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# Assessing Parkinson's Disease Speech Signal Generalization of Clustering Results Across Three Countries: Findings in the Parkinson's Voice Initiative Study

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**Abstract:** Progress in exploring speech and Parkinson's Disease (PD) has been hindered due to the use of different protocols across research labs/countries, single-site studies with relatively small numbers, and no external validation. We had recently reported on the Parkinson's Voice Initiative (PVI), a large study where we collected 19,000+ sustained vowel phonations (control and PD groups) across seven countries, under acoustically non-controlled conditions. In this study, we explored how well findings generalize in the three English-speaking PVI cohorts (data collected in Boston, Oxford, and Toronto). We acoustically characterized each sustained vowel /a/ phonation using 307 dysphonia measures which had previously been successfully employed in speech-PD applications. We used the previously identified feature subset from the Boston cohort and explored hierarchical clustering with Ward's linkage combined with 2D-data projections using t-distributed stochastic neighbor embedding to facilitate visual exploration of PD subgroups. Furthermore, we computed feature weights using LOGO to assess feature selection consistency towards differentiating PD from controls. Overall, findings are very consistent across the three cohorts, strongly suggesting the presence of four main PD clusters, and consistent identification of key contributing features. Collectively, these findings support the generalization of sustained vowels and robustness of the presented methodology across the English-speaking PVI cohorts.


## 1 INTRODUCTION

Parkinson's Disease (PD) is a crippling progressive neurodegenerative disorder straining national health systems due to increasing prevalence rates (Dorsey et al., 2013). Indicatively, there were approximately 2.5 million People diagnosed with PD (PwP) in 1990, and 6.1 million PwP compared in 2016 (GBD, 2018). Characteristic PD symptoms include tremor, rigidity, bradykinesia, and postural stability, within the broader remit of motor, cognitive, and neuropsychiatric symptoms (Olanow, Stern, Sethi 2009). Similarly to some other disorders where a disease name is used as an umbrella term, PD is well reported as a largely heterogeneous disease with considerable heterogeneity in PwP's symptom severity trajectories (Fereshtehnejad et al., 2015).

Exploring PwP phenotypes is clinically important since homogeneous groups exhibit stronger clinical symptom manifestation and potentially stronger genetic coherence. In practice, PwP may be assigned to specific subgroups based on clinical observations and criteria such as age onset and dominating symptoms. More recently, data-driven clustering approaches have been explored to delineate PwP subtypes using different data modalities. Indicatively, research work has focused on clinico-pathological characteristics (Selikhova et al., 2009), standardized clinical instruments to assess motor, non-motor, and cognitive domains (Lawton, 2018; Zhang et al., 2019), or sensor-based gait pattern analysis (Nguyen et al. 2019). The use of different types of data to assess symptoms may provide new insights towards a more holistic understanding of PD, however, makes comparisons across studies particularly challenging and may explain discrepancies in the reported PD subtypes and the dreaded replicability crisis in research.

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Ever since the detailed description of PD symptoms by James Parkinson’s seminal work in 1817, speech has been known to be strongly affected. In fact, 29% of PwP consider it one of their most debilitating symptoms (Hartelius and Svensson, 1994). Recent studies have demonstrated the enormous potential of capitalizing on speech signals in neurodegenerative applications and PD in particular. For example, research work has explored: (1) differentiating PwP from age- and gender-matched controls with almost 99% accuracy (Tsanas et al., 2012), (2) accurately replicating the Unified Parkinson’s Disease Rating Scale (UPDRS) (Tsanas et al., 2011; Tsanas et al., *in press*), which is the standard clinical tool to provide an overall PD symptom assessment, and (3) automatically assessing voice rehabilitation (Tsanas et al., 2014a). More recently we have reported on the potential of speech signals towards distinguishing people with Leucine-Rich Repeat Kinase 2 (LRRK2) associated PD, idiopathic PD, and control participants (Arora et al., 2018). Similarly, speech articulation kinematic models to characterize PD dysarthria have been developed, which provide tentative insights into the underlying physiology (Gomez et al., 2019).

