



## Developing and Understanding Biofluid Vibrational Spectroscopy: A Critical Review

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## 6      **Developing and Understanding Biofluid Vibrational Spectroscopy: A Critical Review**

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9

10    Vibrational spectroscopy can provide rapid, label-free, and objective analysis for the clinical domain.  
11    Spectroscopic analysis of biofluids such as blood components (e.g. serum, plasma) and others in the  
12    proximity of the diseased tissue or cell (e.g. bile, urine, sputum), offer non-invasive  
13    diagnostic/monitoring possibilities for future healthcare that is capable of rapid diagnosis of diseases *via*  
14    specific spectral markers or signatures. Biofluids offer an ideal diagnostic medium due to their ease and  
15    low cost of collection and daily use in clinical biology. Due to the low risk and invasiveness of their  
16    collection they are widely welcomed by patients as a diagnostic medium. This review underscores recent  
17    research within the field of biofluid spectroscopy and its use in myriad pathologies such as cancer and  
18    infectious diseases. It highlights current progresses, advents, and pitfalls within the field and discusses  
19    future spectroscopic clinical potentials for diagnostics. The requirements and issues surrounding clinical  
20    translation are also considered.

21

22    **Keywords:** *Biospectroscopy, Biofluids, Infrared Spectroscopy, Raman Spectroscopy, Biomarkers, Cancer, Infectious Diseases,*  
23    *Clinical Implementation, Multivariate Analysis*

## 24 Introduction

25 Biophotonic techniques are widely used in research for developing new modalities  
26 with the aim to improve patient healthcare *via* better diagnosis, prognosis, and  
27 surveillance. Vibrational spectroscopy holds such promises because the “molecular  
28 fingerprint” that it provides represents a snapshot of the sample biomolecular  
29 composition and variations therein can be exploited to identify different pathologies  
30 <sup>1, 2</sup>. Its sensitivity to such variations makes it possible to probe pathophysiological  
31 processes in cells and tissues as demonstrated by many reports for more than a  
32 decade <sup>3</sup>, leading to the concepts of “spectral cytopathology” and “spectral  
33 histopathology” <sup>4-6</sup>. With the advances in spectroscopic/imaging technologies and  
34 data processing techniques, cells and tissues can be analysed rapidly and non-  
35 invasively to identify disease-related abnormalities. Indeed, some promising studies  
36 have reported the added value of vibrational spectroscopy to deliver an objective  
37 diagnosis but they were performed on a limited number of patients <sup>7</sup>. In spite of these  
38 advances in cell and tissue spectroscopy, the technique has not yet been able to  
39 overcome the experimental research phase in order to be transferable from bench to  
40 bedside. This is mainly due to the lack of standardisation and validation in large  
41 clinical trials and multicentre actions. Access to large sample sets with ethical  
42 approval is also a limitation. We believe that spectroscopic diagnosis/prognosis *via*  
43 biofluids represents an interesting alternative to cells and tissues. Presently, there is  
44 limited research representing high-powered clinical studies for biofluid spectroscopy,  
45 yet through the use of animal systems several studies from Naumann’s group have  
46 set the precedent for studies involving large sample numbers; instilling confidence in  
47 the high sensitivity and specificity model outcomes by using several hundred animals  
48 per study <sup>8-10</sup>.

49 The quest for disease markers through “liquid biopsies” is a fast emerging field and  
50 has only been recently explored by spectroscopic approaches. Blood components like  
51 serum and plasma are routinely used for blood testing as they contain biomarkers  
52 that are useful for disease diagnostics. For example, in diseases like cancer, they are  
53 known to be a rich source of information and represent readouts of the ongoing  
54 cellular and extracellular events <sup>11</sup>. Further, they are easily accessible and minimally  
55 invasive for patients making large studies feasible. Other organ-specific biofluids in  
56 the proximity of the diseased cells or tissues like bile, urine, sputum, and  
57 cerebrospinal fluid are also of interest for diagnostic purposes. Recent trends tend to  
58 indicate that the use of single or few biomarkers has fallen out in favour of multiple  
59 biomarkers <sup>12</sup> and in this context the role of vibrational spectroscopic methods can be  
60 determinant as the information provided contains information on global sample  
61 biomolecular composition providing a chemical ‘fingerprint’ or ‘signature’ of the  
62 sample. We will focus on the ability of vibrational spectroscopic analysis to illuminate  
63 these disease signatures (disease pattern recognition) for diagnostic purposes as

64 opposed to the quantitative determination of specific macromolecules within the  
65 biofluid<sup>13-15</sup>.

66 This critical review, from both the spectroscopic and clinical points of view, considers  
67 the issues encountered during translational research aimed at assessing the  
68 potentials of infrared and Raman approaches as rapid and label-free diagnostic  
69 methods for biological fluids. In addition, the techniques can be adapted to a variety  
70 of diseases and therefore represent a cost-effective investment for healthcare  
71 systems. This approach could provide a dynamic diagnostic environment that will  
72 enable rapid diagnostics leading to earlier treatment. In addition, the ability to  
73 accurately and rapidly monitor disease will allow for closer patient follow-up and  
74 earlier change in treatment if needed. This would enable patients to access treatment  
75 earlier with reductions in mortality and morbidity.

76

### 77 **Vibrational Spectroscopy**

78 Vibrational spectroscopy relates to the specific optical techniques of Infrared (IR) and  
79 Raman spectroscopy. These techniques probe intramolecular vibrations and rotations  
80 of the sample when irradiated with light<sup>16</sup>. The light-matter relationship is  
81 underpinned by the electromagnetic theory postulated by Maxwell<sup>17</sup>. Vibrational  
82 spectroscopy has been used for analysing a myriad of samples in chemical, physical  
83 and biological applications.

84 The Raman effect constitutes the spontaneous inelastic light scattering process of  
85 photons following the interaction of a monochromatic radiation (e.g., laser source)  
86 with the sample. During this interaction both elastic and inelastic scattering processes  
87 take place. A high proportion of the photons are elastically scattered with no change  
88 in energy (so no molecular information), known as Rayleigh scattering<sup>17</sup>. When  
89 photons transfer energy to the molecules as vibrational energy, the energy loss of the  
90 scattered photons corresponds to the vibrational energy levels of the molecules. This  
91 is known as the Raman-Stokes scattering. The incident photons can in turn receive  
92 energy from vibrating molecules, and therefore their frequencies increase, described  
93 as the Raman anti-Stokes scattering. Figure 1 shows the transitions involved during  
94 these three processes. In spontaneous Raman, the Stokes scattering is generally used  
95 due to its higher sensitivity.

96

97 Infrared spectroscopy (IR) is broadly defined as the study of absorption characteristics  
98 arising from the molecular motion of materials due to atomic displacement<sup>4</sup> upon  
99 intimate interaction with an infrared source<sup>18</sup>. Depending on the modality of choice,  
100 the radiation can be either transmitted, internally reflected, reflected, or transflected  
101 (a combination of transmission and reflectance). During the light - matter interaction,  
102 infrared light causes a molecule to enter in a higher vibrational state due to the  
103 transfer of 'quanta' or 'packets' of energy at certain wavelengths dependent upon the

104 composition of the matter under analysis. Figure 1 illustrates the energy level  
105 transition involved in the IR absorption process compared to Raman scattering  
106 showing that vibrational energy levels can be probed with both techniques using  
107 different physical processes. These transitions result in a spectrum constituted of  
108 peaks/bands that can be interpreted qualitatively (peak position) and quantitatively  
109 (peak intensity/area, relative intensity). For IR spectroscopy the bands arise from a  
110 change in the electric dipole moment of the molecules, whereas Raman is associated  
111 with a change in the molecular polarisability.

112 Constituent chemical molecular bonds present many forms of vibrations which occur  
113 at different energies corresponding to different allowed transitions. IR and Raman  
114 spectroscopies are complementary and provide a “fingerprint” or “signature” of the  
115 molecules contained within the sample depending on whether their bonds exhibit  
116 Raman or IR activities. Certain vibrations that are allowed in Raman may be forbidden  
117 in IR and *vice versa*. For a full treatise of fundamental spectroscopy works, the  
118 authors direct the reader to two reviews by Barth and Haris on IR spectroscopy<sup>19</sup> and  
119 Long on Raman spectroscopy<sup>20</sup>.

120

### 121 **Biological and Biomedical Vibrational Spectroscopy**

122 There is a continuing effort devoted to the exploration of new technologies that can  
123 detect early signs of diseases and therefore significantly reduce mortality and  
124 morbidity. This depends on the ability to detect biochemical/morphological changes  
125 at an early stage of the disease or before the disease becomes symptomatic.  
126 Detection of biomarkers plays an important role in this exploration, and in the case of  
127 cancer for example, they cover a broad range of biochemical entities, such as nucleic  
128 acids, proteins, carbohydrates, lipids, small metabolites, and cytogenetic and  
129 cytokinetic parameters, as well as entire circulating tumour cells found in body fluids.  
130 They can be used for risk assessment, diagnosis, prognosis, and for the prediction of  
131 treatment efficacy and toxicity and disease recurrence.

132

133 Over the last 20 years, there has been an exponential increase in the number of  
134 studies dedicated to identification of new cancer (Fig. 2a) and infectious disease (Fig.  
135 2b) biomarkers, mainly because of the tremendous development of high throughput  
136 molecular technologies and associated bioinformatics. However, among the huge  
137 amount of candidate biomarkers, only a limited number have been validated for use  
138 in medical practice. A recent paper states that in DNA and proteomic research, out of  
139 1000 biomarkers discovered less than 100 have been validated for routine clinical  
140 practice<sup>21</sup>.

141

142 Vibrational spectroscopy can contribute in bringing a new way for searching  
143 biomarkers, namely “spectral signatures” or “spectral biomarkers”, which reflect the  
144 total biochemical composition of the studied sample as it has been employed for cell  
145 and tissue analysis since the pioneering work by Mantsch, Naumann and Diem, to list  
146 just a few.

