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Abstract. Ideally, neoadjuvant chemotherapy (NAC) assessment should predict pathologic complete response (pCR), a surrogate clinical endpoint for 5-year survival, as early as possible during typical 3- to 6-month breast cancer treatments. We introduce and demonstrate an approach for predicting pCR within 10 days of initiating NAC. The method uses a bedside diffuse optical spectroscopic imaging (DOSI) technology and logistic regression modeling. Tumor and normal tissue physiological properties were measured longitudinally throughout the course of NAC in 33 patients enrolled in the American College of Radiology Imaging Network multicenter breast cancer DOSI trial (ACRIN-6691). An image analysis scheme, employing z-score normalization to healthy tissue, produced models with robust predictions. Notably, logistic regression based on z-score normalization using only tissue oxygen saturation (StO2) measured within 10 days of the initial therapy dose was found to be a significant predictor of pCR (AUC = 0.92; 95% CI: 0.82 to 1). This observation suggests that patients who show rapid convergence of tumor tissue StO2 to surrounding tissue StO2 are more likely to achieve pCR. This early predictor of pCR occurs prior to reductions in tumor size and could enable dynamic feedback for optimization of chemotherapy strategies in breast cancer. © The Authors. Published by SPIE under a Creative Commons Attribution 3.0 Unported License. Distribution or reproduction of this work in whole or in part requires full attribution of the original publication, including its DOI. (DOI: 10.1117/1.JBO.24.2.021202)

Keywords: biomedical optics; neoadjuvant chemotherapy; diffuse optical spectroscopy; breast cancer; therapy monitoring; translational imaging.

Paper 180342SSR received Jun. 8, 2018; accepted for publication Aug. 30, 2018; published online Oct. 19, 2018.

1 Introduction

Neoadjuvant chemotherapy (NAC) is a widely used treatment method for breast cancer that permits increased conservation of breast tissue during tumor resection and limits the need for axillary node treatment and surgery.1 In addition, pathologic complete response (pCR) to NAC, defined as no residual invasive carcinoma, has been correlated with improved survival compared to incomplete response.2 Unfortunately, this assessment occurs after the completion of NAC. The ability to predict response to NAC at an earlier timepoint during chemotherapy, by contrast, could enable physicians to dynamically optimize the treatment regimen, thereby avoiding unnecessary therapy doses, reducing tissue damage, and improving patient outcomes.

NAC response is typically evaluated with physical exams and radiologic imaging in current clinical practice. Unfortunately, these methods are inadequate predictors of pCR.3 Magnetic resonance imaging (MRI) provides better correlation with pathology than mammography or ultrasound.4 Broadly, functional monitoring techniques offer significantly improved correlation with response relative to structural imaging modalities. Magnetic resonance spectroscopy (MRS)3 contrast-enhanced
MRI\textsuperscript{9} and positron emission tomography (PET)\textsuperscript{10} have predictive value with respect to pCR, but MRI, MRS, and PET all have practical constraints, which limit the frequency of monitoring in clinical care. These limitations include cost, the use of contrast agents, and ionizing radiation for PET.

The present contribution investigates the utility of diffuse optical monitoring for prediction of pCR during NAC and adds an analysis to prior reports of a multicenter trial\textsuperscript{13} Briefly, diffuse optical techniques measure functional hemodynamic properties of tissue with nonionizing near-infrared radiation. These optical methods are relatively low cost and can be employed at the bedside. Furthermore, the technology offers a quantitative tool to predict treatment outcome based on longitudinal measurements during therapy.\textsuperscript{36} Diffuse optical spectroscopic imaging (DOSI) and tomography (DOT) probe deeply, i.e., several centimeters, into tissue and provide information about tissue optical absorption ($\mu_a$) and reduced optical scattering ($\mu'_s$), from which deoxygenated-(HHb) and oxygenated-hemoglobin (HbO\textsubscript{2}) concentrations, as well as lipid and water (H\textsubscript{2}O) concentrations can be deduced.\textsuperscript{16,17} The concentrations of HHb and HbO\textsubscript{2} in turn, are readily utilized to calculate total hemoglobin concentration (HbT) and tissue oxygen saturation (StO\textsubscript{2}). These parameters have been shown to discriminate malignant from healthy tissue in the breast\textsuperscript{18} and several studies have employed DOSI techniques to explore functional changes in malignancies during NAC and have correlated these changes with response to therapy.\textsuperscript{23}

We recently reported the first results of ACRIN-6691, an American College of Radiology Imaging Network (ACRIN) multicenter clinical trial of patients monitored longitudinally by DOSI throughout their NAC regimen.\textsuperscript{13} The primary aim of ACRIN-6691 was to evaluate whether a change in a particular DOSI endpoint, the tissue optical index (TOI), could be used to predict a clinical endpoint, pCR, by the midpoint of NAC, \textasciitilde2 to 3 months after the first infusion. The TOI combines tissue deoxyhemoglobin concentration (HHb), water, and lipid into a single index (see Sec. 3). In that initial study, we reported significant reductions in tumor to normal (T/N) TOI ratios for pCR subjects. A 40\% or greater change in this parameter at midpoint, combined with baseline tumor StO\textsubscript{2} greater than median values (77\%) was shown to be a promising predictor of pCR (AUC = 0.83; 95\% CI: 0.63 to 1).\textsuperscript{13}

