

# 

**Citation:** Lee B-J, Kim H-Y, Lim SR, Huang L, Choi H-K (2017) Discrimination and prediction of cultivation age and parts of *Panax ginseng* by Fourier-transform infrared spectroscopy combined with multivariate statistical analysis. PLoS ONE 12 (10): e0186664. https://doi.org/10.1371/journal. pone.0186664

**Editor:** Xiao-Jun Yang, China University of Mining and Technology, CHINA

Received: May 18, 2017

Accepted: October 5, 2017

Published: October 19, 2017

**Copyright:** © 2017 Lee et al. This is an open access article distributed under the terms of the <u>Creative</u> Commons Attribution License, which permits unrestricted use, distribution, and reproduction in any medium, provided the original author and source are credited.

**Data Availability Statement:** All relevant data are within the paper and its Supporting Information files.

**Funding:** This work was supported by the National Research Foundation of Korea (NRF) grant funded by the Korean government (MSIP) (NRF-2015R1A5A1008958) and by Korea Institute of Planning and Evaluation for Technology in Food, Agriculture, Forestry and Fisheries (IPET) through Advanced Production Technology Development RESEARCH ARTICLE

# Discrimination and prediction of cultivation age and parts of *Panax ginseng* by Fouriertransform infrared spectroscopy combined with multivariate statistical analysis

#### Byeong-Ju Lee<sup>1</sup><sup>©</sup>, Hye-Youn Kim<sup>1</sup><sup>©</sup>, Sa Rang Lim<sup>1</sup>, Linfang Huang<sup>2</sup>, Hyung-Kyoon Choi<sup>1</sup>\*

1 Bio-Integration Research Center for Nutra-Pharmaceutical Epigenetics, College of Pharmacy, Chung-Ang University, Seoul, Republic of Korea, **2** Institute of Medicinal Plant Development, Chinese Academy of Medical Sciences, Peking Union Medical College, Beijing, China

So These authors contributed equally to this work.

\* hykychoi@cau.ac.kr

## Abstract

Panax ginseng C.A. Meyer is a herb used for medicinal purposes, and its discrimination according to cultivation age has been an important and practical issue. This study employed Fourier-transform infrared (FT-IR) spectroscopy with multivariate statistical analysis to obtain a prediction model for discriminating cultivation ages (5 and 6 years) and three different parts (rhizome, tap root, and lateral root) of P. ginseng. The optimal partial-least-squares regression (PLSR) models for discriminating ginseng samples were determined by selecting normalization methods, number of partial-least-squares (PLS) components, and variable influence on projection (VIP) cutoff values. The best prediction model for discriminating 5and 6-year-old ginseng was developed using tap root, vector normalization applied after the second differentiation, one PLS component, and a VIP cutoff of 1.0 (based on the lowest root-mean-square error of prediction value). In addition, for discriminating among the three parts of P. ginseng, optimized PLSR models were established using data sets obtained from vector normalization, two PLS components, and VIP cutoff values of 1.5 (for 5-year-old ginseng) and 1.3 (for 6-year-old ginseng). To our knowledge, this is the first study to provide a novel strategy for rapidly discriminating the cultivation ages and parts of P. ginseng using FT-IR by selected normalization methods, number of PLS components, and VIP cutoff values.

## Introduction

*Panax ginseng* C.A. Meyer is one of the most valuable perennial herbs belonging to the family Araliaceae. *P. ginseng* has been used as a herbal remedy in eastern Asia for at least 2000 years due to its therapeutic effects [1], which are attributable to anticancer [2–4], antidiabetic [5,6], antistress [7,8], antioxidant [9,10], and immunomodulatory [11,12] activities. It was revealed that the pharmacological effects of *P. ginseng* vary according to its cultivation age and the parts



Program, funded by Ministry of Agriculture, Food and Rural Affairs (MAFRA) (316081-04).

**Competing interests:** The authors have declared that no competing interests exist.

used. Compared to young plants, aged *P. ginseng* plants exert stronger anticarcinogenic effects against lung tumors in mice [13]. The content of ginsenosides, which are the main active compounds of ginseng, was highest in the root hairs [14]. The different parts of ginseng including the tap root, lateral roots, rhizome head, and skin have different properties and medicinal values [15]. Quality assessments of *P. ginseng* root are important since its content of bioactive compounds varies with the cultivation age [16]. Authentication of *P. ginseng* has been mainly performed by assessing the ginsenoside content, morphological characteristics, smell, or taste [17]. Therefore, a more reliable objective method is needed for discriminating the cultivation ages and parts of *P. ginseng*.

Metabolomics can provide a comprehensive profile of all the metabolites present in an organism, and hence can be a valuable tool for quality control and discrimination [18,19]. Various studies have investigated the discrimination of *P. ginseng* by using liquid chromatography-quadrupole time-of-flight mass spectrometry [20], high-performance liquid chromatography [21,22], and nuclear magnetic resonance [23,24]. Fourier-transform infrared (FT-IR) spectroscopy is a rapid, reagentless, nondestructive, and high-throughput analytical technique that is widely used in metabolomics and metabolic fingerprinting [25]. Twodimensional correlation infrared (2D-IR) and FT-IR spectroscopy have been used to discriminate plants with distinct geographical origins-from Beijing, Toronto, Vancouver, Wisconsin, and the American wild-type ginseng [26]. These two spectroscopy techniques were also used to discriminate various grades of cultivated ginseng species, namely transplanted, garden, and mountain cultivation [27]. Liu et al. successfully used FT-IR and 2D-IR spectroscopy to classify cultivated, mountain wild, and mountain cultivated ginseng based on their contents of starch, calcium oxalate, and fatty acids [28]. Yap et al. proposed discriminating Asian and American ginseng using an FT-IR-based protocol that utilized second-derivative spectral data between 2000 and 600 cm<sup>-1</sup> [29]. Kwon et al. used FT-IR analysis of leaves of three cultivars to discriminate ginseng with different cultivation ages (1, 2, and 3 years) [30]. However, these previous studies that utilized FT-IR spectroscopy did not consider or optimize the data processing methods.

