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# 1 **Three-dimensional frequency-domain optical anisotropy imaging of** 2 **biological tissues with near-infrared light**

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9  
10 **Purpose:** Near-infrared optical imaging aims to reconstruct the absorption  $\mu_a$  and scattering  $\mu_s$  coefficients in order  
11 to detect tumors at early stage. However, the reconstructions have only been limited to  $\mu_a$  and  $\mu_s$  due to theoretical  
12 and computational limitations. The authors propose an efficient method of the reconstruction, in 3D geometries, of  
13 the anisotropy factor  $g$  of the Henyey-Greenstein phase function as a new optical imaging biomarker.

14 **Methods:** The light propagation in biological tissues is accurately modeled by the Radiative Transfer Equation  
15 (RTE) in the frequency domain. The reconstruction algorithm is based on a gradient-based updating scheme. The  
16 adjoint method is used to efficiently compute the gradient of the objective function which represents the discrepancy  
17 between simulated and measured boundary data. A parallel implementation is carried out to reduce the computa-  
18 tional time.

19 **Results:** We show that by illuminating only one surface of a tissue-like phantom, the algorithm is able to accu-  
20 rately reconstruct optical values and different shapes (spherical and cylindrical) that characterize small tumors-like  
21 inclusions. Numerical simulations show the robustness of the algorithm to reconstruct the anisotropy factor with  
22 different contrast levels, inclusion depths, initial guesses, heterogeneous background, noise levels and two-layered  
23 medium. The crosstalk problem when reconstructing simultaneously  $\mu_s$  and  $g$  has been reported and achieved with  
24 a reasonable quality.

25 **Conclusions:** The proposed RTE-based reconstruction algorithm is robust to spatially retrieve and localize small  
26 tumoral inclusions. Heterogeneities in  $g$ -factor have been accurately reconstructed which makes the new algorithm  
27 a candidate of choice to image this factor as new intrinsic contrast biomarker for optical imaging.

28 **Keywords** optical image reconstruction, anisotropy factor, cancer diagnosis, radiative transfer equation.

## 31 Introduction

32 Diffuse Optical Tomography (DOT) is a non-invasive imaging modality that aims to reconstruct the optical prop-  
33 erties of biological tissues namely, the absorption  $\mu_a$  and the scattering  $\mu_s$  coefficients. It consists in solving the  
34 photon migration to predict the boundary light intensities through a forward model. These predictions are com-  
35 pared with the observed measurements, and the optical image is then iteratively updated to minimize the objective  
36 function represented by the discrepancy between predicted and observed data within an inversion scheme. An  
37 accurate forward model is essential to meet the requirements of clinical applications and to obtain a good quality  
38 reconstruction. The most commonly applied forward model in DOT is the Diffusion Equation<sup>1</sup> due to its ease of  
39 implementation and the wide availability of fast and efficient numerical solvers in arbitrary domains. However, this  
40 model does not accurately simulate light propagation in optically thin media or in others containing low-scattering  
41 or strong light absorption regions.<sup>2</sup> The drawbacks of the Diffusion Equation particularly concern small-volume  
42 tissues imaging, such as finger joints<sup>3</sup> and body parts in small animals due to the small source-detector separa-  
43 tion.<sup>4,5</sup> It is well known that the biological tissues are highly forward scattering media where the anisotropy factor  
44  $g$  is close to unity.<sup>6</sup> Several works have shown that this factor can be modified when the tissue is affected by a  
45 tumor because cells and cell nuclei change their size and shape. Therefore, the morphological modification of the  
46 tissue changes the scattering coefficient  $\mu_s$ . Since the  $g$ -factor describes the anisotropy (angular distribution) of  
47 light scattering, this modification will also lead to a variation of  $g$  values between healthy and tumor tissues. For  
48 examples, Van Hillegersberg et al.<sup>7</sup> demonstrated that the  $g$ -factor of rat liver decreases from 0.952 to 0.946 in  
49 a tumor at 633 nm. Germer et al.<sup>8</sup> reported experimentally that  $g$  was different for normal human liver tissue ( $g$   
50 = 0.902) and liver metastases ( $g = 0.955$ ) at three different wave-lengths. Consequently, the  $g$ -factor can provide  
51 an additional intrinsic contrast for optical imaging. It should be noted that the determination of the anisotropy  
52 factor  $g$  is not possible using the Diffusion Equation, which is devoted to describing an isotropic fluence field. This  
53 isotropy is achieved when the photon penetration depths within the medium are large relatively to the transport  
54 mean-free path  $l_{tr} = 1/\mu'_s$ ,<sup>9</sup> where  $\mu'_s = \mu_s(1 - g)$  is the reduced scattering coefficient. The typical penetration  
55 depth scales for which light propagation still maintains a degree of anisotropy can range from 1 to 10 mm, depend-

ing on optical values of tissues. To overcome these limitations, the Radiative Transfer Equation (RTE) has been addressed as a rigorous model for light transport in biological tissues and has become a focus of investigations. The anisotropic scattering behavior is well modeled through the RTE via the Henyey-Greenstein (H-G) phase function. However, it must be kept in mind that the RTE is difficult to solve. It requires complex computational methods which are expensive in terms of runtime and memory resources due to the spatial and angular dependence of the radiance. In two-dimensional geometries, many improvements have been made in the development of RTE-based reconstruction scheme using steady-state,<sup>10</sup> frequency<sup>11</sup> or time-resolved<sup>12</sup> measurements. At present, although 3D imaging is indispensable for practical settings, reconstructing the optical properties with the 3D RTE has not been sufficiently reported in the literature. This is mainly due to the excessive computational effort required in the reconstruction. To name a few, Abdoulaev et al.<sup>13</sup> have established a mathematical framework based on the time-independent RTE in 3D geometries. Each iteration of their reconstruction scheme took on average 35 min on a 700 MHz Pentium III XENON processor. With a similar processor, Klose et al.<sup>14</sup> have shown that it took 98 hours to reconstruct the  $\mu_s$  and  $\mu_a$  coefficients after only 4 iterations of a gradient-based algorithm using the 3D RTE in the steady-state domain. Ren et al.<sup>15</sup> have mentioned that 22 hours were needed to retrieve the optical coefficients at single-modulation frequency (600 MHz) on a 3GHz Pentium XEON processor.

The objective of this work was to develop a 3D optical imaging algorithm using an accurate forward model based on the RTE in the frequency-domain. In this study, a particular attention was devoted to reconstructing, for the first time, the  $g$ -factor as a new optical contrast biomarker in 3D geometry. For the inversion, a gradient-based scheme<sup>16,17</sup> using the Lm-BFGS<sup>18</sup> was considered to update the spatial distribution of optical properties. In such scheme, the major challenge is the computation of the objective function gradient which is the most expensive step. Evaluating the gradient through perturbation methods is daunting and prohibitively expensive with the RTE, especially in this case where the parameters are spatially dependent. To overcome this difficulty, the adjoint method was used to efficiently compute the objective function gradient with respect to the three parameters ( $\mu_a$ ,  $\mu_s$  and  $g$ -factor) regardless the number of unknowns. The remainder of this paper is organized as follows. In Sec.1, the RTE model is presented and the predictions on semi-transparent boundaries are given. In Sec. 2, the parallel reconstruction algorithm based on the Lagrangian formalism and the Lm-BFGS optimization scheme is described.

82 Reconstructions results based on synthetic data are presented and discussed in Sec. 3 through different test cases.  
 83 Concluding remarks are finally offered in Sec. 4.

## 84 1 Forward model

85 The RTE in the frequency-domain is used to accurately describe the light propagation within biological tissues.  
 86 The external Laser beam  $\Gamma(\mathbf{r}_s, \omega)$  illuminating the surface at the position  $\mathbf{r}_s$  with the angular modulation frequency  
 87  $\omega$  is separated into two components  $\psi = \psi_c + \psi_s$ , respectively the collimated  $\psi_c$  and scattered radiance  $\psi_s$ . This  
 88 allows taking into account the collimated radiation in our forward model. The  $\psi_c$  component is governed by the  
 89 RTE state equation denoted  $\mathcal{R}_c$  in the collimated direction  $\mathbf{\Omega}_c$  and is analytically solved in accordance with the  
 90 Bouguer-Beer-Lambert exponential law :

$$\mathcal{R}_c = \left[ \mathbf{\Omega}_c \cdot \nabla + \left( \frac{i n \omega}{c} + \mu_t(\mathbf{r}) \right) \right] \psi_c(\mathbf{r}, \omega) = 0 \quad (1)$$

91 where  $c$  is light velocity in vacuum while  $n$  is the refractive index of tissue. The total extinction coefficient  $\mu_t(\mathbf{r})$ , at  
 92 position  $\mathbf{r}$ , represents the sum of the absorption  $\mu_a(\mathbf{r})$  and the scattering  $\mu_s(\mathbf{r})$  coefficients. The tissue surfaces are  
 93 modeled as semi-transparent boundaries due to the refractive index mismatch between air and tissue. The boundary  
 94 condition for the collimated radiance is thus given by :

$$\psi_c(\mathbf{r}_s, \omega) = [1 - R(\Theta')] \Gamma(\mathbf{r}_s, \omega) \quad \text{for } \mathbf{\Omega}_c \cdot \mathbf{n}_{out} < 0, \quad (2)$$

