correlations \( r_m(l)/r_m(0) \) for \( m=21,...,100 \). The averaged normalized correlations for lags -20,...,20 are shown in Fig. 6.

\[ \text{Fig. 3. Block-diagram of the spectrometry system.} \]

\[ \text{Fig. 4. Histogram of estimated skewness of “dark signal” at all observed wavelengths.} \]

\[ \text{Fig. 5. Histogram of estimated kurtosis of “dark signal” at all observed wavelengths.} \]

\[ \text{Fig. 6. Histogram of estimated skewness and kurtosis of “dark signal” at all observed wavelengths.} \]

B. Experiments of “Dark Signal”

To quantify characteristics of CCD sensor, 1000 dark spectra were acquired with no source of light incident to the sensor. The goal was to test the following hypotheses:

\( H_{01} \) : \( s_{out}(\lambda_k) \) follows Gaussian distribution, \( \lambda_d \in [200.33\text{nm}, 909.45\text{nm}] \). Note that outside this range the spectrometer provided signals equal to zero for all realizations. The total range of considered wavelengths included 24,650 discrete values.

\( H_{02} : s_{out}(\lambda_i), s_{out}(\lambda_j) \) are uncorrelated when \( \lambda_i \neq \lambda_j \).

To test \( H_{01} \), we used Kolmogorov-Smirnov [29] and Lilliefors test [30]. In addition, we computed skewness and kurtosis for observations \( s_{out}(\lambda_k), i=1,\ldots,1000 \) at each wavelength. The Kolmogorov-Smirnov test indicated that \( H_{01} \) can be rejected at 25 out of 24,650 wavelengths at the significance level \( \alpha=0.05 \). The Lilliefors test indicated that \( H_{01} \) can be rejected at 1622, 366 and 212 wavelengths, with \( \alpha=0.05, \alpha=0.01 \) and \( \alpha=0.005 \), respectively.

C. Experiments with Standardized Data

We measured laser-induced breakdown spectroscopy (LIBS) spectra [28] of NIST standardized glass. According to National Institute of Standards & Technology (NIST), the nominal composition of the standard reference wafer 612 used in this work is 72% SiO_2, 12% CaO, 14%...
$\text{Na}_2\text{O}$, and 2% $\text{Al}_2\text{O}_3$. Total 61 trace elements are included in the glass support matrix. The reference wafer is specifically intended for evaluating analytical techniques used to determine trace elements in inorganic matrices [33]. For a sample of NIST standardized glass, we performed $n = 150$ realizations of spectra. This was repeated seven times, for seven different samples.

Fig. 5. Histogram of estimated kurtosis of “dark signal” at all observed wavelengths. The kurtosis of 3, characteristic for Gaussian distribution, is denoted by red line.

We repeated procedure indicated in Section III.B to test $H_{01}$ (Gaussianity). Results of Kolmogorov-Smirnov test for all 7 repetitions and considered wavelengths are shown in Fig. 7.a for significance level $\alpha=0.05$. Note that a “dark line” in the figure indicates that $H_{01}$ can be rejected at the corresponding wavelength. Results of Lilliefors test for all 7 repetitions and considered wavelengths are shown in Fig. 7. b, c for significance levels $\alpha=0.05$, and $\alpha=0.005$, respectively.

IV. DISCUSSION

A. Experiments of “Dark Signal”

Kolmogorov-Smirnov (KS) test indicates that the hypothesis of Gaussian distribution of “dark signal” holds for almost all wavelengths (the $H_{01}$ could not be rejected even with very large significance level $\alpha$). Lilliefors test indicates that the number of wavelengths where the Gaussian distribution is smaller than the number indicated by the KS test. It is shown [34], that KS test tends to be inferior to Lilliefors test when the parameters of the Gaussian distribution are unknown. In such a case, the Lilliefors test has higher power (smaller probability of false acceptance of $H_{01}$). Hence, there is no wonder that the number of wavelengths where $H_{01}$ is rejected (Gaussian distribution is not satisfied) is larger with the Lilliefors test than with the Kolmogorov-Smirnov test (for the same $\alpha=0.05$).