Prediction models constructed using multivariate statistical analysis are affected by various factors including the normalization method, the number of partial-least-squares (PLS) components, and the variable influence on projection (VIP) cutoff value. These factors can be adjusted to construct a more suitable model. Since FT-IR spectra can be affected by differences in sample thickness and particle size [31,32], the measured spectra should be normalized to reduce the variance and for standardization. The normalization methods are categorized as two types depending on the presence (minimum–maximum [min–max] normalization) or absence (area normalization and vector normalization) of reference peaks [33]. The prediction accuracy of a model is known to be affected by the number of PLS components, which means that the most appropriate number of PLS components needs to be determined in order to avoid the construction of underfitted (too few components) and overfitted (too many components) models [34]. In addition, VIP cutoff values can be selected to choose variables for optimizing PLS models [35].

To the best of our knowledge, no previous study has attempted to discriminate cultivation ages and parts of *P. ginseng* by using FT-IR spectroscopy based on optimal normalization methods, the number of PLS components, and VIP cutoff values. The objectives of this study were to propose optimal partial-least-squares regression (PLSR) models for discriminating ginseng samples according to cultivation ages and parts by selecting variables based on normalization methods, the number of PLS components, and VIP cutoff values.

### Materials and methods

#### Plant materials and sample preparation

Twenty-four roots of *P. ginseng* C.A. Meyer (12 five-year-old and 12 six-year-old *P. ginseng* 'Yunpoong') were obtained from the Medicinal Crop Research Institute (Eumseong, Republic of Korea) in October 2014 (S1 Fig). The YP cultivar was registered in the Korea Seed and Variety Service (http://www.seed.go.kr) and cultivated in accordance with the "Ginseng GAP standard cultivation guide" developed by the Rural Development Administration (Republic of Korea).

The root samples of *P. ginseng* were washed with tap water, and were dissected into three parts based on ambient conditions: tap roots, rhizomes, and lateral roots. Each part from individual samples from each age group (5-year-old YP and 6-year-old YP) were instantly frozen in liquid nitrogen and stored at  $-80^{\circ}$ C. After freeze-drying, the samples were ground into a fine powder by using mortar and pestle and stored at  $-80^{\circ}$ C for further analysis.

### FT-IR analysis and spectral data preprocessing

*P. ginseng* powder (20 mg) was filtered through a sieve, and loaded onto IRTracer-100 spectrometer (Shimadzu Corp., Kyoto, Japan) equipped with an attenuated total reflection (ATR) accessory for recording the FT-IR spectrum. All of the FT-IR spectra were obtained using Lab-Solutions IR software (Shimadzu Corp., Kyoto, Japan). Sixty-four scans were recorded to improve signal-to-noise ratio and averaged for analytical results. Each spectrum was collected in wavenumber range from 4000 to 650 cm<sup>-1</sup> with a spectral resolution of 4 cm<sup>-1</sup>. Six analytical replicates of FT-IR spectral data were obtained.

FT-IR spectra were differently processed using various normalization methods, such as area normalization, minnimum-maximum normalization, and vector normalization [33,36]. In vector normalization, all spectra were converted from transmittance to absorbance. FT-IR absorbance spectra was converted into first and second derivative (Savitzky-Golay derivative and 9 smoothing points) using OMNIC software (version 8.2.0.387; Thermo scientific, Waltham, Massachusetts, USA). In case of vector normalization, the Euclidean norm was used to normalize absorbance values of the spectra. Absorbance values of spectral data were divided by the Euclidean norm to calculate vector normalization value. In area and minimum-maximum normalizations, all spectra were converted from transmittance to absorbance, and then ATR correction was conducted using OMNIC software. The water vapor region (4000-3500 cm<sup>-1</sup>) and two CO<sub>2</sub> region (CO<sub>2</sub> region 1; 2442–2208 cm<sup>-1</sup>, CO<sub>2</sub> region 2; 914–600 cm<sup>-1</sup>) were removed in all FT-IR spectral data using Microsoft Office Excel (version 2013; Microsoft, Redmond, WA, USA) [37]. For area normalization, each absorbance value at specific wavenumber was divided by total (integral) absorbance area of the spectrum. For min-max normalization, each absorbance value was divided by the difference between the highest and the lowest absorbance values.

#### Multivariate statistical analysis

For the multivariate statistical analysis, the preprocessed FT-IR spectral data were imported into the SIMCA-P+ software (version 13.0; Umetrics, Umeå, Sweden) for principal component analysis (PCA), partial least squares-discriminant analysis (PLS-DA), and PLSR. All FT-IR spectral data were subjected to unit variance and pareto scaling. Cross-validation (internal validation) was used to minimize overfitting and give an estimation of the predictive capability of the PLS-DA models. The  $Q^2$  (predicted variation, "goodness of predictability") and  $R^2$  (explained variation, "goodness of fit") parameters were used to evaluate the models. Permutation test was performed 400 times using the SIMCA-P+ software. The PLSR models were validated to assess the predictive power with R<sup>2</sup>Y and Q<sup>2</sup>Y using cross-validation. Training set and test set were needed to perform cross-validation. Regression models were created by using training sets, and model's predictive ability was verified by test sets. Grinded ginseng powder were used to obtain six replicated FT-IR spectral data. Five replicated data was used for PLS as a training set, and remained 1 data was employed as a test set for validation. After cross-validation, the statistical significance of PLSR models was assessed using permutation test parameters such as R<sup>2</sup>Y intercept and Q<sup>2</sup>Y intercept.