147 Biological samples are frequently analysed *via* the transmission mode in the mid-IR  
148 region, where most molecules absorb and the molecular absorbance is proportional  
149 to concentration, obeying Beer-Lambert’s law for non-scattering samples. Mid-IR  
150 absorption features between approximately 4000 and 400  $\text{cm}^{-1}$  (2.5 to 25  $\mu\text{m}$ ). Figure  
151 3 illustrates an example of an FTIR spectrum of a breast tissue with the assignment of  
152 some important biomolecules. The spectrum can be divided into four regions where  
153 the main macromolecules absorb: -CH<sub>2</sub> and -CH<sub>3</sub> groups of fatty acids and proteins  
154 (3050–2800  $\text{cm}^{-1}$ ); C=O stretching vibrations mainly from lipid esters (1800–1700  $\text{cm}^{-1}$ );  
155 C=O, N-H, C-N modes from Amide I and II protein bands (1700–1500  $\text{cm}^{-1}$ );  
156 phosphate vibrations from nucleic acids (1225 and 1080  $\text{cm}^{-1}$ ); and carbohydrate  
157 absorptions (1200-900  $\text{cm}^{-1}$ ). Libraries housing spectra from biological and  
158 biochemical samples have been collected over the years.

159

160 Over the years, variants of IR spectroscopic technologies have been tested. A recent  
161 review highlights the use of IR techniques to probe the functionality of biological and  
162 biomimetic systems<sup>22</sup>. Their applications to study biological and biomedical  
163 specimens have continuously increased<sup>23, 24</sup>. When used to analyse biofluids, the  
164 mid-IR or near-IR spectroscopies would be performed on drying samples to negate  
165 the overwhelming water band from obscuring spectra and to increase automation<sup>25</sup>.

166

167 Another method of obtaining an IR spectrum is when the sample is placed on a highly  
168 reflecting surface, typically aluminium/teflon coated substrates or a glass slide with tin  
169 oxide-based silver reflective coating called low e-slides (e.g., MirrIR). In this case the process  
170 is termed transflection because the IR beam passes through the sample, is reflected off the  
171 slide and passes again through the sample before detection. These substrates have very low  
172 cost but recently they have been shown to cause significant spectral intensity variations, due  
173 to an electric free standing wave artefact (EFSW)<sup>26, 27</sup> which could be misinterpreted as  
174 composition variations while it is the sample thickness variation that is questionable. The  
175 fundamental question when using low e-slides is whether the spectral variations observed  
176 due to the EFSW impact on the discriminant spectral differences. In case of thin samples  
177 such as air-dried cellular monolayers, recent research by Cao *et al.* has shown that the same  
178 classification was obtained when performing transmission and transflection measurements  
179<sup>28</sup>.

180 Attenuated total reflectance (ATR) FTIR spectroscopy is a promising modality for  
181 biological sample analysis. The guided IR beam propagates through a high refractive  
182 index crystal surface producing an evanescent standing wave that penetrates the

183 sample by a few microns. However for proper use, several issues need to be  
184 considered, such as contact between the ATR crystal and the sample, the beam  
185 penetration depth and image distortion due to high refractive indices<sup>25, 29</sup>.

186

187 Despite its molecular specificity, FTIR spectroscopy suffers from some shortcomings  
188 which limit its application to the measurement of biological samples and their  
189 dynamic behaviour. An important one is sensitivity, in particular in thin samples as a  
190 result of the Beer-Lambert's law. Signal amplification can be achieved by the  
191 plasmonic resonances of nano-scale metallic particles<sup>30</sup>, resulting in the phenomena  
192 of surface-enhanced infrared absorption (SEIRA)<sup>31</sup>, in analogy with surface-enhanced  
193 Raman scattering (SERS)<sup>32</sup>. Early SEIRA studies utilised metal island films<sup>22, 31</sup> and  
194 dried samples, but today plasmonic chip-based technology enables the *in situ*  
195 monitoring of protein and nanoparticle interactions in aqueous media, at high  
196 sensitivity in real time<sup>33</sup>.

197 One method of choice for cell and tissue analysis has been IR microspectroscopy. The  
198 coupling of an FTIR spectrometer with a microscope has helped to perform  
199 microanalysis and gain in spatial resolution  $\sim 15\text{-}20\ \mu\text{m}$  with a thermal source and  $\sim 5\text{-}$   
200  $10\ \mu\text{m}$  with a synchrotron source using single element detectors. These systems are  
201 limited by low sensitivities and time-consuming experiments (several hours) as they  
202 remain a point by point acquisition. In the 1990's, the advent of imaging devices with  
203 multi-element detectors combined with aperture less microscopes, high-tech  
204 automation and faster computers, have drastically reduced the data acquisition times  
205 (few hours) with resolution going down to  $\sim 2\ \mu\text{m}/\text{pixel}$  with liquid nitrogen cooled  
206 focal plane array detectors. Many research groups have demonstrated the efficacy of  
207 employing this to a clinical setting on biopsy samples; minimising subjectivity and  
208 increasing diagnostic accuracy<sup>4</sup>. In spite of these progresses, such instruments remain  
209 research machines and are not adapted to be used as benchtop techniques for  
210 routine analysis in a clinical setting.

211 The launching of new IR imaging devices incorporating high-intensity tunable  
212 quantum cascade lasers (QCL) could revolutionise the way clinical IR images are  
213 acquired<sup>34</sup>. High-throughput IR chemical imaging is now in its early days, and needs  
214 to be tested and validated. However, a gain of three orders of magnitude in  
215 acquisition time has recently been reported for large samples by Bhargava's group<sup>35</sup>.  
216 Combining signal enhancement from SEIRA and fast imaging using a QCL source with  
217 small bandwidths, a recent study claimed a  $\sim 200$  fold gain in imaging time<sup>36</sup>.

218 The Raman shift covers the range between 0 and  $4000\ \text{cm}^{-1}$ . Raman spectroscopy can be  
219 used in the confocal mode and with the resonance and surface-enhanced modalities.  
220 Applications of Raman microspectroscopy for probing biological systems have been  
221 continuously expanding over the years along with IR spectroscopy<sup>37</sup>. Its high spatial  
222 resolution ( $\sim 0.5\ \mu\text{m}$  with green lasers), compatibility with aqueous environment<sup>38, 39</sup>, and *in*  
223 *vivo* amenability<sup>40-43</sup> makes it a good candidate for biological and biomedical research. Akin



224 to FTIR, it also provides high content biomolecular information. Microspectroscopy with  
225 immersion measurements can be used to enhance signal to background ratio enabling  
226 higher quality data acquisition as demonstrated by Bonnier *et al.*<sup>44</sup>.  
227 Due to its advantages, label-free, high spectral specificity, limited water signal, and the fact  
228 that most biological molecules are Raman active, Raman has been deployed to *in vitro* cell  
229 and tissue studies, but now significant developments of *in vivo* work due to the compatibility  
230 with fibres, has enabled Raman endoscopy in a label-free manner and *in vivo* Raman  
231 probes/endoscopes have made direct tissue analysis possible<sup>45</sup>.  
232 New fields of measurement and implementation possibilities have multiplied due to recent  
233 hardware developments, improved sampling methods, and advances in the design of Raman  
234 technology alongside developments and advances in multivariate data analysis. It has been  
235 possible to uncover subtle disease-related spectral changes and exploit them in classification  
236 models. However, an important drawback of Raman spectroscopy is that the effect is  
237 inherently weak as a very small proportion of incident photons are scattered ( $\sim 1$  in  $10^8$ ) with  
238 a corresponding change in frequency<sup>17</sup>. This together with the fact that to date most of the  
239 commercial systems use dispersive configurations adds another limitation compared to fast  
240 IR imaging systems, and makes Raman imaging of biological specimens a slower process.  
241 These limitations can be partly circumvented with other Raman modalities based on  
242 Resonant Raman Scattering (RRS) and Surface-Enhanced Raman Scattering (SERS) to enable  
243 gains in detection sensitivity<sup>37</sup>. In SERS technology, the use of functionalised metal  
244 nanosurfaces has allowed optimising the enhancement to several orders of magnitude  
245 depending on the metal substrate. Metal nanoparticle arrays and single nanoparticles have  
246 been utilized for high-throughput detection<sup>46</sup>. SERS has been applied in different areas in  
247 the chemical and biological fields<sup>47</sup> and its very high sensitivity has allowed single molecule  
248 detection<sup>48</sup>. Until recently, SERS was not widely applied to biomedical research because of  
249 issues linked to complexity of the biological medium, biocompatibility, reproducibility, and  
250 short shelf life. However, using silver and gold colloids as SERS substrates, Bonifacio *et al.*  
251 recently showed that repeatable spectra could be obtained from protein-free blood serum  
252 and plasma<sup>49</sup>.  
253 Furthermore, non-linear Raman spectroscopy has been developed to be applied to  
254 biomedical analysis like Stimulated Raman Scattering (SRS) and Coherent Anti-Stokes Raman  
255 Scattering (CARS), for rapid image acquisition (one Raman band at a time) with higher  
256 sensitivities than spontaneous Raman<sup>50-52</sup>. For non-linear Raman, it is important to know  
257 which marker band(s) are useful, in analogy to the application of Discrete Frequency-IR (DF-  
258 IR) as enabled by the use of QCL sources.  
259 Other areas of current interest for Raman spectroscopy are exploring the sampling depth  
260 and location of spectral information. For instance, seminal research conducted by Stone,  
261 Matousek and collaborators, demonstrated the principle of spatially offset Raman  
262 spectroscopy (SORS) for subsurface analysis towards *in vivo* breast cancer<sup>53, 54</sup> and deep  
263 Raman measurements using liquid tissue phantoms to mimic non-invasive cancer screening

264 applications *in vivo*<sup>55</sup>. Through-tissue sensitivity was increased *via* SESORS measurements at  
265 several millimetres depth, i.e., combining SORS with nano-tagged SERS particles<sup>56-59</sup>.

266 Building on the research described above, the field of biospectroscopy has  
267 continuously progressed and expanded to complex biological systems such as  
268 biofluids<sup>60</sup> with a major focus on the development of a potential  
269 diagnostic/prognostic tool with remarkable scope and future clinical promises.

270

271 With the global disease burden set to rise, a more rapid, non-invasive, label-free, non-  
272 destructive, automatic and cost effective diagnostic technique like vibrational spectroscopy  
273 would revolutionise the clinical environment. Its utility as a biofluid diagnostic tool is heavily  
274 reliant on the principle that cellular and tissue dysfunction or irregularities affect the  
275 biochemical make-up of biofluids, manifesting as protein, carbohydrate, lipid, and nucleic  
276 acid subtle differences<sup>16</sup>.

