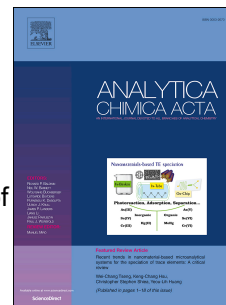


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Multi-level Data Fusion Strategies for Modeling Three-way Electrophoresis Capillary and Fluorescence Arrays Enhancing Geographical and Grape variety Classification of Wines

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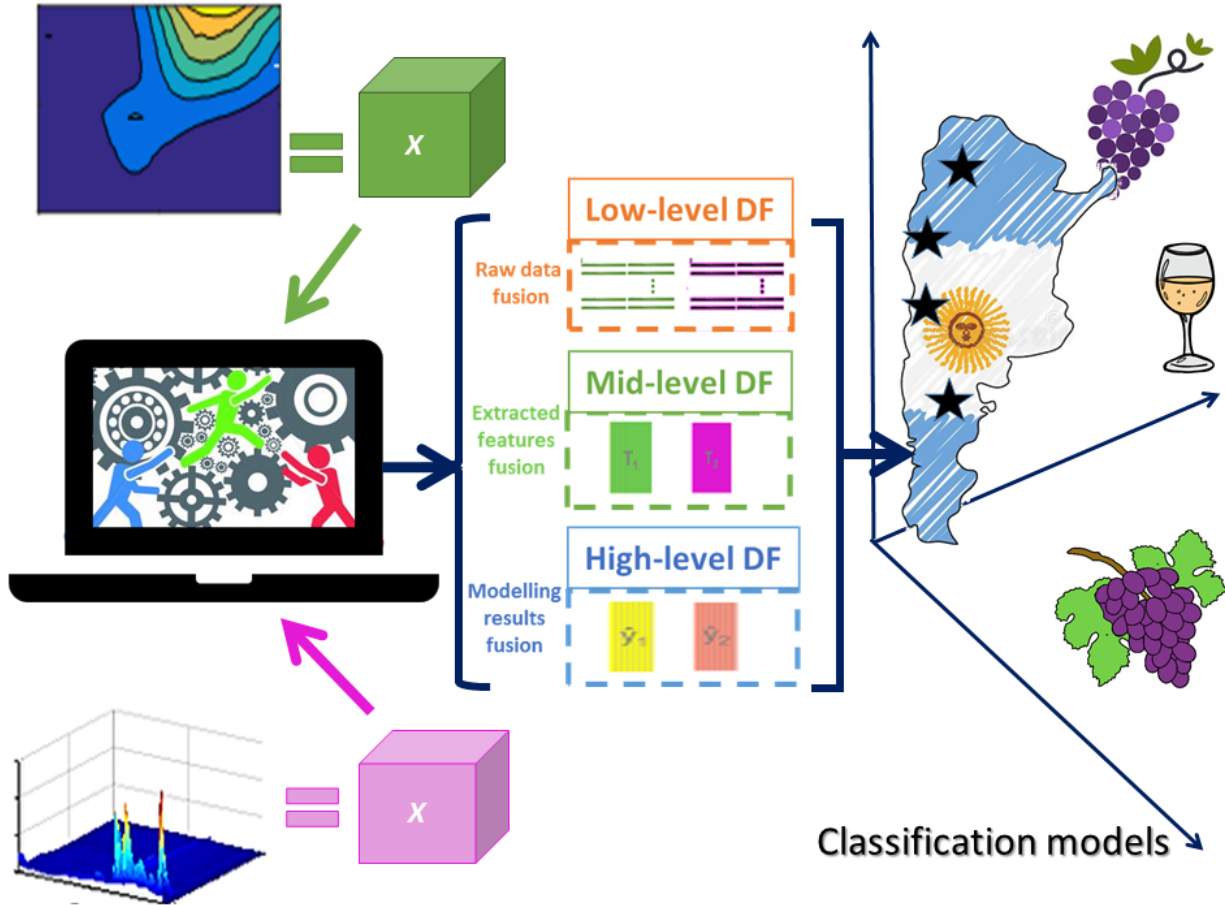
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Silvana M. Azcarate: Conceptualization, Methodology, Investigation, Writing - Review & Editing.

Rocío Ríos Reina: Software, Formal analysis, Visualization.

José M. Camiña: Supervision.

Héctor C. Goicoechea: Conceptualization, Investigation, Resources, Supervision, Funding acquisition.



1 **Multi-level Data Fusion Strategies for Modeling Three-way**
2 **Electrophoresis Capillary and Fluorescence Arrays**
3 **Enhancing Geographical and Grape variety Classification of**
4 **Wines**

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16

17

18

19 **Abstract**

20 Capillary electrophoresis with diode array detection (CE-DAD) and multidimensional
21 fluorescence spectroscopy (EEM) second-order data were fused and chemometrically
22 processed for geographical and grape variety classification of wines. Multi-levels data
23 fusion strategies on three-way data were evaluated and compared revealing their
24 advantages/disadvantages in the classification context. Straightforward approaches
25 based on a series of data preprocessing and feature extraction steps were developed for
26 each studied level. Partial least square discriminant analysis (PLS-DA) and its multi-
27 way extension (NPLS-DA) were applied to CE-DAD, EEM and fused data matrices
28 structured as two-way and three-way arrays, respectively. Classification results
29 achieved on each model were evaluated through global indices such as average
30 sensitivity non-error rate and average precision. Different degrees of improvement were
31 observed comparing the fused matrix results with those obtained using a single one,
32 clear benefits have been demonstrated when level of data fusion increases, achieving
33 with the high-level strategy the best classification results.

34

35 **Keywords:** Electrophoresis capillary, Multidimensional Fluorescence Spectroscopy,
36 Three-way data modeling, Multi-level data fusion, Classification.

37

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40

41 **1. Introduction**

42 In multivariate classification setting, second-order data handling is producing a
43 significant impact on the development of analytical strategies, especially for
44 determining characteristic patterns of the analytes of interest in highly complex matrices
45 [1, 2]. In particular, food characterization tasks are in an innovative progressive change
46 going from the development of dedicated methods for quantification of specific
47 compounds to the fingerprint acquisition by rapid, non-destructive and non-selective
48 instrumental techniques [3–5].

49 Hence, second-order data, especially three-way arrays modeling applications,
50 could supply interesting improvements as regards results attained when extremely
51 complex systems should be classified. Thereby, it has been demonstrated that data
52 analysis can be more effective when modeling second- or higher -data with multiway
53 algorithms compared to unfolding procedures [1, 6]. Otherwise, it has been recently
54 revealed that the ability in terms of discrimination power can be improved by using
55 second-order data arranged in a three-way structure instead of first-order data [2].

56 Over the years, analytical methods and data analysis tools commonly used in
57 food quality and process control had to be re-evaluated and modified to fit these new
58 tasks [1]. In this progression of gathering more and better information, the multivariate
59 statistical analysis of fused data has become a powerful tool for enhancing the reliability
60 of the results. Being the key point how the information sources can be combined to
61 provide the joint classification prediction of the samples, three levels of data fusion
62 (DF) have been reported [7, 8].

63 Firstly, low-level DF (1-DF) implies a simple concatenation of the individual
64 matrices to build a single array that is then used for calculating a single model for final
65 classification. In the food authentication and quality control field, it has been the most

66 used fusion approach to improve the results since is a common, conceptually simple,
67 first attempt with outputs from different sources providing first-order data [9–11].
68 Nevertheless, out of the food analysis scope, three-way arrays have been concatenated
69 using low-level DF strategy in a recent original report [12].