Most studies in speech-PD report on single-site findings, and are often limited in terms of the statistical power due to the limited number of available recordings, or the requirement of relying on highly specific equipment and/or highly controlled acoustic conditions. Motivated by the promising findings we and others have reported in this field, we set up a large multi-site trial and recently reported on the Parkinson’s Voice Initiative (PVI) (Arora, Baghai-Ravary, Tsanas, 2019). The PVI is a unique, first of its kind, study where people were self-selected and enrolled to participate, donating their voices collected under acoustically uncontrolled conditions over the phone. Overall, we have collected more than 19,000 sustained vowel /a/ samples from people across seven countries. Although the data collected in this study is clearly not of the same high quality as data collected under carefully controlled acoustic conditions, the large number of samples facilitates new explorations in different directions.

The application of clustering algorithms using speech signals has barely been explored. Rueda and Krishnan (2018) used sustained vowel /a/ recordings from 57 PwP and 57 matched controls to determine groupings. However, the very small sample size limits exploration and besides, mixing PwP with controls is fundamentally not addressing the aim of computing PD subtypes. Thus, to the best of our knowledge we were the first to recently propose clustering using sustained vowels to explore PwP groupings (Tsanas and Arora, 2020). We had previously used only the largest cohort (out of seven cohorts) in the PVI to explore whether it is possible to find some meaningful way to cluster PwP. The next logical step is to validate how well those findings

generalize across other cohorts, which would implicitly serve to assess the generalization of the PVI project.

Therefore, the aim of this study is to explore how well findings generalize across the three English-speaking cohorts in PVI towards: (1) the computed PwP clusters and (2) consistency of feature set towards differentiating PwP from controls. The end goal is to investigate whether the collected sustained vowel /a/ phonations and proposed methodology has internal consistency across different PVI datasets.

## 2 DATA

The PVI study invited people to self-enrol and contribute their voices to facilitate clinical research in PD. Data were collected across seven major geographical locations (Argentina, Brazil, Canada, Mexico, Spain, USA, and the UK) using servers by Aculab for the needs of this project. People called a dedicated phone number that was closest to their geographical location and were requested to provide some basic demographic information (age, gender), self-report whether they had been clinically diagnosed with PD, and record two sustained vowel /a/ phonations. The instruction was to sustain vowel /a/ for as long and as steadily as possible, following standard widely used protocols which are easy to implement (Titze, 2000). The speech recordings were sampled at 8 kHz. In total, we collected more than 19,000 samples.

In this study we processed data from the three English-speaking sites: Boston, Oxford, Toronto, since we wanted to assess how well findings generalize. Demographic information for the study participants is summarized in Table 1; we do not have detailed information regarding PD-symptom specific aspects, for example whether participants self-enrolled when they were “on” or “off” medication, or clinically validated metrics such as UPDRS. For further details on PVI we refer readers to our previous work (Arora, Baghai-Ravary, Tsanas, 2019; Tsanas and Arora, 2019).

Table 1: Summary of demographics per cohort

	Boston	Oxford	Toronto
Participants	12171 (PD: 1138)	2103 (PD 285)	792 (PD: 107)
Phonations	12171 (PD:2097)	3908 (PD:536)	1461 (PD: 198)
Age	63.7±10.8	63.5±10.0	65.0±9.8
Gender (males)	605	172	62

Distributions are summarized in the form mean ± standard deviation. The basic demographic information is provided for the PD participants since that is the main focus of the study.

## 3 METHODS

### 3.1 Data Pre-processing

We developed a speech recognition software which automatically transcribed the participants' responses over the phone regarding age, gender, and self-reported PD assessment. We aurally inspected recordings where the automated speech recognition algorithm had less than 90% confidence. Furthermore, we developed an automated tool to screen out unusable recordings, for example in the presence of excessive background noise. For further details please see (Arora, Baghai-Ravary, Tsanas, 2019).