95 where  $\mathbf{n}_{out}$  is the local outward unit vector normal to the tissue boundary. The reflectivity coefficient  $R$  depends on  
 96 the incidence angle  $\Theta'$ , with  $\cos \Theta' = \mathbf{\Omega}' \cdot \mathbf{n}_{out}$ , and where the incident direction  $\mathbf{\Omega}'$  satisfied  $\mathbf{\Omega}' \cdot \mathbf{n}_{out} > 0$ . Once  
 97 the  $\mathcal{R}_c$  equation is solved, the solution  $\psi_c$  is then used through a source term  $S_c$  such as :

$$S_c(\mathbf{r}, \mathbf{\Omega}, \omega) = \mu_s(\mathbf{r}) p(\mathbf{r}, \mathbf{\Omega}_c \cdot \mathbf{\Omega}) \psi_c(\mathbf{r}, \omega) \quad (3)$$

98 where  $p(\mathbf{r}, \mathbf{\Omega}' \cdot \mathbf{\Omega})$  is the Henyey-Greenstein (H-G) phase function which represents the probability that photon trav-  
 99 eling in incident direction  $\mathbf{\Omega}'$  deviates into scattering direction  $\mathbf{\Omega}$ . Its mathematical expression in 3D participating

100 media<sup>19</sup> is given by :

$$p(\mathbf{r}, \boldsymbol{\Omega}' \cdot \boldsymbol{\Omega}) = \frac{1}{4\pi} \frac{1 - g^2(\mathbf{r})}{(1 + g^2(\mathbf{r}) - 2g(\mathbf{r}) \boldsymbol{\Omega}' \cdot \boldsymbol{\Omega})^{3/2}} \quad (4)$$

101 where  $g$  is the anisotropy factor characterizing the angular distribution of tissue scattering. In this study,  $g$  is space-  
 102 dependent. Hence, in addition to the dependence of the phase function  $p$  on the incident and scattered directions  
 103 through an inner product,  $p$  is also a function of the spatial position  $\mathbf{r}$  (see Eq. 4). The coupling term  $S_c$  (Eq. 3) is  
 104 included within the RTE state equation  $\mathcal{R}_s$  which governs the scattered radiance  $\psi_s$  in the direction  $\boldsymbol{\Omega}$  :

$$\begin{aligned} \mathcal{R}_s = & \left[ \boldsymbol{\Omega} \cdot \nabla + \left( \frac{i n \omega}{c} + \mu_t(\mathbf{r}) \right) \right] \psi_s(\mathbf{r}, \boldsymbol{\Omega}, \omega) \\ -\mu_s(\mathbf{r}) \int_{\Omega'=4\pi} & p(\mathbf{r}, \boldsymbol{\Omega}' \cdot \boldsymbol{\Omega}) \psi_s(\mathbf{r}, \boldsymbol{\Omega}', \omega) d\Omega' - S_c(\mathbf{r}, \boldsymbol{\Omega}, \omega) = 0 \end{aligned} \quad (5)$$

105 The detected signals correspond to the outgoing fluence predicted at the detector position  $\mathbf{r}_d$  on the illuminated  
 106 bounding surface such as :

$$P(\mathbf{r}_d, \omega) = \int_{\boldsymbol{\Omega}' \cdot \mathbf{n}_{out} > 0} [1 - R(\Theta')] \psi_s(\mathbf{r}_d, \boldsymbol{\Omega}', \omega) (\boldsymbol{\Omega}' \cdot \mathbf{n}_{out}) d\Omega' \quad (6)$$

107 The angular space was uniformly subdivided into several discrete directions. The deterministic numerical method  
 108 used in this study for solving the RTE is based on the Modified Finite Volume Method (MFVM). This method  
 109 can benefit from the efficient inversion techniques (based for example on the adjoint method presented in the next  
 110 section) developed specifically for partial differential equations. The "modified" word is due to the fact the photon  
 111 transport is solved even inside each control volume within an exponential scheme. The MFVM is thus qualified as  
 112 a highly accurate method compared to other deterministic numerical methods available in the literature. Relative  
 113 differences of less than 1.5% were obtained in comparison with the Monte-Carlo reference solution for some  
 114 selected problems.<sup>20</sup> The methodology of the employed method is not repeated here, we refer the reader to [20] for  
 115 comprehensive details.

## 116 2 Inverse problem

### 117 2.1 Lagrangian formalism and adjoint model

118 The inverse problem can be considered as a large-scale optimization problem which consists to minimize the  
 119 least-square discrepancy between the measurements  $M(\mathbf{r}_d, \omega)$  and the forward model predictions  $P(\mathbf{r}_d, \omega)$  at the  
 120 detector position  $\mathbf{r}_d$  and angular frequency  $\omega$ . These discrepancies are represented by a real-valued non-negative  
 121 function, called the objective function defined by :

$$\mathcal{J}(\boldsymbol{\beta}, \omega) = \sum_{d=1}^{N_d} \|P(\mathbf{r}_d, \omega) - M(\mathbf{r}_d, \omega)\|_2^2 \quad (7)$$

122 where  $\|\cdot\|_2$  denotes Euclidean norm. The vector  $\boldsymbol{\beta}$  contains the spatial distribution of optical properties to be  
 123 reconstructed and  $N_d$  is the total number of detectors on the tissue surface. The objective is to determine the  
 124 vector  $\hat{\boldsymbol{\beta}}$  that minimizes this function and vanishes the gradient  $\nabla \mathcal{J}(\hat{\boldsymbol{\beta}}, \omega) = 0$ . In this work, instead of solving the  
 125 unconstrained problem (Eq. 7), we adopted an adjoint method that solves the constrained optimization problem by  
 126 following the Lagrangian formalism given as :

$$\mathcal{L}(\boldsymbol{\beta}, \psi_s, \psi_c, \lambda_s, \lambda_c) = \mathcal{J}(\boldsymbol{\beta}, \omega) + \langle \lambda_s | \mathcal{R}_s(\boldsymbol{\beta}, \psi_s, \psi_c) \rangle_s + \langle \lambda_c | \mathcal{R}_c(\boldsymbol{\beta}, \psi_c) \rangle_c \quad (8)$$

127 where  $\lambda_s$  and  $\lambda_c$  are respectively the Lagrange multipliers to  $\psi_s$  and  $\psi_c$ .  $\langle \cdot | \cdot \rangle_s$  and  $\langle \cdot | \cdot \rangle_c$  denote the inner products  
 128 associated to the solution space of  $\psi_s$  and  $\psi_c$ , respectively.<sup>21</sup>

$$\langle \lambda_s | \mathcal{R}_s(\boldsymbol{\beta}, \psi_s, \psi_c) \rangle_s = \Re \int_{\mathcal{D}} \int_{\Omega=4\pi} \overline{\lambda_s(\mathbf{r}, \boldsymbol{\Omega}, \omega)} \mathcal{R}_s(\boldsymbol{\beta}, \psi_s, \psi_c) d\Omega dr \quad (9)$$

$$\langle \lambda_c | \mathcal{R}_c(\boldsymbol{\beta}, \psi_c) \rangle_c = \Re \int_{\mathcal{D}} \overline{\lambda_c(\mathbf{r}, \boldsymbol{\Omega}, \omega)} \mathcal{R}_c(\boldsymbol{\beta}, \psi_c) dr \quad (10)$$

130 The objective function (Eq. 7) is minimized under some equality constraints ( $\mathcal{R}_c = 0$  and  $\mathcal{R}_s = 0$ ) based on the RTE  
 131 state equations. The optimization problem consists to find the stationary point (vector solution  $\hat{\boldsymbol{\beta}}$ ) of the Lagrangian  
 132 function (Eq. 8) that vanishes its gradient  $\nabla \mathcal{L}$  with respect to all its variables  $\nabla_{\lambda_{s,c}} \mathcal{L} = \nabla_{\psi_{s,c}} \mathcal{L} = \nabla_{\boldsymbol{\beta}} \mathcal{L} = 0$ . Using

133 the adjoint operator<sup>22</sup> and the inner product properties, the differentiation of  $\mathcal{L}$  with respect to the state variables  
 134  $\psi_s$  and  $\psi_c$  ( $\nabla_{\psi_{s,c}} \mathcal{L}$ ) leads to the RTE adjoint equations for the scattered and collimated components, respectively :

$$\left[ -\boldsymbol{\Omega} \cdot \nabla + \left( \frac{-i\omega}{c/n} + \mu_t(\mathbf{r}) \right) \right] \lambda_s(\mathbf{r}, \boldsymbol{\Omega}, \omega) = \mu_s(\mathbf{r}) \int_{4\pi} p(\mathbf{r}, \boldsymbol{\Omega}' \cdot \boldsymbol{\Omega}) \lambda_s(\mathbf{r}, \boldsymbol{\Omega}', \omega) d\boldsymbol{\Omega}' - \frac{\partial \mathcal{J}(\boldsymbol{\beta}, \omega)}{\partial \psi_s} \quad (11)$$

$$\left[ -\boldsymbol{\Omega}_c \cdot \nabla + \left( \frac{-i\omega}{c/n} + \mu_t(\mathbf{r}) \right) \right] \lambda_c(\mathbf{r}, \omega) = \mu_s(\mathbf{r}) \int_{4\pi} p(\mathbf{r}, \boldsymbol{\Omega}_c \cdot \boldsymbol{\Omega}) \lambda_s(\mathbf{r}, \boldsymbol{\Omega}, \omega) d\boldsymbol{\Omega} \quad (12)$$

136 Note that  $\nabla_{\psi_c} \mathcal{J}(\boldsymbol{\beta}, \omega) = 0$  because the objective function is independent of the collimated light. The Lagrange  
 137 multipliers  $\lambda_s$  and  $\lambda_c$  are solutions to (Eq. 11) and (Eq. 12), respectively. The above system was derived in details  
 138 in our previous study<sup>21</sup> based on 2D geometries. Note that, in 3D geometries, the integral term over  $2\pi$  is replaced  
 139 by the integral term over  $4\pi$ . One major advantage of this approach is its simple implementation by applying the  
 140 same numerical solver as used for the forward model. Furthermore, the adjoint method provides the gradient of  
 141 the objective function in a fast and efficient way (independently of the number of unknown parameters). Once  
 142 the adjoint equations are solved and the Lagrange multipliers are obtained, the latter are then used to compute the  
 143 gradient ( $\nabla_{\boldsymbol{\beta}} \mathcal{J}$ ) with a computational time equivalent to a one forward simulation.