In this study, we explore the ACRIN-6691 secondary aim of predicting pCR much earlier in the 3- to 6-month NAC cycle by examining DOSI response parameters within 10 days of therapy initiation. To address this goal, we develop and retrospectively apply \textit{z}-score normalization\textsuperscript{21} and a logistic regression algorithm\textsuperscript{21} to correlate DOSI-measured parameters of malignant breast lesions to subjects’ posttherapy pathologic response status. Our hypothesis is that identification and optimization of this \textit{z}-score DOSI index could predict pCR to NAC at an early timepoint in the course of therapy, providing significant potential for clinical utility.

### 2 Materials and Methods

#### 2.1 Trial Design and Subjects

Data for this study were collected during the ACRIN 6691 multisite trial using a DOSI instrument developed at the University of California, Irvine.\textsuperscript{13} Subjects provided written informed consent, and the HIPAA-compliant protocol and

<table>
<thead>
<tr>
<th>Molecular subtype, n (%)</th>
<th>pCR (N = 15)</th>
<th>Non-pCR (N = 18)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Her2 positive</td>
<td>3 (20)</td>
<td>1 (6)</td>
</tr>
<tr>
<td>HR positive</td>
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<td>2 (11)</td>
</tr>
<tr>
<td>Luminal A</td>
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<td>3 (17)</td>
</tr>
<tr>
<td>Luminal B</td>
<td>6 (40)</td>
<td>11 (61)</td>
</tr>
<tr>
<td>Triple negative</td>
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<td>1 (6)</td>
</tr>
<tr>
<td>Unknown</td>
<td>2 (13)</td>
<td>0 (0)</td>
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<table>
<thead>
<tr>
<th>Age (years)</th>
<th>pCR (N = 15)</th>
<th>Non-pCR (N = 18)</th>
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<tbody>
<tr>
<td>Mean ± SD (range)</td>
<td>49.0 ± 11.6 (30 to 67)</td>
<td>49.4 ± 10.9 (28 to 66)</td>
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</table>

<table>
<thead>
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<th>Menopausal status, n (%)</th>
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<th>Non-pCR (N = 18)</th>
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<tbody>
<tr>
<td>Pre</td>
<td>5 (33)</td>
<td>9 (50)</td>
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<tr>
<td>Peri</td>
<td>1 (7)</td>
<td>2 (11)</td>
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<tr>
<td>Post</td>
<td>9 (60)</td>
<td>7 (39)</td>
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<table>
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<tr>
<th>Maximum tumor size (mm)</th>
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<th>Non-pCR (N = 18)</th>
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<tbody>
<tr>
<td>Mean ± SD (range)</td>
<td>37.9 ± 22.8 (12 to 95)</td>
<td>37.5 ± 18.1 (11 to 75)</td>
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<table>
<thead>
<tr>
<th>Histological findings, n (%)</th>
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<th>Non-pCR (N = 18)</th>
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<tr>
<td>IDC</td>
<td>9 (60)</td>
<td>12 (67)</td>
</tr>
<tr>
<td>ILC</td>
<td>0 (0)</td>
<td>1 (6)</td>
</tr>
<tr>
<td>IDC/DCIS</td>
<td>4 (27)</td>
<td>5 (28)</td>
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<tr>
<td>IDC/LC</td>
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<td>0 (0)</td>
</tr>
<tr>
<td>Unknown</td>
<td>1 (7)</td>
<td>0 (0)</td>
</tr>
<tr>
<td>ER status, n (%)</td>
<td>pCR (N = 15)</td>
<td>Non-pCR (N = 18)</td>
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<tr>
<td>Positive</td>
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<tr>
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<tr>
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<td>2 (13)</td>
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<tr>
<td>PR status, n (%)</td>
<td>pCR (N = 15)</td>
<td>Non-pCR (N = 18)</td>
</tr>
<tr>
<td>Positive</td>
<td>5 (33)</td>
<td>11 (61)</td>
</tr>
<tr>
<td>Negative</td>
<td>8 (53)</td>
<td>7 (39)</td>
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<tr>
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<td>2 (13)</td>
<td>0 (0)</td>
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<tr>
<td>Her2 status, n (%)</td>
<td>pCR (N = 15)</td>
<td>Non-pCR (N = 18)</td>
</tr>
<tr>
<td>1</td>
<td>5 (33)</td>
<td>4 (22)</td>
</tr>
<tr>
<td>2</td>
<td>1 (7)</td>
<td>9 (50)</td>
</tr>
<tr>
<td>3</td>
<td>5 (33)</td>
<td>1 (6)</td>
</tr>
<tr>
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<td>4 (22)</td>
</tr>
</tbody>
</table>