Histogram of estimated skewness, Fig. 4, indicates that the mode of the skewness is slightly larger than 0 (the skewness of normal distribution). From Fig. 5, the mode of kurtosis is around 3 (the kurtosis of the normal distribution). Based on these results, it can be concluded that the probability distribution of CCD noise is approximately normal for a large percentage of wavelengths.

The estimated normalized autocorrelation of “dark signal”, Fig. 6., indicates that the dark noise samples are observably correlated only with the samples at adjacent wavelengths. Hence, $H_{02}$ cannot be completely accepted. The assumption of whiteness ($H_{02}$), however, is not needed in our model.
B. Experiments with NIST Glass

The results of Kolmogorov-Smirnov and Lilliefors tests on LIBS spectra of standardized NIST glass, Fig. 7, indicate that the distributions of signals $s_{\text{out}}(\lambda_k)$ can be considered approximately Gaussian for a large range of $\lambda_k$ (notably, when $\lambda_k \in [400\text{nm}, 700\text{nm}]$). Due to observed Gaussian distribution of the dark signal, this leads to conclusion that $s_i(\lambda_k)$ in the considered case have approximate Gaussian distribution in this range of wavelengths.

C. Applicability of the Optimal Classifier

The optimal classifier presented in the paper is relatively simple (classification is performed by computing a quadratic function of observed discrete spectral components). This highly contrasts with sophisticated and complex classifiers previously attempted in literature [5, 7—8]. However, the applicability of the optimal classifiers depends on our ability to estimate statistical parameters of the output signal, Eq. (4). The estimation of covariance matrices $\Sigma_i$ generally depends on the number of realizations available. Therefore, the direct application of the optimal classifier is possible if $K$ is relatively small (i.e., considered wavelengths are chosen by an expert of by methods of feature selection [e.g., 35]). If $K$ is large, the direct estimation of covariance matrices is not feasible, unless some additional assumptions about the structure of the matrices are imposed (e.g., only a few non-diagonal elements are different from zero; the matrices are Toeplitz, etc).

By employing Support Vector Machines (SVMs), we can estimate a hypothesis drawn from the function class of polynomials that both separates the data and achieves the maximum margin. SVMs carry the benefit of the descriptive power afforded by models with large degrees of freedom while incurring the complexity (VC-dimension) of a relatively small number of support vectors. In the SVM formulation, through “the kernel trick”, a transformation of input space is implemented through the definition of its inner product over the set of in-sample data points. The kernel can be though of as a transformation of the input space to a high dimensional representational space (or feature space). This also has the effect of further reducing the computational burden by avoiding computation of inner products in a high dimensional feature space. The resulting kernelized linear model in the feature space represents the equivalent non-linear model in the input space achieved by the inverse transformation on the final hypothesis. Note that classification of spectroscopy data using SVMs was successfully attempted in [36]. Note, however, that for large $K$, the actual estimation of model coefficients may require excessive computational power.

Eq. (6) represents the optimal classifier if the assumption of Gaussian distribution holds. Our experimental results indicate that the Gaussian distribution holds for noise and for specific spectroscopy signal in a range of wavelengths. In reality, signals $s_i(\lambda)$ have Poisson distribution. If distributions of the signals $s_i(\lambda)$ at two different wavelengths are independent, the signal components $s_f(\lambda)$ before sampling will also have Poisson distribution that can be approximated by Gaussian. However, if the distributions are dependent, $s_f(\lambda)$ as an integral of dependent
Poisson variables does not have to be Poisson random variable [37]. Further, \( n'(\lambda_k) \) may not be Gaussian random variables. If the assumptions of Gaussian distribution are not satisfied techniques of classification of non-Gaussian signals in generalized (non-Gaussian) noise need be considered [38–40].

Finally, the optimal classifier presented in this paper assumes that the signal flow in the spectrometer can be represented by linear systems \( H_d(\lambda, \lambda'), H_c(\lambda, \lambda') \) and \( H_s(\lambda) \). Further research is needed to develop the optimal classifier if the assumption of linearity does not hold.

V. CONCLUSIONS

We discussed the optimal classifier for a signal acquisition model in echelle spectrograph and validated model assumptions in a case of specific LIBS signal. We indicated that the optimal classifier has a quadratic decision boundary and can be approximated using SVMs with a quadratic kernel. Work in progress includes development of the optimal classifier when assumptions of Gaussianity and linearity are relaxed.

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