## 144 2.2 Gradient expressions

145 The directional derivative  $\mathcal{L}'$  of the Lagrangian (Eq. 8) represents the inner product of its gradient  $\nabla \mathcal{L}(\boldsymbol{\beta})$  with  
 146 respect to  $\boldsymbol{\beta}$  in the direction  $\delta \boldsymbol{\beta}$ . Differentiating Eq. 8 with respect to  $\boldsymbol{\beta}$ , the  $\mathcal{L}'$  can be expressed such that:

$$\mathcal{L}'(\boldsymbol{\beta}) = \left\langle \nabla \mathcal{L}(\boldsymbol{\beta}) \middle| \delta \boldsymbol{\beta} \right\rangle_{L_2} = \left\langle \lambda_s \middle| \frac{\partial \mathcal{R}_s(\boldsymbol{\beta}, \psi_s, \psi_c)}{\partial \boldsymbol{\beta}} \delta \boldsymbol{\beta} \right\rangle_s + \left\langle \lambda_c \middle| \frac{\partial \mathcal{R}_c(\boldsymbol{\beta}, \psi_c)}{\partial \boldsymbol{\beta}} \delta \boldsymbol{\beta} \right\rangle_c \quad (13)$$

147 Note that  $\frac{\partial \mathcal{J}(\boldsymbol{\beta})}{\partial \boldsymbol{\beta}} = 0$  since the function  $\mathcal{J}(\boldsymbol{\beta}, \omega)$  depends implicitly on  $\boldsymbol{\beta}$  (see Eq. 7). When the radiance  $\psi_s$  and  
 148  $\psi_c$  verify the constraints equations  $\mathcal{R}_s = 0$  and  $\mathcal{R}_c = 0$ , that leads to  $\mathcal{L}(\boldsymbol{\beta}) = \mathcal{J}(\boldsymbol{\beta})$  and thus  $\mathcal{L}'(\boldsymbol{\beta}) = \mathcal{J}'(\boldsymbol{\beta})$ . The  
 149 gradient  $\nabla \mathcal{J}(\boldsymbol{\beta})$  can then be extracted from the latter expression (Eq. 13) which shows that only a simple inner  
 150 product has to be calculated. This gradient is directly computed by partially differentiating the RTE state equations  
 151  $\mathcal{R}_s$  and  $\mathcal{R}_c$  with respect to  $\boldsymbol{\beta}$  in the direction  $\delta \boldsymbol{\beta}$ . Applying now Eq. (13) for  $\mu_a$ ,  $\mu_s$  and  $g$ , we obtain the analytical



152 gradient expressions with respect to the three optical parameters which are a function of spatial positions,  $\mathbf{r}$ , only:

$$\nabla_{\mu_a} \mathcal{J}(\boldsymbol{\beta}, \omega) = \Re \int_{\Omega=4\pi} \overline{\lambda_s(\mathbf{r}, \boldsymbol{\Omega}, \omega)} \psi_s(\mathbf{r}, \boldsymbol{\Omega}, \omega) d\boldsymbol{\Omega} + \overline{\lambda_c(\mathbf{r}, \omega)} \psi_c(\mathbf{r}, \omega) \quad (14)$$

153

$$\nabla_{\mu_s} \mathcal{J}(\boldsymbol{\beta}, \omega) = \nabla_{\mu_a} \mathcal{J}(\boldsymbol{\beta}, \omega) - \Re \int_{\Omega=4\pi} \overline{\lambda_s(\mathbf{r}, \boldsymbol{\Omega}, \omega)} \left( \int_{\Omega'=4\pi} \psi_s(\mathbf{r}, \boldsymbol{\Omega}', \omega) p(\mathbf{r}, \boldsymbol{\Omega}' \cdot \boldsymbol{\Omega}) d\Omega' + \psi_c(\mathbf{r}, \omega) p(\mathbf{r}, \boldsymbol{\Omega}_c \cdot \boldsymbol{\Omega}) \right) d\boldsymbol{\Omega} \quad (15)$$

154

$$\nabla_g \mathcal{J}(\boldsymbol{\beta}, \omega) = -\Re \int_{\Omega=4\pi} \overline{\lambda_s(\mathbf{r}, \boldsymbol{\Omega}, \omega)} \mu_s(\mathbf{r}) \left( \psi_c(\mathbf{r}, \omega) \frac{\partial p(\mathbf{r}, \boldsymbol{\Omega}_c \cdot \boldsymbol{\Omega})}{\partial g} + \int_{\Omega'=4\pi} \psi_s(\mathbf{r}, \boldsymbol{\Omega}', \omega) \frac{\partial p(\mathbf{r}, \boldsymbol{\Omega}' \cdot \boldsymbol{\Omega})}{\partial g} d\Omega' \right) d\boldsymbol{\Omega} \quad (16)$$

155 The derivative of the H-G phase function with respect to the  $g$ -factor is evaluated analytically. At each inversion  
 156 iteration, the forward and adjoint models are solved and the gradient is accurately obtained accordingly to the above  
 157 expressions. The latter is then used to compute the gradient-descend direction  $d$  based on the Limited-memory  
 158 BFGS method<sup>23</sup> to iteratively update the spatial distribution of the optical properties  $\boldsymbol{\beta}$  such as:

$$\boldsymbol{\beta}^{k+1} = \boldsymbol{\beta}^k + \alpha^k d(\nabla \mathcal{J}^k(\boldsymbol{\beta}, \omega)) \quad (17)$$

159 where  $k$  is the current iteration of the inverse procedure and  $\alpha^k$  represents the step size obtained by the *Armijo*  
 160 line search<sup>18</sup> in order to provide a sufficient minimization of the objective function. The reconstruction of the  
 161 anisotropy factor  $g$  in 3D media is expected to be extremely expensive in terms of time and memory since the H-G  
 162 phase function  $p$  depends on  $\mathbf{r} = (x, y, z)$ ,  $\boldsymbol{\Omega}'$  and  $\boldsymbol{\Omega}$ . In order to render possible the  $g$  reconstruction, parallel  
 163 implementation in the present algorithm was unavoidable.

### 164 2.3 Parallel computing

165 It is clear that exploiting the RTE model, within an iterative procedure, to reconstruct the optical properties for 3D  
 166 geometries can take long computational time. Thus, we implemented a multi-threading parallel algorithm. At this

167 level, multiple threads computed the RTE along different directions. It should be pointed out that the H-G phase  
 168 function was calculated only once when the medium was assumed to be homogeneous in  $g$ -factor. On the other  
 169 hand, when this factor has to be reconstructed ( $g$ -factor varies spatially inside the medium), the H-G phase function  
 170 and also its derivative (required for the gradient  $\nabla_g \mathcal{J}$ ) must be evaluated at every spatial node and overall incident  
 171 and scattered directions of light propagation. In addition to the extensive computational time, the resulting values  
 172 necessitate huge memory space which may exceed the capacity of a single machine. In this regard, our algorithm  
 173 was extended to support multiple machines, via explicit Messages Passing Interface (MPI). In this context, some of  
 174 the data were distributed over the machines of the computing system and data exchanges were performed between  
 175 them for the computations that require all the data.

### 176 3 Results and discussion

#### 177 3.1 Model description

178 The three-dimensional numerical phantom used for reconstruction is a cube of length 1 cm. It contains a spherical  
 179 tumor like-inclusion with 2 mm of diameter centered at  $X = Y = Z = 2$  mm (Fig. 1). The latter is embedded in a  
 180 homogeneous background medium with  $\mu_a = 0.01 \text{ mm}^{-1}$ ,  $\mu_s = 2 \text{ mm}^{-1}$  and  $g = 0.8$ . These are typical values of  
 181 the optical properties of biological tissues in the near-infrared spectral range. The refractive index of the medium  
 182 is uniformly set at  $n = 1.4$  while that of the surrounding medium (air) is set to unity.