70 Secondly, mid-level DF (2-DF) first extracts some relevant features from each
71 data source separately and then these outputs are concatenated to build a single array to
72 be then processed by the desired chemometric technique. This approach has been
73 probably the one that has purposed more challenges chiefly for second-order data
74 analysis, where witty strategies for data compression, extraction or reduction have been
75 explored for improving outcomes. Mainly, the attempt has been addressed to evaluate
76 the combination of first- and second order data provided by multiple platforms since
77 data are very different in structure, size or scale [13–18]. Otherwise, the performance of
78 mid-level applications has commonly been compared to low-level fusion as well as to
79 single models [19–22].

80 Lastly, the high-level DF (3-DF) builds separate models for the different blocks,
81 and the individual results are then integrated into a single final response. This strategy
82 has been lesser explored than the two mentioned above. Although several
83 methodologies for final identity declaration by modelling the individual matrices
84 independently have been reported [8, 23], only few of them have been inquired in food
85 classification context. High-level DF has been mainly implemented for the comparison
86 with the other two DF levels [24, 25].

87 The aim of this work was to develop multiple strategies to assess the three DF
88 levels on two second-order arrays, with different data complexity, in order to know the
89 correlation and analogy between both information sources for twofold classification
90 purposes. The focus was put on the development of models able to distinguish among

91 white wines of three different grape varieties with geographical indication (GI) from the
92 four main wine production regions of Argentina [26]. For that, fluorescence excitation–
93 emission matrix spectroscopy (EEM), and capillary electrophoresis with diode array
94 detector (CE-DAD) were applied as non-target analysis in order to acquire a fingerprint
95 to characterize the wines.

96 To our best knowledge, it is the first time that the multi-levels of DF strategies
97 on second-order data are evaluated and compared revealing their
98 advantages/disadvantages in the classification context. Thus, we developed multiple and
99 straightforward approaches based on a series of data preprocessing and feature
100 extraction steps, which constitutes a significant improvement in the DF analysis, and it
101 offers a wide range of possibilities when second-order data of different nature are
102 assessed. Finally, the challenge consisted in finding the optimal combination of data
103 preprocessing, fused data and data modeling that would provide the best results.

104

105 **2. Materials and methods**

106 *2.1. Samples*

107 Thirty-nine samples of commercial white wine from four wine-producing
108 origins, all belonging to provinces of Argentina (Mendoza-M, San Juan-SJ, Salta-S, and
109 Rio Negro-RN) and three different grape varieties (Chardonnay-CH, Sauvignon Blanc-
110 SB and Torrontés-TO), were included in this study: 14 Chardonnay wines (10 from
111 Mendoza and 4 from San Juan), 13 Sauvignon Blanc wines (10 from Mendoza, 1 from
112 San Juan, and 2 from Río Negro) and 12 wines from grapes of the variety Torrontés (4
113 from Mendoza, 1 from San Juan, 5 from Salta, and 2 from Río Negro). Wine samples
114 were selected from the 2011 to 2013 vintages and bought from a local market. The

115 alcoholic content ranged from 12.2 to 13.8% v/v of ethanol. These samples were
116 analyzed in triplicate by the two techniques described below.

117

118 2.2. Data acquisition

119 2.2.1. EEM data

120 All spectrofluorimetric measures were acquired according to the method
121 reported by Azcarate *et al.* [26] using a Cary Eclipse Fluorescence Spectrophotometer
122 (Agilent Technologies, Waldbronn, Germany) with a 1×1 cm quartz fluorescence cell,
123 xenon flash lamp. CaryEclipse software package was used to control the instrument,
124 data acquisition and data analysis. Fluorescence excitation spectra were recorded by
125 varying the wavelengths between 245 and 341 nm (increment 5 nm), and by recording
126 the emission spectra from 300 to 500 nm (spaced by 0.5 nm interval). Fluorescence
127 measurements were done in triplicate for each sample.

128

129 2.2.2. CE-DAD data

130 The electrophoretic run conditions are treated in detail in our previous work [27]
131 and here only main analysis steps will be recalled. All electropherograms were acquired
132 on a CE system (Agilent Technologies, Waldbronn, Germany) equipped with a DAD
133 and an uncoated fused silica capillary of 40 cm total length (31.5 cm effective length)
134 and 75 μm inner diameter (MicroSolv Technology Corporation, Eatontown, NJ, USA).
135 Separation was performed by applying a voltage of 24 kV and with a typical current of
136 approximately 80 μA . The hydrodynamic injection was performed in the positive
137 electrode of the capillary by applying a pressure of 40 mbar for 8 s. The cartridge was
138 maintained at 25.0°C. The electropherograms were recorded during 10 min at 0.3 s

139 steps and recording UV spectra between 189 and 401 nm each 2 nm and samples were
140 analyzed by triplicate.

141

142 2.3. Data analysis

143 In order to extract and/or merge the information presented in each data set
144 obtained by the two different instrumental analysis of each sample, different
145 chemometric algorithms were employed. As both techniques produced out-puts with the
146 same data structure (i.e. three-way arrays), they were analyzed by similar algorithms in
147 order to decompose and compress the data.

148 The data analysis workflow developed in this study is schematized in **Fig. 1**. In
149 general terms, it includes: 1) building separate classification models on data obtained
150 from the individual analytical techniques by applying 3 different approaches; and 2)
151 building classification multiplatform models by applying different DF strategies: 1-DF,
152 2-DF and 3-DF (assessing different approaches). Then, all the classification models
153 obtained were assessed and compared.

154

155 **Insert here Fig. 1**

156

157 2.3.1. Data set and preprocessing

158 In order to validate the classification models, the dataset corresponding to each
159 technique, containing 39 samples, was split into a training set of 24 samples (12 CH, 12
160 SB and 12 TO or 15 M, 4 SJ, 2 RN and 2 S) and a test set of 15 samples (6 CH, 5 SB
161 and 4 TO or 9 M, 2 SJ, 2 S, 2 RN) by using the Duplex algorithm [28], keeping the
162 triplicates in the same set (i.e. the training set contained 72 analysis and the test set 45
163 analysis). The split between training and test sets was done by keeping the ratio of

164 samples of each class like in the original set, balancing the representation of each
165 category and keeping the replicates together. Moreover, after checking by exploratory
166 analysis that both sets spanned the whole variability domain, the same split was
167 maintained for all the data sets (the individual and the fused data sets).

168 To find the optimal classification results for each class studied (variety or
169 origin), different preprocessing options were considered in each model: both mean
170 centering and autoscaling were used depending on the nature of the data, as well as none
171 preprocessing.

172

173 2.3.2. Decomposition and compression methods

174 As can be observed in **Fig. 1**, different decomposition and compression methods
175 (i.e. exploratory and reduction data analysis) were applied. Then, the features obtained
176 were used for the DF models. Thus, on the one hand, the original EEM and CE-DAD
177 three-way arrays ($117 \times 49 \times 41$ and $117 \times 676 \times 107$, respectively, considering the samples
178 by triplicate) were unfolded in a multiset structure via row-wise augmentation and then
179 these new matrices (a matrix of 117×2009 for EEM unfolded data and of 117×72332 for
180 CE-DAD unfolded data), as well as the fusion of both, were used for the classification
181 or compressed by principal component analysis (PCA).

