

Manuscript Number: TAL-D-18-02353R1

Title: Feasibility study on the use of a portable micro near infrared spectroscopy device for the "in vineyard" screening of extractable polyphenols in red grape skins

Article Type: Research Paper

Keywords: Extractable polyphenols; Red grapes; Portable spectroscopy; NIR; Chemometrics; Wine

Corresponding Author: Dr. Julio Nogales-Bueno, PhD

Corresponding Author's Institution: Universidad de Sevilla

First Author: Berta Baca-Bocanegra

Order of Authors: Berta Baca-Bocanegra; José Miguel Hernández-Hierro, PhD; Julio Nogales-Bueno, PhD; Francisco José Heredia, Professor

Abstract: There is substantial variation in levels of extractable phenolic compounds of red grapes (*Vitis vinifera* L.). Therefore, it could be desirable to know the aforesaid parameter at least for each vine. Nowadays, interest has shifted toward the development of portable vis/NIR systems, innovation in optical system design and miniaturization for its friendly use directly in the field.

Spectra of intact grapes and grapes skins were recorded at harvest time in two different vintages (2016 and 2017 respectively) using a portable micro NIR spectrophotometer (908-1676 nm). A number of chemometric approaches have been used for spectral interrogation and evaluation of the aforesaid device. Spectral data have been correlated with red grape skin extractable polyphenols (total phenolic, anthocyanins and flavanols) by modified partial least squares regression (MPLS) using a number of spectral pretreatments. Moreover, different statistics strategies have been performed to develop a qualitative analysis of the data (linear discriminant analysis, discriminant partial least square analyses and Pearson's similarity index).

After an exhaustive analysis of the obtained results in two different seasons, it can be concluded that the use of the portable micro NIR device for the "in vineyard" screening of extractable polyphenols in red grape skins is hampered by a number of factors. Environmental and physiological conditions should be considered to evaluate and remove factors that hamper a good sorting the berries according to their extractable polyphenol contents.

1 **Highlights**

- 2 - Extractable polyphenols from red grape skin have been studied in two seasons
- 3 - Recording of grapes spectral data using portable NIR spectrometer has been
4 achieved
- 5 - Calibration MPLS models have been developed from reference and spectral data
- 6 - Qualitative approaches have been tested for the extractable polyphenols
7 prediction
- 8 - Due to environmental and physiological conditions, models show poor results

1
2
3 **Feasibility study on the use of a portable micro near infrared**
4 **spectroscopy device for the “*in vineyard*” screening of extractable**
5 **polyphenols in red grape skins**
6
7
8

9 Berta Baca-Bocanegra^a, José Miguel Hernández-Hierro^a, Julio Nogales-Bueno^{a,*} and
10
11 Francisco José Heredia^a
12
13
14
15
16
17
18

19 ^aFood Colour and Quality Laboratory, Á. Nutrición y Bromatología, Facultad de
20 Farmacia, Universidad de Sevilla, 41012 Sevilla, Spain.
21
22
23
24
25
26
27

28 *** Corresponding author: Julio Nogales-Bueno**
29
30

31 **Phone: +34 954557017**
32
33
34

35 **E-mail: julionogales@us.es**
36
37
38
39
40
41
42
43
44

45 This is an Accepted Manuscript of an article published by Elsevier in Talanta on 15 January 2019,
46 available at: <https://doi.org/10.1016/j.talanta.2018.09.057>.

47 It is deposited under the terms of the Creative Commons Attribution-NonCommercial-NoDerivatives
48 License (<http://creativecommons.org/licenses/by-nc-nd/4.0/>), which permits non-commercial re-use,
49 distribution, and reproduction in any medium, provided the original work is properly cited, and is not
50 altered, transformed, or built upon in any way.
51
52
53
54
55
56
57
58
59
60
61
62
63
64
65

ABSTRACT

1
2 There is substantial variation in levels of extractable phenolic compounds of red grapes
3
4 (*Vitis vinifera* L.). Therefore, it could be desirable to know the aforesaid parameter at
5
6 least for each vine. Nowadays, interest has shifted toward the development of portable
7
8 vis/NIR systems, innovation in optical system design and miniaturization for its friendly
9
10 use directly in the field.
11
12

13
14 Spectra of intact grapes and grapes skins were recorded at harvest time in two different
15
16 vintages (2016 and 2017 respectively) using a portable micro NIR spectrophotometer
17
18 (908-1676 nm). A number of chemometric approaches have been used for spectral
19
20 interrogation and evaluation of the aforesaid device. Spectral data have been correlated
21
22 with red grape skin extractable polyphenols (total phenolic, anthocyanins and flavanols)
23
24 by modified partial least squares regression (MPLS) using a number of spectral
25
26 pretreatments. Moreover, different statistics strategies have been performed to develop a
27
28 qualitative analysis of the data (linear discriminant analysis, discriminant partial least
29
30 square analyses and Pearson's similarity index).
31
32
33
34
35

36 After an exhaustive analysis of the obtained results in two different seasons, it can be
37
38 concluded that the use of the portable micro NIR device for the "*in vineyard*" screening
39
40 of extractable polyphenols in red grape skins is hampered by a number of factors.
41
42 Environmental and physiological conditions should be considered to evaluate and
43
44 remove factors that hamper a good sorting the berries according to their extractable
45
46 polyphenol contents.
47
48
49
50

51 **Keywords:** extractable polyphenols, red grapes, portable spectroscopy, NIR,
52
53 chemometrics, wine
54
55
56
57
58
59
60
61
62
63
64
65

Introduction

1
2 Red grapes (*Vitis vinifera* L.) contain about four grams of phenolic material per kilo.
3
4 These compounds are secondary metabolites that play crucial roles in the plant
5
6 kingdom. There are substantial variations in levels of phenolic compounds which
7
8 depends on a number of physiologic, agronomic or climatological factors [1, 2]. Wine
9
10 and grape phenolic compounds are grouped into two categories, flavonoids and non-
11
12 flavonoids. Wine flavonoids are all polyphenolic compounds, having multiple aromatic
13
14 rings presenting hydroxyl groups [3]. Flavonoids have well-known health benefits. They
15
16 possess ideal structural chemistry for free radical-scavenging activities, and they have
17
18 been shown to be more effective antioxidants *in vitro* than vitamins E and C on a molar
19
20 basis [4].
21
22
23
24
25

26 Most flavonoids in red grapes are found in berry solid parts and they are transferred to
27
28 the wine during the fermentation process. Wine flavonoids (mainly flavonols, flavanols
29
30 and anthocyanins) play a relevant role in the sensory characteristic of red wines. They
31
32 are directly or indirectly responsible for wine color [3, 5, 6] and have a strong influence
33
34 in wine taste (astringency, sourness, bitterness, etc.) [7].
35
36
37