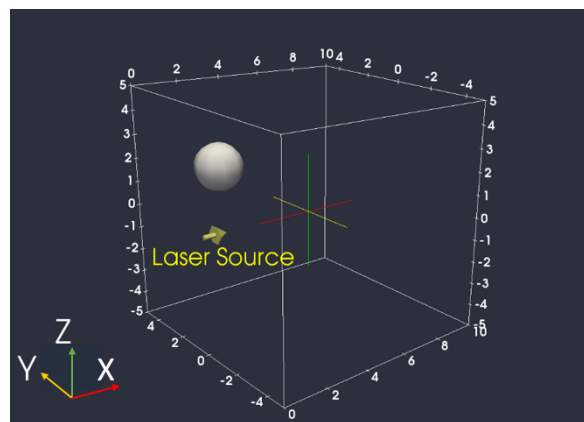


Figure 1: Original cubic phantom of length 10 mm. A spherical tumoral inclusion is embedded in a background medium. A Gaussian Laser beam illuminates the origin of the western surface of the medium (yellow arrow).

183 The optical properties of the inclusion were set to  $(\mu_a, 2\mu_s, g)$  relative to the background. For the first three test

184 cases, the  $\mu_a$  coefficient and the  $g$ -factor are assumed to be constant in the medium. The reconstructions of the  
 185 medium were performed with a structured mesh of 269,001 nodes (degrees of freedom) and 1,536,000 tetrahedral  
 186 elements. The angular space ( $4\pi$ Sr) was uniformly discretized into 64 control solid angles and each angle was also  
 187 subdivided into 8 azimuthal and polar directions for the phase function normalization.<sup>24</sup> A Gaussian Laser source is  
 188 used to illuminate the western surface ( $x = 0$  mm) of the medium. The expression of the spatial Gaussian function  
 189 along the  $y$ - axis and  $z$ - axis is given by :

$$\Upsilon(r) = \frac{2}{\pi \sigma_s^2} \exp\left(\frac{-2\|r - r_s\|_2^2}{\sigma_s^2}\right), \quad (18)$$

190 where  $\sigma_s = 0.5$  mm is the standard deviation of the Laser beam. The spatial position  $r_s = (0, r_{sy}, r_{sz})$  corresponds  
 191 to the source location at the peak intensity. For all the test cases presented further, only the backscattered light  
 192 (reflectance) on the illuminated boundary is used for reconstruction. This configuration allows to better simulate  
 193 the experimental set-up based on the reflected mode measurements. 800 complex intensities were synthesized by  
 194 running the forward model on a finer mesh of 1,081,665 nodes in order to avoid the inverse crime. These intensities  
 195 correspond to the absolute fluence rate containing the amplitude and phase of the modulation frequency. Each  
 196 measurement point is spatially represented by five mesh nodes on the western surface to assign a realistic detector  
 197 dimension. These data are contaminated with 1% of Gaussian random noise and given as an input in the recon-  
 198 struction algorithm. The inversion procedure was started with an initial guess corresponding to the homogeneous  
 199 background. It terminated after the normalized difference of the objective function between two subsequent iter-  
 200 ations was smaller than a prescribed value, here equal to  $10^{-5}$ . The quality reconstruction of the inclusion was  
 201 determined thanks to the relative error  $\varepsilon$  between exact ( $\beta^*$ ) and estimated ( $\hat{\beta}$ ) values such as :

$$\varepsilon = 100\% \cdot \frac{\|\hat{\beta} - \beta^*\|_2}{\|\beta^*\|_2} \quad (19)$$

202 The reconstructions were carried out on a cluster with ten nodes Intel Xeon X5650 of 2.66 GHz / 12 Threads (4.75  
 203 GFlops per core), 48 Go RAM.

204 In the first test, the collimated source was placed at the origin of the western surface (Fig. 1). The source was mod-

205 ulated at 600 MHz since high frequencies are known to be suitable for probing small volume imaging. However,  
 206 it is worth noting that the detectors are usually more sensitive and less noisy at low frequencies range [50 - 200  
 207 MHz]. The convergence criterion was satisfied after 19 iterations of the inversion procedure. The reconstructed  
 208 medium crossed by the  $y = 2$  mm plane is depicted on Fig. 2a. Figure 2b shows the slice in the  $z = 2$  mm plane of  
 the estimated  $\mu_s$  coefficient.

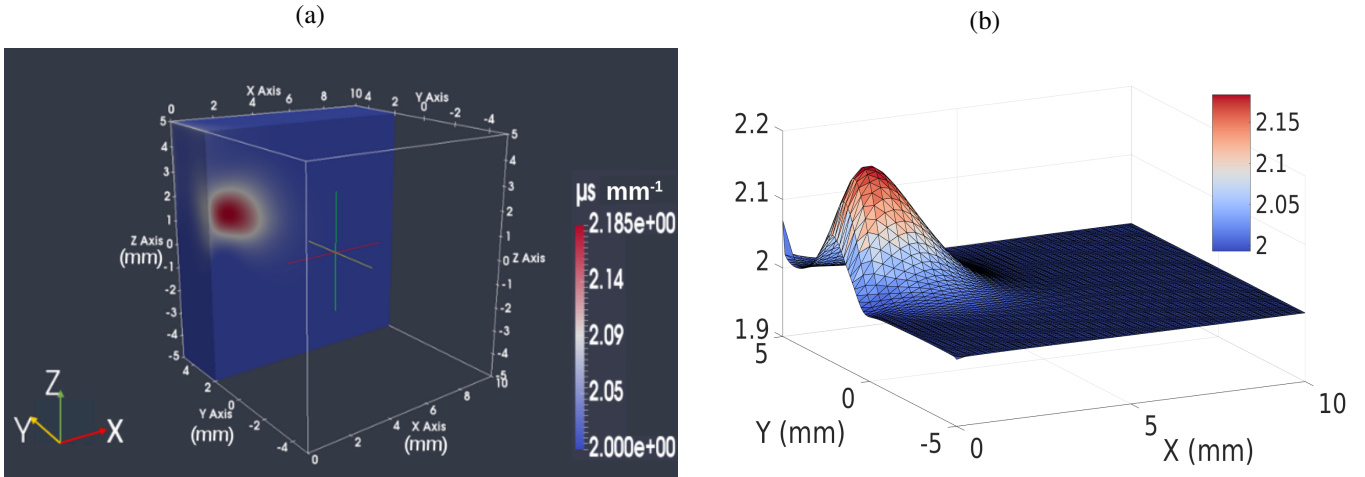


Figure 2: Reconstructed  $\mu_s$  image for the first test case : one frequency modulation (600 MHz). (a) shows the slice at  $y = 2$  mm plane (b) represents the slice in the  $z = 2$  mm plane.

209  
 210 Despite the simulation conditions (one source at a fixed position with a single modulation frequency), the recon-  
 211 struction algorithm has successfully revealed the region of interest (the tumor) and has correctly recovered the  
 212 background medium. The center position of the reconstructed inclusion was found at  $y_{inc} = 1.45$  mm and  $z_{inc} =$   
 213 1.65 mm. This is an important qualitative indication allowing to localize the inclusion around the  $y$ - $z$  positive area  
 214 without a priori knowledge. However, the  $\mu_s$  coefficient values of the inclusion ( $\varepsilon = 47.60$  %) were very under-  
 215 estimated where the maximum value retrieved has reached only  $2.18 \text{ mm}^{-1}$  against  $4 \text{ mm}^{-1}$ . This is mainly due  
 216 to the under-determinate nature of the inverse problem where 800 boundary data were insufficient to reconstruct  
 217 269,000 unknowns at each grid node of the cubic phantom. Moreover, the reconstructed shape (sphere) is elongated  
 218 and placed very close to the boundary domain. Therefore, the inclusion depth ( $x_{inc} \approx 0.9$  mm) was achieved with  
 219 a poor quality localization.

220 It has been demonstrated that the image reconstruction quality in the optical tomography can be significantly im-  
 221 proved by using large data sets in the reconstruction.<sup>25</sup> To this end, the multi-frequency approach<sup>26</sup> was considered

222 for the second test case. The source intensity was modulated at five frequencies equally distributed by 200 MHz and  
 223 switched from 200 MHz to 1 GHz. This range is typical for DOT applications especially when high-frequencies  
 are needed to probe superficial domains.<sup>15,25,27</sup> The obtained image is shown in Fig. 3.

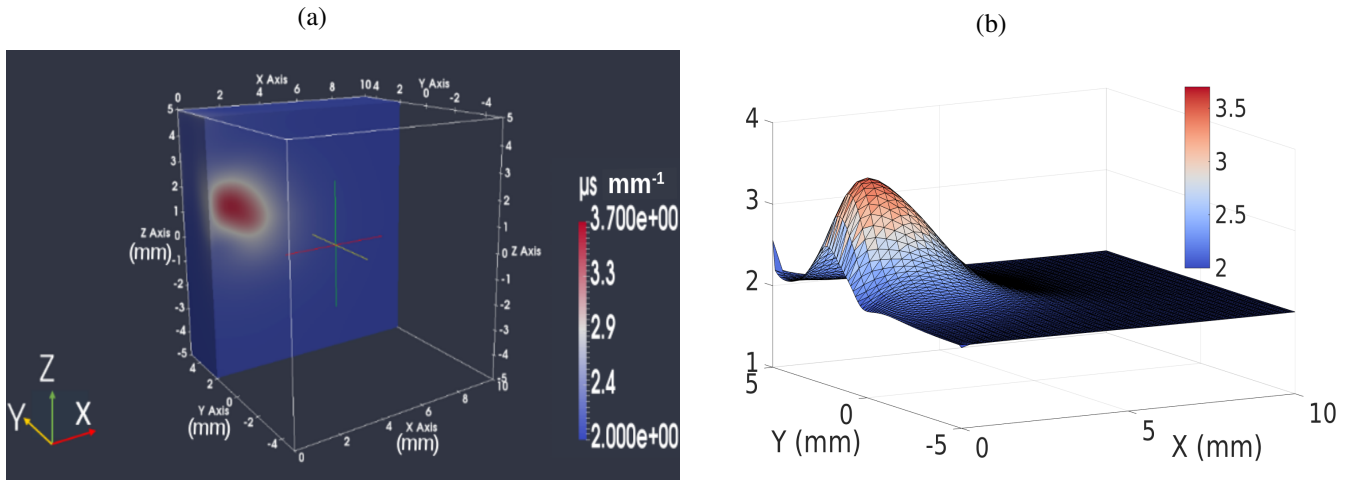


Figure 3: Reconstructed  $\mu_s$  image for the second test case : five modulation frequency equally distributed. (a) shows the slice at  $y = 2$  mm plane (b) represents the slice in the  $z = 2$  mm.