Trial Design and Subjects
Data for this study were collected during the ACRIN 6691 multisite trial using a DOSI instrument developed at the University of California, Irvine.\textsuperscript{13} Subjects provided written informed consent, and the HIPAA-compliant protocol and
informed consent were approved by the American College of Radiology Institutional Review Board, the NCI Cancer Therapy Evaluation Program, and each site’s Institutional Review Board. All 60 enrolled subjects were females between the ages of 28 and 67 with biopsy-confirmed invasive ductal carcinomas and/or invasive lobular carcinomas of at least 2 cm in length along the greatest dimension. For each subject, the chemotherapy regimen was determined by the subject’s physician. Chemotherapy type was not controlled in this study, except that regimens were required to include at least one cytotoxic chemotherapeutic agent.

pCR to therapy was defined as no residual invasive primary carcinoma without regard to residual lymph node disease and was determined for each subject from postsurgery pathology reports. Subjects that achieved partial response were not distinguished from nonresponders because of statistical considerations, i.e., sample size, and due to the previously reported correlation between complete response and improved survival. Table contains demographic information, as well as tumor histology and immunohistochemistry for complete and noncomplete responders.

A number of enrolled subjects were excluded from the final data set. Of these, three subjects withdrew from the study. An additional 13 subjects were not included in the imaging analysis because of the following DOSI scan issues: mandatory baseline DOSI was not performed \((n = 1)\), baseline DOSI was nonevaluable \((n = 8)\), mandatory midtherapy DOSI was not performed \((n = 3)\), or too few normal region points were available \((n = 1)\). A DOSI scan was considered nonevaluable in case of unrealistic physiological values or incorrect instrument configuration. This decision was made on blinded, deidentified data using instrument calibration and raw data QC reports. A flowchart for this exclusion process can be found in Fig. in the Appendix.

![Fig. 1](https://example.com/f1.png)

**Fig. 1** Timeline and schematic of DOSI measurement during NAC. (a) Each enrolled subject underwent NAC for a period of 4 to 6 months. DOSI measurements were made at four timepoints throughout the course of therapy: (1) baseline—prior to the administration of therapy, (2) early—5 to 10 days after the first dose of therapy, (3) midpoint—the midpoint of the therapy regimen, (4) final—at least 7 days after the final dose of therapy and prior to tumor resection. Note that some subjects are missing data at one or more of the nonbaseline timepoints, and the measurements at the final timepoint were not used due to their limited predictive utility. (b) Top left: DOSI instrument and probe. Right: a grid of points, over a surface area ranging from 7 cm × 7 cm to 15 cm × 16 cm, were measured on the lesion-bearing breast. This grid was chosen to encompass both the tumor and a portion of the surrounding healthy tissue. The grid of points was marked using a transparency, which was then used to mirror the grid for measurements on the contralateral breast. The transparency was also used to ensure consistent measurement locations across all timepoints. The tumor region was chosen to be all contiguous points with magnitude greater than half of the maximum TOI measurement. The tumor-bearing breast normal region was defined as all points outside the tumor region and areola, excluding a 1-cm margin around both the tumor and areola. The contralateral breast normal region was defined as all measured points, excluding the areola and a 1-cm margin around the areola. Bottom left: a sample DOSI image of the TOI contrast mapped onto a 3-D breast surface (see Sec. 3).
2.2 Optical Imaging Methods

The DOSI instrument used in this study combines multispectral frequency-domain and broadband diffuse optical spectroscopy to measure tissue concentrations of oxygenated hemoglobin (HbO2), deoxygenated hemoglobin (HHb), water (H2O), and lipid, as well as the tissue scattering amplitude (A) and power (b), as defined by a simplified Mie scattering model. The combination of these measured parameters permits calculation of total tissue hemoglobin concentration (HbT = HbO2 + HHb), tissue oxygen saturation (StO2 = HbO2/HbT), and the tissue reduced scattering coefficient (µr). For a full description of the DOSI method and instrument performance in the multicenter ACRIN-6691 trial, see Ref. [9].

The DOSI instrument measured subjects using a handheld probe (handpiece) placed in contact with the patient’s breast. Four timepoints were acquired throughout the course of each patient’s NAC regimen (see Fig. 1). The first measurement (baseline) occurred prior to the first dose of chemotherapy. The second measurement, which is referred to as the early measurement timepoint, was performed between 5 and 10 days after the first chemotherapy treatment. The third measurement (midpoint) occurred in the middle of the therapy regimen, and a final measurement was made after the completion of therapy but prior to tumor resection. During each subject’s baseline measurement, a grid of ~50 to 240 points that encompassed both the palpated tumor region and the surrounding normal tissue was measured on the lesion-bearing breast. A mirrored grid of points was measured on the contralateral breast (see Fig. 1). These measurement grids were recorded using a hand-marked transparency film that was produced for each subject in order to guide DOSI handpiece placement to the grid points during each measurement session as previously described.[12]