277 Over the last decade, developments in this field have been ongoing in order to fulfil these  
278 objectives and ultimately leading to better diagnostics and time to results to improve patient  
279 outcomes, offer more efficient public services, and reduce health costs.

280

### 281 **Biomarkers in body fluids**

282 According to the National Institutes of Health definition, a biomarker is “a  
283 characteristic that is objectively measured and evaluated as an indicator of normal  
284 biologic processes, pathogenic processes or pharmacologic responses to a therapeutic  
285 intervention”<sup>61</sup>. In line with this definition, there is a large range of clinical situations  
286 where the biomarkers are of paramount importance for the patient's management:  
287 screening of patients at risk of the disease or with the disease at an early stage,  
288 differential diagnosis of the disease with other conditions, prognosis of the disease  
289 independently of the treatment, prediction of the response to treatment, monitoring  
290 of disease evolution (Fig. 4).

291

292 Molecular biomarkers may be detectable in tissues and biofluids. Figure 5 illustrates  
293 the case for cancer where tissue biomarkers can be used for cytological or  
294 pathological assessment of the disease or for molecular or spectral imaging  
295 techniques. The tumour is vascularised and markers are shed into the bloodstream.  
296 Another health issue is the early detection of biomarkers for the diagnosis of  
297 infectious diseases coming either from the host or from the pathogen. From the initial  
298 interaction onwards the majority of biomarkers available to measure are derived  
299 from the host since pathogen numbers are very low and the host is able to utilize  
300 components of both the innate and adaptive host response to drive an appropriate  
301 response. In serious infection, when pathogens are able to overcome the early host  
302 response to their presence, their numbers increase at an exponential rate resulting in  
303 significant mortality rates. In such cases, the relative concentration of microbial  
304 biomarkers increase over time whilst biomarkers associated with the ongoing, yet

305 ineffective, host response are still readily detectable (Fig. 6). Preliminary evidence has  
306 been produced which indicates that it is possible to identify the presence of an  
307 infectious organism through analysis of host biomarker signatures before patients  
308 become symptomatic<sup>62</sup>. Thus, the concept of searching for such signatures in host  
309 biofluids pre-symptomatically appears as a promising avenue for exploration in order  
310 to enable early therapeutic intervention.

311

312 Regarding biofluids, blood and its constituents appear the most convenient for  
313 biomarker/biosignature detection given its ease of availability and the possibility to  
314 repeat the test as often as necessary to monitor disease progression or response to  
315 treatment.

316

317 Blood serum houses more than 20 000 different proteins. It perfuses all body organs  
318 meaning it contains a large range of proteomes from surrounding tissues and cells,  
319 making it the most complex biofluid<sup>63</sup>. The low molecular weight fraction serum  
320 component of blood, known as the “peptidome” is information rich for diagnostic  
321 purposes<sup>11</sup>. Other biofluids (bile, urine, sputum, pancreatic juice, and ascitic, pleural,  
322 cerebrospinal fluids), in direct contact with the diseased tissue, are of great interest  
323 as media to detect biomarkers/biosignatures that are secreted or shedded locally.  
324 These are expected to be present in higher concentration in these fluids than in the  
325 blood. In addition, their identification may be facilitated by a less complex molecular  
326 composition of local biofluids compared with blood. Although some biofluids such as  
327 urine share with blood samples ease of availability and repeatability, analysis of other  
328 biofluids requires an invasive procedure, which limits their repeated use in the clinical  
329 setting. An example is cerebrospinal fluid which requires a lumbar puncture for  
330 collection.

331

332 Whilst biomedical vibrational spectroscopy has been developed initially mainly for cell  
333 and tissue analysis, it has been also applied more recently to biofluids for biomarker  
334 discovery, generating a number of pilot studies with promising results as presented  
335 below. The challenge is now to translate the results of these exploratory studies to  
336 the routine clinical practice.

337

### 338 **Biofluid Spectroscopy**

339 The search for disease markers in biofluids *via* photonic approaches is a fast emerging  
340 field and has only been recently explored by vibrational spectroscopic approaches.  
341 Biofluids are easily accessible and minimally invasive for patients making large studies  
342 feasible. Like cells and tissues, biofluids exhibit vibrational spectra that have  
343 characteristic bands reflecting their biomolecular composition. Figure 7 compares the  
344 FTIR spectra of some dried biofluids (serum, plasma, and bile) obtained with a high-  
345 throughput module in the transmission mode. IR spectra of serum and plasma

346 present very close profiles with subtle differences that are difficult to depict visibly.  
347 This is explained by the fact that serum is essentially plasma with the clotting factors  
348 of blood removed. The assignment of the main bands is provided in Table I.  
349 The bile spectrum differs through a higher lipid and carbohydrate content and by  
350 relative intensity changes of the protein amide I/amide II bands<sup>64</sup>.  
351 Raman spectroscopy gives complementary information to IR. Besides the main  
352 macromolecules like proteins, lipids, and carbohydrates, other modes originating  
353 from amino acids for example are active. The assignment of the main bands is  
354 indicated in figure 8 showing an example of a typical Raman serum spectrum taken  
355 from a dried drop.

356

### 357 Serum and plasma

358 At present, the majority of the biofluid spectroscopy research has focused on serum  
359 and plasma. This is most likely due to the prevalence of these types of samples within  
360 current biobank stocks or the fact that ethics are already established to collect these  
361 samples and all that is required is an addendum stating a separate use of the  
362 material.

363 *Malignant diseases* - Currently, in the field of oncology, most investigations are proof-  
364 of-principle studies showing the potentials of FTIR/Raman spectroscopy to identify  
365 different types of cancer from serum samples with high degrees of accuracy. HT-FTIR  
366 spectroscopy in transmission mode was used to discriminate urinary bladder cancer  
367 patients from patients with urinary tract infection with linear discriminant analysis  
368 (LDA) or random forest (RF) classifiers<sup>65</sup>. Using blood serum, Backhaus *et al.*  
369 distinguished between breast cancer and controls with a very high sensitivity and specificity  
370<sup>66</sup>. Chemometrics combining support vector machine (SVM) and leave-one-out cross  
371 validation was employed by Zhang *et al.* to separate cirrhotic patients with or without  
372 hepatocellular carcinoma<sup>67</sup>. Equally important is the possibility to identify liver  
373 fibrosis stages prior to the development of hepatocellular carcinoma, which are  
374 crucial for the clinical management. A study by Scaglia *et al.* revealed that patients  
375 with extensive fibrosis (F3/F4 stages) could be distinguished from those with no  
376 fibrosis (F0 stage) on the basis of their FTIR serum spectra using a combination of  
377 discriminant wavenumbers<sup>68</sup>. Studies using ATR-FTIR spectroscopy, coupled with  
378 classification machine discriminated ovarian<sup>69</sup> and endometrial cancers<sup>70</sup>. It also  
379 allowed differentiating glioblastoma multiforme (GBM) from healthy control and low  
380 grade gliomas and GBM *versus* healthy control<sup>71,72</sup>.

381 Applications of Raman spectroscopy to the study of various biofluids from cancer  
382 patients are in continuous progress. Sahu *et al.* analysed serum samples and could  
383 differentiate oral cancer patients from controls<sup>73</sup>. More recently, they reported that  
384 Raman serum spectroscopy was capable to predict the probability of recurrence in  
385 this cancer<sup>74</sup>. Other studies have shown the potential of Raman spectroscopy for  
386 differentiating normal subjects from patients with breast<sup>75</sup>, colorectal<sup>76</sup>, or cervical<sup>77</sup>

387 cancers. A proof-of-concept study using micro-Raman spectroscopy applied to the  
388 sera of 71 cirrhotic patients showed that it could be an alternative method for  
389 discriminating cirrhotic patients with and without hepatocellular carcinoma<sup>78</sup>. On the  
390 other hand, SERS of serum or plasma has also been shown as a promising tool for the  
391 diagnosis of various types of cancer such as nasopharyngeal<sup>79-81</sup>, digestive<sup>80, 82-84</sup>, and  
392 prostate cancers<sup>85</sup>.

393

394

395 *Non-malignant diseases* - Serum and plasma have been also employed to diagnose  
396 other diseases using biospectroscopy. For example, Raman serum data allowed to  
397 differentiate Alzheimer's disease from other dementia<sup>86</sup> and Carmona *et al.* used  
398 plasma Raman spectral data to grade mild, moderate, and severe Alzheimer cases<sup>87</sup>.  
399 *Via* FTIR spectroscopy of plasma, Peuchant *et al.* have shown that patients with  
400 Alzheimer's disease could be well delineated from normal ageing subjects used as  
401 controls<sup>88</sup>.

402

403 Recent plasma data published by Lacombe *et al.* clearly showed that HT-FTIR  
404 spectroscopy could be an interesting alternative technique in neonatal screening of  
405 rare diseases such as classic galactosemia. Promising results indicated that  
406 healthy/diabetic, healthy/galactosemic, and diabetic/galactosemic patients could be  
407 discriminated with good sensitivity and specificity<sup>89</sup>.

408 Few large studies have been reported. An example is the study led by Petrich's group  
409 showing the potential of mid-infrared spectroscopy in the triage of patients with  
410 acute chest pain<sup>90</sup>. This study included 1429 serum samples from 389 patients  
411 reporting to two US hospitals (Massachusetts General and Latter Day Saints, Utah)  
412 consisted of 104 suffering from acute myocardial infarction (AMI), 136 from unstable  
413 angina pectoris, and 149 from chest pain of other sources. FTIR measurements were  
414 performed in the transflection mode. Using a threshold value generated from a  
415 robust linear discriminant analysis, they achieved high sensitivity and specificity  
416 enabling triage of patients with AMI, those most at need within the Accident and  
417 Emergency setting, compared to the other sources of chest pain. They hypothesise on  
418 the involvement of carbohydrates as discriminant features, possibly a glycation  
419 reaction. Interestingly, their results were comparable to the performance of routine  
420 cardiac laboratory markers within the same study population. They conclude on the  
421 potential of FTIR to aid the diagnostic procedure as early as within the first 6 hours  
422 after the onset of chest pain.