#### **Results and discussion**

#### Band assignment in FT-IR spectra

Various bands from representative FT-IR spectra of P. ginseng are shown in Fig 1, and Table 1 lists the assignment of each wave number to the corresponding functional groups. The band between 4000 and 3500 cm<sup>-1</sup> was attributed to the stretching of O-H bonds in water vapor [37]. Proteins reportedly show nine types of amide bands in FT-IR spectra: amides A, B, and I-VII [38]. The 3335 cm<sup>-1</sup> band was assigned to stretching of N-H bonds in proteins, which is known as the amide A band [39]. In addition, the 3335 cm<sup>-1</sup> band can be assigned to the stretching of hydroxyl group in ginsenosides [40]. The 2923 cm<sup>-1</sup> band was assigned to the stretching of C-H bonds in ginsenosides, fatty acids, lipids, and proteins [40,41]. The band between 2442 and 2208 cm<sup>-1</sup> was due to the stretching of O-C-O bonds in carbon dioxide [37]. The band at 1733 cm<sup>-1</sup> was due to stretching of C = O bonds of the carbonyl group [42]. The 1621 cm<sup>-1</sup> band was assigned to calcium oxalate, which is abundant in *P. ginseng* roots [43,44]. The 1417 cm<sup>-1</sup> band was attributable to the stretching of bonds in CH<sub>3</sub> in lipids and aromatic compounds [39]. The band at 1373 cm<sup>-1</sup> originated from the stretching of bonds in COO<sup>-</sup> and the bending of bonds in CH<sub>3</sub> in lipids and proteins [45]. The band at 1253 cm<sup>-1</sup> was assigned to amide III bands of proteins [46]. The strong band at  $1018 \text{ cm}^{-1}$  was attributed to the stretching of C-O-C bonds in polysaccharides [47]. The band between 914 and 600  $\text{cm}^{-1}$ corresponded to the bending of O-C-O in carbon dioxide [37]. Water-vapor bands (4000 to  $3500 \text{ cm}^{-1}$ ) and CO<sub>2</sub> bands (from 2442 to 2208 cm<sup>-1</sup> and from 914 to 600 cm<sup>-1</sup>) were removed





https://doi.org/10.1371/journal.pone.0186664.g001

Wavenumber (cm <sup>-1</sup> )	Vibration	Suggested biomolecular assignment	Reference
4000–3500	O-H stretching	H <sub>2</sub> O	[37]
3335	O-H stretching	Hydroxyl group of ginsenosides	[40]
	N-H stretching	Amide A of proteins	[39]
2923	C-H stretching	C-H bond of ginsenosides	[40]
	C-H stretching (asymmetric)	CH <sub>2</sub> in fatty acids, lipids, and proteins	[41]
		Methylene group of membrane phospholipids	[39]
2442–2208	O-C-O stretching	CO <sub>2</sub>	[37]
1733	C = O stretching	Carbonyl group and lipids	[42]
1621	OC = O stretching (asymmetric)	Calcium oxalate	[43]
	C-O and C-N stretching	Amide I of proteins	[41]
1417	CH <sub>3</sub> stretching (asymmetric)	Lipids and aromatics	[39]
1373	COO <sup>-</sup> stretching (symmetric) and CH <sub>3</sub> bending	Lipids and proteins	[45]
1253	N-H bending in plane and C-N stretching	Amide III of proteins	[46]
1018	C-O-C and CO stretching	Polysaccharides	[47]
	-C-O- stretching	Carbohydrates	[48]
914–600	O-C-O bending	CO2	[37]

Table 1. Assi	nment of maior b	ands in a repres	entative Fourier	-transform infrared	(FT-IR) s	spectrum of <i>H</i>	Panax dinsen	a samples.
14010 11 71001	grinnent er inlager ø	anao in a roproo	ontail to i ounor	aanoronninaioo			anax gineen	goumpioo

https://doi.org/10.1371/journal.pone.0186664.t001

in order to avoid misleading results in the subsequent experiments. It can be assumed that ginseng root is mainly composed of saponin, polysaccharides, calcium oxalate, and lipids.

# Determination of normalization, scaling methods, and number of PLS components

Permutation tests were performed to select normalization methods (area normalization, minmax normalization, and vector normalization), scaling methods (UV and Pareto), and the number of PLS components (from one to three PLS components) for discriminating the ages and parts of ginseng samples.

The permutation parameters for various normalization and scaling methods and numbers of PLS components of PLS-DA models for discriminating 5- and 6-year-old ginseng samples using tap root, rhizome, and lateral root are listed in S1, S2 and S3 Tables, respectively. The same parameters for discriminating the three parts of ginseng using 5- and 6-year-old samples are listed in S4 and S5 Tables, respectively.

Table 2 lists PLS-DA models selected from S1 to S5 Tables.  $R^2Y$  and  $Q^2Y$  indicate how well a model fitted the data and how well it predicted the results of other experiments, respectively. Both the  $R^2Y$  and  $Q^2Y$  values range between 0 and 1.0. A higher  $R^2Y$  value in a PLS-DA model indicates a better model fit.  $Q^2Y$  values within the range of 0.5–0.9 are considered to indicate good predictability, while those of 0.9–1.0 indicate excellent predictability. The  $R^2Y$  and  $Q^2Y$ intercepts are obtained in a permutation test; in valid models these parameters must be less than 0.4 and 0.05, respectively [49]. Among valid PLS-DA models satisfying  $R^2Y$  and  $Q^2Y$ intercept values, those models obtained by area or min–max normalization and using two PLS components showed higher  $R^2Y$  and  $Q^2Y$  values for discriminating 5- and 6-year-old ginseng samples using tap root, rhizome, and lateral root. When vector normalization was employed to construct the PLS-DA model, the use of one PLS component produced higher  $R^2Y$  and  $Q^2Y$ values.

To discriminate the three parts (tap root, rhizome, and lateral root) of 5-year-old ginseng samples, higher  $R^2Y$  and  $Q^2Y$  values were obtained by using any of the normalization methods when three PLS components were used to establish the models. To discriminate the three parts

Table 2. Selection of partial-least-squares-discriminant analysis (PLS-DA) models according to various normalization and scaling methods and numbers of PLS components for discriminating cultivation ages and parts of *P. ginseng* samples.