224

225 The reconstruction quality of the inclusion was improved. Indeed, the relative error has been decreased to  $\varepsilon =$   
 226 30.41 % where the maximum retrieved value inside the inclusion has reached  $3.7 \text{ mm}^{-1}$  against  $4 \text{ mm}^{-1}$  (Fig. 3a).  
 227 One can deduce that the single frequency approach may provide a qualitative image whereas the multi-frequency  
 228 approach provides the quantitative accuracy required for phantoms characterization. However, the computation cost  
 229 with the second approach is more expensive. The  $\mu_s$  image was reconstructed after 22 hours using 5 frequencies  
 230 while it took only 4 hours to obtain the  $\mu_s$  image at 600 MHz. In addition, even with more boundary data sets, the  
 231 present illumination configuration is unable to accurately reconstruct the depth localization, shape, and size of the  
 232 inclusion. While its center is found at approximately the right position ( $y_{inc} = 1.9$  mm and  $z_{inc} = 1.9$  mm) along  
 233 the  $y$  and  $z$  axis, the location in depth ( $x_{inc} \approx 1$  mm) remains under-estimated with respect to the target position.  
 234 This behavior is commonly encountered in optical imaging since the light sensitivity drops off severely and quickly  
 235 with depth, leading to a significant position error. To overcome this issue, as a third test case, the Laser source was  
 236 displaced to illuminate the positive region along the  $y$  - and  $z$  - axis where the peak intensity is now located at (0,  
 237 1, 1). In this case, one modulation frequency (600 MHz) was used. The results are presented in Fig. 4.

238 It is seen that the algorithm has now recovered the volumetric image location with good accuracy and high contrast

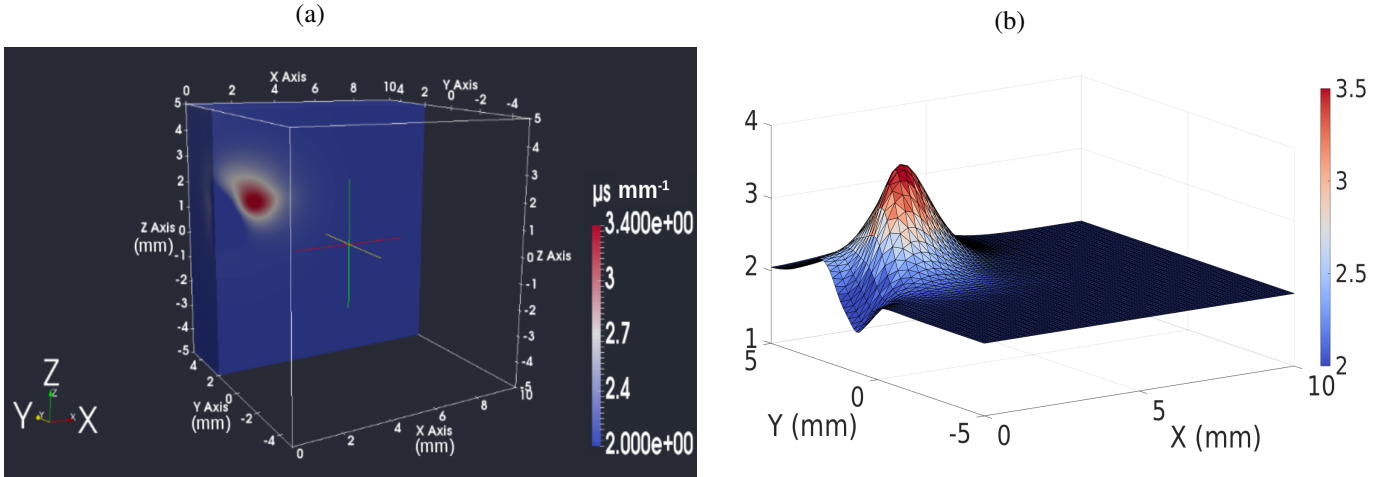


Figure 4: Reconstructed  $\mu_s$  image for the third test case : one modulation frequency (600 MHz) and when the Laser source is placed near to the inclusion (0, 1, 1). (a) shows the slice at  $y = 2$  mm plane (b) represents the slice in the  $z = 2$  mm plane.

239 after about 4 hours. The retrieved  $\mu_s$  values inside the inclusion have reached approximately 75% of their target  
 240 value. In this case, the localization in depth of the reconstructed inclusion has somehow reached the correct value  
 241 ( $x \approx 2$  mm), contrary to the previous cases. Moreover, the inclusion was reconstructed with a good spherical shape  
 242 and size. Therefore, the relative error of the inclusion was enhanced ( $\varepsilon = 15.86\%$ ) even though one single frequency  
 243 with one source were considered. These improvements can be explained by the localization of the heterogeneity  
 244 in a high sensitivity region with respect to the collimated source. It should be noted that the result was obtained  
 245 without adding a prior spatial information within the algorithm. The light source was only moved toward the  
 246 region including the heterogeneity. This configuration is an alternative strategy providing a good compromise  
 247 between quantitative accuracy and computational time. That can be ensured by illuminating the medium from any  
 248 point on the surface as a first step and once the suspected area is identified (test case 1), the Laser source can then  
 249 be positioned nearer to the inclusion (test case 3) as a second step. This procedure allows performing tomographic  
 250 reconstructions without having to probe the medium with multiple sources at different boundaries positions or with  
 251 multiple-frequencies. Moreover, it avoids combining prior knowledge provided by another imaging modalities such  
 252 as MRI<sup>28</sup> or X-Ray<sup>29</sup> by exclusively exploiting the qualitative indication obtained by our reconstruction algorithm.  
 253 The simultaneous reconstruction of  $\mu_a$  and  $\mu_s$  was carried out in the fourth test case. In this case, the  $g$ -factor is  
 254 fixed at its homogeneous background value. Here, we used the same original phantom (see Fig. 1) which was  
 255 illuminated as in the third test case. The spherical inclusion represents a high contrast heterogeneity where the

256 optical properties are set to  $(2\mu_a, 2\mu_s, g)$  relative to the background values. The reconstructed and exact profiles  
 257 of  $\mu_a$  and  $\mu_s$  passing through the center of the inclusion  $(2, 2, 2)$  along the  $x$ ,  $y$  and  $z$  axis are shown in Fig. 5.  
 These profiles allow highlighting the location precision, the depth (along the  $x$  - axis), the size and the quantitative

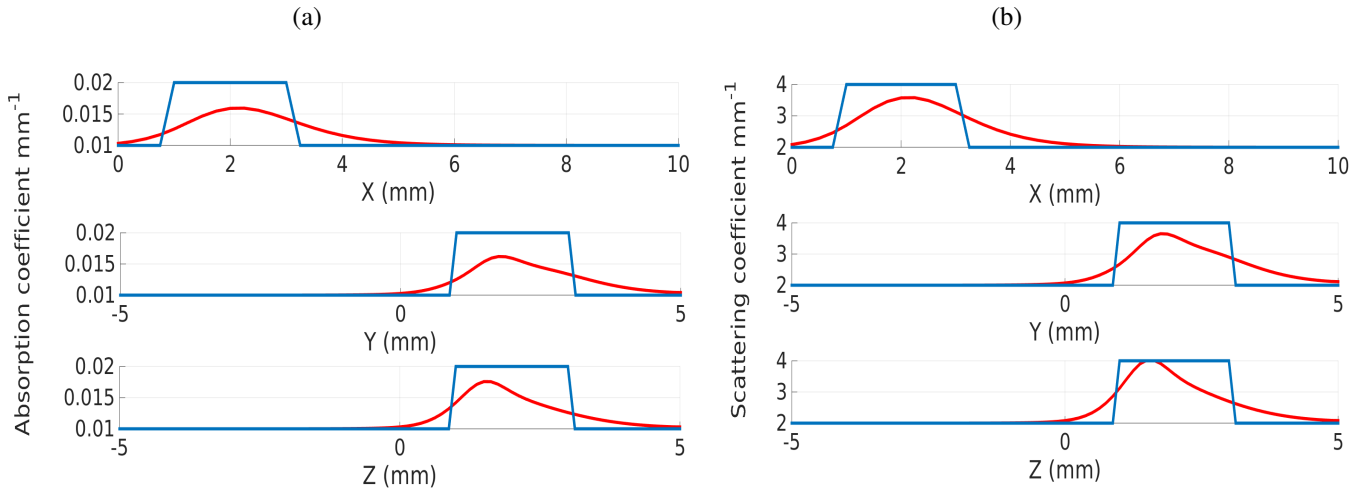


Figure 5: Simultaneous reconstruction of  $\mu_a$  and  $\mu_s$  for the fourth test case : the reconstructed profiles (red lines) passing through the center of the inclusion along the  $x$ ,  $y$  and  $z$  axis for the absorption (a) and scattering (b) coefficients. The blue lines indicate the exact profiles.