182 On the other hand, the EEM three-way array was decomposed by parallel factor
183 analysis (PARAFAC) [29] into trilinear components, related to the main fluorophores
184 present in the samples, whose scores (first mode loadings) were used as features for the
185 classification, or to build a fused dataset previous to the classification process. A three-
186 factor model, constrained with non-negativity in all modes, was obtained as the
187 optimum model according to the CORE CONSistency DIAgnostic test (COR-CONDIA)
188 [18, 30], the explained variance, the visual inspection of the profiles and residuals [26].

189 Therefore, the three-way array matrix was decomposed by PARAFAC to three new
190 matrices containing the PARAFAC scores of the three fluorophores, as well as their
191 excitation and emission loadings.

192 Finally, CE-DAD array decomposition was carried out by Tucker3 and the
193 resulted **A** matrix (Tucker3 output with the concentrations) was directly used, or fused
194 in a new data set, for the classification purpose. In this study, Tucker3 was selected due
195 to the high complexity of the CE-DAD data, which require different number of factors
196 in each mode. The number of factors selected was 18, 18 and 6 for each recorder mode,
197 obtaining a model with a 95% of total explained variance. Non-negativity was imposed
198 as unique constraint in all modes in agreement with a previous work [27] and three
199 matrices **A**, **B** and **C** were obtained containing the concentration, electropherogram and
200 spectra profiles, respectively, together with a **G** core (18×18×6) corresponding to the
201 magnitude of the interaction among factors in different modes.

202

203 2.3.3. Classification methods

204 In this work, two classification techniques derived from the regression algorithm
205 partial least squares (PLS) were used: the PLS-DA (DA for discriminant analysis) [31]
206 for first-order data and its multi-way or multilinear extension (NPLS-DA) [32] for
207 second-order data (three-way arrays). In order to select the proper number of latent
208 variables (LVs), i.e. the dimensionality of the model, the minimum classification error
209 rate in cross-validation (venetian blind) was considered. In discriminant analysis, the
210 dependent variable, **Y**, holds the class information (as many y-variables as number of
211 classes). The raw predictions from a PLS-DA model is a value of nominally zero or one.
212 A value closer to zero indicates the new sample is not in the modeled class; a value of
213 one indicates a sample is in the modeled class [31].

214

215 *2.4. Individual and data fusion strategies*

216 In this study, four modeling strategies were tested in order to obtain the best
217 classification of the wine samples according to their origin and/or grape variety:
218 classification models of individual techniques and classification models by low-, mid-
219 and high-level data fusion approaches (**Fig. 1**).

220 Before the data fusion, three classification models were obtained with the
221 individual data matrices EEM and CE-DAD: a NPLS-DA model obtained by each
222 original three-way array, and two PLS-DA models, one with the unfolded matrices and
223 other with the decomposed matrices by PARAFAC or Tucker3, respectively. The
224 strategy followed is described at the top of **Fig. 1**. Each matrix was split into a
225 training/test set (72/45) before building the classification models.

226

227 *2.4.1. Low-level data fusion (1-DF)*

228 In the 1-DF approach, the data matrices are directly concatenated to provide
229 sample classification [8]. In this study, the unfolded data from CE-DAD and EEM
230 matrices were concatenated before any model calculation. These single blocks were
231 joined in a single matrix providing an overall data set with 74341 variables (2009
232 variables from the unfolded EEM matrix plus 72332 variables from the unfolded CE-
233 DAD matrix). After that, the data fused matrix was split into training and test sets.
234 Then, two different 1-DF options were tested (**Fig.1**).

235 Despite there are many options to be carried out in this 1-DF approach (i.e.
236 applying PCA on the concatenated matrix and then LDA on the scores, or the direct
237 application of other classification algorithms), the selected option was to develop a
238 PLS-DA model, with 6 LVs, and built directly with the concatenated data matrix, after

239 mean centering data preprocessing, by means of the previously described validation
240 protocol (named as Low- level DF: opt1 in **Fig.1**) in order to perform the same
241 classification method in all the strategies of the study.

242

243 2.4.2. Mid-level data fusion (2-DF)

244 In general, in 2-DF strategies, the analytical data are merged at the features level
245 [25]. This means that relevant features are independently extracted from each analytical
246 data matrix, which are then concatenated into a single global matrix that is used as input
247 to perform a classification model⁸. In comparison with 1-DF strategies, this method
248 allows to guarantee a more balanced representation of each source of information, in the
249 case of each analytical data matrix has a huge difference in the number of variables
250 [25]. However, in this 2-DF the main issues to control are the features to retain from
251 each model and the method to extract them as well as the preprocessing method to
252 adopt. In this study, two different 2-DF strategies were tested, differing from the feature
253 extraction method used.

254 In the first 2-DF option (named as Mid-level DF: opt-1 in **Fig. 1**), the relevant
255 feature extraction was performed by the development of a PCA model for each data
256 block. The number of principal components (PCs) chosen for each PCA model was
257 again selected in order to give more than 90% of cumulative variance in both blocks.
258 Thus, 7 and 4 PCs were selected for the unfolded both CE-DAD and EEM matrices
259 (previously pre-processed by mean-centering), respectively. Then, the PCA-scores
260 associated to the first 7 and 4 PCs for each data block (Str) were considered as extracted
261 features and were then fused in a new matrix (with 11 variables). This fused matrix was
262 pre-processed by auto-scaling or none-preprocessed and then modeled by means of

263 PLS-DA, obtaining PLS-DA models with 4 and 5 LVs according to the preprocessing
264 method applied.

265 In the second 2-DF option tested in this study (named as Mid-level DF: opt-2 in
266 **Fig. 1**), the relevant features of each data block were obtained by the development of a
267 PARAFAC and a Tucker3 model for EEM and CE-DAD matrices, respectively. These
268 models are similar to those described above for the individual data modeling (Section
269 2.3.2). Then, the scores associated to the 3 PARAFAC factors extracted from EEM's
270 array were concatenated with the 18 Tucker3 scores extracted from CE-DAD's array,
271 forming a fused matrix with 21 variables, which was autoscaled and used for building of
272 a PLS-DA model of 6 LVs.

273 In all these strategies, PLS-DA models were applied to the fused score-matrices
274 starting from the training-test set split procedure.

275

276 2.4.3. High-level data fusion (3-DF)

277 In 3-DF strategies, the classification of the samples is performed independently
278 on each analytical data block, and then the predictions provided by the models
279 calibrated on the single blocks are combined together [8]. In other words, the
280 information in the different data matrices is joined at the level of the prediction obtained
281 by each individual model into a unique solution [33].

282 In this study, a PLS-DA and N-PLS-DA models were first independently fit for
283 EEM and CE-DAD data matrices (data unfolded and decomposed, and original three-
284 way arrays, respectively) and then the decisions/prediction obtained by each single-
285 block model were fused by two different 3-DF strategies proposed in the literature [34]:
286 Majority voting and Bayesian consensus with discrete probability distributions.