423 Blood plasma from patients has been investigated with Raman spectroscopy as dried  
424 drops to identify a reliable biomarker that can differentiate sepsis patients from those  
425 with non-infectious systemic inflammatory response syndrome. Neugebauer *et al.*  
426 reported on the high sensitivity and specificity that can be achieved<sup>91</sup>. The possibility

427 of separating the two groups of patients is crucial because a stratification of at risk  
428 patients can be established for a rapid delivery of appropriate treatment.  
429 Finally, following the results obtained in a model of infected cultured cells, SERS appears as a  
430 promising approach for malaria parasite detection from whole blood <sup>92</sup>.

431

#### 432 **Other biofluids**

433 Other biofluids non-invasively accessible (urine, saliva, sputum, tears) and invasively  
434 accessible (bile, synovial fluid, cerebrospinal fluid, amniotic fluid) have been  
435 investigated by vibrational spectroscopy for diagnostic purposes.

436 Somorjai *et al.* were able to distinguish urine samples from normal renal transplants  
437 and rejected allografts, applying IR spectroscopy and a three-stage classification  
438 strategy <sup>93</sup>. A Raman spectroscopic analysis combined with PCA and quadratic  
439 discriminant analysis (QDA) performed on urine, has allowed identification of spectral  
440 biomarkers predictive of complications and kidney failure in the urine of diabetic and  
441 hypertensive patients <sup>94</sup>. Finally, in the field of oncology, Del Mistro *et al.* reported  
442 that SERS using Au nanoparticle substrates had the potential to detect in urine  
443 spectral biomarkers of prostate cancer <sup>95</sup>.

444 Another approach by FTIR spectroscopy associated with LDA on saliva, has reported the  
445 correct classification of diabetic patients from healthy control <sup>96</sup>. SERS of saliva showed the  
446 ability to predict lung cancer by monitoring the decrease of proteins and nucleic acids with  
447 80%, 78%, and 83% accuracy, sensitivity, and specificity respectively <sup>97</sup>. A preliminary study  
448 using SERS on saliva suggested the possibility of a quick detection of AIDS but these results  
449 obtained on a small number of patients deserve to be confirmed on a larger population <sup>98</sup>.

450 An exploratory study has shown that FTIR spectroscopy applied to sputum could be a  
451 useful approach for the diagnostic of the chronic obstructive pulmonary disease <sup>99</sup>.

452 Investigating the potential of human tears for the diagnosis of ocular diseases, Travo  
453 *et al.* have shown the discrimination of patients with keratoconus (degenerative  
454 disorder affecting the cornea) from healthy control and also between patients at an  
455 early or advanced stage of disease by HT-FTIR and PCA <sup>100</sup>. Additionally, Choi *et al.*  
456 report that SERS can be used for diagnosis of adenoviral conjunctivitis from tears <sup>101</sup>.

457 Using HT-FTIR spectroscopy in association with support vector machine (SVM)  
458 classification and leave-one-out cross validation (LOOCV), Untereiner *et al.* have  
459 shown that bile samples of patients with malignant biliary strictures were  
460 differentiated from those with benign biliary diseases <sup>64</sup>.

461 Eysel *et al.* using FTIR spectroscopy and LDA with LOOCV on synovial fluid, were able  
462 to differentiate samples from joints affected by rheumatoid arthritis, osteoarthritis,  
463 spondyloarthropathies, and meniscal injuries <sup>102</sup>. Also from synovial fluid samples, a  
464 Raman spectroscopic study associated to a k-means analysis has shown discrimination  
465 between patients with osteoarthritis of low or high severity <sup>103</sup>.

466 Liu *et al.* have investigated the amniotic fluid potential for fetal lung development  
467 assessments by IR spectroscopy. The lecithin/sphingomyelin (lung surfactants) and lung

468 surfactant/albumin ratio measurements by IR spectroscopy were quantitatively and  
469 qualitatively correlated to those obtained by thin-layer chromatography and fluorescence  
470 depolarization, two clinical methods used to determine fetal lung surfactant maturity in  
471 amniotic fluid <sup>104</sup>. Prenatal disorders from amniotic fluids have also been investigated by  
472 ATR-FTIR spectroscopy revealing spectral profile changes between amniotic fluids from  
473 pregnancies with fetal malformations, preterm delivery and healthy term pregnancies <sup>105</sup>.  
474 Griebe *et al.* were able by FTIR spectroscopy to distinguish patients with Alzheimer's disease  
475 from healthy controls using cerebrospinal fluid <sup>106</sup>.

476

### 477 Translation

478 With a few exceptions, all the mentioned proof-of-concept studies have been carried  
479 out on rather small populations and have shown promises for clinical utility and  
480 highlight the potential of vibrational spectroscopy for spectral diagnostics. To our  
481 knowledge, two major programmes for large scale clinical trials in remote settings are  
482 ongoing using hand-held FTIR modalities. The first campaign led by Wood *et al.*  
483 concerns the screening of population in Thailand for malarial diagnosis  
484 (<http://monash.edu/news/show/infrared-light-puts-malaria-to-the-test>).

485 A similar approach is being taken in the UK with the establishment of Glyconics Ltd.  
486 Glyconics is using sputum to diagnose Chronic Obstructive Pulmonary Disorder and  
487 are moving towards clinical validation of handheld ATR-FTIR on a subset of the UK  
488 population (<http://www.glyconics.com/technology.asp>).

489

490 These steps towards actual clinical environment testing is pushing the field to the  
491 forefront of the application and will illuminate the utility of these techniques as well  
492 as barriers to clinical implementation that need to be overcome.

493

### 494 Multivariate Analysis

495 It is becoming more and more evident that vibrational spectroscopy represents an  
496 interesting approach to explore the diagnostic potentials of circulating  
497 biomarkers/biosignatures in various body fluids <sup>60</sup>. Along with the technological  
498 development, the front-end sample preparation challenges and approaches, and the  
499 data acquisition procedures, the pre-processing and post-processing of spectral data  
500 are equally important for the deployment of various biofluid classes into diagnostics  
501 development. Vibrational spectroscopic data are inherently multivariate by nature  
502 and their pre- and post-processing require multivariate data analysis approaches.

503

504 Different instruments from different manufacturers have different responses and  
505 spectral distortions and backgrounds have to be taken into account via pre-processing  
506 algorithms in order to compare data from different studies for example. The pre-  
507 processing should therefore be able to give accurate, robust and reliable data. These  
508 considerations should also include how the sample is prepared and conditioned, the

509 optical substrate used, and the acquisition mode used in order to post-process  
510 reliable data. The way the sample is dried or acquired (e.g. transmission or reflection)  
511 will also pre-empt the pre-processing procedures. For example, rapid drying of serum  
512 can produce a granulating effect which then causes more scattering/dispersion  
513 artefacts and a specific correction has to be implemented. It is clear that the pre-  
514 processing is not the same for infrared and Raman spectra of biofluids because the  
515 physical phenomena involved are respectively absorption and scattering. In FT-IR  
516 spectroscopy the use of an interferometer ensures an excellent intensity and  
517 wavenumber calibration. In addition, a background signal is regularly recorded and  
518 automatically subtracted to obtain the sample spectrum. For Raman, a day-to-day  
519 calibration procedure needs to be implemented to correct for instrument response,  
520 and to calibrate the wavenumber and intensity axes. Other experimental  
521 considerations include the need to subtract substrate contributions and other  
522 physical phenomena such as fluorescence and heating. Biofluid vibrational spectra are  
523 therefore corrected, derived (or not), then normalized. As a general rule, it is also  
524 important to include prior to the pre-processing steps, a quality test to remove  
525 spectra with a poor signal/noise ratio (threshold to be defined depending on the  
526 sample nature) and a validated outlier removal routine before post-processing.

527

528 The post-processing step includes data mining and the construction of classifiers. Very  
529 often, the spectral differences between normal and pathological states are very  
530 subtle and the next step is to perform data mining, i.e., a process used to extract the  
531 salient information from the spectral data. By using specific algorithms, patterns can  
532 be found in large batches of data. Thus, such feature selection procedures can help to  
533 identify discriminant spectral features to discriminate between patient groups<sup>67</sup>.  
534 However, it is important to note that data mining depends on effective data  
535 collection, the size of the datasets, and as well as their pre-processing.

536

537 To build classification models, several multivariate approaches have been used and as  
538 of today there is no general consensus on which method is the best. In other research  
539 fields, numerous linear and non-linear supervised algorithms have been evaluated  
540 and a combination of methods like SVM and PLS-DA has been shown to enhance the  
541 sensitivity and specificity of the classifiers<sup>107</sup>. Generally, building the classifier should  
542 include a calibration phase (training phase), an internal validation phase, and an  
543 external validation phase (blind testing phase). One of the important issues  
544 encountered is the size of the datasets used as a small dataset that does not  
545 accurately describe the patient population can lead to under- or over-fitting and  
546 impact the classifier outcome. For a classifier to be robust, it is important to have a  
547 large number of class-representative patient samples. In addition, the external  
548 validation requires a dataset that has not been used in the two previous steps of  
549 calibration and internal validation (based upon patient spectra and not replicate



550 spectra from the same patient i.e. a spectrum from the same patient should not be in  
551 the calibration/internal validation and external validation phases). The leave-n-out  
552 cross validation method is often used for these models. It is important to note that all  
553 spectra from a given patient must be removed in this process in order to enable a  
554 valid outcome. Considering all individual spectra, mean spectra or median spectra as  
555 input datasets of the classifier should also be taken into consideration although it has  
556 been found that when spectra are highly reproducible and after applying a quality  
557 control test plus an appropriate outlier removal, the results are comparable<sup>64</sup>.

558

559 The workflow in figure 9 illustrates the different steps, for both IR and Raman  
560 spectroscopies, starting from sample preparation to data pre- and post-processing  
561 and the building of classifiers for diagnostics. The issues dealing with pre-processing  
562 and post-processing procedures generally used are described in a more detailed  
563 manner in a dedicated review elsewhere in this special issue.