258  
 259 accuracy of the inclusion. It can be seen that the algorithm has well fitted the optical values of the inclusion with  
 260 the exact solution in both parameters. The center of the reconstructed inclusion (for both  $\mu_a$  and  $\mu_s$ ) has been  
 261 accurately located in depth ( $x_{inc} = 2$  mm) while its positions along the  $y$  and  $z$  axis were slightly underestimated.  
 262 The relative estimation errors of the inclusion for  $\mu_a$  and  $\mu_s$  are respectively  $\varepsilon_{\mu_a} = 27.85\%$  and  $\varepsilon_{\mu_s} = 20.74\%$ . The  
 263 superior quality for  $\mu_s$  can be explained by the more pronounced underestimation in the  $\mu_a$  image. This is mainly  
 264 due to the fact that the  $\mu_s$  coefficient is more sensitive to the predicted boundary data than the  $\mu_a$  coefficient.<sup>30</sup>  
 265 Compared to the previous test case, the relative error was smaller ( $\varepsilon_{\mu_s} = 15.86\%$ ) when assuming  $g$  and  $\mu_a$  to be  
 266 known because the ill-conditioning of the inverse problem was reduced by decreasing its under-determinate nature  
 267 which explains the better image quality. However, the present fourth case illustrates more realistic clinical scenarios  
 268 and avoid having prior knowledge about the biological tissues.

### 269 3.2 Small domain reconstruction

270 In this section, the performance of the algorithm is examined for a small domain size. The original phantom  
 271 to be reconstructed is now a cube of 4 mm each side. The computational domain was discretized with 68,921

272 nodes and 384,000 tetrahedral elements for reconstruction. 320 detectors readings were generated on the western  
 273 surface using a finer mesh of 746,691 nodes. In this case, the phantom contains a small cylindrical heterogeneity  
 274 in scattering coefficient (Fig. 6) while  $\mu_a$  and  $g$  are constant. The latter (1 mm of diameter along the  $x$  axis and 4  
 275 mm of length along the  $y$  axis) is embedded in the same homogeneous background as previously and centered at  
 276 (1, 0, 0). The exact  $\mu_s^*$  value inside the inclusion was set to  $4 \text{ mm}^{-1}$ . Seven Laser spots at 600 MHz are equally  
 277 separated by 0.5 mm and positioned in the planes:  $z = -0.5 \text{ mm}$ ,  $z = 0 \text{ mm}$  and  $z = 0.5 \text{ mm}$  leading to 21 collimated  
 sources (see Fig. 6).

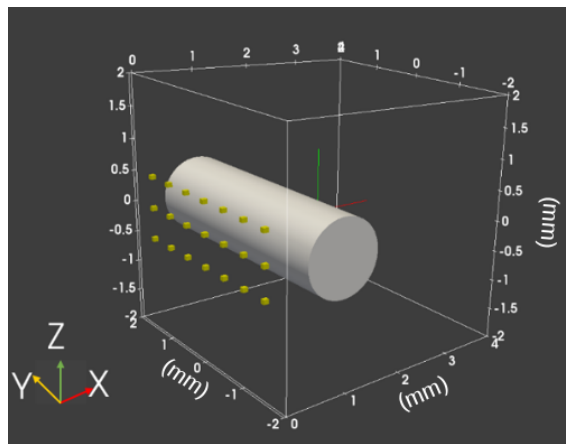


Figure 6: Original phantom. A cylindrical tumoral inclusion centered at (1, 0, 0) is embedded in a background medium :  $\mu_a = 0.01 \text{ mm}^{-1}$ ,  $\mu_s = 2 \text{ mm}^{-1}$  and  $g = 0.8$ . The yellow boxes on the western boundary (regularly spaced) represent the 21 Laser shots.

278

279 The stopping criterion was satisfied after 16 iterations and the reconstructed image is displayed in Fig. 7. As shown  
 280 in Fig. 7a, the algorithm has successfully reconstructed the cylindrical shape of the inclusion. Figure 7b shows the  
 281 reconstructed volumetric image of the  $\mu_s$  coefficient inside the medium. It can be seen that the retrieved values  
 282 are spatially well fitted with the original position and the maximum value recorded reaches  $3.5 \text{ mm}^{-1}$  against  $4$   
 283  $\text{mm}^{-1}$ . The relative estimation errors are respectively 31.50 % and 9.9% for the inclusion and the background. This  
 284 result demonstrates the ability of the algorithm to reconstruct simultaneously the shape and the optical values of the  
 285 inclusion. This was accomplished without any implementation of a specific shape-based reconstruction method.<sup>31</sup>  
 286 It should be mentioned that the commonly used Diffusion Equation fail to predict the light propagation in such  
 287 situation because the reflected data were collected at distances less than  $3 l_{tr}$  away from the source.<sup>9</sup>



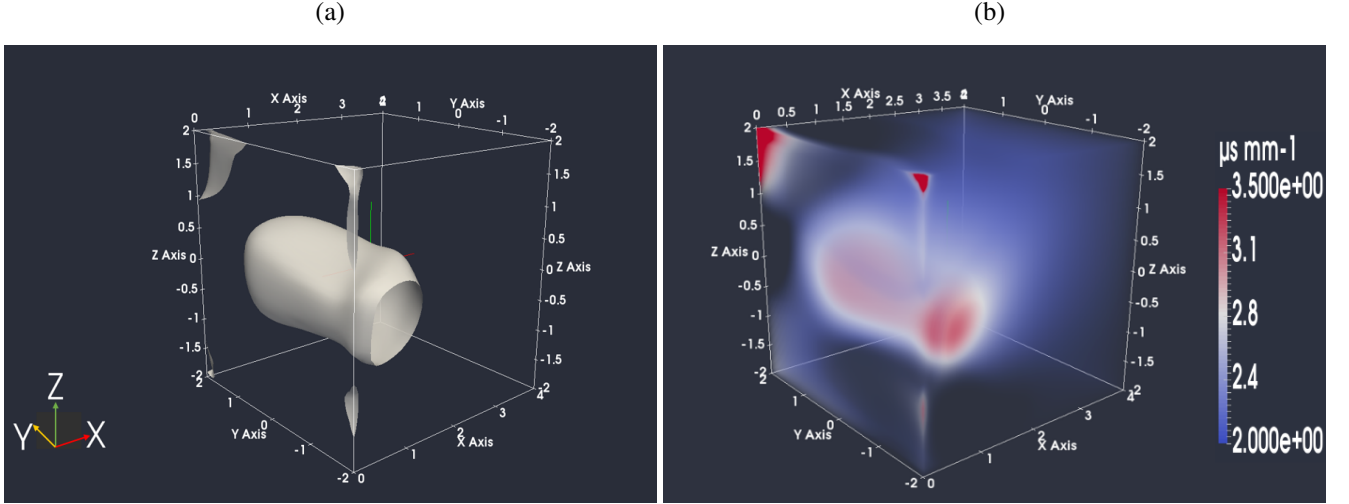


Figure 7: Reconstructed  $\mu_s$  image for the cylindrical inclusion case. (a) shows the 3D cylindrical boundary thresholded at  $3 \text{ mm}^{-1}$  (b) depicts the interior volumetric spatial distribution of the scattering retrieved values.

### 288 3.3 *g*-factor reconstruction

289 As mentioned earlier, we attempted to reconstruct the spatial distribution of the anisotropy factor  $g$  of the H-G  
 290 phase function. In our previous publication based on the sensitivity analysis,<sup>30</sup> we have shown that this factor  
 291 has a notable effect on the light propagation. A small perturbation of  $g$  leads to a more important variation on the  
 292 backscattering light compared to the one induced by  $\mu_a$  or  $\mu_s$  perturbations. This represents an important advantage  
 293 because the optical contrast levels are believed to be weak between normal and tumoral tissues.<sup>32</sup> Furthermore, as  
 294 the  $g$  values of biological tissues are close to unity, the contrast levels in this factor are expected to be very low. It is  
 295 known that the light propagation becomes isotropic ( $g = 0$ ) when the photons have traveled several transport mean-  
 296 free path in the medium ( $\approx 8 \times l_{tr}$ ).<sup>33</sup> Hence, the spatial domain to be reconstructed for the  $g$ -factor should not  
 297 be deeper than approximately  $8 \times l_{tr}$  with respect to the probed surface. The dimensions of the previous phantom  
 298 represent a suitable example of the  $g$ -factor reconstruction assessment. Herein, the original cubic medium contains  
 299 a spherical heterogeneity with 1 mm of a diameter which is embedded at  $X = 1 \text{ mm}$  in depth,  $Y = 1 \text{ mm}$  and  $Z =$   
 300  $1 \text{ mm}$ . The source was positioned at  $(0, 0.5, 0.5)$  on the western surface of the phantom.