2.3 Statistical and Analytic Methods

In this study, we trained a logistic regression algorithm to discriminate between responders and nonresponders based on DOSI-measured parameters (list of parameters available in Table 2 in the Appendix). The tumor region for each subject was determined using a TOI [TOI = (HHb · H2O)/lipid]. This TOI parameter has been empirically shown to differentiate malignant tissue from normal tissue in the breast.[19] The full-T0I parameter has been empirically shown to differentiate between responders and nonresponders based on the healthy tissue standard deviation. A concrete example of this statistical transformation scheme is shown in Fig. 2 with the healthy tissue standard deviation. It also more fully accounts for the intersubject systemic variations by finding the difference of each parameter from the mean value of the normal (healthy) region. Zj is then the tumor region z-score relative to the healthy tissue for the jth parameter. Each Zj parameter was averaged over all spatial points in the tumor region for a given subject and timepoint. As a result, the logistic regression algorithms can utilize a single tumor quantity for each subject, for each timepoint, and for each measured parameter.

Thus every predictor data point used in the regression model is measured in units of standard deviations from the mean of a given parameter in healthy tissue. In addition to transforming all parameters to be approximately the same magnitude, this method better accounts for the intersubject systemic variations by finding the difference of each parameter from the mean value of the normal (healthy) tissue. It also more fully accounts for intrasubject variation in healthy tissue by normalizing with the healthy tissue standard deviation. A concrete example of this statistical transformation scheme is shown in Fig. 3 for early timepoint tissue oxygen saturation. In this study,

\[
Z_j = \frac{\ln X_j - \langle \ln X_{\text{j,norm}} \rangle}{\sigma[\ln X_{\text{j,norm}}]}.
\]

Here, \(X_j\) is the unnormalized jth measured parameter in the tumor region, \(X_{\text{j,norm}}\) is the unnormalized jth measured parameter in the normal (healthy) region of the tumor-bearing breast, \(\langle \ln X_{\text{j,norm}} \rangle\) represents the mean over all points in the normal (healthy) region, and \(\sigma[\ln X_{\text{j,norm}}]\) represents the standard deviation over all points in the normal (healthy) region. \(Z_j\) is then the tumor region z-score relative to the healthy tissue for the jth parameter. Each \(Z_j\) parameter was averaged over all spatial points in the tumor region for a given subject and timepoint. As a result, the logistic regression algorithms can utilize a single tumor quantity for each subject, for each timepoint, and for each measured parameter.
we explored z-score normalization schemes that defined the normal region as either the healthy breast (excluding the areola) or all tissue on the lesion breast outside a certain margin of the tumor region (excluding the areola). See Fig. 1 for a graphical representation of these different normalization regions.

In the logistic regression framework, a response parameter for a given model is defined as

\[ R_i = \beta_o + \sum_{j=1}^{N_j} \beta_j \cdot Z_{ij}, \tag{2} \]

Here, \( R_i \) is the given model’s log odds of response for the \( i \)’th subject, \( \beta_o \) is the intercept term of the fitted weight vector, \( \beta_j \) is the weighting term for the \( j \)’th measured parameter used in the model, \( Z_{ij} \) is the z-score for the \( j \)’th measured parameter of the \( i \)’th subject, and \( N_j \) is the number of parameters used in a particular model. The full weight vector \( \tilde{\beta} \) is

\[ \tilde{\beta} = [\beta_o, \beta_1, \ldots, \beta_{N_j}]. \tag{3} \]

The \( \tilde{\beta} \) weight vector is fit using MATLAB’s native logistic regression function, mnrfit. The response parameter \( R \) can then be transformed into a probability of response parameter \( P_R \) using a logistic function

\[ P_R = \frac{1}{1+e^{-R}}. \tag{4} \]

The parameter \( P_R \) represents the probability that a subject will achieve pCR. It has a range from 0 to 1, and it can readily be used to predict each subject’s status as either a pathologic complete responder, or noncomplete responder, depending on threshold levels.

Because we are working with a small dataset, we employed a leave-one-out validation protocol to test the regression model. Briefly, a series of logistic regression models are created for each parameter set we wish to test, and each of these models leaves one of the subjects out of the dataset (see Fig. 3). The weight vector created by each of these models \( \tilde{\beta}_i \) is the weight vector created when the \( i \)’th subject is left-out; it is used to produce a probability of response prediction for the \( i \)’th subject \( (P_{R_i}) \), which is independent of the \( \tilde{\beta} \) model. This well-known

![Fig. 3 Data analysis flowchart. (1) Data processing—measured quantities at all spatial points and all n subjects across the first three timepoints are first divided into tumor and normal (healthy) regions (see Fig. 1). All tumor points are then z-score normalized to their respective normal (healthy) regions (see Eq. 1), and the mean is taken for a given subject and timepoint. Finally, one-, two-, or three-model parameters are chosen from among the combinations of measured quantities and timepoints as model inputs. (2) Leave-one-out logistic regression—a set of n logistic regression algorithms are performed, each of which leaves out a single subject from the training data and produces a \( \tilde{\beta} \) weight vector. Each \( \tilde{\beta} \) is then used to calculate the probability of response for the subject left out of the given training set [see Eqs. 2 and 4]. (3) Model evaluation—ROC analysis is performed using the calculated \( P_{R_i} \) values to determine the AUC and a median weight vector \( \tilde{\beta} \) is calculated from the n resulting \( \tilde{\beta} \) vectors.](image-url)
approach provides the most robust and least biased validation
given our sample size, which precludes the use of a significantly
large independent test set. For completeness, we compared the
leave-one-out protocol to other methods. For example, we also tested k-fold cross validation with k = 3, 5, and 10;
these schemes produced $\hat{\beta}$ vectors and AUC values that were
similar to those of the leave-one-out protocol.