287 On the one hand, Majority voting was carried out by directly merging the
288 predictions of the single PLS-DA or NPLS-DA models (**Fig. 1**). This 3-DF method is
289 based on a democratic (weighted) process that combines the predictions provided by the
290 individual classification models and classifies a sample into a class according to the
291 most frequent class assignment. Within this method, there are three criteria deriving by
292 applying specific limits or thresholds. The ‘loose’ criterion is the simplest and most
293 intuitive, in which a sample is assigned based on the most frequent class assignment,
294 and a sample is not classified in case of ties (frequency of assignments to a class >50%).
295 The “intermediate” and “strict” majority voting criteria classify a sample if the
296 agreement of predictions is higher than or equal to 75% and 100% (full prediction
297 agreement of all the considered models), respectively [34]. In this study, as only two
298 analytical methods are fused, only a sample is classified into a class when both
299 techniques classify it into the same class, so the criterion used was the ‘strict’ (100% of
300 frequency assignments).

301 On the other hand, from the confusion matrix, the Bayesian consensus estimates
302 the probability that a sample belongs to a specific class on the basis of each analytical
303 data block and then combines these probabilities into a joint probability used for the
304 final assignment [34]. As Bayesian results are affected by the model sequence followed
305 in the iteration process, all combinations of analytical sources were considered in our
306 study (i.e. both blocks were selected as the initial block), and according to the
307 classification results, the best order was to start with the EEM’s dataset and then with
308 the CE-DAD’s dataset.

309 In a first step, the prior probability has been estimated as equal probability. Considering
310 three classes according to variety and four classes according to origin, the used prior
311 probabilities were 0.33 and 0.25, respectively. Then, likelihood conditional probabilities

312 were estimated from the confusion matrix of each classification model being calculated
313 by dividing the number of classes correct and incorrect predicted by the total of samples
314 of each class. Then, once the posterior probabilities have been calculated for the first
315 analytical block, the fusion approach proceeds iteratively, that is, the posterior
316 probabilities of the first model were used as new prior probabilities in the second model.
317 For that, the class predicted by the first-block classification model (with EEM array,
318 unfolded or decomposed) was initially considered. Then, the posterior probabilities of
319 the first model were used as new prior probabilities in the second model, where the
320 class predicted by the second block model (i.e. those obtained from the CE-DAD array,
321 unfolded or decomposed) was the new evidence.

322 Finally, this last probability obtained (i.e. the consensus probability derived from
323 the combination of the information of both data blocks) was the one used to predict the
324 class according to the maximum posterior probability obtained. Hence, this last
325 posterior probability was used to accept or reject the predicted class depending on a
326 predefined probability threshold, that in this study was defined as $>50\%$. The
327 corresponding equations and further details of this method can be found in the literature
328 [34, 35].

329

330 *2.4. Evaluating models*

331 The classification models were internally validated by using venetian blind
332 cross-validation (CV) and the final models' performance was confirmed by a test set
333 validation (TV). For that purpose, as it was mentioned above, the dataset was split into a
334 training and test set, with 61.5% and 38.5% of the samples, respectively, by keeping the
335 ratio of samples of each class like in the original set and the triplicates together.

336 The quality of the models was assessed from the classification and prediction
337 abilities. The optimal conditions were decided by means of primary measures related to
338 single classes as sensitivity (Sens.), specificity (Spec.) and precision (Prec.) of the
339 calibration and prediction, which were calculated on each class separately encoding
340 different aspects of the classification [34]. This information can be found in the
341 **Supporting Information** as **Table I** and **Table II** for grape variety and geographical
342 classification results, respectively. Additionally, to provide an overall evaluation of the
343 classification quality, the global indices derived from primary class measures such as
344 average sensitivity (non-error rate –NER–) and average precision (PREC.) were also
345 calculated according the recommendation of Ballabio *et al* [34].

346

347 2.5. Software

348 Spectra preprocessing, and low-level, mid-level and high-level DF strategies
349 were carried out by means of hand-made routines written in Microsoft Excel v. 2016
350 (Microsoft Corporation, USA) and Matlab R2014b (The Mathworks, Natick, MA,
351 USA). Decomposition and compression methods (PARAFAC, Tucker3, PCA) and PLS-
352 DA classification models were calculated with the PLS_Toolbox 7.9.5 (Eigenvector
353 Research Inc., Wenatchee, WA) working under MATLAB environment.

354

355 3. Results and discussion

356 3.1. Data visualization

357 The fluorescence and CE-DAD landscapes of several samples belonging to the
358 three grape varieties of the four geographical origins are shown in **Fig. 2**. On the one
359 hand, it could be observed that the shape of the EEM spectra varied within the same
360 origin among varieties, as well as within the same grape variety among origins. Thus,

361 the visual assessment of all the fluorescence features of the grape varieties pointed out a
362 general trend for the spectral maxima to be shifted towards 450 and 350 nm of em/ex.
363 Furthermore, similar fluorescence trend was observed for the different origins but
364 maintaining the characteristic shape of its variety.

365 On the other hand, as can be seen in the CE-DAD landscapes (**Fig. 2**), they
366 showed many overlapping peaks corresponding to the complex mixture of chemical
367 compounds that are present in the white wines. Moreover, as was shown in a previous
368 report [27] a remarkable peak misalignment and shape deformation in electrophoretic
369 mode was produced. It could be also observed some differences between geographical
370 origins and grape varieties. Thus, all the samples showed marked peaks around 3 and 5
371 min but with strong differences among varieties and origins. From these observations,
372 all these differences could make possible the classification of the samples according to
373 origins and varieties.

374

375 **Insert here Fig. 2**

376

377 *3.2. Individual models*

378 *3.2.1. General considerations*

379 In the first stage, excitation-emission matrices (EEM) and capillary
380 electrophoresis (CE-DAD) data were treated separately to build the classification
381 models. The data matrices were organized and analyzed as two- and three-dimensional
382 arrays. Thus, three different classification approaches considering the data structures
383 and modeling were performed: (a) three-way data by PLS-DA using factors obtained
384 from a resolution method (PARAFAC or Tucker3); (b) three-way data by N-PLS-DA;
385 and (c) full unfolded data using PLS-DA (schematized in **Fig. 1**).

386 It should be noted that both datasets differ in the complexity of the data
387 structure. EEMs represents a well-known illustration of bilinear data fulfilling with the
388 so-called low rank trilinearity condition, which can be decomposed into the excitation
389 and the emission spectra for a given fluorescent component [2]. In return, the three-
390 dimensional array built from CE-DAD data is non-trilinear. Moreover, it presents
391 certain drawbacks like remarkable peak misalignment and shape deformation in a data
392 mode associated with deficiency rank in the other one. In those cases, in which multi-
393 way data are involved for classification issues, the choice of the appropriate multi-way
394 approach will be decisive in the validity of the solution found.

395 For building models, the latent variables were selected considering the lowest
396 CV classification error rate (data not shown). The best preprocess and region
397 (variables), together with the optimal configuration of each model, such as the number
398 of latent variables retained, were selected as those leading to the lowest inaccuracy and
399 highest sensitivity and specificity obtained with the prediction set.

400

401 3.2.2. Classification models for EEM data

402 For the approach (a) of Fig. 1, EEM dataset was arranged in a three-way data
403 array (72 training samples, 41 emission wavelengths and 49 excitation wavelengths)
404 and then, it was analyzed by means of PARAFAC. A three-factor model was chosen
405 representing the best compromise between explained variance (99.5%) and core
406 consistency (71%). The obtained model presented results that were in good agreement
407 with works presented in literature [26] where the loadings for second (emission) and,
408 third (excitation) modes and PCA scores have already been reported.