301 In order to verify that the spatial variation of  $g$  is not be attributed to a variation of  $\mu'_s$  itself, a preliminary test  
 302 case is addressed. It considers two combinations of  $\mu_s$  and  $g$  leading to a constant value of  $\mu'_s$  in the medium. The  
 303 optical properties of the background were unchanged, as mentioned in subsection 3.1, while  $\mu_a = 0.01 \text{ mm}^{-1}$ ,  $\mu_s$

304  $= 4 \text{ mm}^{-1}$  and  $g = 0.9$  were assigned to the inclusion. The reconstructed image of  $g$  is depicted in Fig. 8. The last  
 305 shows the ability of the algorithm to spatially recover the heterogeneity in the  $g$ -factor even where the  $\mu'_s$  coefficient  
 306 is constant in the medium. It can be seen that the obtained  $\mu'_s$  coefficient is constant between the background and  
 307 the inclusion. This implies that the spatial variation of  $g$  cannot be caused by a variation of  $\mu'_s$  itself. The  $g$ -factor  
 can thus be independently reconstructed and separated from  $\mu_s$  with the RTE inverse solver.

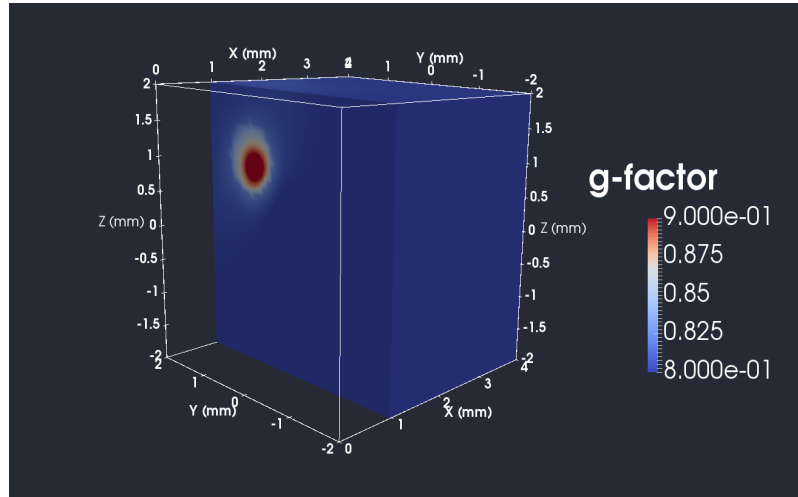


Figure 8: Preliminary test case, reconstruction of the anisotropy factor  $g$  when the reduced scattering coefficient  $\mu'_s$  is uniform in the phantom.

308  
 309 The robustness of the algorithm is then examined in presence of some issues encountered in optical tomography  
 310 such as contrast level, heterogeneous background, inclusion depth, initial guess, noise level, layered medium and  
 311 crosstalk between  $g$  and  $\mu_s$ . These issues are assessed through several test cases. For all the test cases, expect  
 312 the crosstalk case, only the  $g$ -factor is spatially reconstructed while the  $\mu_a$  and  $\mu_s$  coefficients are fixed at their  
 313 homogeneous background values.

314 The first one considers a relatively high contrast inclusion with + 18% ( $g^* = 0.95$ ) with respect to the homogeneous  
 315 background value ( $g = 0.8$ ). The minimization has been satisfied after 10 iterations. The obtained 3D slices at  
 316 the  $x = 1 \text{ mm}$ ,  $y = 1 \text{ mm}$  and  $z = 1 \text{ mm}$  planes are plotted in the Figs. 9a-c, respectively. The reconstructed  
 317 profiles passing through the center of the inclusion are depicted in Fig. 9d. It is readily seen that the inclusion has  
 318 been located at approximately the right position ( $x_{inc} = 0.9 \text{ mm}$ ,  $y_{inc} = 0.9 \text{ mm}$ ,  $z_{inc} = 0.9 \text{ mm}$ ) and the circular  
 319 shape was clearly reconstructed. However, the maximum retrieved value inside the inclusion is somehow under-  
 320 estimated compared to its original value with an error  $\varepsilon = 14.4\%$  (Fig. 9d). As expected, the computation cost is

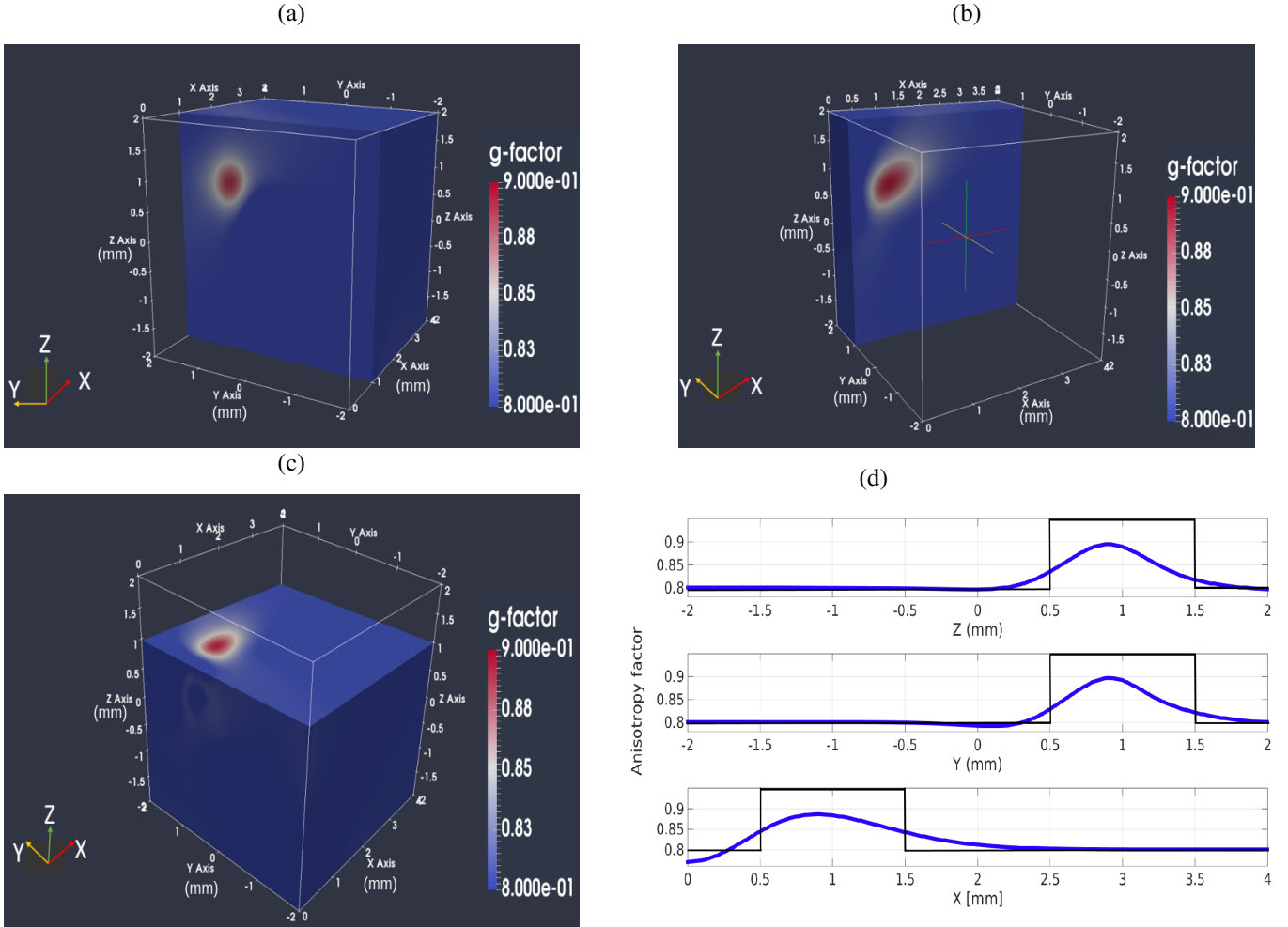


Figure 9: Test case 1, high contrast  $g$ -factor reconstruction. (a), (b) and (c) display the 3D slices selected at  $x = 1$  mm,  $y = 1$  mm and  $z = 1$  mm, respectively. (d) represents the recovered profiles passing by the inclusion center along the  $x - y$  - and  $z$  - axis.

321 expensive as each iteration in the inversion procedure has required 100 min to calculate the gradient. In order to  
 322 assess the convergence quality of the algorithm, the reconstructed profiles obtained at the 2<sup>th</sup>, 4<sup>th</sup> and 6<sup>th</sup> iterations  
 323 are displayed in the Fig. 10. The results show that the algorithm can accurately locate the inclusion from only the  
 324 second iteration. The suspect area can then be defined very quickly (in a few minutes) and might be exploited as a  
 325 prior structural knowledge.