The quality of the resultant models was empirically deter-
mined using DeLong’s method for the area under the curve
(AUC) and 95% confidence interval of a receiver-operating-
characteristic (ROC) analysis graph for the $P_R$ parameter. The
ROC analysis is performed using each of the individual
leave-one-out models, and the reported weight vector $\hat{\beta}$ will
be the median $\beta$ from the series of models created for each
parameter set, with the interquartile range (IQR) of these models
reported as uncertainty. We also calculated a single-logistic
regression model run across the entire dataset; it produced
very similar $\hat{\beta}$ vectors to the median $\beta$ vector approach described
above.

Models based on the z-scores of each single measured
parameter (HbB, HbO2, lipid, H2O, HbT, S2O2, and TOI) at
the baseline, early, and midpoint timepoints were tested, and
the most predictive models were chosen using the AUC
value as a criterion. To explore any additional benefit from
multivariate models, combinations of two and three measured
parameters were also evaluated. Models with more than three
parameters were not tested to avoid overfitting. Data from
the final timepoint were not used because our focus in this
work is on early diagnosis.

Other, more commonly used, normalization methods were
also tested to demonstrate the improvement in predictive ability
provided by z-score normalization. These comparisons included
tumor-to-normal ratio normalization without information about
the normal tissue heterogeneity, as well as raw tumor physi-
ological values without normalization, and baseline-normalized
values, which represent changes in the measured parameters
over the course of the therapy regimen. All statistical analysis
was performed using MATLAB R2015a (The Mathworks, Inc.,
Natick, Massachusetts, USA).

3 Results

The final data set was derived from $n = 33$ subjects who had
complete data sets at the baseline and midpoint timepoints.
For models that used measured parameters from the early
timepoint, slightly fewer subjects were used ($n = 29$) due to missing
data at this timepoint. All subjects had biopsy-confirmed invasive
carcinomas and underwent an NAC regimen determined by
their physicians.

For the logistic regression algorithm, z-score normalization
to the healthy tissue on the lesion breast, as opposed to normali-
ization to the contralateral breast, produced more predictive mod-
els. Recall that we derive z-score data for multiple data types
(HbO2, HbB, HbT, S2O2, H2O, and lipid) at multiple timepoints
(baseline, early, and midpoint) (all data available in Table 3 in
the Appendix). The single best regression model used only
the early timepoint tissue oxygen saturation ($\epsilon$S2O2). The
weight vector for this model was $\hat{\beta} = [\beta_o = 0.79 \pm 0.09,
\beta_{\epsilon S2O2} = 2.29 \pm 0.04]$. This finding suggests that, at early
timepoints, tumors that are not hypoxic relative to the surrounding
normal tissue, or tumors that are only slightly hypoxic and
within the normal region’s confidence interval, are more likely
to be pathologic complete responders to NAC. By contrast,
tumors that were significantly hypoxic relative to the normal
tissue were likely to be nonresponders (see Fig. 4 for data sum-
mary in traditional units). When ROC analysis was performed,
this model produced an AUC = 0.92 with a 95% confidence
interval of AUC = 0.82 to 1 (see Fig. 5). Additionally, the
small uncertainties of the $\hat{\beta}$ components, relative to the
median, indicate that the fitted $\hat{\beta}$ did not vary significantly
across the leave-one-out validation protocol.

Two- and three-parameter models did not improve upon the
single-parameter model AUC. Higher-order models, e.g., four-
parameter, were not considered in order to avoid overfitting
of the data.

Notably, in addition to the early timepoint oxygen saturation,
a two-parameter model using only baseline data provided an
AUC = 0.83 with a 95% confidence interval of AUC = 0.70
to 0.97, thus enabling an even earlier prediction of a subject’s
pCR status, albeit with lower accuracy than the early timepoint
oxygen saturation. This two-parameter model incorporated
the baseline oxygen saturation (bS2O2) and water concentra-
tion (H2O), and the median weight vector was $\hat{\beta} = [\hat{\beta}_o = 0.14 \pm 0.09, \hat{\beta}_{b S2O2} = 1.69 \pm 0.06, \hat{\beta}_{b H2O} = 0.65 \pm 0.03]$. Again,
the uncertainties in the $\hat{\beta}$ components for H2O and S2O2 are small, signifying a consistent fitted model across

![Early timepoint tumor oxygen saturation model](image_url)