564

### 565 **Requirements for Clinical Implementation**

566 Over the last 20 years, the number of studies dedicated to identification of new  
567 biomarkers has increased exponentially, mainly because of the tremendous  
568 development of high-throughput molecular technologies and associated  
569 bioinformatics. However, among the huge amount of candidate biomarkers, only a  
570 limited number have been validated for use in medical practice<sup>108</sup>. The origin of this  
571 discrepancy has been extensively analyzed in the field of proteomics and genomics.  
572 Methodological flaws have been identified in the process of their identification  
573 and/or clinical validation and recommendations have been set forth to overcome  
574 these inadequacies<sup>109-111</sup>. Studies based on vibrational spectroscopy are subject to  
575 the same problems. As for other high throughput technologies, the huge amount of  
576 data generated by spectroscopic analysis exposes this analysis to a significant risk of  
577 false positive findings. This risk should be minimized by rigorously controlling sample  
578 and patient related factors in the exploratory phase and by standardizing the  
579 conditions of spectral acquisition, processing and analysis (preanalytic/analytic  
580 validity). Subsequently, the findings from pilot studies need to be confirmed in  
581 independent large cohort of samples (clinical validity) and finally the benefit of using  
582 the biomarker/biosignature in the clinical decision-making setting should be clearly  
583 demonstrated as well as its favourable medico-economic profile. Only after this  
584 process, a newly discovered biomarker can pretend to reach the routine clinical use  
585 <sup>109-113</sup>.

586

### 587 **Preanalytic/analytic validity**

588 In the preanalytic step, attention should be paid to validate sample-related factors  
589 and patient-related factors. Standardization of specimen collection and storage is  
590 crucial to reach experimental reproducibility not only in an individual laboratory but

591 also between different laboratories. In addition, investigators should be aware of the  
592 risks of contamination during sample handling. In a recent SERS study<sup>49</sup>, EDTA, citrate  
593 and Li-Heparin used as anticoagulants for plasma collection have been shown to  
594 exhibit confounding peaks. When using filtered plasma (with a 3kDa cut-off), contrary  
595 to EDTA and citrate, Li-Heparin was filtered out and no longer interfered with the  
596 spectral information. FTIR studies have shown that EDTA and citrate spectral  
597 contributions can be circumvented using dialysed plasma. In contrast, no interference  
598 in FTIR spectra was observed when directly analysing plasma from Li-Heparin tubes  
599<sup>114</sup>. Due to these limitations, serum is often preferred to plasma in spectroscopic  
600 analysis. Factors related to patients are of paramount importance to limit the risk of  
601 false positives. Inappropriate selection of case patients and control subjects is a  
602 common pitfall in spectroscopic studies as widely reported in other high throughput  
603 technologies<sup>108, 115</sup>. When comparison groups are not matched for example for age,  
604 sex and physical conditions such as hormonal status or pathologies other than the  
605 disease of interest, results may be biased and differences identified between groups  
606 may be linked to these confounding factors rather than to the disease of interest<sup>109</sup>.  
607 Analytic validity includes the technical aspects of the biomarker assessment. In the  
608 field of vibrational spectroscopy, the interaction of light with biological molecules is  
609 subject to a certain number of drawbacks which should be overcome to meet the  
610 criteria of accuracy, reproducibility and robustness.

611

612 The most common protocol for spectral analysis of biofluids is the drying of drop  
613 deposits. A shortcoming of this method is the heterogeneous drop deposition  
614 characterized by the well-known coffee-ring effect, due to the migration of  
615 macromolecules towards the periphery of the drop<sup>116-118</sup>. In order to clarify the  
616 dynamics of such deposition, Esmonde-White *et al.* used both imaging and Raman  
617 spectroscopy to demonstrate that substrate and fluid concentration have a profound  
618 effect on dried drop morphology. They showed that the substrate did not affect the  
619 chemical composition within the outer ring of the drop whereas the macromolecular  
620 concentration has an impact on the spatial distribution of proteins<sup>119</sup>. Using HT-FTIR,  
621 Lovergne *et al.* have recently confirmed the impact of serum dilution on the  
622 deposition pattern as illustrated in figure 10<sup>120</sup>. Without dilution, serum spectra were  
623 saturated, due to the acquisition in the transmission sampling mode. The 3-fold  
624 dilution was shown to be the most suitable for spectral analysis with a good  
625 reproducibility and absorbance intensity. The signal/noise ratio was degraded with  
626 higher fold dilutions which precludes the analysis of molecules present at a low  
627 concentration in the serum. The heterogeneous deposition of macromolecules in the  
628 outer ring should be taken into account when using mode point spectroscopic  
629 assessment. It has been reported that this issue can be overcome by averaging  
630 spectra taken at different points of the outer ring<sup>121</sup>. Another possibility to avoid the  
631 coffee-ring effect is to perform an analysis on a film composed of an array of reduced-

632 size dry drops each formed from 200 pL of serum <sup>122</sup>. The strict control of  
633 experimental parameters of drop deposition appears as a major prerequisite to  
634 obtain reproducible results <sup>119</sup>. This may be obtained at best by an automated  
635 sampling approach as described by Ollesch *et al.* Using this approach, these authors  
636 have reported a higher reproducibility of spectral data compared to a non-automatic  
637 sampling <sup>122</sup>.

638

639 ATR-FTIR spectroscopy has been shown to be an interesting approach for the analysis  
640 of biofluids as samples can be directly applied onto the ATR crystal without any  
641 dilution. However, currently there is no automated device available so that spectral  
642 acquisition is time consuming, about 9 times longer than with automated HT-FTIR  
643 spectroscopy <sup>120</sup>. The lack of automation is a limiting factor for the transposition of  
644 ATR-FTIR spectroscopy into a high-throughput clinical application <sup>123</sup>. This may also be  
645 possible when using a high throughput source such as a QCL during a DF-IR approach.  
646 However, for limited patient cases, in a hand-held mode it offers advantages of ease  
647 of use and ease of sample preparation with no modification/adulteration of the  
648 sample. Identically, Raman spectroscopy is also of great interest for biofluid  
649 spectroscopy particularly due to developments in hand held technology and  
650 immersion Raman which could enable hand held analysis of “wet” serum, negating  
651 the need for a drying step.

652

653 The technical standardization of spectral acquisition makes sense if reproducible  
654 results can be obtained in different laboratories. This external validation is essential  
655 on the way towards clinical validity. The inter-instrument transferability is also a  
656 challenge that needs to be faced. Finally, the need for automated instruments  
657 underline the necessity of a close collaboration between research scientists, clinical  
658 practitioners and industrial partners in order to optimize currently available products  
659 according to a specific biomedical purpose <sup>1</sup>.

660 Beside the need of standardized spectral acquisition, there is also a need to validate  
661 the design of pilot studies including the chemometric analysis. Proof-of-concept  
662 studies raise the question of appropriate selection of case patients and controls as  
663 discussed below and also the question of sample size. In contrast with classical  
664 statistics, there is no simple method to calculate sample size in biospectroscopic  
665 studies. However, Beleites *et al.* have proposed in a recent report to use learning  
666 curves to determine the appropriate sample size needed to build good classifiers with  
667 specified performances <sup>124</sup>. When the number of patients is too limited to divide the  
668 population in one training set and one independent validation set, cross validation  
669 methods should be used to avoid the high risk of overfitting <sup>125</sup>.

670

671

### Clinical validity

672 The next step after the phase of pre-analytic/analytic validation is to confirm the  
673 diagnostic performance of the biomarker on an independent population of a large  
674 number of patients. This means large multicenter randomized control trials where the  
675 sensitivity and the specificity of the putative biomarker may be evaluated against the  
676 gold standard diagnostic/screening procedure. These studies, particularly the criteria  
677 to include case patients and controls, should be carefully designed to demonstrate  
678 whether the biomarker is applicable to its specific purpose which may be screening,  
679 differential diagnosis, prognosis, treatment response prediction or monitoring of a  
680 disease (Fig. 4).

681

682 A common mistake is to validate a marker in the diagnostic setting of a disease and  
683 then to extrapolate its performance to the screening context. Candidate biomarkers  
684 are tested in pilot studies performed in small numbers of patients with patent disease  
685 already diagnosed using golden standard methods. It is crucial to validate the value of  
686 these markers in the screening context i.e. for early diagnosis in large populations of  
687 patients at risk of the disease. The biomarker sensitivity and specificity in the  
688 screening target population are usually much lower than in patients with patent  
689 disease. In the context of population screening, high specificity is of paramount  
690 importance to avoid false positive results, which means patients will be subject to  
691 additional diagnostic procedures, potentially invasive and costly for the society. This  
692 underlines the necessity of selecting case patients and control subjects according to  
693 the clinical setting where the biomarker is intended to be used<sup>109</sup>.

694

695 A methodology to avoid patient selection bias in screening studies has been proposed  
696 by Pepe *et al.*<sup>109, 111, 126</sup>. In the so-called PROBE study design, samples are collected  
697 prospectively in a cohort of patients before the knowledge of the final diagnosis.  
698 Once the outcome data becomes available and the diagnosis established, the sample  
699 cohort can be used retrospectively by randomly selecting cases and controls. This  
700 methodology is promoted by the research consortium "Early Detection Research  
701 Network" from the National Cancer Institute to establish specimen reference sets. It  
702 has proved efficient for rapid evaluation of potential biomarkers<sup>110</sup>.

703

704

### Clinical utility

705 A crucial point in the process of biomarker validation before its adoption in routine  
706 clinical practice is to demonstrate its clinical decision-making usefulness at an  
707 acceptable cost for the society<sup>109</sup>. This means that the positive and negative  
708 predictive values of the biomarker should be evaluated in the "real life" patient  
709 population since these indicators are dependent on the prevalence of the disease of  
710 interest. The difference between clinical validity and clinical utility is illustrated by the  
711 debate about the usefulness of Prostatic Specific Antigen (PSA)-based screening  
712 program. It is well established that PSA-based screening programs significantly

713 increase the detection of prostate cancer at an early stage<sup>127</sup>. However, there is also  
714 evidence that PSA-based screening carries a high risk of over-diagnosis leading to  
715 overtreatment in a significant number of men with early cancer that will never  
716 become symptomatic during their life time<sup>128</sup>. Whether the benefits of early  
717 detection of asymptomatic prostate cancer outweigh the harms related to over-  
718 diagnosis and overtreatment is highly controversial. There is no consensus regarding  
719 the clinical relevance of a PSA-based screening program<sup>129</sup>. This emphasizes that, in  
720 addition to its diagnostic performance, the biomarker clinical utility has to be  
721 demonstrated before its clinical implementation. The clinical utility refers to the  
722 balance of benefits to harms and the medicoeconomic evaluation. For this purpose, a  
723 validation study should be performed in a large number of unselected patients with  
724 clinical endpoints clearly defined to demonstrate the benefit of using a biomarker  
725 including quality of life for the patient and socioeconomic aspects for the society<sup>109</sup>.