Normalization method	Scaling	R <sup>2</sup> Y	Q <sup>2</sup> Y	R <sup>2</sup> Y intercept	Q <sup>2</sup> Y Intercept	Number of components
5- vs. 6-year-old TR						·
Area	UV	0.904	0.719	0.343	-0.373	2
Min-max	UV	0.870	0.832	0.265	-0.389	2
Vector (first)	UV	0.961	0.855	0.390	-0.275	1
Vector (second)	Par	0.973	0.907	0.119	-0.325	1
5- vs. 6-year-old RH						
Area	UV	0.880	0.816	0.384	-0.290	2
Min-max	Par	0.841	0.722	0.313	-0.231	2
Vector (first)	Par	0.725	0.478	0.360	-0.141	1
Vector (second)	Par	0.887	0.586	0.209	-0.164	1
5- vs. 6-year-old LR						
Area	Par	0.923	0.798	0.391	-0.280	2
Min-max	Par	0.939	0.723	0.391	-0.209	2
Vector (first)	Par	0.774	0.672	0.285	-0.233	1
Vector (second)	Par	0.677	0.417	0.533	-0.109	1
5-year-old TR vs. RH vs. LR						
Area	Par	0.866	0.771	0.270	-0.312	3
Min-max	Par	0.826	0.544	0.264	-0.243	3
Vector (first)	Par	0.908	0.754	0.328	-0.370	3
Vector (second)	Par	0.915	0.862	0.363	-0.349	3
6-year-old TR vs. RH vs. LR						
Area	Par	0.889	0.758	0.256	-0.370	3
Min-max	Par	0.849	0.681	0.288	-0.327	3
Vector (first)	UV	0.889	0.800	0.362	-0.340	2
Vector (second)	Par	0.678	0.501	0.265	-0.317	2

TR, tap root; RH, rhizome; LR, lateral root; Min-max, minimum-maximum; Vector (first), vector normalization applied after the first differentiation; Vector (second), vector normalization applied after the second differentiation; UV, unit variance; Par, Pareto.

https://doi.org/10.1371/journal.pone.0186664.t002

of 6-year-old ginseng samples, higher  $R^2Y$  and  $Q^2Y$  values were obtained by using three PLS components with area or min-max normalization, whereas models constructed with two PLS components showed higher  $R^2Y$  and  $Q^2Y$  values by vector normalization.

# Development of a PLSR model for predicting the cultivation ages of ginseng

We constructed PLSR models to predict the ages and parts of ginseng samples based on the selected normalization method and the number of PLS components. In addition, various VIP cutoff values were used to select variables for constructing the prediction models. PLSR models were constructed based on data from the training set, and the constructed models were evaluated using the test set (which was independent from training set). Root-mean-square error of estimation (RMSEE) values were obtained from PLSR models constructed based on training sets. These values were then evaluated to determine the accuracy of PLSR models. Root-mean-square error of prediction (RMSEP) values were used to assess the predictability of the models. The values of RMSEE and RMSEP range between 0 and 1, with smaller values indicating higher accuracy and predictability of the models.

Table 3. Selected normalization and variable influence on projection (VIP) cutoff values for model construction for discriminating 5- and 6-yearold ginseng samples and permutation parameters derived from the partial-least-squares regression (PLSR) prediction models.

Normalization method	VIP cutoff	Total wavenumbers	RMSEE (months)	RMSEP (months)	R <sup>2</sup> Y	Q²Y	R <sup>2</sup> Y intercept	Q <sup>2</sup> Y intercept	Number of components
5- vs. 6-year-old TR (UV scaling)									
Vector (second)	1.0	552	0.077 (0.924)	0.044 (0.528)	0.981	0.970	-0.064	-0.369	1
5- vs. 6-year-old RH	5- vs. 6-year-old RH (UV scaling)								
Min-max	1.3	112	0.198 (2.376)	0.036 (0.432)	0.890	0.788	0.201	-0.389	2
5- vs. 6-year-old LR (UV scaling)									
Area	1.3	262	0.171 (2.052)	0.096 (1.152)	0.918	0.806	0.231	-0.296	2

TR, tap root; RH, rhizome; LR, lateral root; RMSEE, root-mean-square error of estimation; RMSEP, root-mean-square error of prediction; UV, unit variance.

https://doi.org/10.1371/journal.pone.0186664.t003

As listed in S6–S13 Tables, various VIP cutoff values were tested in order to construct better prediction models based on the RMSEP values among those satisfying the R<sup>2</sup>Y and Q<sup>2</sup>Y intercept values. S6–S9 Tables list the prediction models for discriminating between 5- and 6-yearold ginseng samples. The best models for each part of the *P. ginseng* samples among S6–S9 Tables are listed in Table 3. For tap root, the PLS-DA model constructed by vector normalization applied after the second differentiation with a VIP cutoff of 1.0 showed the lowest RMSEP value of 0.044 (0.528 months) along with a higher R<sup>2</sup>Y value of 0.981 and a Q<sup>2</sup>Y value of 0.970 (S2 Fig). For rhizome, min–max normalization with a VIP cutoff of 1.3 was employed to construct the best PLSR model, which showed the lowest RMSEP value of 0.036 (0.432 months) when discriminating between the 5- and 6-year-old ginseng samples (S3 Fig). For lateral root, the PLSR model using area normalization with a VIP cutoff of 1.3 showed a RMSEP value of 0.096 (1.152 months), which was higher than those for tap root and rhizome (S4 Fig).

Table 3 indicates that two prediction models using tap root and rhizome were suitable for discriminating 5- and 6-year-old ginseng samples. However, the RMSEE,  $R^2Y$ , and  $Q^2Y$  values of PLSR models when using tap root were better than for those when using rhizome. Thus, the PLSR model using tap root can be considered as the most suitable model for discriminating the cultivation age. However, the rhizome is generally removed before using *P. ginseng* root due to its emetic effects [50]. The rhizome has economically lower worth than tap root because of this adverse effect. The rhizome of *P. ginseng* samples could be an alternative resource to the tap root for discriminating 5- and 6-year-old ginseng samples without the concern of economical loss.

#### Development of a PLSR model for predicting the parts of ginseng

<u>S10–S13</u> Tables list various prediction models for discriminating ginseng parts, among which **Table 4** lists the best models for discriminating 5- and 6-year-old ginseng parts. For predicting

Table 4.	Selected normaliz	ation and va	riable influence o	on projection (VIP)	cutoff values for	or model constru	uction for discrimi	inating various part	s of
ginseng	samples, and the	permutation	parameters deriv	ed from the PLSR	prediction mod	lels.			