**Fig. 4** Tumor and normal S2O2 versus probability of response. This
graph shows the probability of response predicted by the regression
model using only early timepoint S2O2 (see Fig. 3). Contour lines of
constant probability are also included. The probability of response
(shading) is plotted versus the difference between the absolute
tumor region percent oxygen saturation and the absolute normal
region percent oxygen saturation (horizontal axis), and the size of
the confidence interval for the absolute normal region oxygen satura-
tion, corresponding to one standard deviation in the log-transformed
data (vertical axis). Note that the oxygen saturation in this figure is
not log-transformed or z-score normalized. Each cross represents
a subject that was a pathologic complete responder while each circle
indicates a nonresponding subject. All subjects that had tumor
regions with absolute oxygen saturations that were higher than their
normal regions achieved pCR. Subjects whose tumor regions were
only slightly hypoxic relative to their normal regions were more likely
to achieve pCR if the subjects’ normal regions had larger confidence
intervals. These observations indicate that a subject is likely to
be a pathologic complete responder if the oxygen saturation of the
tumor region is either higher than that of the normal region or
well within the normal region’s confidence interval. A subject whose
tumor was significantly hypoxic relative to the normal tissue was likely
to be a nonresponder.
4 Discussion

By application of a logistic regression model using z-score normalized DOSI measurements, we derived a robust predictor of response (AUC = 0.92; 95% CI: 0.82 to 1) within the first 10 days after a subject’s initial chemotherapy dose. Using an optimally chosen cutoff value of \( P_R = 0.50 \), which maximizes the sum of the sensitivity and specificity, this model provided an overall classification accuracy of 86% (25 of 29 subjects), including a positive predictive value of 79% for subjects predicted to achieve pCR (11 of 14), and a negative predictive value of 93% for subjects predicted to not achieve pCR (14 of 15). Prediction of response at this therapy timepoint was a secondary aim of the ACRIN 6691 protocol\(^4\) and could, with further validation, enable clinicians to modify the patient’s therapeutic plan after a single dose. This ability holds potential to improve patient outcomes and prevent unnecessary side effects from ineffective treatments.

The best model indicated that low \( S_O^2 \) at the early timepoint relative to the surrounding normal tissue was predictive of nonresponse to chemotherapy. This observation suggests that tumors that are well-perfused in the early stages of treatment, and therefore are not hypoxic relative to healthy tissue, may receive chemotherapy more efficiently. Such tumors are also typically more responsive to therapy than hypoxic tumors, which often exhibit resistance to treatment\(^5\). Additionally, the lack of hypoxia in complete responders could indicate a decreased oxygen demand due to suppression of tumor metabolism, a condition previously shown to be correlated with response to therapy\(^6\).

Additionally, the two-parameter model using only the baseline \( S_O^2 \) and water concentration (AUC = 0.83; 95% CI: 0.70 to 0.97) also indicated that higher \( S_O^2 \) is correlated with pCR. Though the AUC value is lower for this model compared to the early timepoint \( S_O^2 \) model, prediction of response prior to the initiation of therapy offers additional clinical utility. These models are also consistent with previous studies, which have observed correlation between pCR and optically measured tissue oxygen saturation prior to the start of therapy\(^7\) and after the first dose\(^8\).

Previous diffuse optical studies of response to breast cancer NAC have correlated temporal changes in measured physiological parameters with response to treatment\(^9\). We compared our technique to this approach in the current study. However, even the most predictive of the models derived in this analysis that used the change in DOSI physiological parameters between the baseline and early timepoints only produced an AUC = 0.63. The temporal change models of \( S_O^2 \), in particular, could be limited by the large intersubject dispersion of the baseline oxygen saturation: this large dispersion prevents the change in \( S_O^2 \) from the baseline to early timepoint from accurately reflecting the oxygenation state of the tumor relative to the normal region. By contrast, the model we have presented in this contribution does not depend on the baseline \( S_O^2 \) and, as such, is not affected by intersubject baseline variation.

Z-score normalization was implemented to place all parameters on the same magnitude scale, which mitigates systemic physiological differences among the subject population and accounts for the systemic effects of chemotherapy. For comparison, we also investigated models that used fully unnormalized data and tumor-to-normal ratio normalization. However, since neither model incorporates healthy tissue standard deviation, neither model accounts for the heterogeneity of normal tissue. With tumor-to-normal ratio normalization, a one-parameter model with early timepoint \( S_O^2 \) produced an AUC = 0.80, and the two-parameter model with baseline timepoint \( S_O^2 \) and \( H_2O \) produced an AUC = 0.67. The AUC values for the same models but with no normalization were even lower (AUC = 0.75 and AUC = 0.67, respectively). Thus z-score normalization improves the predictive power of the tissue oxygen saturation logistic regression models.