726

## 727 Conclusion

728 The difficulty in translating biomedical spectroscopy to the clinic is fundamentally  
729 based in the fact that after over more than two decades of research, not enough has  
730 been done to fully understand the accuracy of these tests with appropriate  
731 considerations applied to control groups and limitations of the clinical environment.  
732 In addition there is a need to perform large-scale studies to evaluate the  
733 spectroscopic tests' efficacy within the clinic. These approaches would also enable a  
734 "diplomatic mission" to enable this technology to be acceptable to the medical  
735 community through a "hearts and minds" approach. The particular requirements and  
736 picture of a clinical spectrometer or suit of spectrometers including the spectroscopic  
737 approach should be implemented for different clinical settings, its instrumental  
738 requirements (e.g. detector sensitivity and source throughput), and how accurately it  
739 can diagnose disease or perform treatment monitoring.

740

741 This review has highlighted the increased diagnostic sensitivity observed from the use  
742 of biomedical vibrational spectroscopy to analyse biofluids. However, care should be  
743 taken for biofluid spectroscopy not to suffer from the identified pitfalls. As the field of  
744 biofluid spectroscopy is further researched, a lot of commitment from different  
745 stakeholders (researchers, clinicians, and instrument manufacturers) will be necessary  
746 to demonstrate its real potential as a rapid, novel, and robust technology to pinpoint  
747 "spectral biomarkers / signatures" that can be useful for diagnostic purposes and to  
748 predict clinical outcomes, with the promise that the test can be done periodically at  
749 low cost for monitoring care.

750

751 The initiatives via current networks like the EPSRC CLIRSPEC (<http://clirspec.org/>), the  
752 Raman4Clinics European COST action (<http://www.raman4clinics.eu/raman4clinics-a-european-cost-action/>) and the 1<sup>st</sup> International Society for Clinical Spectroscopy

753

754 (CLIRSPEC) are currently gearing research, facilities and communities in the clinical  
755 spectroscopy arena to achieve these objectives.

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762

763 Table I: Assignment of the major absorption bands of a plasma FT-IR spectrum <sup>89</sup>  
 764

Bands (cm <sup>-1</sup> )	Major assignments for plasma contents	765
3300	v(N-H) of proteins (amide A band)	766
3055-3090	v(=CH) of lipids	
2950-2960	v <sub>as</sub> (CH <sub>3</sub> ) of lipids	767
2920-2930	v <sub>as</sub> (CH <sub>2</sub> ) of lipids	768
2865-2880	v <sub>s</sub> (CH <sub>3</sub> ) of lipids	769
2840-2860	v <sub>s</sub> (CH <sub>2</sub> ) of lipids	770
1730-1760	v(C=O) of fatty acids	771
1660	v(C=O) of proteins (amide I band)	772
1550	δ(N-H) of proteins (amide II band)	773
1400	v(COO <sup>-</sup> ) of amino acids	774
1240	v <sub>as</sub> (P=O) of nucleic acids	775
1170-1120	v(C-O) and v(C-O-C) of carbohydrates	776

v: stretching vibrations, δ: bending vibrations, s: symmetric, 777  
 as: asymmetric. Taken from Lacombe *et al.*, *Analyst*, 2015, **140**, 2780.

779

780

781 Fig. 1 Energy diagram showing transitions involved during infrared absorption, Rayleigh,  
 782 Raman Stokes and anti-Stokes scattering. This Jablonski diagram shows that the same  
 783 vibrational states of a given molecule can be probed *via* two different routes; one directly  
 784 measures the absolute frequency (IR absorption) and the other measures the relative  
 785 frequency or Raman shift (Stokes and anti-Stokes).  $h\nu_0$  = incident laser energy,  $h\nu_{\text{vib}}$  =  
 786 vibrational energy,  $\Delta u$  = Raman shift,  $\nu_{\text{vib}}$  = vibrational frequencies.

787

788 Fig. 2 Number of publications returned in PubMed when inputting the term "cancer  
 789 biomarker" (a) and "infection biomarkers" (b).

790

791 Fig.3 FTIR biological spectrum showing frequent biomolecular band assignments from 3,000-  
 792 800 cm<sup>-1</sup>, where v = stretching vibrations, δ = bending vibrations, s = symmetric vibrations  
 793 and as = asymmetric vibrations. Illustration taken from transmission spectra on human  
 794 breast ductal carcinoma, prepared on 1mm thick BaF<sub>2</sub> slides <sup>4</sup>. The 3000-2800 cm<sup>-1</sup> region  
 795 originates mostly from lipids (CH, CH<sub>2</sub> and CH<sub>3</sub> stretching modes), but protein absorption of  
 796 the same modes also contribute to these absorption bands.

797

798 Fig. 4 Schematic of biomarker use in clinical practice.

799

800 Fig. 5: Example of potential tumour-site related biomarkers.

801

802 Fig. 6 The relative contribution of host and microbial derived biomarkers to enable  
 803 diagnosis of infection.

804

805 Fig. 7 Comparison between HT-FTIR spectra of different biofluids: serum (red curve),  
 806 plasma (blue curve), and bile (green curve). Spectra are background corrected and  
 807 normalised. Note: Serum and bile were collected in dry tubes while for plasma  
 808 samples lithium heparin tubes were used.

809 Fig. 8 Typical Raman spectrum of dried serum drop with spectral assignments. Spectrum was  
810 measured on a calcium fluoride window with a 785 nm laser excitation with an acquisition  
811 time of 2x30 seconds.

812

813 Fig. 9 Workflow of biofluid spectroscopy from substrate choice through sample preparation  
814 to spectral measurements and data analysis with diagnostic classifiers.

815

816 Fig. 10 Analysis of dried serum drops and coffee ring effect with different dilutions: white  
817 light images (left) and chemical images constructed on amide I protein band (right).

818

819

820



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822

823

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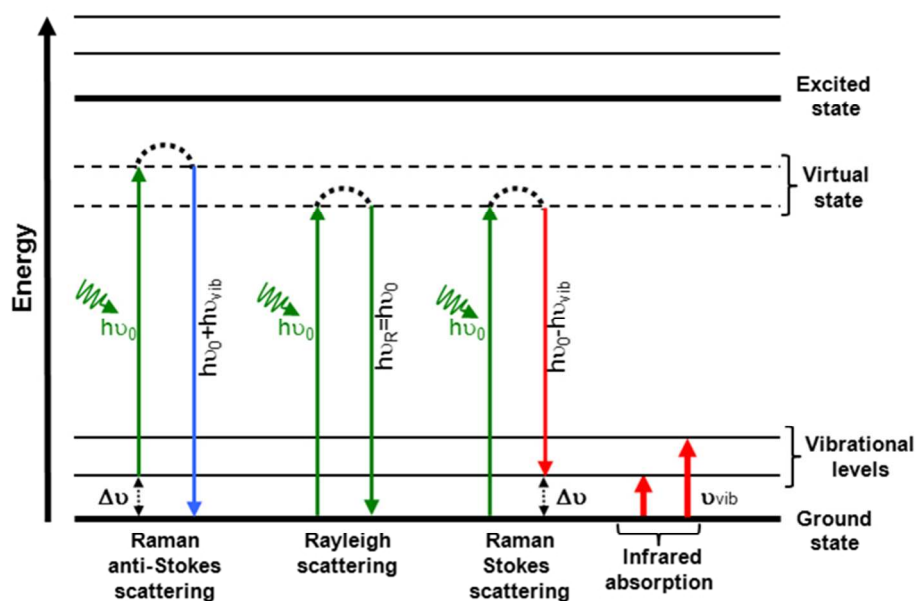
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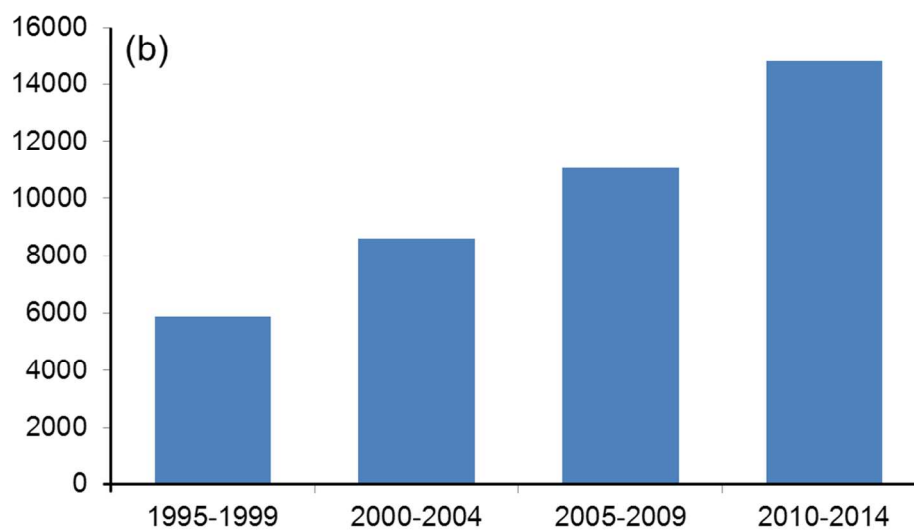
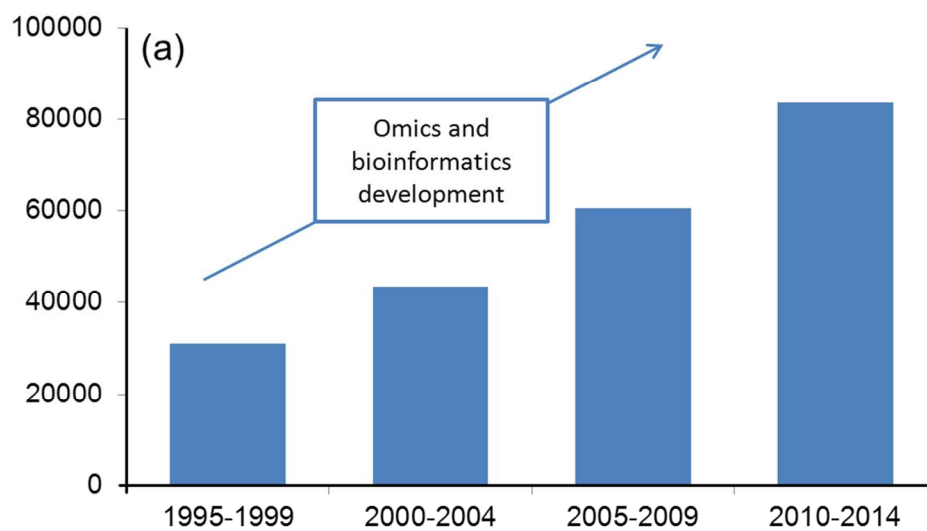
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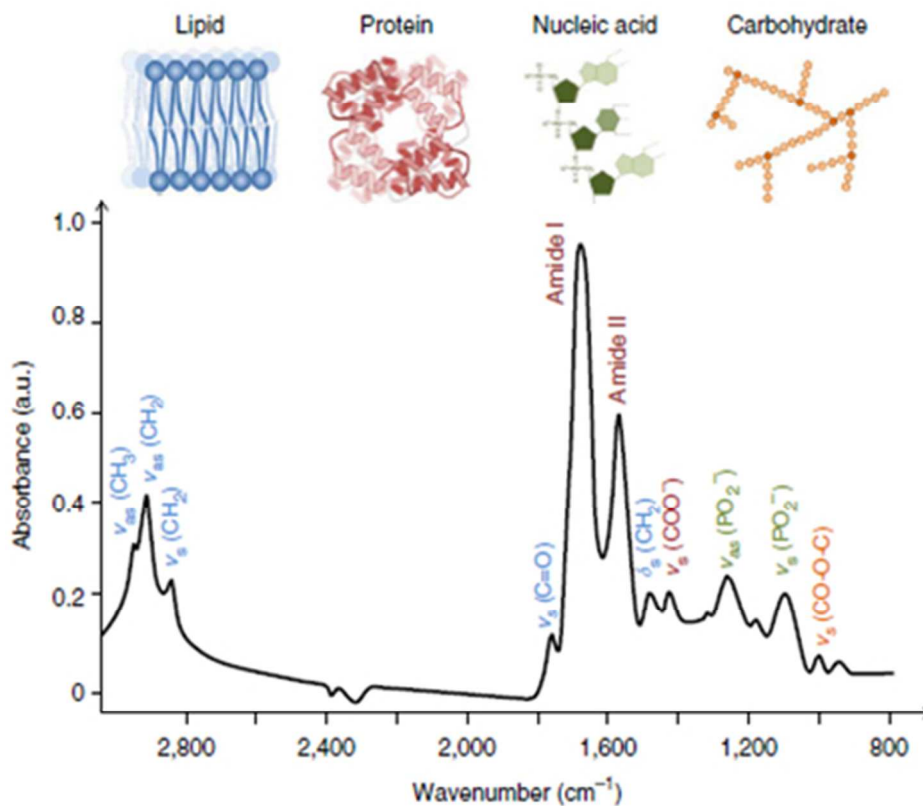