38 Taking into account these aspects, it could be desirable to know the amount of these
39
40 phenols that may be extracted from grapes to wine, at least for each vine. The
41
42 conventional chemical methods used for determination of these parameters are
43
44 destructive and time consuming because they require the extractions of different
45
46 phenols from grape skin using wine simulated macerations [8-10]. Near infrared (NIR)
47
48 spectroscopy has been widely used in the oenological field for grape and wine analysis
49
50 [11]. This technique has shown considerable potential for the nondestructive
51
52 determination of the main families of phenolic compounds in grapes [12, 13]. The use
53
54 of NIR spectroscopy to predict total soluble solids, pH, and total anthocyanins in red
55
56
57
58
59
60
61
62
63
64
65

1 grapes [14, 15] and other technological parameters useful for classifying grapes [16]
2 have been also reported. In a further step, near infrared hyperspectral imaging has been
3
4 used to develop screening methods to measure total or extractable phenols in grapes
5
6 [17, 18]. This methodology may allow sorting the berries according to their extractable
7
8 polyphenol contents and then the same samples could be used in further studies for
9
10 other destructive analyses or purposes. However, despite the fast and effective
11
12 proficiency of near-infrared spectroscopy to predict different parameters in wine sector,
13
14 most of these studies carried out at lab imply sample transportation. To solve this
15
16 problem portable hand-held NIR spectrometers have been recently used to acquire NIR
17
18 spectra in vineyards, directly on-the-vine [19-22]. However, it should be taken into
19
20 account that these portable systems are composed of different elements such lightening
21
22 system, batteries and fiber optic probe in addition to the portable spectrophotometer that
23
24 may difficult their used in field conditions. In a further step, interest has shifted toward
25
26 the development of portable vis/NIR systems using Linear Variable Filter (LVF),
27
28 innovation in optical system design and miniaturization due to the fact that it does not
29
30 need any external components because all the needed parts are incorporated into its
31
32 design. Although limited information is still available with regards to this technology on
33
34 the enology sector, their use could be significantly hindered by the varying conditions
35
36 of field measurements.

37
38
39 A huge amount of information generated by all these spectroscopic devices has to be
40
41 correctly processed to obtain useful information. Quantitative or qualitative
42
43 chemometric tools are usually applied for the development of calibration or
44
45 classification methods. Partial least square (PLS) regression has been widely used for
46
47 the development of calibration methods for the prediction of different parameters in
48
49 grapes [23]. Moreover, supervised pattern recognition methods, such as discriminant
50
51
52
53
54
55
56
57
58
59
60
61
62
63
64
65

1 partial least square (DPLS) analysis or linear discriminant analysis (LDA), are usually
2 applied to the identification of spatial regions of interest in oenological samples [24, 25]
3
4 or to the classification of grape samples according to some important attribute [26-29].
5
6 The main aim of this work is to study the feasibility of the use of a portable micro near
7 infrared spectroscopy device for the “in vineyard” screening of extractable polyphenols
8
9 in red grape skins. The aforesaid new device does not need any external probes, fiber
10 optics or external illumination sources because all the needed parts are incorporated into
11
12 its miniaturized design. Grape skin spectra have been collected in two different seasons
13
14 using two different measurement methodologies to obtain the spectral data. A number
15
16 of samples spectrally representative have been selected and the extractable contents of
17
18 total phenols, flavanols and anthocyanins have been chemically evaluated. Finally,
19
20 different chemometric quantitative and qualitative tools have been interrogated to obtain
21
22 the best approach for the spectral screening of these extractable contents in grape skin.
23
24 To the best of our knowledge, this is also the first time that the aforementioned
25
26 parameters have been jointly evaluated using a portable device.
27
28
29
30
31
32
33
34
35

36 **Material and methods**

37 *Samples*

38
39 *Vitis vinifera* L. cv. Tempranillo and Syrah red grapes samples from two vineyards
40
41 located in the Condado de Huelva Designation of Origin D.O. (Andalusia, Spain) were
42
43 used in the present study. Both varieties are typically grown in Spain for producing
44
45 quality red wines and being a resistant cultivar to warm climatic conditions [30].
46
47
48
49

50
51 In an attempt to optimize the spectra acquisition procedure, it was designed a systematic
52
53 experiment which was divided into two seasons as shown in the Fig. 1. To face this
54
55 task, grapes were collected in two different vintages (2016 and 2017) at harvest time. In
56
57
58
59
60
61
62
63
64
65

1 both years NIR spectroscopy analysis was carried out “*in vineyard*” but a modification
2 of measurement conditions was performed.
3

4 - In 2016 season grape spectra were collected directly on the bunch, without any sample
5 preparation. Samples whose spectra were recorded were then collected for chemical
6 analysis, to provide reference values for the measured properties.
7

8
9
10
11 - In 2017 season the engaging grapes were picked from the bunch and just after that
12 grape skins were manually separated from the whole grapes and placed at the bottom of
13 quartz cuvettes to collect the spectra. Samples were soft-pressed inside the cuvette to
14 increase the contact surface. Spectra were recorded from the external surfaces of the
15 skins.
16
17
18
19
20
21
22

23
24 With the aim of achieving representative sample sets, the grapes were selected from the
25 top, middle and bottom of the bunch and in the sunlight and shade side of vines located
26 in different rows within the vineyard. Edge rows and the first two vines in a row were
27 avoided. A total of 200 spectra were collected in each season, 100 Tempranillo spectra
28 and 100 Syrah spectra.
29
30
31
32
33
34
35

36 Once the spectrum was registered, the samples (whole grapes from 2016 and grapes
37 skins from 2017) were placed in stoppered plastics bags, labelled, refrigerated at 4 °C
38 and immediately carried to the laboratory. Therefore, in this study, a total of 400 grape
39 samples have been taken into account (200 samples in 2016 and 200 samples in 2017,
40 i.e. 100 samples per variety and season). Upon arrival at the lab, grapes were frozen and
41 stored at -20 °C until analyses were performed. Prior to each chemical measurement,
42 grape skins belonging to vintage 2016 were separated manually from the whole grapes
43 and they were weighted. All samples were allowed to stabilize at laboratory temperature
44 (25 °C) before the chemical analysis.
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60
61
62
63
64
65