409 On the other hand, for the approach (c) of Fig 1, the EEM data array ($72 \times 49 \times$
410 41) was unfolded into a two-dimensional array (72×2009). To check the repeatability

411 of the measurements, detect outliers and recognize patterns in the samples' distribution,
412 PCA analyses on PARAFAC factors and unfolded matrix were performed (**Fig. IA.** and
413 **IB. SM**). By analyzing the scores plots, it could not be observed a clear differentiation
414 of the samples by means of geographical origin on both two- and three-way data
415 structures, showing in both cases a similar overlapping, mainly between samples of M
416 and SJ. The same situation was observed when the differentiation among samples was
417 assessed by means of the three grape varieties, as it was shown in a previous report [26].

418 A PLS-DA model was performed on the PARAFAC factors and the unfolded
419 matrix, which were prior preprocessed by autoscaling and mean centering, respectively.
420 On the other side, a classification model based on NPLS-DA on the three-way data
421 matrix was built (approach (b) of Fig 1). The obtained classification results of these data
422 sets are reported in **Table 1** and **Table 2**, when grape variety and geographical origin
423 were used as classifier as well as in **Fig. II** and **III. SM**, respectively. Then separate
424 models were evaluated comparing the number of latent variables retained and the
425 indices derived from confusion matrix (Sens., Spec., Prec.; and PREC. and NER).

426 All the built models for sample classification according to grape variety showed
427 a similar performance that the obtained in a previous work [26]. However, in the present
428 study, the best individual model for grape variety classification seemed to be the NPLS-
429 DA model reaching the highest NER and PREC values in prediction stage being 81.1%
430 and 82.1%, respectively (**Table 1**).

431 Furthermore, suitable classification results were attained according to
432 geographical origin by the three built models. In this case, the model acquired from
433 PLSDA on the PARAFAC factors was the optimal reaching the highest rate of well-
434 classified samples in the prediction set and displaying the highest NER values (**Table**
435 **2**).

436

437

Insert here Table 1

438

Insert here Table 2

439

440 3.2.3. Classification models for CE-DAD data

441 For the (a) and (b) approaches (Fig 1), CE-DAD dataset was arranged in a cube
442 structure (72 training samples, 676 times and 107 wavelengths) and it was unfolded in a
443 matrix of size (72×72332) for the strategy (c). In order to avoid drawbacks, three-way
444 array was modeled by means of Tucker3 that allows using a different number of factors
445 in each mode. Thus, the number of eigenvalues explaining 95% of the variance of the
446 data were 18, 18 and 6, for modes 1, 2 and 3, respectively. After that, PCA analysis on
447 unfolded matrix and Tucker3 factors were performed. The scatter plots of these PCA
448 analyses are shown in **Fig. IC. SM** and **Fig. ID SM**, respectively. It can be seen that the
449 CE-DAD data showed higher variability than EEM data when the reproducibility was
450 assessed.

451 In the same way, PLS-DA was performed on the Tucker3 factors and the
452 unfolded matrix, applying autoscaling and mean centering as preprocessing,
453 respectively. On the other side, a classification model based on NPLS-DA on the three-
454 way data array was built (approach b). It is relevant to highlight that both (b) and (c)
455 approaches were able to deal rank deficiency [14].

456 The three models for grape variety classification showed similar performances;
457 however, for prediction set, the NPLS-DA model attained higher indices of 66.1 and
458 70.8 for NER and PREC, respectively (**Table 1**). Concerning geographical origin
459 classification, despite the obtained models with the CE-DAD data achieved promising
460 results in the calibration stages, they were not able to predict the samples correctly.

461 Thus, they showed in all cases NER values lower than 56.9 % (**Table 1**). These
462 classification results could be also observed by looking the scores and loadings plots of
463 the PLS-DA models reported in **Fig. II** and **III. SM**.

464 Thus, the application of fusion approaches was expected to increase the overall
465 classification ability according to variety and origin classification, by integrating these
466 different behaviors of single analytical sources.

467

468 *3.3. Data fusion models*

469 With the goal of improving the classification results according to geographical
470 origin and grape variety, different strategies were assessed in the three data fusion
471 levels. Thus, in the case of having second-order data, several are the strategies that
472 could be adopted.

473

474 *3.3.1. Low-level data fusion*

475 PLS-DA was carried out in the first 1-DF option, directly on the concatenated
476 unfolded data matrix (**Fig. 1**). The validation results on the test samples are reported in
477 **Table 1** and **Table 2**.

478 The models based on 1-DF achieved similar classification performances than
479 models from individual blocks when grape variety classification was evaluated. Despite
480 the two 1-DF options were able to correctly discriminate the same number of samples,
481 they did not improve the prediction results respect to NPLS-DA model from EEM data,
482 which obtained the best performance of all individual models. However, the option 1
483 reached better results in the calibration stage.

484 On the other side, the results obtained for geographical origin classification
485 showed relevant improvements of both 1-DF approaches in comparison with the

486 individual models, inasmuch as a total of 39 samples of the training set were correctly
487 predicted. In this case, this strategy seemed to provide significantly better classification
488 results reaching 94.4% and 87.5% for NER and PREC, respectively. It is important to
489 highlight that these results exhibited an increment of more than 5% for NER and a great
490 improvement in PREC of more than 16%, displaying the sterling model ability to avoid
491 wrong predictions in the classes.

492 As a second option, a PCA can be also applied as a necessary step to compress
493 the information when algorithms as LDA are applied. Thus, it is important to be careful
494 inasmuch as, as in this case, the concatenated data from 1-DF consists on an extremely
495 large matrix where the number of irrelevant variables becomes larger than the really
496 meaningful ones and therefore, the selection of the more relevant variables could result
497 difficult [2, 40-41].

498 The scores plot of the best 1-DF models for grape variety and geographical
499 origin classifications are shown in **Fig. 3A** and **3C**, respectively. By comparing these
500 models to those for PLS-DA, obtained for the individual data matrices (**Fig. II** and **III**
501 **SM**), the improvement in the separation of classes by the DF models is clearer.

502

503

Insert here Fig. 3

504

505 Data fusion showing better discrimination ability than individual spectroscopies
506 have been also reported for first-order data [36]. Indeed, most of the researches founded
507 in the literature carried out 1-DF on first-order data [10, 37–39] due to the ease of
508 performance together with the satisfactory results. Basically, 1-DF involves the
509 straightforward concatenation by combining variables of the data blocks. Thus, direct
510 first-order data concatenation is easier than second order-data concatenation since, in

511 these last, a prior step, e.g. data unfolding, could be needed when data arrays differ in
512 structure and complexity. In this case, fewer studies could be found in the literature
513 [18].

514

515 3.3.2. Mid-level data fusion

516 As described above, two different approaches for 2-DF were evaluated. Option 1
517 was based on a first extraction of the relevant features by the development of a PCA
518 model for each unfolded data block, and then, the fusion of the PCA-scores matrices
519 obtained, being this matrix used in the development of the PLS-DA classification
520 models. Within this option, autoscaling or none-preprocessing were tested. The option 2
521 was based on the feature extraction by PARAFAC and Tucker3 of the EEM and CE-
522 DAD matrices, respectively, and then the fusion of the scores associated to the 3-
523 PARAFAC factors from EEM array and the 18-Tucker3 scores from CE-DAD array,
524 being the matrix used for building the PLS-DA classification models.