Energy diagram showing transitions involved during infrared absorption, Rayleigh, Raman Stokes and anti-Stokes scattering. This Jablonski diagram shows that the same vibrational states of a given molecule can be probed via two different routes; one directly measures the absolute frequency (IR absorption) and the other measures the relative frequency or Raman shift (Stokes and anti-Stokes).  $h\nu_0$  = incident laser energy,  $h\nu_{\text{vib}}$  = vibrational energy,  $\Delta\nu$  = Raman shift,  $\nu_{\text{vib}}$  = vibrational frequencies.

182x117mm (111 x 111 DPI)



178x206mm (150 x 150 DPI)

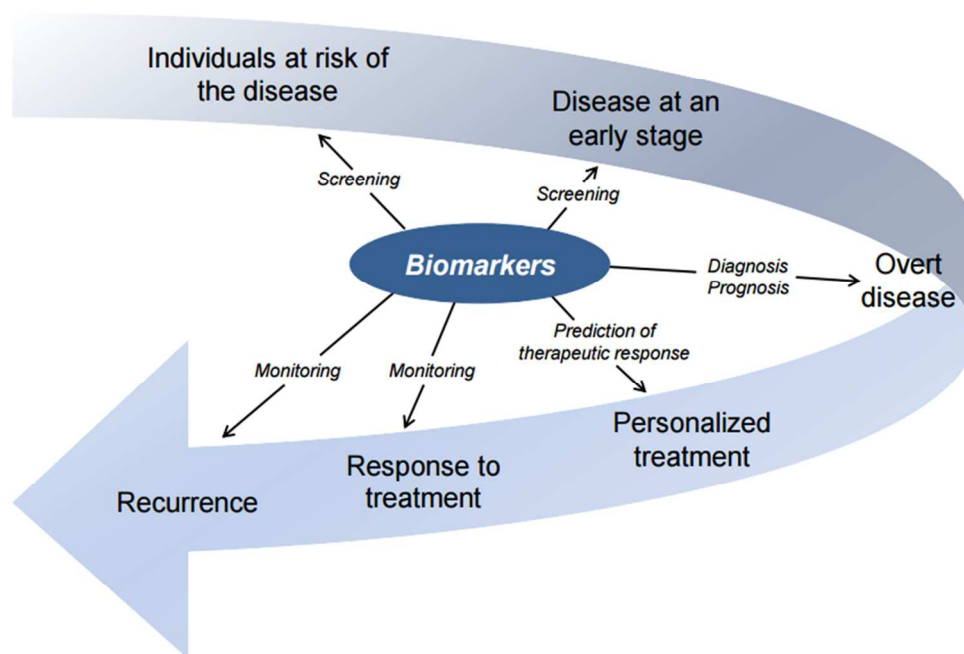


FTIR biological spectrum showing frequent biomolecular band assignments from 3,000-800 cm<sup>-1</sup>, where  $\nu$  = stretching vibrations,  $\delta$  = bending vibrations,  $s$  = symmetric vibrations and  $as$  = asymmetric vibrations.

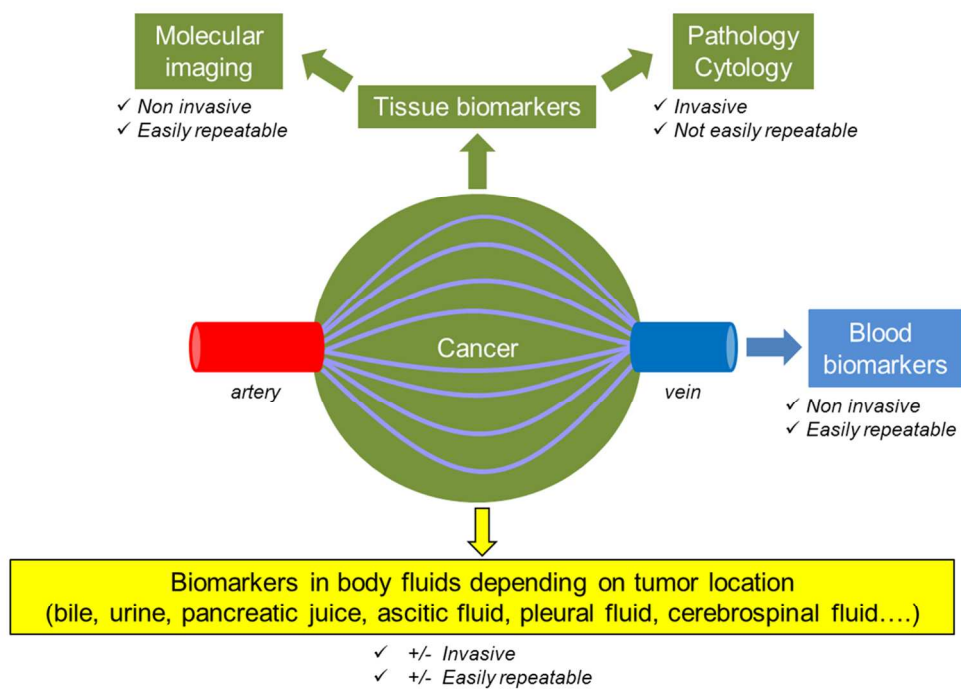
Illustration taken from transmission spectra on human breast ductal carcinoma, prepared on 1mm thick BaF<sub>2</sub> slides.[4]

201x168mm (59 x 61 DPI)