Spectral data acquisition

1
2 *In-situ* acquisition of spectra was performed using a portable NIR spectrophotometer
3
4 (MicroNIR Pro Lite 1700, VIAVI, Santa Rosa, California, USA), an instrument
5
6 designed to measure diffuse reflectance in the NIR region of the electromagnetic
7
8 spectrum. The MicroNIR owes its small size to the novel thin-film linearly variable
9
10 filter (LVF) used as the dispersive element. The LVF is directly coupled to a linear
11
12 detector array (128-pixel uncooled InGaAs photodiode array), covering the spectral
13
14 range between 908 and 1676 nm (spectral resolution of 6.2 nm). The filter coating in the
15
16 LVF is wedged in one direction and as a result of the varying film thickness; the
17
18 wavelength transmitted through the filter varies linearly in the direction of the wedge.
19
20 The LVF makes each pixel of the detector respond to a different wavelength. This ultra-
21
22 compact spectroscopic engine is coupled with a tungsten lamps diffuse illumination
23
24 system. An illustration of the MicroNIR spectrometer and MicroNIR's optical designed,
25
26 adapted from VIAVI user manual, is provided in Fig. S1.
27
28
29
30
31
32

33
34 Spectra were recorded using the instrument acquisition software MicroNIRTM Pro v.2.2
35
36 (VIAVI, Santa Rosa, California, USA). A two-point reflectance calibration was used. A
37
38 Spectralon[®] ceramic tile was used as a white reference (100% reflectance), whereas
39
40 dark current (0% reflectance) was recorded by taking a measurement placing the device
41
42 about 0.5 meters from any object. Because measurements were made on the vineyard,
43
44 sample temperature was not controlled beforehand; mean temperature on measurement
45
46 days ranged from 30 to 35 °C, typical extreme temperature of warm climates in August
47
48 and September. Spectral acquisition was performed in shade using a light-tight box.
49
50
51
52

Reference parameters

53
54 Reference parameters taken into account were extractable total phenolic content,
55
56 extractable flavanol content and extractable anthocyanin content in grape skin (EPC,
57
58
59
60
61
62
63
64
65

1 EFC and EAC respectively). To perform these determinations, grape skins were
2 immersed in a model wine hydroalcoholic solution (4 gL⁻¹ tartaric acid, 12.5% ethanol,
3
4 adjusted at pH 3.6 with NaOH 0.5 M) for a maceration period of 72 h. Grape skins were
5
6 added to extraction media in a 1:20 ratio. Then, supernatants were used into the
7
8
9 subsequent analyses.
10

11 Extractable total phenolic content was determined using the Folin–Ciocalteu method
12
13 [31]. Gallic acid was used as a standard for construction of the calibration curve and the
14
15 concentration of total phenols was expressed as gallic acid equivalent in mg g⁻¹ of grape
16
17
18 skin.
19

20
21 Extractable flavanol content was determined following a modification of Vivas et al.
22
23 [32]. Twenty microliters of model wine extractions were mixed with 180 µL of
24
25 methanol respectively and 1 mL of DMACA reagent. The DMACA (4-
26
27 dimethylaminocinnamaldehyde) reagent was prepared immediately before use,
28
29 containing 0.1% (w/v) DMACA in a mixture of HCl:methanol (1:10, v/v). After a ten-
30
31 minute period, the absorbance at 640 nm was measured for each sample. A calibration
32
33 curve of (+)-catechin was used for quantification and results were expressed as (+)-
34
35 catechin equivalent in mg g⁻¹ of grape skin.
36
37
38
39
40

41 Both Folin–Ciocalteu and DMACA analyses were performed on an Agilent 8453 UV–
42
43 visible spectrophotometer (Palo Alto, USA), equipped with diode array detection
44
45 (DAD). The extract volumes were appropriately modified for samples which needed it.
46
47

48 Extractable anthocyanin content was determined by means of chromatographic analysis
49
50 following a modification of the method of García-Marino et al. [33] as described
51
52 elsewhere in Hernández-Hierro et al. [17]. Model wine extractions were diluted 1:2 with
53
54 0.1 M HCl, filtered through 0.45 µm pore size filters and directly injected into the
55
56
57
58
59
60
61
62
63
64
65

1 chromatographic system. Results were expressed as mg of malvidin-3-*O*-glucoside
2 equivalents per gram of grape skin.
3

4 *Chemometric analysis*

5 *Quantitative analysis*

6
7 Before the quantitative analysis, principal component analysis (PCA) was used as
8
9 unsupervised pattern recognition technique to get information about the latent structure
10
11 of spectral matrix. This method provides not only information related to spectral outliers
12
13 and the distribution of samples in the newly-created space, but it is also an important
14
15 source of knowledge with which to create cross-validation groups used in the
16
17 calibration process [34, 35]. PCA was also used to select representative samples from
18
19 the spectral data set. Mahalanobis distances (H) for each sample were calculated and
20
21 samples were grouped according their neighborhood H values (NH).
22
23

24 For each season, using the raw spectral data, testing different spectral pretreatments and
25
26 allocating the corresponding EPC, EFC and EAC to each sample, calibrations were
27
28 performed by modified partial least squares regression (MPLS). In this method, the
29
30 group of calibration samples is divided into a series of subsets to perform cross-
31
32 validation to set the number of PLS factors, reduce the possibility of overfitting [35] and
33
34 remove chemical outliers. Using the $T \geq 2.5$ criterion, samples that presented a high
35
36 residual value when they were predicted were eliminated from the set.
37
38

39 The software used was Win ISI[®] (v1.50) (Infrasoft International, LLC, Port. Matilda,
40
41 PA, USA). This software allowed the data pretreatment, principal components analysis
42
43 and sample selection and development of quantitative models.
44
45

46 *Qualitative approaches*

47 For each reference parameter, grape samples allocated into the calibration and
48
49 validation sets were respectively split in two different classes according to their
50
51
52
53
54
55
56
57
58
59
60
61
62
63
64
65

1 extractable content. The statistical median value of each reference parameter in the
2 calibration set was used to develop these classifications. In this way, samples were
3
4 identified as samples with low or high EPC, EFC or EAC. These new categorical
5
6 variables were used in conjunction with spectral data for the development of different
7
8 qualitative chemometric methods. These methods usually indicate whether samples fall
9
10 into pre-defined classes, how well, and what causes this separation.
11
12

13
14 Qualitative analyses were carried out for each reference parameter and season. Linear
15
16 discriminant analysis (LDA) and discriminant partial least square analysis (DPLS) were
17
18 applied to the spectral matrixes in order to develop different classification methods. The
19
20 objective of developing these methods is to obtain fast tools for the classification of
21
22 grape samples according their extractable contents of phenolic compounds (EPC, EFC
23
24 or EAC). LDA was carried out via SPSS 22.0 for Windows software package (SPSS,
25
26 Inc., Chicago, IL, USA). Prior probabilities of classification were used in this analysis
27
28 taking into account each class size. The prediction ability was estimated considering the
29
30 percentage of samples correctly classified by the rules developed with the training set
31
32 using an internal validation procedure and the external validation set available. The
33
34 variables used were all the scores of the PCs used in the sample selection for each
35
36 season.
37
38