525 On the one hand, with regards to the two 2-DF options, by observing both grape
526 variety (**Table 1**) and geographical origin (**Table 2**) classification results for calibration
527 steps, the option 2 showed better classification results, calibrating correctly almost the
528 total of samples of the training set. On the other hand, by assessing the prediction rate of
529 grape variety classification (**Table 1**), it was again difficult to select the best option due
530 to once again, the two options were able to discriminate correctly the same amount of
531 samples for prediction set, but none of them was able to improve the performance
532 respect to the individual models.

533 Otherwise, the geographical origin classification rate of the option 2 was better
534 than the option 1 achieving 91.7 and 95.5 for NER and 79.2 and 87.5 for PREC,

535 respectively (**Table 2**). These results can be also observable by looking the scores plots
536 obtained by these PLS-DA models (bottom of **Fig. 3B and Fig. 3D**).

537 By making a general comparison of these 2-DF results with the individual
538 classification models, they also showed relevant improvements in the prediction rates in
539 comparison to the individual classification results (mainly for geographical origin
540 classification). However, similar classification results were achieved in comparison with
541 the 1-DF approaches, for both grape variety and geographical origin classification.
542 Nevertheless, better results in classification have been reported when 2-DF approach
543 was compared with the analysis of individual datasets or with 1-DF [14, 18, 22, 25, 42].

544 Despite both low- and mid- levels improved the individual classification results,
545 being similar between them, there are different advantages and disadvantages that could
546 be considered. For both cases, the data block obtained is then processed by the desired
547 chemometric technique. However, on the one hand, 1-DF only implies that the matrices
548 describing the individual blocks, after proper preprocessing, are concatenated to build a
549 single array, being easier even more if the data has a first-order structure. However, a
550 disadvantage of 1-DF is that typically data sets are obtained in which the number of
551 observations is much smaller than the number of variables, which prevents to apply
552 many multivariate data analysis techniques that are not directly applicable. The most
553 popular way of trying to solve the problem of many variables is to reduce the
554 dimensionality of each data matrix separately, before attempting to link them by means
555 of DF and this is how 2-DF works.

556 Otherwise, there are multiple possibilities that can be applied to carry out a 2-DF
557 strategy. The most remarkable techniques reported in the bibliography for multiway
558 data sets have been sequential and orthogonalized partial least squares (SO-PLS) [44]
559 and coupled matrix and tensor factorization (CMTF) [45]. Other approaches based on

560 multiblock analysis less used but also suitable in data fusion context, is the Common
561 Components and Specific Weights Analysis (CCSWA, also so-called ComDim) [18,
562 46].

563

564 3.3.3. High-level data fusion

565 In this level of DF, two different approaches were also developed and assessed:
566 Majority Voting and Bayesian consensus methods. These approaches were implemented
567 by using the classification results of the 3 individual models (NPLS-DA, and PLS-DA
568 from the unfolded matrix and the extracted features matrix) of both analytical methods.
569 The classification results obtained by both approaches are shown in **Table 1** and **Table**
570 **2** for grape variety and geographical origin classification, respectively.

571 Concerning the prediction results of Bayesian consensus DF, the model
572 performed using the outputs of the individual NPLS-DA models for grape variety
573 classification provided the best results. Although this model could only match the
574 amount of samples correctly classified in the prediction set with the NPLS-DA
575 individual model from EEM data (NER = 81.1), it was able to improve the calibration
576 stage getting over in more than 15% in both indices NER and PREC.

577 Otherwise, for geographical origin classification, the Bayesian consensus model
578 developed from the PLS-DA results obtained with PARAFAC and Tucker3 scores
579 provided the best predictions. These results agreed with the classification results
580 obtained by the individual classification models discussed in section 3.2.2 and 3.2.3.
581 Therefore, in general terms, discrimination performances based on Bayesian high-level
582 fusion approaches resulted to be better than those obtained on single analytical sources,
583 as occurs in another work founded in the literature [25]. Hence, this improvement was
584 better observable in the case of geographical origin classification, for which the

585 Bayesian consensus fusion obtained the best prediction results achieving 97.2% and
586 91.7% for NER and PREC. This improvement could indicate that the reliability and
587 confidence of the final outcome are increased by the integration of heterogeneous
588 predictions. Moreover, classification performances have been previously reported by
589 means of Bayesian consensus 3- DF fusion achieving slightly better than those obtained
590 in the mid- level approach [25].

591 However, the classification results obtained by the Majority Voting approach
592 were worse than the results obtained by the PLS-DA models made with the individual
593 data blocks. The main reason of that could be the fact that, considering only two
594 analytical techniques, the criteria applied was the “strict”, which means that only the
595 samples that were perfectly classified in both techniques could be classified into a
596 specific class. Hence, in the present study, there were many cases in which one
597 technique classified a sample to one class and the other technique classified the same
598 sample as another class, making that the final decision was “not-classified”. For this
599 reason, Majority Voting as 3-DF strategy should be preferably applied when three or
600 more techniques are studied simultaneously.

601 In comparison to the other two DF strategies (i.e. 1-DF and 2-DF), 3-DF has not
602 the problem of needing to adjust an adequate scaling due to each model is fitted
603 independently with its best scaling. However, a disadvantage of 3-DF is that the order
604 of combining the obtained predictions affects the final decisions.

605 As a final remark, it is important to highlight the evident improvement of the
606 classification results as level of data fusion increases. In fact, the improvement of the
607 DF prediction models can be linked in the level advance. Despite the combination of
608 multiple analytical sources increases the complexity of data treatment, this is
609 compensated by significantly better classification ability.

610

611 4. Conclusions

612 The proposed multi-level fusion strategies provide a useful and reliable way of
613 improving the analytical quality of the results in second-order data for classification
614 outcomes. The benefit of fusion is highlighted in prediction stage when samples cannot
615 be classified from individual sources. In particular, these advantages were more evident
616 when geographical origin classification was assessed, especially taking in account the
617 complexity of the system presenting unbalanced classes. In addition, multi-level data
618 fusion from multi-via modeling accomplished the best classification models. Thus, it is
619 noteworthy that the benefits of data fusion at different levels are added to the second-
620 order data advantage, furnishing a synergistic effect on the classification results.

621 Although both techniques provided good classification results separately, data
622 fusion approaches improved the classification results and provided a larger description
623 of the sample. Hence, the statistic mathematical integration of the information from the
624 different analytical sources can be helpful because it leads to the minimization of the
625 overall uncertainty due to a compensation effect among the single experimental
626 uncertainties. This finally translates into increased reliability of the outcome, and,
627 therefore, it can be concluded that high-level strategies are suitable approaches to obtain
628 greater confidence on the combined (fused) analytical predictions. Notwithstanding the
629 practical application seems to be more cumbersome insomuch as first, the independent
630 models for each platform must be fit. However, model outputs combination is easy to
631 implement and analyse, and it does not require higher effort to be performed.

632

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638

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799 **Figure captions**

800

801 **Figure 1.** Schematic representation of data analysis workflow

802 **Figure 2.** Typical landscapes of (A) EEM and (B) CE-DAD data for a wine sample
803 showing within each geographical origin –Mendoza (M), San Juan (SJ), Río Negro
804 (RN) and Salta (S)- each grape variety -Chardonay (CH) Sauvignon blanc (SB) and
805 Torrontés (T)-

806 **Figure 3.** Scores plots for the first three LVs exhibiting the best classification results
807 obtained from (A and C) 1-DF and (B and D) 2-DF models showing the differentiation
808 among wines from (A and B) grape variety and (C and D) geographical origin
809 classifications. 95% confidence ellipses for each class are plotted in 3D in each scores
810 plot.