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For completeness, several other models were explored that did not incorporate the baseline or early $S_cO_2$. Some of these produced predictions of response to therapy that were significant (AUC = 0.75 to 0.80). However, in addition to having lower AUC values, these other models relied on data from the midpoint timepoint, which increases the time-to-prediction of response by ~2 months. Furthermore, the early timepoint measurements typically occur before significant anatomic changes in tumor size arise. This feature enables the DOSI measurement to sample known tumor tissue more easily; at the midpoint of therapy, by contrast, the tumor size has decreased and signal contamination between the malignant and healthy tissue can occur and limit the ability of DOSI to determine tumor physiological parameters accurately. Note also that the physiological predictions of these other models were consistent with our two primary prediction models.

Another interesting and potentially important finding of the present work is that the best models used z-score normalization to the normal tissue on the lesion breast rather than the contralateral breast. If, instead, the contralateral breast was used, our one-parameter early $S_cO_2$ model produced an AUC = 0.67, and the two-parameter model with baseline $S_cO_2$ and $H_2O$ produced an AUC = 0.64. The comparatively better quality of the tumor breast z-score normalized models suggests that measurement of the contralateral breast is less important for early prediction of response to therapy than previously thought. If this is true, then the paradigm could eliminate the need for contralateral measurement and reduce imaging time.

The results we have presented provide evidence for early prediction of response with AUC values that are comparable to other modalities, such as MRI, FDG-PET, and biomarker analysis. Some of these studies produced predictions prior to or within the first 10 days of treatment initiation, whereas other approaches relied on imaging that occurred either after 6 weeks of NAC or after the completion of NAC. The potential advantage of the logistic regression DOSI model is premised on its unique combination of accurate prediction at an early timepoint in therapy and its portability, low cost, and lack of ionizing radiation.

The primary limitations of this study are the relatively small number of subjects and the highly variable chemotherapy regimens across the subject population. Additionally, the initial study had a fairly high dropout rate, introducing a potential bias into the statistical analysis. The dropout rate is likely to be artificially elevated in this study due to the difficulties inherent in translating an experimental imaging technique into a multisite setting for the first time. We do not anticipate that these issues will affect the DOSI technique moving forward. Finally, although the initial ACRIN 6691 trial was a prospective study, this z-score parameter imaging metric was retrospectively optimized using a standard leave-one-out protocol for multiple potential models. The leave-one-out technique limits overfitting and enhances the generalizability of the prediction metric. It has been extensively used by the cancer community. Of course, a fully prospective validation of this single prediction model, as opposed to the series of models tested here, will be necessary prior to clinical adoption.

Per the first limitation noted above, application of this model to a prospective study with a larger subject population is a natural course of action. Importantly, because the DOSI instrumentation has been shown to provide consistent performance over time, across multiple instruments, and across multiple measurement sites, we anticipate that the weight vector derived for the early timepoint $S_cO_2$ (see Fig. 3) could be used with z-score normalized measurements in future DOSI studies to calculate a probability of response, i.e., without creating a logistic regression model for each population. In this case, the future study would serve as a direct, independent test set for the results obtained by our current model. Additionally, a logistic regression could also be run on this larger data set to derive an improved prediction model based on a larger training set. If a future study was performed on a significantly different patient population, e.g., patients with tumors in nonbreast tissue, then deriving a weight vector via logistic regression would likely be beneficial.

In addition to providing evidence to further corroborate the results of this pilot investigation, the larger subject population may enable stratification of the subject population by tumor subtype and/or chemotherapy regimen. Our current results are reported for a diverse patient population, various tumor molecular subtypes, and an assortment of chemotherapy regimens (see Table 2). Tumor subtypes may have different levels of tissue oxygen saturation and may respond to chemotherapy differently. The physiological mechanisms of chemotherapy regimens also vary. Thus, especially for parameters at the early timepoint, response prediction might be improved by creating individual models for different classes of chemotherapy and/or different tumor subtypes. Also, independent hypoxia biomarkers, such as carbonic anhydrase IX, and measurements of vascular density, such as CD31 staining or DCE-MRI, can be collected at similar timepoints and may enable better understanding of the mechanisms responsible for correlations between tissue oxygen saturation and response. Exploration of these questions should be possible in a larger study.

5 Conclusion

Logistic regression modeling of z-score normalized physiological parameters measured by DOSI was presented and found to predict pCR to NAC. The best model successfully predicted pCR (AUC = 0.92; 95% CI: 0.82 to 1) using tumor and normal tissue oxygen saturation measured within the first 10 days after the initial dose of therapy based on data from the ACRIN 6691 clinical trial. This model suggests that if tumors are hypoxic relative to the surrounding normal tissue, then they are less likely to achieve pCR. These early predictions of therapeutic efficacy are based on quantitative DOSI measurements of tumor (and normal) tissue functional parameters, rather than changes in tumor size, and the z-score normalization of the tumor physiological data yielded improved prediction models compared to tumor-to-normal ratio or unnormalized data. Prospective validation is still needed to confirm these promising results. With this validation, DOSI and logistic regression methods could be used early in NAC to optimize treatment outcomes for individual patients.