39
40 Moreover, DPLS were also carried out. Essentially, a PLS method attempts to
41
42 concentrate the relevant information contained in the variables measured in a lower
43
44 number of variables without losing of relevant information. Regression is carried out
45
46 with these new variables, simplifying the calibration model and interpretation of the
47
48 results. Win ISI[®] (v1.50) (Infrasoft International, LLC, Port. Matilda, PA, USA) was
49
50 used for carried out DPLS analyses and they were performed using, as independent
51
52 variables (X), grape skin spectra allocated into the calibration sets. In addition,
53
54
55
56
57
58
59
60
61
62
63
64
65

1 developed models were tested with spectra allocated into the validation sets and the
2 percentages of samples correctly classified in external validation were obtained.
3

4 Pearson's similarity index was also applied to discriminate spectral samples according
5 to their extractable contents. Average spectra of samples allocated into the calibration
6 set with low or high extractable content were respectively obtained. Next, a Pearson's
7 linear regression was performed between each spectral sample and the average spectrum
8 of low extractable content class and the same procedure was repeated for the high class.
9

10 Following, the Pearson's similarity indexes were calculated as:

$$11 \textit{Similarity index} = \frac{1}{1 + R^2}$$

12 Indexes were compared and samples were classified according this procedure in the
13 group that has obtained the higher index (i.e. low or high extractable content), obtaining
14 the percentages of samples correctly classified in internal validation. Last, validation set
15 was used to obtain the percentages of samples correctly classified in external validation.
16

17 This procedure was repeated for each reference parameter (EPC, EFC and EAC) and for
18 each season and it was carried out via Win ISI[®] (v1.50) (Infrasoft International, LLC,
19 Port. Matilda, PA, USA).
20

21 Finally, percentages of samples correctly classified obtained in each qualitative
22 chemometric analysis were jointly plotted in ROC curves via SPSS 22.0 for Windows
23 software package (SPSS, Inc., Chicago, IL, USA).
24

25 **Results and discussion**

26 *Sample selection*

27 Sample selection was made to reduce the number of samples maintaining as much
28 spectral variety as possible as described elsewhere in Nogales-Bueno et al. [18]. The
29 selection was carried out from a PCA. Using all spectral samples and SNV 2,5,5,1
30 pretreatment, three and five principal components were taken into account in 2016 and
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60
61
62
63
64
65

2017 season respectively. More than ninety five per cent of the spectral variability of original spectral matrix was explained in both cases. Ten and eight spectral outliers ($H>3$) were found respectively and removed from each spectral matrix respectively. In these new three-dimensional and penta-dimensional spaces created, the samples were grouped according their neighborhood H values (NH). One sample from every group was allocated in the calibration set. In addition, to create the validation set, another sample from every group was selected. So, 32 samples were selected to develop a calibration process in 2016 season. Only 27 samples were allocated in the validation set because some groups created had not more than one sample. Following a similar procedure in 2017, 23 and 18 samples formed the calibration and validation set respectively.

Quantitative calibrations

Quantitative calibrations were developed by modified partial least squares (MPLS) regression. These calibrations were performed using, as independent variables (X) the grape skin spectra allocated into the calibration sets (i.e., 32 and 23 spectral samples for 2016 and 2017 seasons respectively). Reference parameters (EPC, EFC and EAC) previously determined for grape skin samples in each season were used as dependent variables (Y). The statistical parameters of the final calibration equations are shown in Table 1 where N is the number of samples used to obtain the calibration equation after removing samples for chemical reasons (T criterion). The mathematical treatment applied (i.e., the best of the different tried treatment), the range of application, and standard deviations are also shown for each reference parameter.

External validations were carried out for each selected model. In 2016, two samples presented reference values outside of the applicability range of the obtained model in the case of EAC. In 2017, one sample presented reference values outside of the

1 applicability range of the obtained models in the cases of EPC and EAC. These samples
2 were removed from their respective validation sets and the validation procedures were
3 carried out taking into account only samples which presented reference values within
4 the applicability range of the obtained models. As result of the external validation, the
5 standard errors of prediction (SEP) were obtained for each reference variable, these
6 values were also included in Table 1.
7
8
9

10
11
12
13
14 Comparatively, these errors are higher than those obtained in our previous study
15 developed using a bench top instrument [36] but in accordance with the high errors
16 previously obtained by Guidetti et al. [20] for the estimation of extractable anthocyanins
17 and polyphenols in grapes using a portable device. With regard to the aforesaid bench
18 top study, near infrared hyperspectral imaging, with a similar InGaAs sensor, was used
19 for the prediction of the same reference parameters. Hyperspectral imaging was applied
20 to similar samples than ones used in the present study, that is, Syrah and Tempranillo
21 grapes collected in the same region at harvest time and the whole grapes were used for
22 the spectral data acquisition. Moreover, a similar chemometric methodology was
23 applied. Therefore, it is proven that the methodologies applied here, the measurement of
24 whole grapes or grape skins in field with the MicroNIR system, is not as efficient as the
25 in-lab hyperspectral methodology applied in our previous study.
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42

43 In a further step, other qualitative approaches have been carried out to link the phenolic
44 extractable contents in grape skins to their spectral features in the near infrared region.
45
46
47

48 *Qualitative analysis*

49
50
51 For qualitative analysis, the calibration sets of samples are the same described above for
52 the quantitative one. Calibration sets were used to develop internal validations and the
53 validation sets described above were used to develop external validations in this
54 qualitative approach. As results of the qualitative analyses carried out (LDA, DPLS and
55
56
57
58
59
60
61
62
63
64
65

1 Pearson's similarity index), different models for the prediction the extractable content
2 level of phenolic, flavanolic and anthocyanic compounds (EPC, EFC and EAC) were
3
4 obtained. The percentages of samples correctly classified in internal and external
5
6 validation for each reference parameter and season are shown in Table 2.
7

8
9 Similar to quantitative results, the different approaches carried out for the
10
11 discriminations of samples according to their level of extractable compounds show
12
13 unremarkable results. Only internal validations in 2017 season show fairly good results
14
15 (especially for LDA). However, these results are not consistent in the external validation
16
17 procedure and percentages of correctly classified samples fall even more than in 2016
18
19 season. To easily compare the different chemometric tools applied, ROC (Receiver
20
21 Operating Characteristic) curves have been plotted (Fig. 2).
22
23