### 3.2 Acoustic Characterization of Sustained Vowel /a/ Phonations

We used the Voice Analysis Toolbox (freely available from <https://www.darth-group.com/software>) to acoustically characterize each sustained vowel /a/ phonation. The toolbox computes 307 dysphonia measures, which have been developed specifically to characterize sustained vowel /a/ phonations extensively validated across diverse PD datasets (Tsanas et al., 2010a; Tsanas et al., 2010b; Tsanas et al., 2011; Tsanas et al., 2012; Tsanas, 2012; Tsanas et al., 2014a; Arora, Baghai-Ravary, Tsanas, 2019; Tsanas et al., 2021), and other applications, e.g. processing voice fillers (Tsanas and Gomez-Vilda, 2013; San Segundo, Tsanas, Gomez-Vilda, 2017). We have described in detail previously the background, rationale, and detailed algorithmic expressions for the computation of the dysphonia measures (Tsanas, 2012; Tsanas, 2013). A prerequisite for the computation of many dysphonia measures is the fundamental frequency (F0) estimation. There are many algorithms in the research literature for F0 estimation in different applications (Tsanas et al., 2014b); here, we used the SWIPE algorithm (Camacho and Harris, 2008), which we had previously demonstrated is the most accurate F0 estimation algorithm in sustained vowel /a/ phonations (Tsanas et al., 2014b).

Applying the dysphonia measures to each recording gives rise to features which are continuous random variables. We linearly scaled each feature to be in the range [0, 1] following standard practice for distance-based machine learning algorithms so that no feature dominates others (Bishop, 2006).

### 3.3 Feature Selection

A high dimensional dataset may obscure deciphering of its core data structure and is typically challenging for statistical learning algorithms. This well-known problem is often referred to as the *curse of dimensionality*, and may lead to detrimental generalization of statistical learning algorithms (Guyon et al. 2006; Hastie, Tibshirani, Friedman, 2009). Following Occam's razor, we would prefer a predictive

model which is as simple as possible, i.e. with a low dimensionality. This approach is known as *dimensionality reduction*, and can be achieved either by *feature transformation* (transforming the features to populate a new, lower dimensional space), or by *feature selection* (choosing a subset of features). Feature selection is often more suitable in clinical settings to retain the interpretability of the original features (Guyon et al., 2006; Tsanas, Little, McSharry, 2013).

There are two approaches in feature selection: supervised (where the outcome information is used), and unsupervised (where we do not have the outcomes, or may not want to use that information). Feature selection in unsupervised learning setups is less studied and practically more challenging in terms of defining a loss function (or criterion) to optimize (Dy and Brodley, 2004). In this study we used both unsupervised feature selection and supervised feature selection to tackle the two different tasks.

For unsupervised feature selection, we used the *i-Detect* to select informative features where the identified feature subspace has the following property: the difference between the total volume of the space spanned by the selected feature subset and the sum of the volumes of clusters in the embedded manifolds is maximized (Yao et al., 2015). The *i-Detect* algorithm has two free hyper-parameters: the kernel width and the regularization parameter. The algorithm is not very sensitive to the choice of the kernel width (Yao et al. 2015), and hence we experimentally explored the effect of optimizing the regularization parameter. The output of *i-Detect* is a sparse feature weight vector. The final ranking is determined by the descending order of the weights.

For supervised feature selection, we used LOGO (Sun et al., 2010), a feature weighting algorithm which implicitly also provides an estimate of the "importance" of each feature. Then, we determined a minimal threshold and selected features in descending order on the basis of decreasing feature weights.

### 3.4 Clustering

Clustering is an unsupervised learning approach, which attempts to group samples using the underlying concept of sample *distances*. It can often provide insight into the underlying structure of the data via the (probabilistic) cluster membership of each sample into the automatically determined clusters. Given there are no labels (objective ground truth), clustering is inherently more difficult to assess compared to statistical learning models in supervised learning setups.

Here, we used hierarchical clustering which is a popular cluster analysis method that has been successfully used across different applications (Hastie, Tibshirani, Friedman, 2009). Hierarchical clustering has a major advantage over some of the key competing clustering approaches that it does not require pre-specifying the number of clusters in the data.

Instead, it inherently constructs a dendrogram to represent the data in a tree-based form, where the tree is recursively split to form new clusters, aiming to maximize the between group dissimilarity. For further background details on hierarchical clustering please see Duda, Hart, and Stork (2004) or Hastie, Tibshirani and Friedman (2009) which are standard reference works.

We used hierarchical clustering with Ward’s linkage to cluster the lower-dimensional representation obtained following unsupervised feature selection with *iDetect*. For further details and experiments with the full dataset and the lower dimensional dataset we refer to Tsanas and Arora (2020). The number of clusters was determined following visual inspection of the dendrogram as described in the methodology by Sheaves et al. (2016).