Appendix

This appendix contains details about the subject exclusion criteria (Fig. 6) and a more complete accounting of measured z-score parameters for responders and nonresponders at all timepoints (Tables A and B).
Disclosures

B. J. Tromberg reports intellectual property related to DOSI breast imaging assigned to UC Regents and licensed by Infit, Inc. D. R. Busch and A. G. Yodh have two pending patent applications and A. G. Yodh has two other patents relevant to this work (United States patents 8,082,015 and 6,076,010). Some of these patents have been licensed to private companies, but neither Dr. Yodh and Dr. Tromberg nor any of the other authors have a financial interest in common with these entities. The other authors have indicated no financial conflicts of interest.

Acknowledgments

Funding for this study was provided through grants from the American College of Radiology Imaging Network, which receives funding from the National Cancer Institute (Nos. U01-CA079778 and U01-CA080098); the National Institutes of Health (Nos. P41-EB015893, R01-NS060653, R01-EB002109, R01-CA142989, P41-EB015890, U54-CA136400, T32-HL007915, R01-NS072338, and R01-NS082309-01A1); the Chao Family Comprehensive Cancer Center (No. P30-CA62203); the Thrasher Research Foundation; the Arnold and Mabel Beckman Foundation; and the June and Steve Wolfson Family Foundation. The diffuse optical spectroscopic imaging instrumentation used in this study was constructed in a university laboratory using federal grant support (NIH). The authors thank the entire ACRIN staff for their generous support in completing this study, including Donna Hartfeil, Sharon Mallet, and Dunstan Horng; UCI coordinators Montana Compton, Erin Sullivan, and Jennifer Ehren; UCI engineers Amanda Durkin and Brian Hill; UPenn coordinators Ellen Foster, Madeline Winters, and Sarah Grundy, Dr. Angela DeMichele and Dr. Julia Tchou, clinical coordinators at all sites, all clinicians who contributed to subject recruitment, and the patients who generously volunteered their time for this study.

Table 2  Definitions of measured DOSI parameters and their methods of calculation. HHb, HbO₂, lipid, and H₂O concentration are all fit directly using the measured intensities throughout the wavelength range. HbT, StO₂, and TOI are all derived from the fit parameters.

<table>
<thead>
<tr>
<th>Parameter</th>
<th>Meaning</th>
<th>Calculation Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>HHb</td>
<td>Deoxy-hemoglobin concentration</td>
<td>Multispectral fit of absorption</td>
</tr>
<tr>
<td>HbO₂</td>
<td>Oxy-hemoglobin concentration</td>
<td>Multispectral fit of absorption</td>
</tr>
<tr>
<td>Lipid</td>
<td>Lipid concentration</td>
<td>Multispectral fit of absorption</td>
</tr>
<tr>
<td>H₂O</td>
<td>Water concentration</td>
<td>Multispectral fit of absorption</td>
</tr>
<tr>
<td>HbT</td>
<td>Total hemoglobin concentration</td>
<td>HbT = HHb + HbO₂</td>
</tr>
<tr>
<td>S₁O₂</td>
<td>Tissue oxygen saturation</td>
<td>S₁O₂ = HbO₂/HbT</td>
</tr>
<tr>
<td>TOI</td>
<td>Tissue optical index</td>
<td>TOI = (HHb - H₂O₂)/lipid</td>
</tr>
</tbody>
</table>
Table 3 Median z-score values with IQRs for each measured parameter and timepoint, separated by pCR status.

<table>
<thead>
<tr>
<th></th>
<th>Baseline median z-score (IQR)</th>
<th>Early median z-score (IQR)</th>
<th>Midpoint median z-score (IQR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>HbO₂</td>
<td>1.5 (1.1, 1.8)</td>
<td>1.0 (0.4, 1.9)</td>
<td>1.4 (0.8, 1.7)</td>
</tr>
<tr>
<td>HbB</td>
<td>2.2 (1.5, 2.7)</td>
<td>1.9 (1.5, 4.0)</td>
<td>1.5 (1.0, 1.9)</td>
</tr>
<tr>
<td>HbT</td>
<td>1.8 (1.5, 2.4)</td>
<td>1.4 (0.8, 2.2)</td>
<td>1.4 (0.8, 1.8)</td>
</tr>
<tr>
<td>S⁰O₂</td>
<td>−0.2 (−0.8, 0.1)</td>
<td>−1.8 (−2.3, −0.8)</td>
<td>0.4 (−0.3, 0.5)</td>
</tr>
<tr>
<td>H⁰₂O</td>
<td>2.1 (1.5, 2.8)</td>
<td>1.8 (1.2, 3.1)</td>
<td>1.5 (1.3, 2.3)</td>
</tr>
<tr>
<td>Lipid</td>
<td>−1.8 (−2.9, −1.4)</td>
<td>−1.4 (−2.5, −0.1)</td>
<td>−1.0 (−1.8, −0.6)</td>
</tr>
<tr>
<td>TOI</td>
<td>3.0 (1.7, 3.8)</td>
<td>2.4 (1.6, 4.1)</td>
<td>1.7 (1.2, 2.4)</td>
</tr>
</tbody>
</table>

References

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