24
25 ROC curves confirm the trends deduced from Table 2. The measurement of grape skin
26
27 in quartz cuvettes, carried out in 2017 season, resulted in a slight improvement in the
28
29 percentages of samples correctly classified according their EPC, EFC and EAC levels.
30
31
32 However, this improvement does not seem to be enough for taking into account these
33
34 models as useful ones.
35
36
37

38 *Discussion*

39
40
41 The influence of different error sources related to the varying conditions of field
42
43 measurements should be considered. The environmental conditions of the vineyard
44
45 (extreme temperature conditions in most of cases in a warm climate) maybe played a
46
47 critical role on the obtained results. This factor is also a critical one not only in portable
48
49 devices, but also for the benchtop ones. Although the sample collections were carried
50
51 out early in the morning, there is an important gap between the initial and final
52
53 temperatures in the same collection session. Moreover, other factors that directly affect
54
55 the performance of the spectroscopic system such as the berry size variation, the
56
57
58
59
60
61
62
63
64
65

1 minimum number of berry samples to build the model, the heterogeneous phenolic
2 distribution inside the berry or the range of the parameter to be assessed could influence
3 the obtained results. The size and geometry of grapes combined with their low spectral
4 reflectance can also be the factors responsible of these results. Grapes are small and
5 spherical samples and therefore, they have a high curvature. Small size differences in
6 the grapes can produce large differences in their curvature and, in consequence, in the
7 reflectance that the MicroNiR device can measure. These might be the causes of the
8 results obtained in 2016 season.
9

10 As mentioned above, to reduce this problem, a new measurement methodology was
11 carried out in 2017 season. Grapes skins were placed at the bottom of quartz cuvettes
12 for the spectra acquisition trying to minimize the differences in grape curvature. New
13 models showed better results, although they were not good enough for considering them
14 useful models. The different thickness of the grape skins samples might be contribute to
15 as new source of these errors, especially when bare skins of reduced number of grapes
16 are used as sample. It is well known that NIR radiation penetrates a millimeter or so into
17 the sample, thus, differences in the thickness of the skins should have some influence on
18 the collected spectra. In consequence, grapes, unlike other bigger or grounded samples,
19 do not seem to be susceptible of being correctly measured by portable NIR
20 spectrometers such as the described in this study.
21

22 **Conclusion**

23 A number of spectral pretreatments and MPLS calibrations were interrogated to develop
24 quantitative models. Moreover, different chemometric strategies were performed to
25 develop a qualitative analysis of the data. However, the procedure reported here does
26 not present enough accuracy for the “*in vineyard*” screening of extractable polyphenols
27 in red grape skins, although promising results have been obtained in our lab for other
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60
61
62
63
64
65

1 matrix [37] and for the same matrix using a similar benchtop methodology [18].
2 Although the aforesaid device has been developed for its use out of lab, vineyard
3 environmental conditions (extreme temperature conditions in most of cases in a warm
4 climate) maybe play a critical role on its use. This factor is also a critical one not only in
5 portable devices, but also for the benchtop ones. Furthermore, heterogeneity of analyzed
6 grapes and the own features of the berries (size, geometry or skin grape thickness) may
7 also have influence on the obtained data and especial attention should be paid for further
8 studies.
9

10 **Abbreviations used**

11 NIR, near infrared; MPLS, modified partial least squares; LVF, linear variable filter;
12 PLS, partial least squares; DPLS, discriminant partial least square; LDA, linear
13 discriminant analysis; EPC, extractable total phenolic content; EFC extractable flavanol
14 content; EAC, extractable anthocyanin content; DMACA, 4-
15 dimethylaminocinnamaldehyde; DAD, diode array detector; PCA, principal component
16 analysis; H, Mahalanobis distance; NH, neighborhood Mahalanobis distance; ROC,
17 receiver operating characteristic; SEP, standard error of prediction.
18

19 **Acknowledgments**

20 The authors thank the technical staff of Biology Service [Servicios Generales de
21 Investigación (SGI), Universidad de Sevilla].
22

23 **Fundings**

24 This work was supported by the Spanish Ministerio de Economía y Competitividad
25 [project AGL-2014-58486-C2 and AGL-2017-84793-C2]; and Universidad de Sevilla
26 [B. Baca-Bocanegra predoctoral grant (VPPI-II.2) and J. Nogales-Bueno postdoctoral
27 grant (VPPI-II.4)]
28

29 **References**

- 1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60
61
62
63
64
65
- [1] A. Crozier, M.N. Clifford, H. Ashihara, *Plant Secondary Metabolites. Occurrence, Structure and Role in the Human Diet*, Blackwell Publishing, Oxford, England, 2006.
- [2] R.E. Koes, F. Quattrocchio, J.N.M. Mol, The flavonoid biosynthetic pathway in plants: Function and evolution, *Bioessays* 16(2) (1994) 123-132.
- [3] A.L. Waterhouse, *Wine phenolics*, The New York Academy of Sciences, New York, New York, 2002.
- [4] C.A. Rice-Evans, J. Miller, G. Paganga, Antioxidant properties of phenolic compounds, *Trends Plant Sci.* 2(4) (1997) 152-159.
- [5] B. Gordillo, F.J. Rodríguez-Pulido, M.L. González-Miret, N. Quijada-Morín, J.C. Rivas-Gonzalo, I. García-Estévez, F.J. Heredia, M.T. Escribano-Bailón, Application of Differential Colorimetry To Evaluate Anthocyanin–Flavonol–Flavanol Ternary Copigmentation Interactions in Model Solutions, *J. Agric. Food. Chem.* 63(35) (2015) 7645-7653.
- [6] J. Nogales-Bueno, B. Baca-Bocanegra, M.J. Jara-Palacios, J.M. Hernández-Hierro, F.J. Heredia, Evaluation of the influence of white grape seed extracts as copigment sources on the anthocyanin extraction from grape skins previously classified by near infrared hyperspectral tools, *Food Chem.* 221 (2017) 1685-1690.
- [7] R.S. Jackson, *Chemical Constituents of Grapes and Wine*, in: R.S. Jackson (Ed.), *Wine science: principles, practice and perception*, Academic Press, San Diego, California, 2000, pp. 232-280.
- [8] D. Fournand, A. Vicens, L. Sidhoum, J.M. Souquet, M. Moutounet, V. Cheynier, Accumulation and extractability of grape skin tannins and anthocyanins at different advanced physiological stages., *J. Agric. Food Chem.* 54 (2006) 7331-7338.

- 1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60
61
62
63
64
65
- [9] F. Torchio, E. Cagnasso, V. Gerbi, L. Rolle, Mechanical properties, phenolic composition and extractability indices of Barbera grapes of different soluble solids contents from several growing areas, *Anal. Chim. Acta* 660(1-2) (2010) 183-189.
- [10] I. Zouid, R. Siret, F. Jourjon, E. Mehinagic, L. Rolle, Impact of grapes heterogeneity according to sugar level on both physical and mechanical merries properties and their anthocyanins extractability at harvest, *J. Texture Stud.* 44(2) (2013) 95-103.
- [11] D. Cozzolino, R.G. Damberg, L. Janik, W.U. Cynkar, M. Gishen, Analysis of grapes and wine by near infrared spectroscopy, *J. Near Infrared Spectrosc.* 14(5) (2006) 279-289.
- [12] R. Ferrer-Gallego, J.M. Hernández-Hierro, J.C. Rivas-Gonzalo, M.T. Escribano-Bailón, Feasibility study on the use of near infrared spectroscopy to determine flavanols in grape seeds, *Talanta* 82(5) (2010) 1778-1783.
- [13] R. Ferrer-Gallego, J.M. Hernández-Hierro, J.C. Rivas-Gonzalo, M.T. Escribano-Bailón, Determination of phenolic compounds of grape skins during ripening by NIR spectroscopy, *LWT-Food Sci. Technol.* 44(4) (2011) 847-853.
- [14] D. Cozzolino, M.J. Kwiatkowski, M. Parker, W.U. Cynkar, R.G. Damberg, M. Gishen, M.J. Herderich, Prediction of phenolic compounds in red wine fermentations by visible and near infrared spectroscopy, *Anal. Chim. Acta* 513(1) (2004) 73-80.
- [15] R.G. Damberg, D. Cozzolino, W. Cynkar, A. Kambouris, I. Francis, P.B. Høj, M. Gishen, *The use of near infrared spectroscopy for grape quality measurement*, 2003.
- [16] J. Herrera, A. Guesalaga, E. Agosin, Shortwave-near infrared spectroscopy for non-destructive determination of maturity of wine grapes, *Measurement Science and Technology* 14(5) (2003) 689-697.

- 1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60
61
62
63
64
65
- [17] J.M. Hernández-Hierro, J. Nogales-Bueno, F.J. Rodríguez-Pulido, F.J. Heredia, Feasibility study on the use of near-infrared hyperspectral imaging for the screening of anthocyanins in intact grapes during ripening, *J. Agric. Food Chem.* 61(41) (2013) 9804-9.
- [18] J. Nogales-Bueno, B. Baca-Bocanegra, F.J. Rodríguez-Pulido, F.J. Heredia, J.M. Hernández-Hierro, Use of near infrared hyperspectral tools for the screening of extractable polyphenols in red grape skins, *Food Chem.* 172 (2015) 559-64.
- [19] V. Gonzalez-Caballero, M.-T. Sanchez, J. Fernandez-Novales, M.-I. Lopez, D. Perez-Marin, On-Vine Monitoring of Grape Ripening Using Near-Infrared Spectroscopy, *Food Anal. Methods* 5(6) (2012) 1377-1385.
- [20] R. Guidetti, R. Beghi, L. Bodria, Evaluation of frape quality parameters by a simple VIS/NIR system *Trans. ASABE* 53(2) (2010) 477-484.
- [21] M. Larrain, A.R. Guesalaga, E. Agosin, A multipurpose portable instrument for determining ripeness in wine grapes using NIR spectroscopy, *IEEE Trans. Instrum. Meas.* 57(2) (2008) 294-302.
- [22] R. Urraca, A. Sanz-Garcia, J. Tardaguila, M.P. Diago, Estimation of total soluble solids in grape berries using a hand-held NIR spectrometer under field conditions, *J. Sci. Food Agric.* 96(9) (2016) 3007-3016.
- [23] J. Nogales-Bueno, F.J. Rodríguez-Pulido, B. Baca-Bocanegra, M.L. González-Miret, F.J. Heredia, J.M. Hernández-Hierro, *Hyperspectral Imaging - A Novel Green Chemistry Technology for the Oenological and Viticultural Sectors*, 2016, pp. 45-56
- [24] J. Nogales-Bueno, J.M. Hernández-Hierro, F.J. Rodríguez-Pulido, F.J. Heredia, Determination of technological maturity of grapes and total phenolic compounds of grape skins in red and white cultivars during ripening by near infrared hyperspectral image: A preliminary approach, *Food Chem.* 152 (2014) 586-591.

- 1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60
61
62
63
64
65
- [25] J.M. Hernández-Hierro, J. Nogales-Bueno, F.J. Rodríguez-Pulido, F.J. Heredia, Feasibility study on the use of near-infrared hyperspectral imaging for the screening of anthocyanins in intact grapes during ripening, *J. Agric. Food. Chem.* 61(41) (2013) 9804-9809.
- [26] J. Nogales-Bueno, F.J. Rodríguez-Pulido, F.J. Heredia, J.M. Hernández-Hierro, Comparative study on the use of anthocyanin profile, color image analysis and near-infrared hyperspectral imaging as tools to discriminate between four autochthonous red grape cultivars from La Rioja (Spain), *Talanta* 131 (2015) 412-416.
- [27] M. Urbano, M.D.L. de Castro, P.M. Perez, J. Garcia-Olmo, M.A. Gomez-Nieto, Ultraviolet-visible spectroscopy and pattern recognition methods for differentiation and classification of wines, *Food Chem.* 97(1) (2006) 166-175.
- [28] R. Ferrer-Gallego, J.M. Hernández-Hierro, J.C. Rivas-Gonzalo, M.T. Escribano-Bailón, A comparative study to distinguish the vineyard of origin by NIRS using entire grapes, skins and seeds, *J. Sci. Food Agric.* 93(4) (2013) 967-972.
- [29] C.J. Bevin, R.G. Damberg, A.J. Fergusson, D. Cozzolino, Varietal discrimination of Australian wines by means of mid-infrared spectroscopy and multivariate analysis, *Anal. Chim. Acta* 621(1) (2008) 19-23.
- [30] B. Gordillo, F.J. Rodriguez-Pulido, N. Mateus, M.L. Escudero-Gilete, M.L. Gonzalez-Miret, F.J. Heredia, V. de Freitas, Application of LC-MS and tristimulus colorimetry to assess the ageing aptitude of Syrah wine in the Condado de Huelva D.O. (Spain), a typical warm climate region, *Anal. Chim. Acta* 732 (2012) 162-71.
- [31] V.L. Singleton, citation classic - colorimetry of total phenolics with phosphomolybdic-phosphotungstic acid reagents, *Current Contents/Agriculture Biology & Environmental Sciences* (48) (1985) 18-18.

- 1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60
61
62
63
64
65
- [32] N. Vivas, Y. Glories, L. Lagune, C. Saucier, M. Augustin, Estimation du degré de polymérisation des procyanidines du raisin et du vin par la méthode au p-diméthylaminocinnamaldéhyde, *J. Int. Sci. Vigne Vin* 28 (1994) 319-336.
- [33] M. García-Marino, J.M. Hernández-Hierro, J.C. Rivas-Gonzalo, M.T. Escribano-Bailón, Colour and pigment composition of red wines obtained from co-maceration of Tempranillo and Graciano varieties, *Anal. Chim. Acta* 660(1-2) (2010) 134-42.
- [34] R.G. Brereton, *Chemometrics : data analysis for the laboratory and chemical plant*, J. Wiley, Chichester, West Sussex, England, 2003.
- [35] J.S. Shenk, M.O. Westerhaus, *Routine Operation, Calibration, Development and Network System Management Manual*, NIRSystems, Silver Spring, Maryland, 1995.
- [36] J. Nogales-Bueno, B. Baca-Bocanegra, F.J. Rodríguez-Pulido, F.J. Heredia, J.M. Hernández-Hierro, Use of near infrared hyperspectral tools for the screening of extractable polyphenols in red grape skins, *Food Chem.* 172 (2015) 559-564.
- [37] B. Baca-Bocanegra, J. Nogales-Bueno, J.M. Hernández-Hierro, F.J. Heredia, Screening of extractable polyphenols (extractable total phenolic and ellagitannin contents) in cooperage byproducts: evaluation of portable micro near infrared spectroscopy technology, *In Vino Analytica Scientia Symposium*, Salamanca, Spain, 2017.

Figure captions¹

Fig.1. Schematic representation of the experimental design.

Fig.2. Receiver operating characteristic (ROC) curves of different chemometric tools applied (LDA, DPLS and Pearson's similarity index) for each parameter (extractable total phenolic content, extractable flavanol content and extractable anthocyanin content) and each season (2016 and 2017). Internal and external validation results are shown.

1 NOTE: All figures should be in color on the Web and in black-and-white in print.

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49

Table 1. Main statistical descriptors for the MPLS models developed in the NIR zone close to 908-1676 nm in 2016 and 2017 seasons.

Season	Spectral pretreatments	Reference Parameters	T outliers	PLS factors	N ^a	Est. Min	SD ^b	Est. Max	SEC ^c	RSQ ^d	SECV ^e	SEP ^f
2016	None 2,7,7,1	EPC ^g	1	2	31	0.39	1.82	11.29	1.62	0.20	1.72	2.66
	MSC 2,5,5,1	EFC ^h	1	2	31	0.00	0.50	2.57	0.42	0.32	0.49	0.60
	Detrend 2,13,13,1	EAC ⁱ	2	4	30	0.00	0.47	2.15	0.33	0.49	0.43	0.43
2017	Detrend 1,5,5,1	EPC ^g	0	2	23	0.00	3.45	18.71	3.04	0.22	3.41	4.04
	MSC 2,5,5,1	EFC ^h	0	5	23	0.00	0.51	2.66	0.28	0.70	0.44	0.64
	SNV 0,0,1,1	EAC ⁱ	0	2	23	0.00	0.44	2.48	0.34	0.42	0.36	0.60

^aN: number of samples (calibration set); ^bSD: standard deviation; ^cSEC: standard error of calibration; ^dRSQ: coefficient of determination (calibration set); ^eSECV: standard error of cross-validation (2016: 7 cross-validation groups; 2017: 8 cross-validation groups); ^fSEP: standard error of prediction (external validation); ^gEPC: extractable total phenolic content (mg g⁻¹ of grape skin, expressed as gallic acid equivalents); ^hEFC: extractable flavanol content (mg g⁻¹ of grape skin, expressed as catechin equivalents); ⁱEAC: extractable anthocyanin content (mg g⁻¹ of grape skin, expressed as gallic acid equivalents).

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49

Table 2. Percentages of samples correctly classified as samples with low or high extractable contents of total phenols, flavanols and anthocyanins in seasons 2016 and 2017 by different chemometric tools.

Season	Chemometric tool	EPC ^a		EFC ^b		EAC ^c	
		Internal (%)	External (%)	Internal (%)	External (%)	Internal (%)	External (%)
2016	LDA ^d	65.6	48.1	68.8	59.3	59.4	55.6
	DPLS ^e	56.3	40.7	75.0	40.7	75.0	48.1
	Pearson ^f	68.8	59.3	46.9	37.0	59.0	59.0
2017	LDA ^d	87.0	44.4	91.3	44.4	91.3	33.3
	DPLS ^e	69.6	50.0	87.0	55.6	78.3	66.7
	Pearson ^f	73.9	50.0	56.5	72.2	73.9	61.1

^aEPC: extractable phenolic content; ^bEFC: extractable flavanol content; ^cEAC: extractable anthocyanin content; ^dLDA: linear discriminant analysis; ^eDPLS: discriminant partial least square; ^fPearson: Pearson's similarity index.

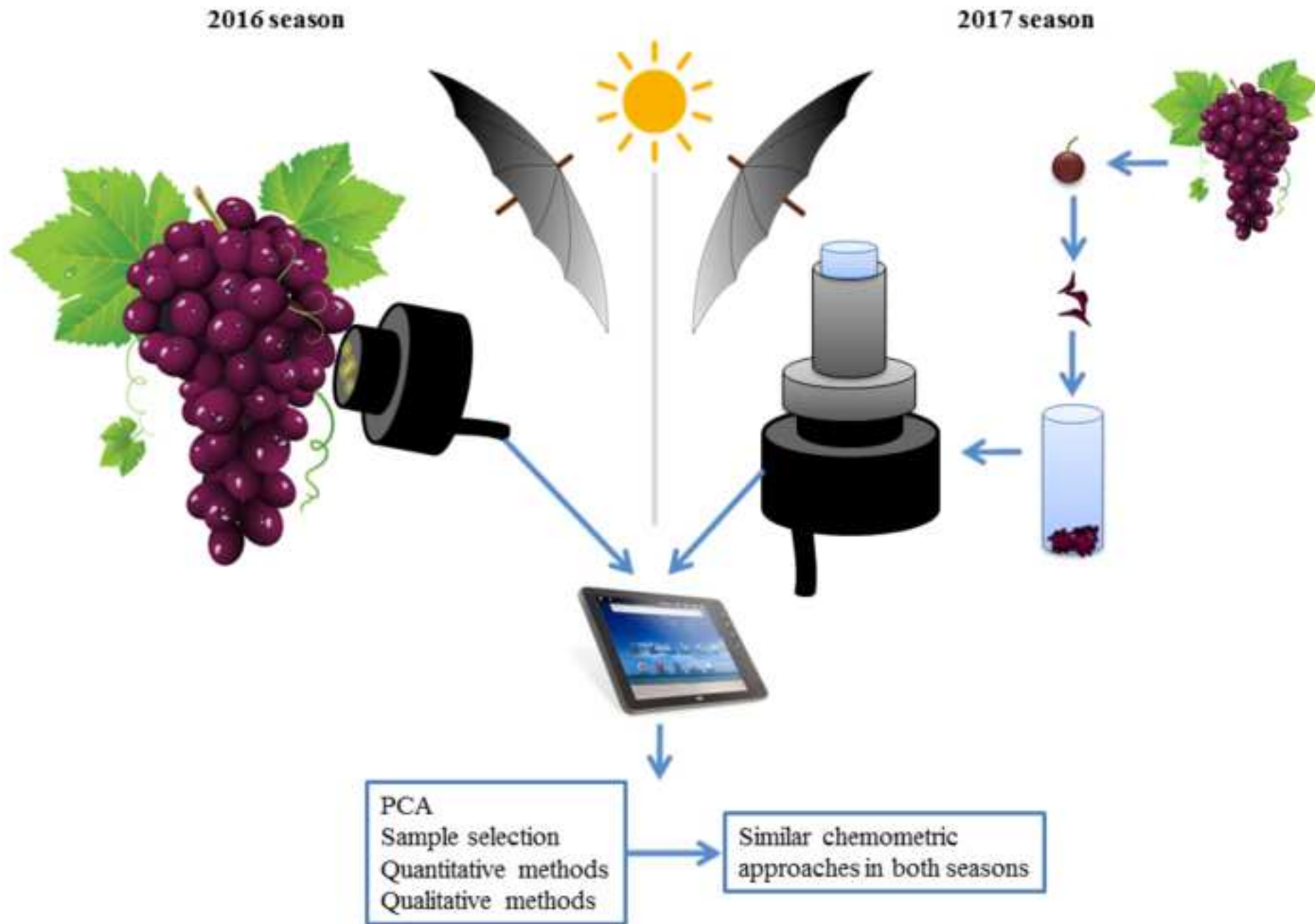
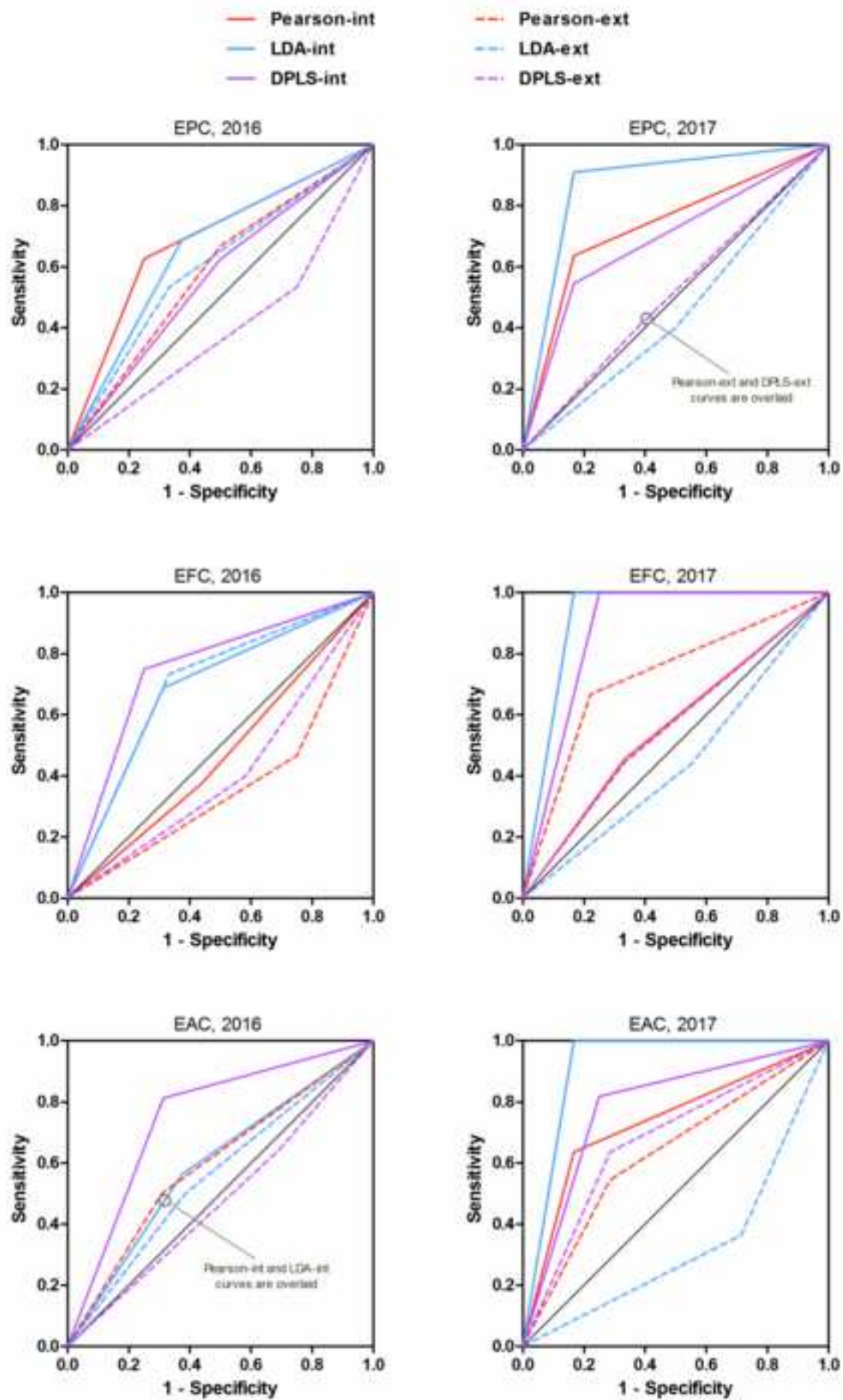


Figure 2

[Click here to download high resolution image](#)



Supplementary Material

[Click here to download Supplementary Material: B.Baca_Bocanegra_MicroNIR_grapes_Supplementary material.docx](#)