We used the *iDetect* algorithm and the methodology we previously described (Tsanas and Arora, 2020) to reproduce our findings and use the same feature subset (21 features, primarily from the wavelet dysphonia measures) across the three cohorts. We applied hierarchical clustering independently for each cohort, using the same feature subset that has been obtained using *iDetect* on the Boston dataset (Tsanas and Arora, 2020). In all cases, we visualized the dendrograms to visualize the underlying data structure.

### 3.5 Data Visualization

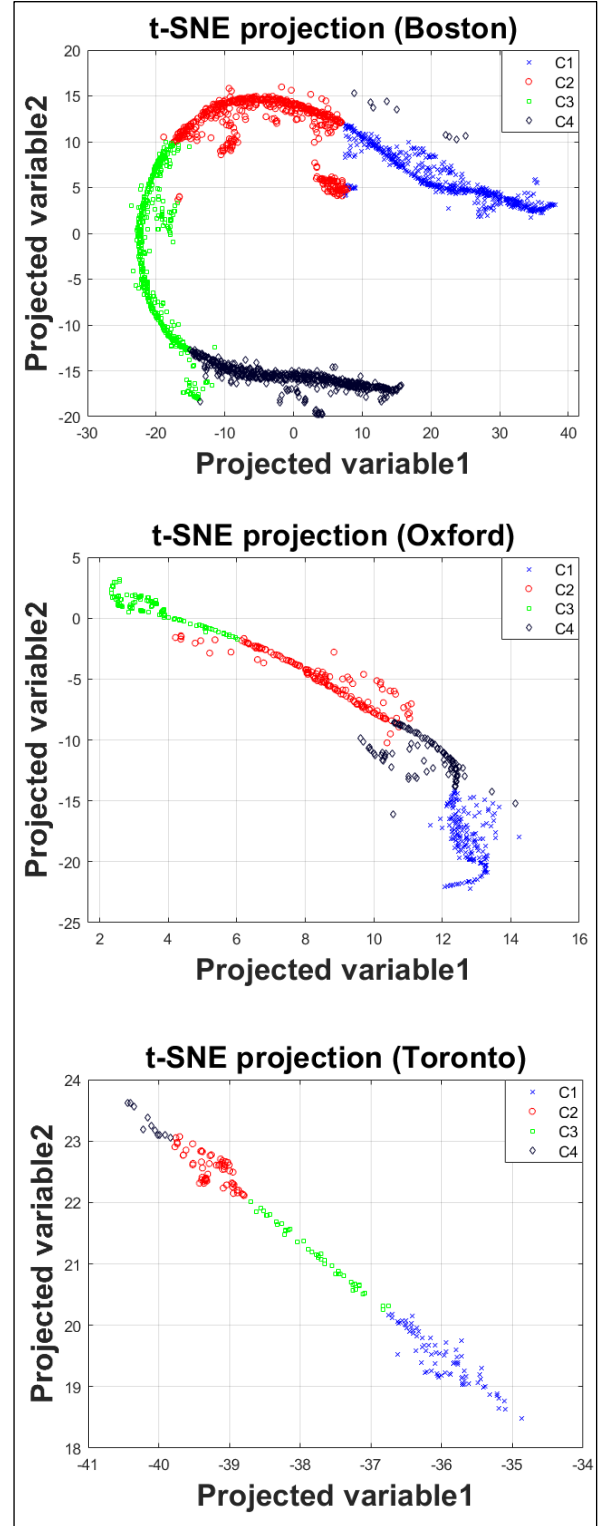
We applied the t-distributed Stochastic Neighbor Embedding (t-SNE) algorithm (van der Maaten and Hinton, 2008) to obtain a 2D data representation and visualize the data structure embedded in the high-dimensional space. We used the 21 features we had previously identified (Tsanas and Arora, 2020) to project the 21-dimensional space into 2D. The resulting representation may provide new insights in terms of participant assignment in those plots and has been used to visually annotate the points using the cluster analysis results.

## 4 RESULTS

This section is split into two subsections to report on the generalization of the cluster findings across the three cohorts, and then to also report on the generalization of feature selection towards binary differentiation of PwP and controls.

### 4.1 Exploring cluster generalization across the three cohorts

We applied hierarchical clustering to deterministically assign cluster membership for each sample. Subsequently, we applied t-SNE to obtain the 2D data projection of the feature space spanned by the selected feature subset, independently



**Figure 1:** Two-dimensional representation of the datasets with selected features using t-SNE and marking of the four clusters (denoted C1...C4) computed using hierarchical clustering with the selected feature subset from Tsanas and Arora (2020).



for each of the three cohorts (see Figure 1). We found that across all three cohorts hierarchical clustering leads to groups which almost completely agree with the data projections in 2D space in terms of almost distinct cluster separation as can be visually affirmed by Figure 1. This is particularly revealing given that the data projection and clustering algorithms operate independently, and these plots serve to intuitively validate the cluster groupings. We defer further elaboration for the Discussion.

## 4.2 Assessing generalization of selected features for binary differentiation

So far we have used data only from the PD participants in each of the three cohorts, aiming to derive clusters and assess cluster consistency. As a final exploratory step, we wanted to apply a supervised feature weighting algorithm to determine whether there is also consistency in the key contributing features to differentiate PwP from controls across the three cohorts.

We present the results of the LOGO weights in Fig. 2 for all three cohorts to facilitate visual comparison. We remark that the actual weights in LOGO are affected by the number of samples in the dataset. The primary observation, however, is that there is again good consistency on the top selected features across the three datasets. We summarize the selected features in descending order for each of the three datasets in Table 2. There is overall agreement across the datasets on the key contributing features, and the algorithmic families those features represent.

Table 2: Summary of LOGO-selected features in descending order for each of the three cohorts.

	Boston	Oxford	Toronto
Feature name	VFER <sub>NSR,SEO</sub>	Jitter <sub>F0-TKEO,prc95</sub>	Jitter <sub>F0-TKEO,prc95</sub>
	12 <sup>th</sup> MFCC	OQ <sub>std,closed</sub>	F0 - F0 <sub>exp</sub>
	VFER <sub>LF,TKEO</sub>	VFER <sub>LF,TKEO</sub>	OQ <sub>std,closed</sub>
	Jitter <sub>F0-TKEO,prc25</sub>	VFER <sub>std</sub>	Jitter <sub>pitch-TKEO,prc25</sub>
	4 <sup>th</sup> MFCC	Jitter <sub>F0-TKEO,prc95</sub>	GNE <sub>SNR,TKEO</sub>
	OQ <sub>std,closed</sub>	10 <sup>th</sup> MFCC	11 <sup>th</sup> MFCC
	1 <sup>st</sup> MFCC	9 <sup>th</sup> MFCC	Shimmer <sub>TKEO,prc95</sub>
	11 <sup>th</sup> MFCC	Jitter <sub>pitch-TKEO,prc25</sub>	8 <sup>th</sup> det LT entropy
	10 <sup>th</sup> MFCC	12 <sup>th</sup> MFCC	1 <sup>st</sup> det LT entropy
	5 <sup>th</sup> MFCC	6 <sup>th</sup> det LT entropy	Shimmer <sub>TKEO,prc25</sub>

For brevity we only present the top-10 selected features using LOGO.

## 5 DISCUSSION

We extended our previous work to assess the generalization of findings across the three English-speaking cohorts in PVI. We demonstrated that the methodology we had previously developed in the Boston cohort for cluster membership assignment using the exact parameters we had previously reported (Tsanas and Arora, 2020), generalizes very well for

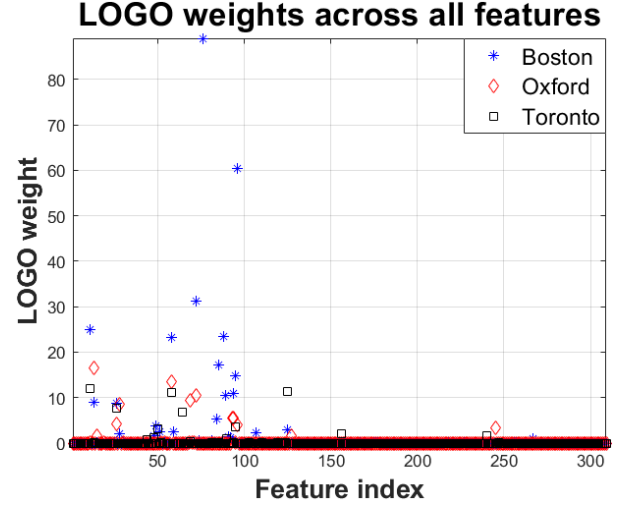


Figure 2: Feature weights computed using LOGO for each of the three cohorts in the study.

the Oxford and Toronto cohorts in PVI. There is strong internal consistency in identifying four PwP clusters, which are almost clearly separable as indicated in Fig. 1 when projecting data into a 2D transformed feature space. Moreover, we identified similar features that jointly contribute the differentiation of PwP and controls (Fig. 2 and Table 2) which further supports the generalizability of those findings, at least for the English-speaking cohorts.

Similarly to other clinical conditions, there are important implications and translational potential for cluster findings. For this particular setting, we envisage a newly diagnosed PwP could be phenotyped using sustained vowels to be assigned in a PD cluster, which could provide information about symptom trajectory or optimal treatment to follow on the basis of similarity to other PwP within the same cluster. It is often possible to provide a tentative interpretation of clusters using additional information, e.g. regarding PD symptom trajectory or targeted symptoms/therapies.

We remark that our findings are strongly supporting previous studies on PwP subtyping, which had similarly reported the identification of four clusters. Indicatively, Lewis et al. (2005), collected demographic, motor, mood, and cognitive measures from 120 early-stage PwP and applied standard k-means resulting into four clusters: (1) younger PD onset; (2) tremor-dominant; (3) non-tremor dominant with considerable cognitive impairment and mild depression; and (4) rapid disease progression but no cognitive impairment. Similarly, Lawton et al. (2018) used standardized questionnaires to assess motor, non-motor, and cognitive domains on two PD cohorts (1601 and 944 participants). They reported four main subgroups: (1) fast motor progression with symmetrical motor disease, poor olfaction, cognition and postural hypotension; (2) mild motor and non-motor disease with intermediate motor progression; (3)

severe motor disease, poor psychological well-being and poor sleep with an intermediate motor progression; (4) slow motor progression with tremor-dominant, unilateral disease. van Rooden et al. (2011) similarly reported four subgroups: (1) mildly affected in all domains, (2) predominantly severe motor complications, (3) affected mainly on nondopaminergic domains with no major motor complications, (4) severely affected across all domains. Mu et al. (2017) assessed motor and non-motor symptoms in two cohorts (411 and 540 participants), and also reported four clusters: (1) mild, (2) non-motor dominant, (3) motor-dominant, and (4) severe. We stress that these studies had used different data modalities, which further serves to underline the important validity of speech towards providing holistic information about motor and other PD symptoms (Tsanas, 2012).

The findings in Fig. 1 make a very compelling case regarding cluster validation: using independently cluster analysis and 2D data projection we find that the computed clusters can be visually verified. However, it is not directly obvious how well the four clusters reported herein computed using acoustic features extracted from sustained vowels match with the underlying PD symptoms and clusters of the preceding studies (Lewis et al. 2005; van Rooden et al., 2011; Lawton et al., 2018). Unfortunately, in the PVI study we had not collected additional symptom based entries in the form of patient reported outcome measures or clinical assessments. On the other hand, studies which have longitudinal clinical evaluations and patient reported outcome measures do not have speech signal recordings which would enable to explore bridging this gap. Applying a range of signal processing and data analytics tools across different modalities, with the ultimate aim of fusing information can provide a more holistic translational path for clinical research (Gorritz et al., 2020; Woodward et al., 2020).

We emphasize that many clustering studies focusing on clinical data in general and in PD research in particular, rely on tools which make rigid assumptions such as k-means (e.g. Lewis et al., 2005; Lawton et al., 2018). This technique, although simple to apply has some fundamental drawbacks (Hastie, Tibshirani, Friedman, 2009; Duda, Hart, Stork, 2001). Further challenges in cluster analysis include selecting a robust feature subset which could better reveal the underlying groups without having any labels available (Dy and Brodley, 2004), standardizing variables or introducing weights for different variables, and validating findings. In practice, many of these crucial implementation details in the application of cluster analysis methodology in often omitted. For an overview of this field, challenges, and suggestions for best practice when reporting clustering results we refer to Horne et al. (2020).

We envisage these robust cluster findings which appear to generalize very well may contribute towards improving understanding of the nature of PD subtypes and hence

potentially be translated to inform therapeutic interventions in clinical practice (Triantafyllidis and Tsanas, 2019). We are further exploring the PVI data to investigate differences across the English-speaking and other cohorts, both towards understanding differences versus controls and also internal variability which may inform future clinical trials.

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