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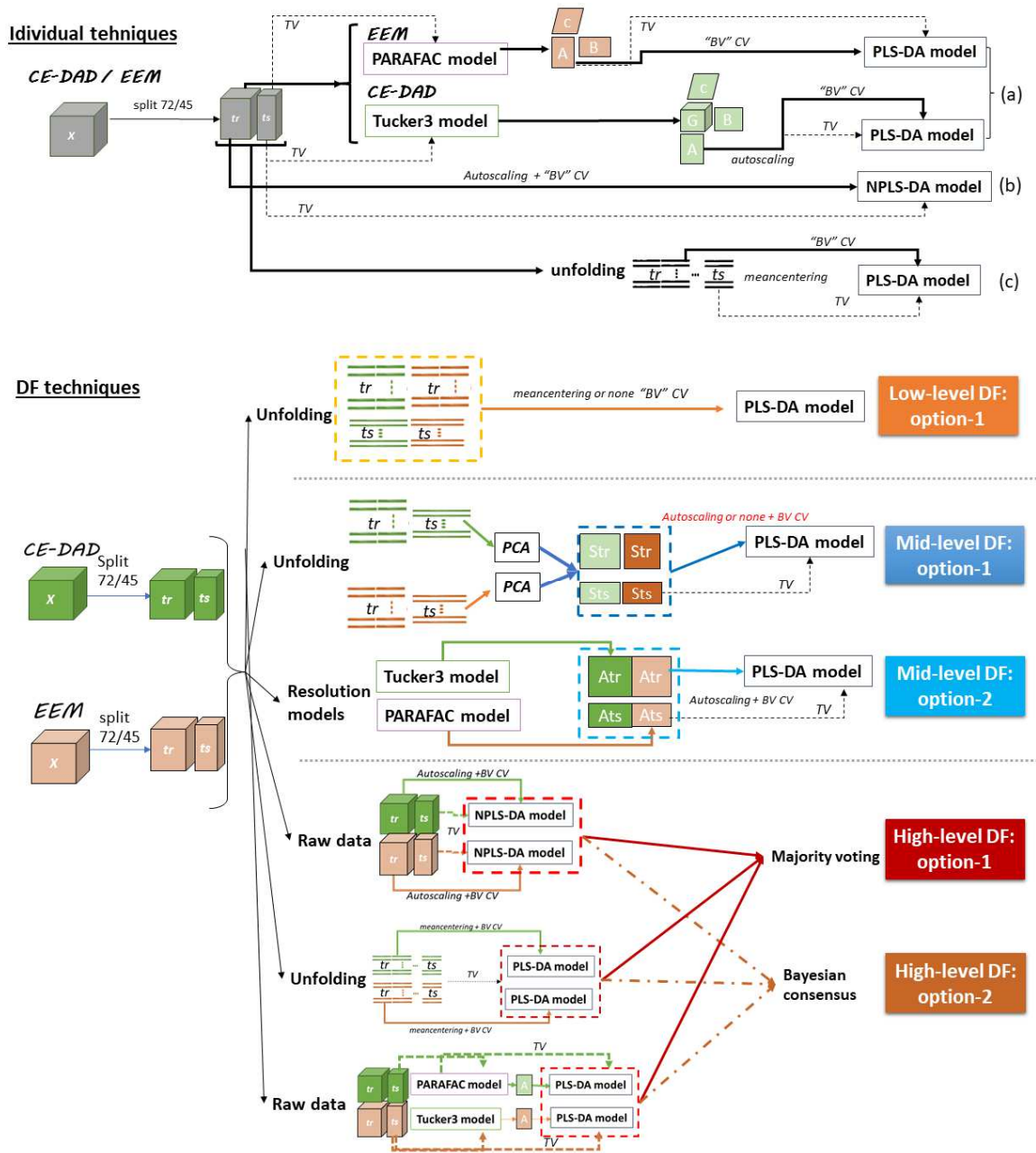
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824 **Figure 1**



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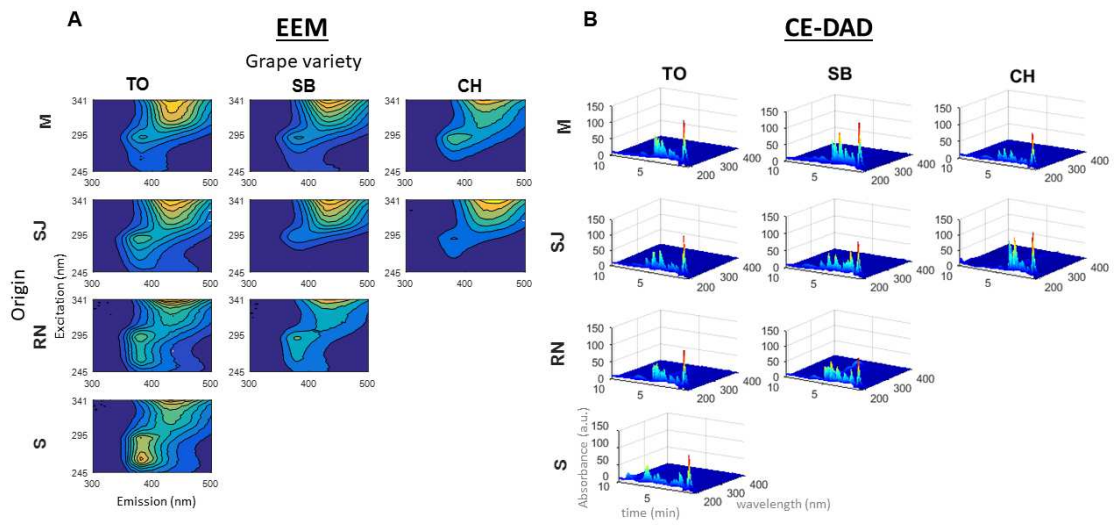
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832 **Figure 2**