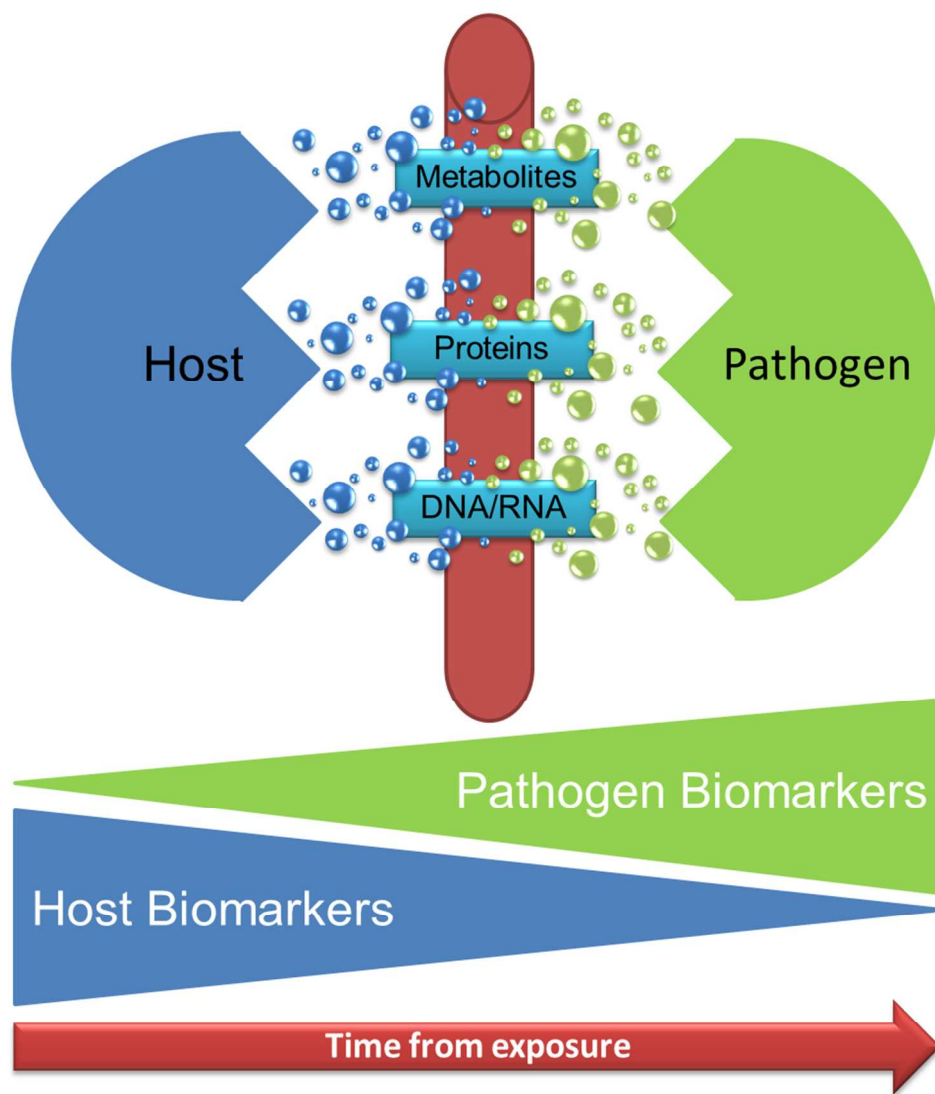




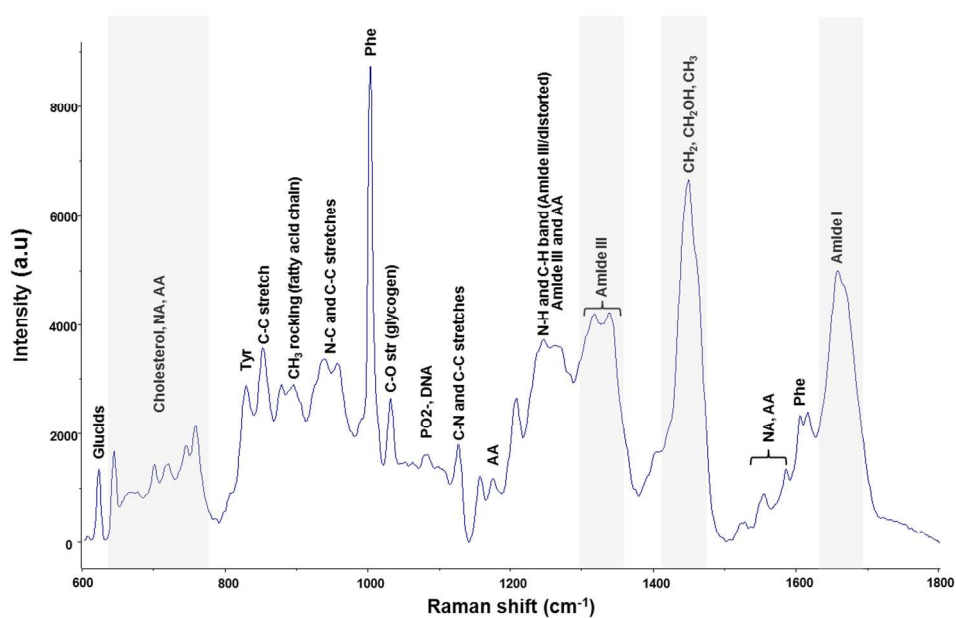
Schematic of biomarker use in clinical practice.  
238x168mm (150 x 150 DPI)



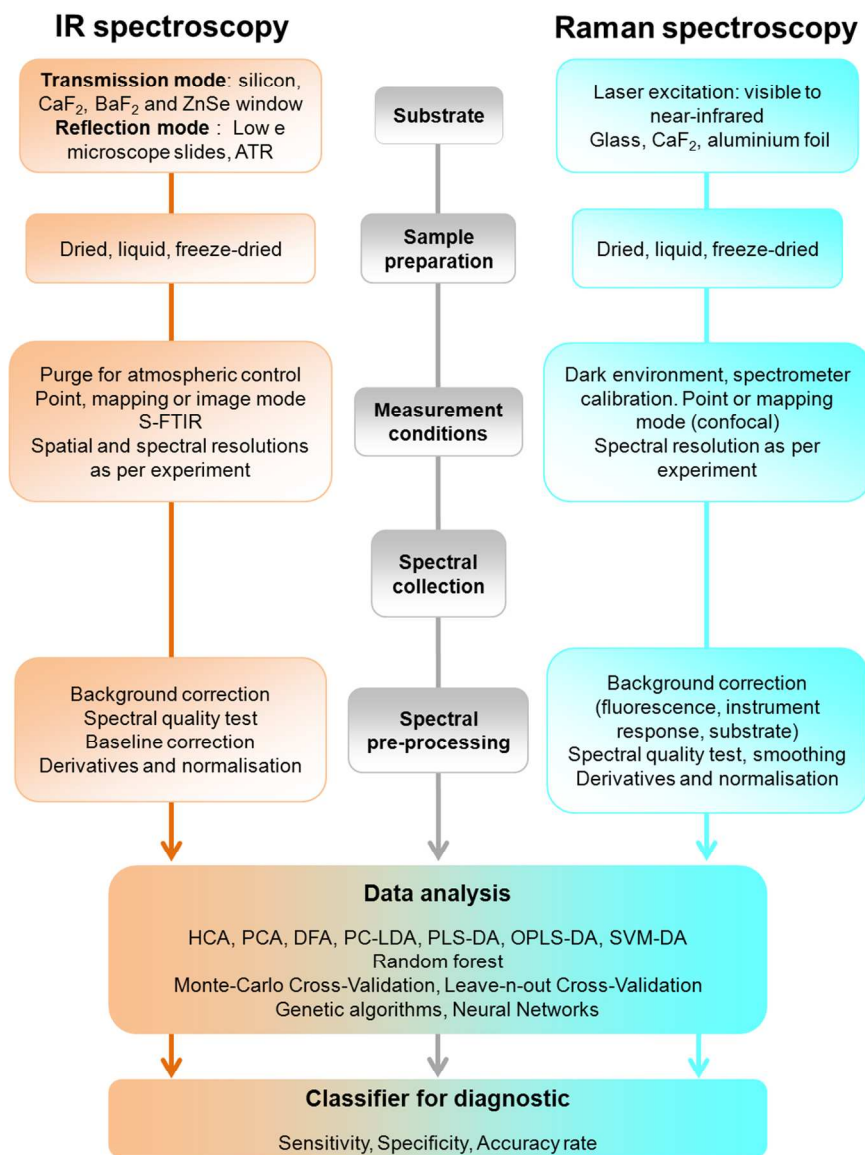
Example of potential tumour-site related biomarkers.  
 216x154mm (150 x 150 DPI)



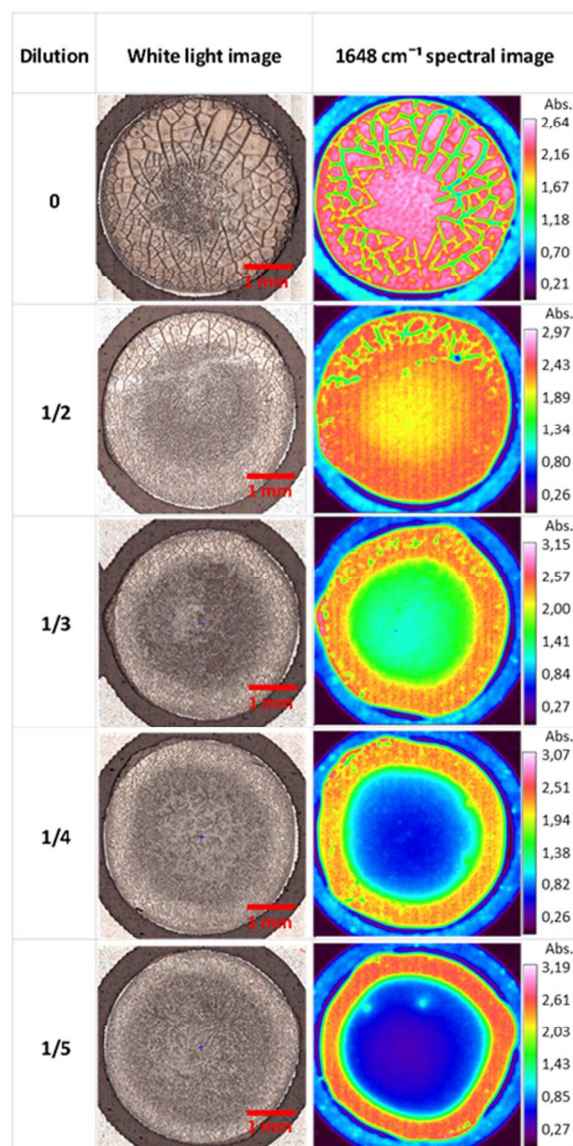
The relative contribution of host and microbial derived biomarkers to enable diagnosis of infection.  
172x202mm (150 x 150 DPI)



Typical Raman spectrum of dried serum drop with spectral assignments. Spectrum was measured on a calcium fluoride window with a 785 nm laser excitation with an acquisition time of 2x30 seconds. 218x140mm (150 x 150 DPI)



Workflow of biofluid spectroscopy from substrate choice through sample preparation to spectral measurements and data analysis with diagnostic classifiers.  
 193x254mm (150 x 150 DPI)



Analysis of dried serum drops and coffee ring effect with different dilutions: white light images (left) and chemical images constructed on amide I protein band (right).  
80x154mm (150 x 150 DPI)