Normalization method	VIP cutoff	Total wavenumbers	RMSEE	RMSEP	R <sup>2</sup> Y	Q²Y	R <sup>2</sup> Y intercept	Q <sup>2</sup> Y intercept	Number of components
5-year-old TR vs. RH vs. LR (UV scaling)									
Vector (first)	1.5	23	0.204	0.161	0.950	0.913	0.352	-0.223	2
6-year-old TR vs. RH vs. LR (Par scaling)									
Vector (second)	1.3	258	0.337	0.185	0.864	0.764	0.363	-0.321	2

TR, tap root; RH, rhizome; LR, lateral root; RMSEE, root-mean-square error of estimation; RMSEP, root-mean-square error of prediction; UV, unit variance; Par, Pareto.

https://doi.org/10.1371/journal.pone.0186664.t004





https://doi.org/10.1371/journal.pone.0186664.g002

the various parts of 5-year-old ginseng samples, the PLS-DA model constructed by vector normalization after the first differentiation and with a VIP cutoff of 1.5 and two PLS components showed the lowest RMSEP value of 0.161 along with a higher  $R^2Y$  value of 0.950 and a  $Q^2Y$ value of 0.913 (S5 Fig). These values suggest that the model had excellent predictive abilities.

For discriminating various parts of 6-year-old ginseng samples, vector normalization applied after the second differentiation and with a VIP cutoff of 1.3 and two PLS components was the best model. This model showed the lowest RMSEP value of 0.185 and a higher  $R^2Y$  value of 0.864 and a  $Q^2Y$  value of 0.764 (S6 Fig). It is generally difficult to determine the parts

of ginseng that have been used to produce powdered ginseng products. The content of ginsenosides, which are the main compound in ginseng, is higher in lateral roots than in the tap root [51]. Even if commercial ginseng products comprise only 6-year-old ginseng, the efficacy and composition of ginseng samples might differ with the ginseng parts. Therefore, the PLSR model for discriminating the various parts of ginseng could be useful from both academic and commercial points of view.

#### Conclusions

This study employed FT-IR analysis combined with multivariate statistical analysis to discriminate 5- and 6-year-old ginseng samples as well as three parts of ginseng plants. The focus was on 5- and 6-year-old ginseng roots since they constitute most of the commercially available ginseng products. For discriminating cultivation age and different parts, various conditions were selected including the number of PLS components, normalization methods, and VIP cutoff value, as shown in Fig 2. The best prediction model for discriminating 5- and 6-year-old ginseng was obtained using the tap root. Vector normalization applied after the second differentiation, one PLS component, and a VIP cutoff of 1.0 were suggested to be optimal (based on the lowest RMSEP value) for the construction of this prediction model. In addition, for discriminating the three parts of *P. ginseng*, the optimized PLSR models were established by vector normalization, two PLS components, and selecting variables based on VIP cutoff values of 1.5 (for 5-year-old ginseng) and 1.3 (for 6-year-old ginseng).

To our knowledge, this is the first study to determine suitable normalization methods and the number of PLS components of FT-IR spectral data in the development of PLSR models to discriminate 5- and 6-year-old ginseng samples and various ginseng parts. The information obtained in this study provides a solid foundation for further studies using various cultivars, cultivation methods, and geographic origins of ginseng samples to construct commercially applicable discrimination and prediction models.

### **Supporting information**

**S1 Fig. External appearance characteristics of** *Panax ginseng* 'Yunpoong' sample with different parts used in this study. *Panax ginseng* is composed of three parts. (TIF)

S2 Fig. Score plot derived from PLSR model of *Panax ginseng* tap root (TR) based on variables with VIP values over 1.0 (A), permutation testing plot (B), and correlation plot using training set (C) and test set (D). Second differentiation, vector normalization, and unit variance scaling were used in FT-IR spectrum. PLSR, partial least squares regression; VIP, variable influence on projection; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction.

(TIF)

S3 Fig. Score plot derived from PLSR model of *Panax ginseng* rhizome (RH) based on variables with VIP values over 1.3 (A), permutation testing plot (B), and correlation plot using training set (C) and test set (D). Minimum-maximum normalization and unit variance scaling were used in FT-IR spectrum. PLSR, partial least squares regression; VIP, variable influence on projection; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction. (TIF)

S4 Fig. Score plot derived from PLSR model of *Panax ginseng* lateral root (LR) based on variables with VIP values over 1.3 (A), permutation testing plot (B) and correlation plot

**using training set (C), test set (D).** Area normalization and unit variance scaling were used in FT-IR spectrum. PLSR, partial least squares regression; VIP, variable influence on projection; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction.

(TIF)

S5 Fig. Score plot derived from PLSR model of 5-year-old *Panax ginseng* based on variables with VIP values over 1.5 (A), permutation testing plot (B), and correlation plot using training set (C) and test set (D). First differentiation, vector normalization, and unit variance scaling were used in FT-IR spectrum. PLSR, partial least squares regression; VIP, variable influence on projection; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction.



S6 Fig. Score plot derived from PLSR model of 6-year-old *Panax ginseng* based on variables with VIP values over 1.3 (A), permutation testing plot (B), and correlation plot using training set (C) and test set (D). Second differentiation, vector normalization, and pareto scaling were used in FT-IR spectrum. PLSR, partial least squares regression; VIP, variable influence on projection; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction.



S1 Table. PLS-DA model parameters according to the number of components (one to three components), normalization (area, minimum-maximum, and vector normalization) and scaling methods (unit variance and pareto) for differentiation of cultivation ages of *Panax ginseng* using tap root (TR). For vector normalization, first and second differentiations were applied. PLS-DA, partial least squares discriminant analysis; Min-max, minimum-maximum; UV, unit variance; Par, pareto. (DOCX)

S2 Table. PLS-DA model parameters according to the number of components (one to three components), normalization (area, minimum-maximum, and vector normalization), and scaling methods (unit variance and pareto) for differentiation of cultivation ages of *Panax ginseng* using rhizome (RH). For vector normalization, first and second differentiations were applied. PLS-DA, partial least squares discriminant analysis; Min-max, minimum-maximum; UV, unit variance; Par, pareto. (DOCX)

S3 Table. PLS-DA model parameters according to the number of components (one to three components), normalization (area, minimum-maximum, and vector normalization), and scaling methods (unit variance and pareto) for differentiation of cultivation ages of *Panax ginseng* using lateral root (LR). For vector normalization, first and second differentiations were applied. PLS-DA, partial least squares discriminant analysis; Min-max, minimum-maximum; UV, unit variance; Par, pareto. (DOCX)

S4 Table. PLS-DA model parameters according to the number of components (one to three components), normalization (area, minimum-maximum, and vector normalization), and scaling methods (unit variance and pareto) for differentiation of ginseng parts using 5-year-old *Panax ginseng*. For vector normalization, first and second differentiations were applied. PLS-DA, partial least squares discriminant analysis; Min-max, minimum-

maximum; UV, unit variance; Par, pareto. (DOCX)

S5 Table. PLS-DA model parameters according to the number of components (one to three components), normalization (area, minimum-maximum, and vector normalization), and scaling methods (unit variance and pareto) for differentiation of ginseng parts using 6-year-old *Panax ginseng*. For vector normalization, first and second differentiations were applied. PLS-DA, partial least squares discriminant analysis; Min-max, minimum-maximum; UV, unit variance; Par, pareto. (DOCX)

DOCA)

**S6 Table. List of permutation parameters obtained by variables selected by various variable influence on projection (VIP) cutoff values and scaling methods.** Area normalization and two PLS components were used for discriminating between 5- and 6-year-old ginseng samples. TR, tap root; RH, rhizome; LR, lateral root; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction; UV, unit variance; Par, pareto. (DOCX)

**S7 Table. List of permutation parameters obtained by variables selected by various variable influence on projection (VIP) cutoff values and scaling methods.** Minimum-maximum normalization and two PLS components were used for discriminating between 5- and 6-year-old ginseng samples. TR, tap root; RH, rhizome; LR, lateral root; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction; UV, unit variance; Par, pareto. (DOCX)

**S8 Table. List of permutation parameters obtained by variables selected by various variable influence on projection (VIP) cutoff values and scaling methods.** Vector normalization after first differentiation and one PLS component were used for discriminating between 5- and 6-year-old ginseng samples. TR, tap root; RH, rhizome; LR, lateral root; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction; UV, unit variance; Par, pareto.

(DOCX)

**S9 Table. List of permutation parameters obtained by variables selected by various variable influence on projection (VIP) cutoff values and scaling methods.** Vector normalization after second differentiation and one PLS component were used for discriminating between 5- and 6-year-old ginseng samples. TR, tap root; RH, rhizome; LR, lateral root; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction; UV, unit variance; Par, pareto. (DOCX)

**S10 Table. List of permutation parameters obtained by variables selected by various variable influence on projection (VIP) cutoff values and scaling methods.** Area normalization and three PLS components were used for discriminating ginseng samples from three parts (tap root, rhizome, lateral root). TR, tap root; RH, rhizome; LR, lateral root; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction; UV, unit variance; Par, pareto.

(DOCX)

**S11 Table. List of permutation parameters obtained by variables selected by various variable influence on projection (VIP) cutoff values and scaling methods.** Minimum-maximum normalization and three PLS components were used for discriminating ginseng samples

from three parts (tap root, rhizome, lateral root). TR, tap root; RH, rhizome; LR, lateral root; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction; UV, unit variance; Par, pareto.

(DOCX)

**S12 Table. List of permutation parameters obtained by variables selected by various variable influence on projection (VIP) cutoff values and scaling methods.** Vector normalization after first differentiation and two PLS components were used for discriminating ginseng samples from three parts (tap root, rhizome, lateral root). TR, tap root; RH, rhizome; LR, lateral root; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction; UV, unit variance; Par, pareto. (DOCX)

**S13 Table. List of permutation parameters obtained by variables selected by various variable influence on projection (VIP) cutoff values and scaling methods.** Vector normalization after second differentiation and two PLS components were used for discriminating ginseng samples from three parts (tap root, rhizome, lateral root). TR, tap root; RH, rhizome; LR, lateral root; RMSEE, root mean squared error of estimation; RMSEP, root mean squared error of prediction; UV, unit variance; Par, pareto. (DOCX)

#### **Author Contributions**

Conceptualization: Sa Rang Lim, Hyung-Kyoon Choi.

Data curation: Byeong-Ju Lee, Sa Rang Lim.

Formal analysis: Byeong-Ju Lee.

Funding acquisition: Hyung-Kyoon Choi.

Investigation: Byeong-Ju Lee, Sa Rang Lim.

Methodology: Byeong-Ju Lee, Hyung-Kyoon Choi.

Project administration: Hye-Youn Kim, Hyung-Kyoon Choi.

Resources: Sa Rang Lim, Hyung-Kyoon Choi.

Software: Byeong-Ju Lee, Hye-Youn Kim.

Supervision: Hye-Youn Kim, Hyung-Kyoon Choi.

Validation: Byeong-Ju Lee, Hye-Youn Kim.

Visualization: Byeong-Ju Lee, Hyung-Kyoon Choi.

Writing - original draft: Byeong-Ju Lee.

Writing - review & editing: Hye-Youn Kim, Linfang Huang, Hyung-Kyoon Choi.

#### References

- 1. Coon JT, Ernst E. Panax ginseng. Drug Saf. 2002; 25: 323–344. PMID: 12020172
- Shibata S. Chemistry and cancer preventing activities of ginseng saponins and some related triterpenoid compounds. J Korean Med Sci. 2001; 16: S28–S37. https://doi.org/10.3346/jkms.2001.16.S.S28 PMID: 11748374

- Li C, Cai J, Geng J, Li Y, Wang Z, Li R. Purification, characterization and anticancer activity of a polysaccharide from *Panax ginseng*. Int J Biol Macromol. 2012; 51: 968–973. https://doi.org/10.1016/j.ijbiomac. 2012.06.031 PMID: 22750577
- Park EH, Kim YJ, Yamabe N, Park SH, Kim HK, Jang HJ, et al. Stereospecific anticancer effects of ginsenoside Rg3 epimers isolated from heat-processed American ginseng on human gastric cancer cell. J Ginseng Res. 2014; 38: 22–27. https://doi.org/10.1016/j.jgr.2013.11.007 PMID: 24558306
- Chung SH, Choi CG, Park SH. Comparisons between white ginseng radix and rootlet for antidiabetic activity and mechanism in KKAy mice. Arch Pharm Res. 2001; 24: 214–218. PMID: <u>11440080</u>
- Dey L, Xie JT, Wang A, Wu J, Maleckar SA, Yuan CS. Anti-hyperglycemic effects of ginseng: comparison between root and berry. Phytomedicine. 2003; 10: 600–605. https://doi.org/10.1078/ 094471103322331908 PMID: 13678250
- Feng L, Liu XM, Cao FR, Wang LS, Chen YX, Pan RL, et al. Anti-stress effects of ginseng total saponins on hindlimb-unloaded rats assessed by a metabolomics study. J Ethnopharmacol. 2016; 188: 39–47. https://doi.org/10.1016/j.jep.2016.04.028 PMID: 27109340
- Rai D, Bhatia G, Sen T, Palit G. Anti-stress effects of *Ginkgo biloba* and *Panax ginseng*: a comparative study. J Pharmacol Sci. 2003; 93: 458–464. PMID: 14737017
- Hu C, Kitts DD. Free radical scavenging capacity as related to antioxidant activity and ginsenoside composition of Asian and North American ginseng extracts. J Am Oil Chem Soc. 2001; 78: 249–255.
- Cho WCS, Chung WS, Lee SKW, Leung AWN, Cheng CHK, Yue KKM. Ginsenoside Re of *Panax ginseng* possesses significant antioxidant and antihyperlipidemic efficacies in streptozotocin-induced diabetic rats. Eur J Pharmacol. 2006; 550: 173–179. <u>https://doi.org/10.1016/j.ejphar.2006.08.056</u> PMID: 17027742
- Kim JY, Germolec DR, Luster MI. Panax ginseng as a potential immunomodulator: studies in mice. Immunopharmacol Immunotoxicol. 1990; 12: 257–276. <u>https://doi.org/10.3109/08923979009019672</u> PMID: 2229924
- Scaglione F, Ferrara F, Dugnani S, Falchi M, Santoro G, Fraschini F. Immunomodulatory effects of two extracts of *Panax ginseng* CA Meyer. Drugs Exp Clin Res. 1990; 16: 537–542. PMID: 2100737
- Yun TK, Lee YS, Lee YH, Kim SI, Yun HY. Anticarcinogenic effect of *Panax ginseng* CA Meyer and identification of active compounds. J Korean Med Sci. 2001; 16: S6–S18 https://doi.org/10.3346/jkms. 2001.16.S.S6 PMID: 11748383
- 14. Shi W, Wang Y, Li J, Zhang H, Ding L. Investigation of ginsenosides in different parts and ages of *Panax ginseng*. Food Chem. 2007; 102: 664–668.
- Lum JHK, Fung KL, Cheung PY, Wong MS, Lee CH, Kwok FSL, et al. Proteome of oriental ginseng *Panax ginseng* CA Meyer and the potential to use it as an identification tool. Proteomics. 2002; 2: 1123– 1130. https://doi.org/10.1002/1615-9861(200209)2:9<1123::AID-PROT1123>3.0.CO;2-S PMID: 12362331
- Lee DY, Cho JG, Bang MH, Han MW, Lee MH, Yang DC, et al. Discrimination of Korean ginseng (*Panax ginseng*) roots using rapid resolution LC-QTOF/MS combined by multivariate statistical analysis. Food Sci Biotechnol. 2011; 20: 1119–1124.
- 17. Kang SW, Lee SW, Hyeon GS, Bae YS, Kim YC, Yeon BY et al. Korean ginseng. revised ed. SUWON: National Institute of Horticultural and Herbal Science; 2010.
- Taylor J, King RD, Altmann T, Fiehn O. Application of metabolomics to plant genotype discrimination using statistics and machine learning. Bioinformatics. 2002; 18: S241–S248.
- Xiang Z, Wang XQ, Cai XJ, Zeng S. Metabolomics study on quality control and discrimination of three *Curcuma* species based on gas chromatograph–mass spectrometry. Phytochem Anal. 2011; 22: 411– 418. https://doi.org/10.1002/pca.1296 PMID: 21433157
- 20. Kim NH, Kim KO, Choi BY, Lee DH, Shin YS, Bang KH, et al. Metabolomic approach for age discrimination of *Panax ginseng* using UPLC-Q-Tof MS. J Agric Food Chem. 2011; 59: 10435–10441. https://doi. org/10.1021/jf201718r PMID: 21916514
- Mao Q, Bai M, Xu JD, Kong M, Zhu LY, Zhu H, et al. Discrimination of leaves of *Panax ginseng* and *P. quinquefolius* by ultra high performance liquid chromatography quadrupole/time-of-flight mass spectrometry based metabolomics approach. J Pharm Biomed Anal. 2014; 97: 129–140. https://doi.org/10. 1016/j.jpba.2014.04.032 PMID: 24867296
- Yang SO, Lee SW, Kim YO, Sohn SH, Kim YC, Hyun DY, et al. HPLC-based metabolic profiling and quality control of leaves of different *Panax* species. J Ginseng Res. 2013; 37: 248–253. https://doi.org/ 10.5142/jgr.2013.37.248 PMID: 23717177
- Yang SO, Shin YS, Hyun SH, Cho SY, Bang KH, Lee DH, et al. NMR-based metabolic profiling and differentiation of ginseng roots according to cultivation ages. J Pharm Biomed Anal. 2012; 58: 19–26. https://doi.org/10.1016/j.jpba.2011.09.016 PMID: 21996062