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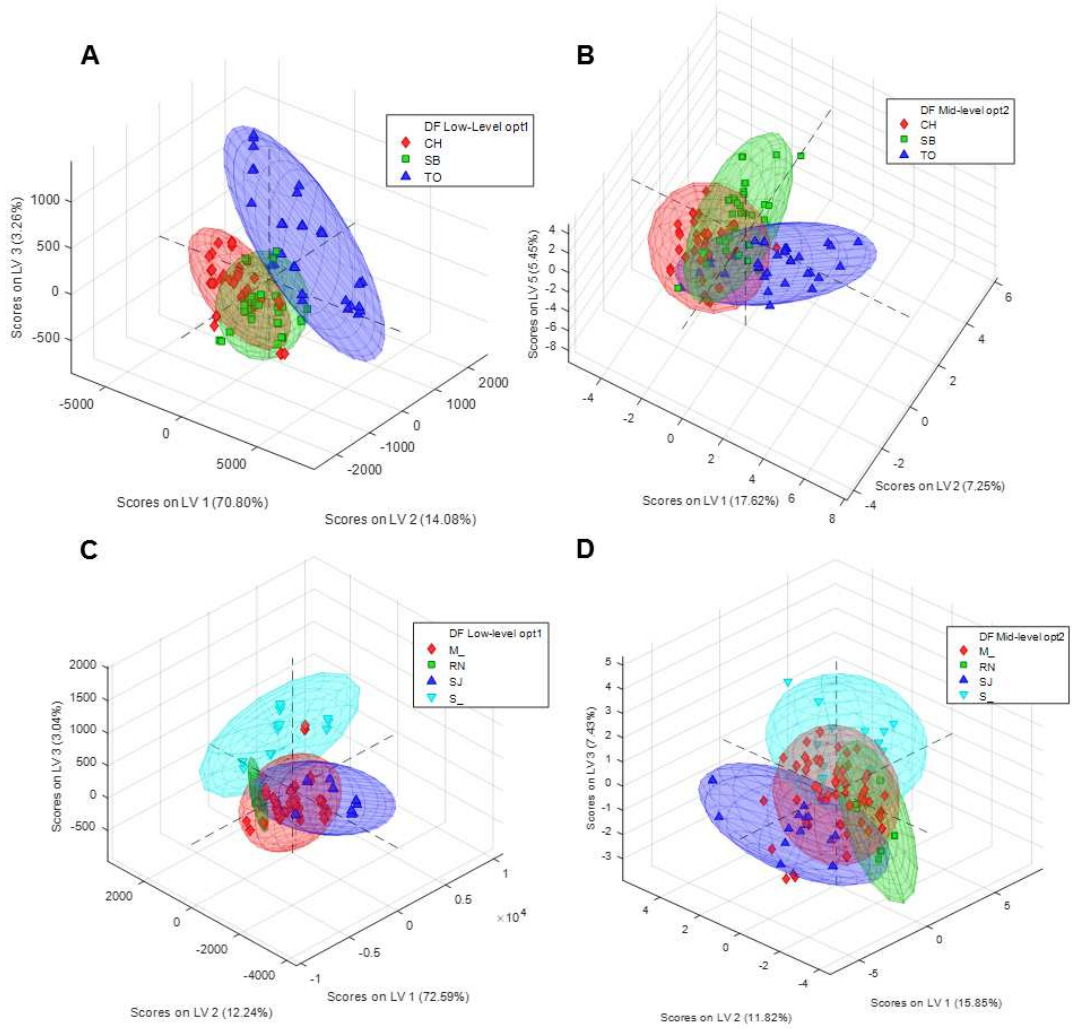
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847 **Figure 3**

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856 **Tables**

857 **Table 1.** Classification results according to grape variety (Chardonnay -CH-, Sauvignon
858 blanc -SB-, and Torrontés -TO-) obtained in the calibration and prediction stage from
859 individual data blocks (EEM and CE-DAD) and fused data (EEM-CE-DAD) evaluating
860 1-DF, 2-DF and 3-DF. For each model it is displayed the number of samples correctly
861 classified, not error rate (NER) and average precision (PREC) for both calibration
862 (CAL) and prediction (PRED) sets of each evaluated model.

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GRAPE VARIETY CLASSIFICATION	DATA STRUCTURE		Correct classified samples CAL/PRED			NER (CAL)	NER (PRED)	PREC (CAL)	PREC (PRED)
			CH 24/18	SB 24/15	TO 24/12				
EEM	Unfolded data		24/9	18/9	18/6	83.3	53.3	86.1	64.3
	Three-way data		18/15	15/9	18/12	70.8	81.1	71.0	82.1
	3-factors PARAFAC scores		15/15	15/9	12/6	58.3	64.4	61.9	70.8
CE-DAD	Unfolded data		24/15	24/3	24/9	100.0	59.4	100.0	66.7
	Three-way data		18/15	21/6	24/9	87.5	66.1	87.8	70.8
	Tucker3 scores		24/12	24/6	24/9	100.0	60.6	100.0	66.7
EEM-CE-DAD	LOW-LEVEL	Opt. 1	24/15	24/6	24/9	100.0	66.1	100.0	74.1
		Opt. 2	24/12	18/9	24/6	91.7	58.9	93.3	69.0
	MID-LEVEL	Opt. 1	24/15	24/3	24/9	100.0	59.4	100.0	66.7
		Opt. 2	24/15	24/3	24/9	100.0	59.4	100.0	66.7
	HIGH-LEVEL	Bayesian consensus	24/18	21/0	24/9	95.8	58.3	100.0	58.3
			18/15	21/9	24/12	87.5	81.1	87.8	82.1
			24/15	24/9	24/9	100.0	72.8	100.0	77.1
		Majority voting	24/6	18/0	18/3	83.3	19.4	86.1	40.7
			18/12	12/6	18/9	66.7	60.6	67.2	65.7
			15/9	15/6	12/6	58.3	50.0	61.9	52.2

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872 **Table 2.** Classification results according to geographical origin (Mendoza –M-, Río
 873 Negro –RN- San Juan –SJ-, and Salta –S-) obtained in the calibration and prediction
 874 stage from individual data blocks (EEM and CE-DAD) and fused data (EEM-CE-DAD)
 875 evaluating 1-DF, 2-DF and 3-DF. For each model it is displayed the number of samples
 876 correctly classified, not error rate (NER) and average precision (PREC) for both
 877 calibration (CAL) and prediction (PRED) sets of each evaluated model.

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GEOGRAPHICAL ORIGIN CLASSIFICATION	DATA STRUCTURE		Correct classified samples CAL/PRED				NER (CAL)	NER (PRED)	PREC (CAL)	PREC (PRED)	
			M 45/27	RN 6/6	SJ 12/6	S 9/6					
EEM	Unfolded data		36/18	6/3	12/3	9/3	95.0	54.2	85.0	60.4	
	Three-way data		24/15	3/3	9/3	9/3	69.6	51.4	62.0	47.9	
	3-factors PARAFAC scores		36/15	6/6	3/6	3/6	59.6	88.9	63.3	70.8	
CE-DAD	Unfolded data		45/24	6/0	12/3	9/0	100.0	34.7	100.0	27.9	
	Three-way data		33/21	6/0	9/3	9/6	87.1	56.9	77.5	50.8	
	Tucker3 scores		33/18	6/3	9/6	6/0	78.8	54.2	66.7	51.7	
EEM-CE-DAD	LOW-LEVEL	Opt. 1	39/21	6/6	9/6	9/6	90.4	94.4	85.7	87.5	
		Opt. 2	33/18	6/6	6/6	6/6	72.5	91.7	65.5	79.2	
	MID-LEVEL	Opt. 1	36/21	6/6	12/6	9/6	95.0	95.5	85.0	87.5	
		Opt. 2	45/21	6/6	12/6	9/3	100.0	81.9	100.0	84.4	
	HIGH-LEVEL	Bayesian consensus		39/15	6/6	12/6	9/6	96.7	88.9	91.7	75.0
				39/24	6/6	12/6	9/6	96.7	97.2	86.7	91.7
				36/18	6/0	12/0	9/0	95.0	16.7	85.0	13.6
		Majority voting		21/12	3/0	6/0	9/3	61.7	23.6	55.9	25.0
				27/12	6/3	3/6	3/0	54.6	48.6	46.3	35.1

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Highlights

- 1) Second-order data were fused and chemometrically processed.
- 2) Multiple strategies for multi-levels data fusion were evaluated.
- 3) Straightforward approaches for classification purposes are presented.
- 4) Different degrees of improvement were observed on the results.
- 5) High-level strategy provided the best classification results.

Declaration of interests

The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this paper.

The authors declare the following financial interests/personal relationships which may be considered as potential competing interests: