Instance Selection on CNNs for Alzheimer’s Disease Classification from MRI

J. A. Castro-Silva$^{1,2,5}$, M. N. Moreno-García$^{1}$, Loren Guachi-Guachi$^{3,5}$ and D. H. Peluffo-Ordóñez$^{4,5}$

$^1$Universidad de Salamanca, Salamanca, Spain
$^2$Universidad SurColombiana, Neiva, Colombia
$^3$Department of Mechatronics, Universidad Internacional del Ecuador, Quito, Ecuador
$^4$Mohammed VI Polytechnic University, Ben Guerir, Morocco
$^5$Smart Data Analysis Systems Group - SDAS Research Group, Ben Guerir, Morocco

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Abstract: The selection of more informative instances from a dataset is an important preprocessing step that can be applied in many classification tasks. Since databases are becoming increasingly large, instance selection techniques have been used to reduce the data to a manageable size. Besides, the use of test data in any part of the training process, called data leakage, can produce a biased evaluation of classification algorithms. In this context, this work introduces an instance selection methodology to avoid data leakage using an early subject, volume, and slice dataset split, and a novel percentile-position-analysis method to identify the regions with the most informative instances. The proposed methodology includes four stages. First, 3D magnetic resonance images are prepared to extract 2D slices of all subjects and only one volume per subject. Second, the extracted 2D slices are evaluated in a percentile distribution fashion in order to select the most insightful 2D instances. Third, image preprocessing techniques are used to suppress noisy data, preserving semantic information in the image. Finally, the selected instances are used to generate the training, validation and test datasets. Preliminary tests are carried out referring to the OASIS-3 dataset to demonstrate the impact of the number of slices per subject, the preprocessing techniques, and the instance selection method on the overall performance of CNN-based classification models such as DenseNet121 and EfficientNetB0. The proposed methodology achieved a competitive overall accuracy at a slice level of about 77.01% in comparison to 76.94% reported by benchmark-and-recent works conducting experiments on the same dataset and focusing on instance selection approaches.

1 INTRODUCTION

Alzheimer’s disease (AD) is a progressive brain disorder and the most common cause of dementia in the elderly. AD causes nerve cell death and tissue loss throughout the brain, resulting in a dramatic reduction in brain volume over time and affecting the majority of its functions. This brain structure is noticeable on images obtained using various imaging modalities, including Magnetic Resonance Imaging (MRI), Positron Emission Tomography (PET), and Diffusion Tensor Imaging (DTI). Due to the increase in life expectancy and the aging population in developed countries, it is estimated that AD will affect 60 million people worldwide over the next 50 years (Ortiz et al., 2016). There is no cure for AD, and currently available medications can only help slow the disease’s progression. As a result, early diagnosis becomes the best way to ensure effective treatments.

Recently, innovative automatic methods based on Convolutional Neural Networks (CNNs), which are part of the deep learning technique, have shown to be successful in detecting structural changes in the brain using MRI (Jabason et al., 2019b), (Bae et al., 2020), (Guan, 2019), (Hussain et al., 2020), (Khan et al., 2019). CNNs can analyze 2D slices (Farooq et al., 2017a), (Khan et al., 2019); 3D-patches (Backstrom et al., 2018), (Zhao et al., 2021); Region-of-interest (ROI) (Khvostikov et al., 2018), (Lin et al., 2018); and 3D-subject (Duc et al., 2020), (Backstrom et al., 2018). Most CNN-based works use a random selection of training data, which might result in overly optimistic or biased models, particularly in cases of data leakage. Data leakage is often caused by an incorrectly split dataset, the lack of an independent dataset for testing, a late split dataset, or biased transfer learn-
In order to minimize data leakage when developing CNN-based classification models, some works have proposed different approaches for selecting instances for Alzheimer’s disease classification. They differ in terms of the technique used to obtain the most representative slices and the number of slices chosen. For instance, (Farooq et al., 2017b) removes all slices without informative content. Besides, (Sarraf et al., 2016) withdraws the last ten slices as well as those with a pixel intensity sum of zero. Other automatic techniques (Jabason et al., 2019b), (Khan et al., 2019) analyze the variation of each slice based on entropy calculation. These techniques select the slices with the highest entropy values as the most informative ones. As for the number of slices, works such as (Hon and Khan, 2017), (Wu et al., 2018), (Qiu et al., 2018), (Ren et al., 2019), (Khan et al., 2019), (Jabason et al., 2019b) propose using a fixed number of slices ranging from 30, 32, 48, and 100.

Furthermore, to improve the classification performance, researchers apply various image preprocessing techniques such as FreeSurfer (Ren et al., 2019), (Backstrom et al., 2018) for skull extraction, segmentation and nonlinear registration; FSL (Duc et al., 2020), (Zhao et al., 2021) for brain extraction and tissue segmentation; Statistical parametric mapping (SPM) (Farooq et al., 2017a), (Guan, 2019) for smoothing scans, among others.

Although the data leakage is a problem that affects classification models in general, particularly, the development of solutions that solve the data leakage problem by selecting the most informative instances is still a challenging and underexplored task for AD detection, which demands accurate and unbiased solutions. Therefore, this work introduces a methodology for strategically identifying and selecting the most informative 2D slices using a percentile-position-analysis method. The proposed methodology intends to reduce data leakage by ensuring that each subject (patient) belongs to a single subject distribution set and that only one volume (3D MR image) per subject is selected. Besides, a preprocessing step is included to use the most informative content of each 2D slice.

The ability of the proposed methodology to correctly select the most informative instances is preliminarily explored using two CNN architectures (DenseNet121 (Huang et al., 2017) and EfficientNetB0 (Tan and Le, 2019)), the most well-known in the state of the art, to classify CN=Normal Cognition and AD=Alzheimer’s cases from the OASIS-3 dataset.

Furthermore, data leakage behavior is experimentally evaluated by randomly assigning 2D slices to training, test, and validation sets, which may result in training data containing information that is intended to be predicted.

The remaining of this paper is structured as follows: The materials and methods used for preprocessing and instance selection are included in Section 2. Section 3 stated the experiment description and parameter settings of this work. The results and discussion are presented in Section 4. Finally, Section 5 gathers the concluding remarks.

## 2 MATERIALS AND METHODS

### 2.1 Dataset

This work uses the OASIS-3 dataset (https://www.oasis-brains.org/#data), which consists of 3395 T1-weighted structural magnetic resonance imaging (3D-MRI) images from 2168 sessions belonging to 1098 subjects ranging in age from 42 to 97 years. Subjects are characterized using the Clinical Dementia Rating (CDR) scale, which is a measure that ranges from 0 to 3 often used to determine the overall severity of dementia. A CDR of zero characterizes CN cases, while a CDR of one or greater characterizes AD cases.

### 2.2 Proposed Methodology

The proposed methodology aims at selecting the most informative instances from the dataset to reduce both the leakage of relevant data and the use of noisy instances, which could decrease the overall performance of a CNN-based classification model. The methodology consists of four stages, as shown in Fig. 1. First, 3D MRI images are prepared to extract 2D slices of all subjects and one volume per subject. Second, the extracted 2D slices are subjected to a novel percentile-position-analysis (PPA) method in order to select the most insightful 2D instances. Third, image preprocessing techniques are used to suppress noisy data. Finally, the selected instances are used to generate the training, validation and test datasets.

**Data Preparation:** This stage starts by randomly splitting the 3D-MRIs from the OASIS-3 dataset to ensure that each subject is part of a single subject-distribution-set (training, validation, or test). This division guarantees reproducible tests and prevents data leakage by creating independent training, test, and validation sets. The subject-distribution-set has k number of subjects per class, where (k) is less than
Figure 1: Workflow of the proposed methodology empowered by the novel percentile-position-analysis method for optimal instance selection.

or equal to the number of samples from the minority class, to avoid the class imbalance problems. Subsequently, the volume-distribution-set is generated by selecting one volume for each subject.

Finally, the volume-distribution-set is processed to extract 2D slices of the orthogonal planes of the 3D MRI (axial, coronal and sagittal). The generated 2D slices are saved in .png format with the image orientation set in RAS (Right-Anterior-Superior).

**Instance Selection based on Percentile-Position-Analysis (PPA) Method:** PPA creates 2D-slice subsets from five specific percentile-based positions -here denoted as $P = \{p_{20}, p_{35}, p_{50}, p_{65}, p_{80}\}$, including a fixed number ($k$) of instances to explore the association between slice location and slice content. For each subset, the initial slice number ($i$) is computed by equation (1):

$$i = \left(\frac{n}{100}c\right) - \frac{k}{2}. \tag{1}$$

where $n$ is the total number of slices per plane, $c$ is the subset position expressed in percentile, and $k$ is the desired number of slices. The slice subset ($S$) includes the sequence of selected instances from $s_i$ to $s_i + k$, as follows

$$S = \{s_i, s_{i+1}, s_{i+2}, \ldots, s_{i+k-2}, s_{i+k-1}, s_{i+k}\}. \tag{2}$$

**Image Preprocessing:** The input image is downsampled by standard CNN classification models into smaller images (e.g. $224 \times 224$) (Huang et al., 2017), (Tan and Le, 2019). Down-sampling preserves the semantic information in the image while significantly reducing the number of model parameters. However, small regions of brain may be vanished from the image by using this technique, making them impossible to detect its structure. Besides, down-sampling approaches can reduce the data quality by removing any essential features that lie at the edges of the image, distorting an image, or adding noisy data. To address this issue and continue to feed the classification model with the most revealing pixels from the 2D slices, this work examines the following preprocessing techniques:

- **Image Trimming:** It corrects and standardizes the brain area by removing black pixel outliers as depicted in Fig. 2(b).

- **Image Resize:** Since the size of the 2D slices varies, the proposed methodology uses three techniques to define a base size for all slices either stretching or maintaining the existing aspect ratio, which is the proportional relationship between an image width and height:
  1. **Full Image Resize:** The image size is changed to the new size without preserving the image aspect ratio, as shown in Fig. 2(f).
  2. **Resize by Cropping:** The longest axis of the image is cropped to get a square size, and then it is resized, preserving the aspect ratio as illustrated in Fig. 2(e).
  3. **Resize by Padding:** This technique adds black pixels to the shortest axis to get a square size image, and then it is changed to the new size, preserving the aspect ratio. Padding is used to avoid removing any essential features that lie at the edges of the image as shown in Fig. 2(d).

- **Cropping:** It extracts a region of interest (region of the brain). If the shortest axis is smaller than the new size, the image is padded to get a
square image, and then the region of the interest is cropped as illustrated in Fig. 2(c).

(a) Input image. (b) Trimming. (c) Cropping.

(d) Padding Resize. (e) Cropping Resize. (f) Full Resize.

Figure 2: Image preprocessing techniques to suppress the less informative pixels.

Data Generator: This stage prepares the training data for batch-by-batch loading since large training samples often do not fit in memory simultaneously. The data generator reads the slice metadata dataset (e.g., slice filename, class) and preprocesses the images in training time (without saving to disk) according to the desired image output (e.g., image size, resize technique). The dataset batch-size produced is based on the computational resources (e.g., GPU, memory).

3 EXPERIMENTAL SETUP

For experimental tests, 2D slices extracted from 100 CN and 100 AD cases are split into training (60%), validation (20%), and test (20%) sets before preprocessing. Furthermore, DenseNet121 (Huang et al., 2017), and EfficientNetB0 (Tan and Le, 2019) are selected to explore the influence of the proposed methodology on the overall performance of a CNN-based classification model. They have been selected for their successful contribution to the computer vision field as image classification, object detection and localization, scene understanding, and other related tasks (Goodfellow et al., 2016), (Rosebrock, 2017).

Random search techniques were used to find the optimal hyperparameters using the OASIS-3 dataset split, as stated before, into three distribution subsets (train, validation, and test). The proposed methodology and all the selected CNNs have been trained with these hyperparameters capable of achieving the highest accuracy to classify Alzheimer’s cases from MRI. Table 1 provides relevant information about the hyperparameter values chosen for the CNN models.

All experiments are reported at the slice level and were run five times to obtain consistent results. Additionally, to obtain a classification at the subject level, all the classifications obtained at the slice level from a subject were fused by majority voting. A random seed was also set for the os, random, TensorFlow, and NumPy libraries to improve the reproducibility of the experiments. TensorFlow with Keras and Python libraries (including PIL and NumPy) were used to train and test the explored CNNs with the 2D slices selected through the proposed methodology. Experiments were carried out using a workstation with an Intel Core i9 9900K processor, 32 GB RAM, and 11 GB NVIDIA RTX 2080Ti GPU.

The influence of the proposed methodology on overall CNN performance for Alzheimer’s case classification was measured in terms of the average and standard deviation of accuracy $= (T_p + T_n)/(T_p + F_n + T_n + F_p)$ metric. Where $T_p$, $T_n$, $F_p$, and $F_n$ refer to the number of AD cases correctly classified as AD, number of CN cases correctly classified as CN, number of AD cases misclassified as CN, and number of CN cases incorrectly classified as AD, respectively. In this sense, accuracy quantifies the proportion of correctly classified cases.

4 EXPERIMENTAL RESULTS AND DISCUSSION

4.1 Data Leakage vs. Independent Data Sets

This work experimentally evaluates the effect of a random selection by mixing and shuffling all the 2D slices of the distribution sets (data leakage), which might cause training data to contain information that is intended to be predicted.

Since selecting the most informative slices from the original dataset may improve the overall performance of the prediction model (Khan et al., 2019),
Table 2: Average accuracy from OASIS-3 with instances from the 50th-percentile (independent dataset) and comparison with data leakage. Classification accuracy measured at subject and slice levels. The highest values are highlighted.

<table>
<thead>
<tr>
<th>CNN model</th>
<th>Slices from the 50th-percentile</th>
<th>Data leakage from shuffled slices</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Subject-Level</td>
<td>Slice-Level</td>
</tr>
<tr>
<td>DenseNet121</td>
<td>79.00% ± 3.35</td>
<td>75.26% ± 1.35</td>
</tr>
<tr>
<td>EfficientNetB0</td>
<td>51.00% ± 1.37</td>
<td>50.96% ± 2.76</td>
</tr>
</tbody>
</table>

Table 3: Average accuracy values achieved by DenseNet121 with different resize techniques. Classification accuracy measured at slice levels. The highest values are highlighted.

<table>
<thead>
<tr>
<th>Resize Techniques</th>
<th>Size</th>
<th>Planes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Sagittal</td>
</tr>
<tr>
<td>Full image resize</td>
<td>224x224</td>
<td>63.28% ± 2.08</td>
</tr>
<tr>
<td>Resize by cropping</td>
<td>224x224</td>
<td>68.60% ± 1.43</td>
</tr>
<tr>
<td></td>
<td></td>
<td>60.88% ± 3.41</td>
</tr>
</tbody>
</table>

Table 4: Average accuracy values achieved by DenseNet121 with different input image sizes. Classification accuracy measured at slice levels. The highest values are highlighted.

<table>
<thead>
<tr>
<th>Cropping Technique</th>
<th>Size</th>
<th>Planes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Sagittal</td>
</tr>
<tr>
<td>Cropping Region</td>
<td>64x64</td>
<td>65.15% ± 1.19</td>
</tr>
<tr>
<td></td>
<td>96x96</td>
<td>67.39% ± 2.74</td>
</tr>
<tr>
<td></td>
<td>128x128</td>
<td>62.21% ± 5.18</td>
</tr>
<tr>
<td>Cropping Resize</td>
<td>160x160</td>
<td>67.07% ± 2.61</td>
</tr>
<tr>
<td></td>
<td>192x192</td>
<td>70.24% ± 0.87</td>
</tr>
<tr>
<td></td>
<td>224x224</td>
<td>68.60% ± 1.43</td>
</tr>
<tr>
<td></td>
<td>256x256</td>
<td>71.87% ± 2.21</td>
</tr>
</tbody>
</table>

From the results collected in Table 2, it can be seen that data leakage caused by shuffled slices produces overly optimistic results (higher or equal than 96.40%) when compared to the results of models trained with the 50th percentile independent dataset slices (no data leakage). This behavior is repeated for both subject-level and slice-level classification, demanding the development of more robust solutions for selecting more informative slices.

DenseNet121 is the CNN classification model used in the following experiments because it achieves the highest accuracy (more than 25%) compared with EfficientNetB0.

4.2 The Impact of Preprocessing Techniques

Resizing experiments are conducted on the training set (in processing time) to evaluate the effectiveness of each resizing technique on the overall performance of the CNN-based classification model, as shown in Table 3. All resizing techniques achieve the highest average accuracy values for the axial planes as they capture the most critical information of the regions affected by Alzheimer’s disease.

From the other hand, the average accuracy values for each technique show that resizing by cropping technique ensures higher accuracy for all three planes (sagittal, coronal and axial). Besides, the resizing by padding technique yields the lowest accuracy due to the addition of noise when padding the segment. Since resizing by cropping guarantees a significantly high accuracy value for all three planes, it has been chosen as the best resizing technique for the proposed methodology.

Reducing image size leads to information loss. This experiment examines the impact of image size on classification results. Sizes of 64×64, 96×96 and 128×128 are tried using the cropping region technique; meanwhile, sizes of 160×160, 192×192, 224×224 and 256×256 are tried using the cropping resizing technique as shown in Table 4.

From Table 4, it can be observed that the 192×192 size outperforms the average accuracy of the 224×224 size (experimentally selected for previous experiments), despite of the fact that almost all sizes achieved high accuracy for the axial plane.
Table 5: Average accuracy of DenseNet 121 for the selected number of slices. Classification accuracy measured at slice levels. The highest values are highlighted.

<table>
<thead>
<tr>
<th>Plane</th>
<th>Number of instance selected</th>
<th>1</th>
<th>8</th>
<th>16</th>
<th>32</th>
<th>64</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sagittal</td>
<td></td>
<td>63.92% ± 1.46</td>
<td>68.21% ± 1.97</td>
<td>66.60% ± 1.43</td>
<td>70.05% ± 2.71</td>
<td></td>
</tr>
<tr>
<td>Coronal</td>
<td></td>
<td>70.85% ± 3.50</td>
<td>68.21% ± 3.29</td>
<td>71.02% ± 1.44</td>
<td>68.38% ± 4.11</td>
<td></td>
</tr>
<tr>
<td>Axial</td>
<td></td>
<td>74.15% ± 1.98</td>
<td>74.23% ± 2.44</td>
<td>75.26% ± 1.35</td>
<td>74.98% ± 1.07</td>
<td></td>
</tr>
</tbody>
</table>

Table 6: Average accuracy reached by DenseNet 121 which is trained with 2D-slice subsets selected in a percentile distribution fashion. Classification accuracy measured at slice levels. The highest values achieved for each plane are highlighted.

<table>
<thead>
<tr>
<th>Plane</th>
<th>Percentiles explored by the proposed methodology</th>
<th>Entropy-based method (Jabason et al., 2019a)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>20</td>
<td>30</td>
</tr>
<tr>
<td>Sagittal</td>
<td>66.63% ± 2.46</td>
<td>71.50% ± 3.26</td>
</tr>
<tr>
<td>Coronal</td>
<td>64.14% ± 3.55</td>
<td>72.07% ± 1.26</td>
</tr>
<tr>
<td>Axial</td>
<td>67.68% ± 2.94</td>
<td>77.01% ± 1.61</td>
</tr>
</tbody>
</table>

4.3 The Impact of the Number of Slices Selected, and Instance Selection based on Percentile-Position-Analysis (PPA) Method

Number of Slices Selected per Subject: Since the dataset quantity and quality influence the final performance of classification models, this experiment evaluates the impact of the number of selected informative slices over classification results of DenseNet121 (Huang et al., 2017) by testing subsets of 1, 8, 16, 32, and 64 slices.

From Table 5, it can be observed that the selection of 32 2D slices per subject reaches high average accuracy for planes coronal and axial (71.02% and 75.26%) and 64 slices for the sagittal plane (70.05%). Furthermore, it is seen that subsets with 64 images per subject show a slight decrease in accuracy for axial and coronal planes compared to subsets with 32 slices. This behavior is because adding more image slices with less informative content can result in redundant, noisy, or less representative information, lowering CNN performance. On the other hand, subsets with 1 and 8 slices per subject achieve the lowest accuracy values for all planes. These findings show that a number of slices per subject less than or equal to 8 does not ensure the representativeness of the 170-256 instances that comprise an MRI volume.

Due to the high accuracy values achieved by subsets with 32 slices, the proposed methodology establishes the number of 32 slices as the appropriate number of the most-representative-slices which can be selected for the classification of Alzheimer’s cases.

PPA Method: As it is well known, 2D slices from 3D MRI can range from dark to informative images, and the quality of the content is dependent on the volume’s position. Therefore, to determine how 2D slices from different positions and planes affect the overall performance of DenseNet121 (Huang et al., 2017) for Alzheimer’s disease classification, training subsets are created with 2D slices distributed in a percentile fashion $P = \{p_{20}, p_{35}, p_{50}, p_{65}, p_{80}\}$.

Finally, for comparison purposes, the entropy-based methodology demonstrated in (Jabason et al., 2019a) is compared to this work in Table 6. It has been chosen not only because it is one of the most efficient instance selection techniques with the DenseNet 121 architecture, but also because it is similar to the goal of this work, as it also performs Alzheimer’s case classification. The obtained results show that the PPA method slightly outperforms the entropy-based method in terms of overall results. This behavior can be attributed to the careful assembly of subject and volume distribution sets, as well as to the optimal selection of the most significant instances.
5 CONCLUSIONS AND FUTURE WORK

This work introduces a methodology for strategically identifying and selecting the most informative 2D slices using a percentile-based-position-analysis method. The impact of the proposed methodology on the overall performance of CNN-based classification models is explored experimentally. The slice subsets contribution to the model performance varies according to the position; the 35th percentile reaches the higher accuracy. Based on the best average results, the proposed methodology establishes the resize by cropping technique, the image sizes of (224 × 224) and (192 × 192) and the axial plane, as suitable to get the highest model performance for Alzheimer’s disease classification. The number of slices per subject greatly influences the model performance, subsets with 32 slices presenting the best results.

The use of 2D slices produces an increased number of instances and the possibility of using existing 2D CNNs to train a model with transfer learning or from scratch. The classifications obtained at the slice level must be fused to obtain a classification at the subject level. Finally, data leakage can be avoided by using a subject dataset early split and creating an independent test set as proposed in the instance selection process.

For future work, image metrics will be used to select the most informative instances. Also, custom CNNs and model ensembles using the different planes and cropping regions should be considered to improve the classification model performance and reliability.

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