- 24. van der Kooy F, Maltese F, Choi YH, Kim HK, Verpoorte R. Quality control of herbal material and phytopharmaceuticals with MS and NMR based metabolic fingerprinting. Planta Med. 2009; 75: 763–775. https://doi.org/10.1055/s-0029-1185450 PMID: 19288400
- 25. Dunn WB, Ellis DI. Metabolomics: current analytical platforms and methodologies. Trends Anal Chem. 2005; 24: 285–294.
- Li YM, Sun SQ, Zhou Q, Qin Z, Tao JX, Wang J, et al. Identification of American ginseng from different regions using FT-IR and two-dimensional correlation IR spectroscopy. Vib Spectrosc. 2004; 36: 227– 232. https://doi.org/10.1016/j.vibspec.2003.12.009
- Zhang YL, Chen JB, Lei Y, Zhou Q, Sun SQ, Noda I. Evaluation of different grades of ginseng using Fourier-transform infrared and two-dimensional infrared correlation spectroscopy. J Mol Struct. 2010; 974: 94–102.
- Liu D, Li YG, Xu H, Sun SQ, Wang ZT. Differentiation of the root of cultivated ginseng, mountain cultivated ginseng and mountain wild ginseng using FT-IR and two-dimensional correlation IR spectroscopy. J Mol Struct. 2008; 883–884: 228–235.
- Yap KYL, Chan SY, Lim CS. Infrared-based protocol for the identification and categorization of ginseng and its products. Food Res Int. 2007; 40: 643–652.
- Kwon YK, Ahn MS, Park JS, Liu JR, In DS, Min BW, et al. Discrimination of cultivation ages and cultivars of ginseng leaves using Fourier transform infrared spectroscopy combined with multivariate analysis. J Ginseng Res. 2014; 38: 52–58. https://doi.org/10.1016/j.jgr.2013.11.006 PMID: 24558311
- Zhao X, Zhu H, Chen J, Ao Q. FTIR, XRD and SEM analysis of ginger powders with different size. J Food Process Preserv. 2015; 39: 2017–2026.
- Filik J, Frogley MD, Pijanka JK, Wehbe K, Cinque G. Electric field standing wave artefacts in FTIR micro-spectroscopy of biological materials. Analyst. 2012; 137: 853–861. <u>https://doi.org/10.1039/ c2an15995c PMID: 22231204</u>
- Baker MJ, Trevisan J, Bassan P, Bhargava R, Butler HJ, Dorling KM, et al. Using Fourier transform IR spectroscopy to analyze biological materials. Nat Protoc. 2014; 9: 1771–1791. https://doi.org/10.1038/ nprot.2014.110 PMID: 24992094
- 34. Geladi P, Kowalski BR. Partial least-squares regression: a tutorial. Anal Chim Acta. 1986; 185: 1–17.
- Akarachantachote N, Chadcham S, Saithanu K. Cutoff threshold of variable importance in projection for variable selection. Int J Pure Appl Math. 2014; 94: 307–322.
- Beleites C, Steiner G, Sowa MG, Baumgartner R, Sobottka S, Schackert G, et al. Classification of human gliomas by infrared imaging spectroscopy and chemometric image processing. Vib Spectrosc. 2005; 38: 143–149.
- Bruun SW, Kohler A, Adt I, Sockalingum GD, Manfait M, Martens H. Correcting attenuated total reflection–Fourier transform infrared spectra for water vapor and carbon dioxide. Appl Spectrosc. 2006; 60: 1029–1039. https://doi.org/10.1366/000370206778397371 PMID: 17002829
- Kong J, Yu S. Fourier transform infrared spectroscopic analysis of protein secondary structures. Acta Biochim Biophys Sin (Shanghai). 2007; 39: 549–559.
- Meade AD, Lyng FM, Knief P, Byrne HJ. Growth substrate induced functional changes elucidated by FTIR and Raman spectroscopy in in-vitro cultured human keratinocytes. Anal Bioanal Chem. 2007; 387: 1717–1728. https://doi.org/10.1007/s00216-006-0876-5 PMID: 17102969
- 40. Kareru PG, Keriko JM, Gachanja AN, Kenji GM. Direct detection of triterpenoid saponins in medicinal plants. Afr J Tradit Complement Altern Med. 2008; 5: 56–60.
- Baker MJ, Gazi E, Brown MD, Shanks JH, Gardner P, Clarke NW. FTIR-based spectroscopic analysis in the identification of clinically aggressive prostate cancer. Br J Cancer. 2008; 99: 1859–1866. https:// doi.org/10.1038/sj.bjc.6604753 PMID: 18985044
- 42. Meurens M, Wallon J, Tong J, Noel H, Haot J. Breast cancer detection by Fourier transform infrared spectrometry. Vib Spectrosc. 1996; 10: 341–346.
- Channa NA, Ghangro AB, Soomro AM, Noorani L. Analysis of kidney stones by FTIR spectroscopy. J Liaguat Uni Med Health. 2007; 2: 66–73.
- 44. Lee SW, Kwon WS, Jeong BK. Occurrence, type and ultrastructure of calcium oxalate crystals in *Panax* ginseng. J Ginseng Res. 2002; 26: 213–218.
- **45.** Aksoy C, Severcan F. Role of vibrational spectroscopy in stem cell research. Spectrosc (New York). 2012; 27: 167–184. https://doi.org/10.1155/2012/513286
- **46.** Garidel P, Schott H. Fourier-transform midinfrared Spectroscopy for analysis and screening of liquid protein formulations Part 2: Details analysis and applications. Bioprocess Int. 2006; 1: 48–55.

- Smidt E, Meissl K. The applicability of Fourier transform infrared (FT-IR) spectroscopy in waste management. Waste Manag. 2007; 27: 268–276. <u>https://doi.org/10.1016/j.wasman.2006.01.016</u> PMID: 16530397
- Gault N, Lefaix JL. Infrared microspectroscopic characteristics of radiation-induced apoptosis in human lymphocytes. Radiat Res. 2003; 160: 238–250. PMID: 12859236
- 49. Eriksson L, Byrne T, Johansson E, Trygg J, Vikström C. Multi-and megavariate data analysis basic principles and applications. 3rd ed. Umetrics Academy; 2013.
- Matsuda H, Murata K, Takeshita F, Takada K, Samukawa K, Tani T. Medicinal history and ginsenosides composition of *Panax ginseng* rhizome, "Rozu." Yakushigaku zasshi. 2010; 45: 40–48. PMID: 21032889
- Choi JE, Nam KY, Li X, Kim BY, Cho HS, Hwang KB. Changes of chemical compositions and ginsenoside contents of different root parts of ginsengs with processing method. Korean J Med Crop Sci. 2010; 18: 118–125.