326 The second test considers a heterogeneous background containing two laterally separated inclusions with low con-  
 327 trast levels of  $\pm 6\%$ . The first one ( $g^* = 0.75$ ) was placed at (1, 1, 1) while the second one ( $g^* = 0.85$ ) was  
 328 positioned at (1, -0.5, 1). The stop criterion was satisfied at the 38<sup>th</sup> iteration and the reconstructed 3D medium is  
 329 shown in Fig. 11. Despite the low contrast levels, the algorithm was still able to spatially locate and reveal the two  
 330 closed heterogeneities in the medium. Compared to the previous test case, the quantitative accuracy was improved

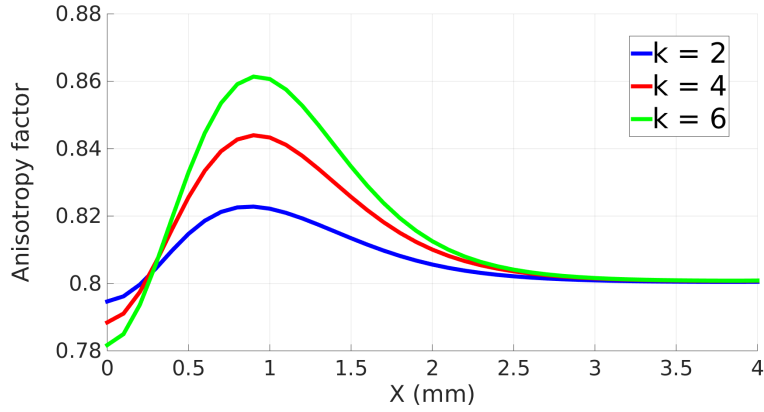


Figure 10: The reconstructed profiles along  $x$  axis passing by the inclusion center ( $y = 1$  mm,  $z = 1$  mm) for the three iterations  $2^{th}$ ,  $4^{th}$  and  $6^{th}$  of the inverse minimization.

331 only for the first inclusion (blue) where the relative estimation error decreased to  $\varepsilon = 3.39\%$ . This is because the  
 332 discrepancy between the initial value and the exact solution of the inverse problem is reduced when the contrast  
 333 level is low, therefore making the estimation more accurate. On the other hand, the retrieved values in the other  
 334 inclusion (red) were under-estimated the maximal value reaching  $\approx 0.82$  against  $0.85$  (Fig. 11). This is mainly due  
 to its localization within a low sensitivity region with respect to the collimated source.

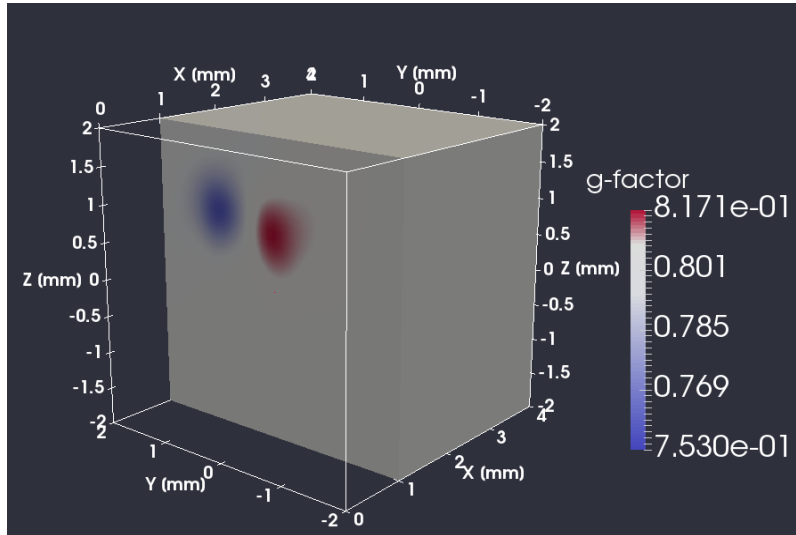


Figure 11: Test case 2, reconstruction of a heterogeneous background containing two inclusions laterally separated. The blue inclusion  $(1, 1, 1)$  presents a low contrast of  $-6\%$  while the red one  $(1, -0.5, 1)$  presents a contrast of  $+6\%$  with respect to the homogeneous value.

335

336 It is well known that the light intensity drops off severely with depth making the detection of deep inclusions more  
 337 difficult in optical imaging. In the third test case, we evaluated the capacity of the algorithm to localize deep  
 338 heterogeneities in the  $g$ -factor and the effect of depth on the relative error. The low contrast inclusion with  $g^* =$   
 339  $0.75$  is reconstructed at different depth, namely  $1.5$  mm,  $2$  mm and  $3$  mm. The corresponding results are shown  
 340 in Figs. (12a - c), respectively. Fig. 12d shows the variation of the relative estimation error with respect to the  
 341 inclusion depth. It can be seen that the reconstruction quality is worse as the inclusion is located deeper since its  
 342 influence on the boundary reflected data becomes very weak (see Fig. 12d). The images show that the algorithm  
 343 is still able to qualitatively recover the circular shape of the inclusion located at  $3$  mm depth as well as its location  
 344 in the medium. However, its quantitative accuracy decreases with a relative error of  $6.6\%$ . Moreover, the spatial  
 contrast in the medium is lower compared to the other depths (Figs. 12a-12c).

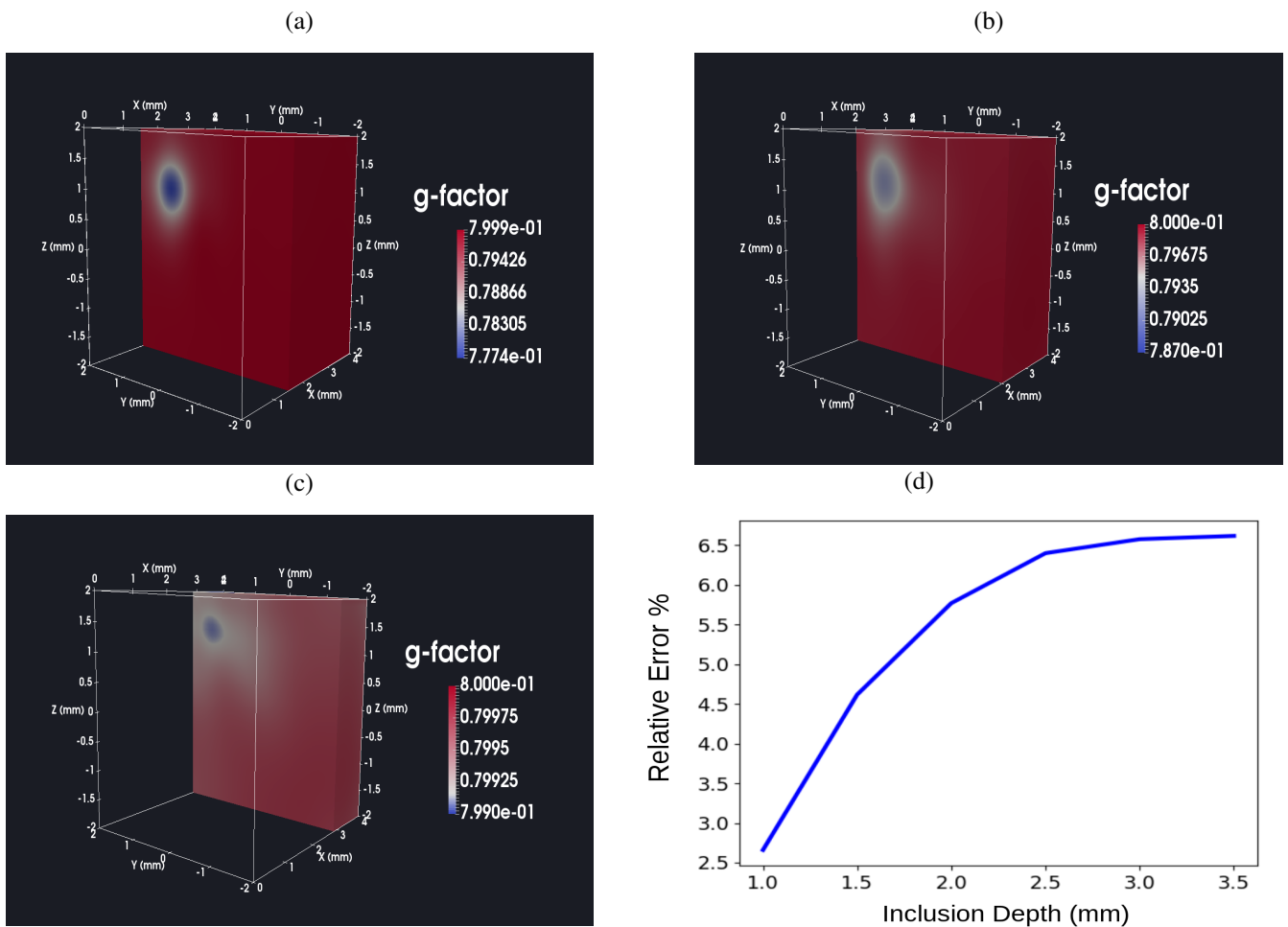


Figure 12: Test case 3, reconstruction of a low contrast ( $-6\%$ ) inclusion at different depth : (a), (b) and (c) display the 3D slices at depths  $1.5$  mm,  $2$  mm and  $3$  mm, respectively. (d) represents the variation of the relative error versus inclusion depth.

346 One of the gradient-based optimization schemes drawbacks is the choice of the initial estimate which should not be  
 347 far away from the exact solution of the iterative procedure. Usually, this estimate is described by the homogeneous  
 348 optical properties of the original background. The robustness of the algorithm on different initial guesses  $g^0$  is ex-  
 349 amined with the fourth test case. It consists to reconstruct an inclusion with  $g^* = 0.75$  embedded in a homogeneous  
 350 background of  $g = 0.8$  under three examples of initial guesses  $g^0 = 0.8$ ,  $g^0 = 0.82$  and  $g^0 = 0.85$ . The retrieved  
 351 profiles along  $x$ ,  $y$  and  $z$  axis are shown in figure 13. The relative estimation errors of inclusion and background  
 352 are listed in Table 1.

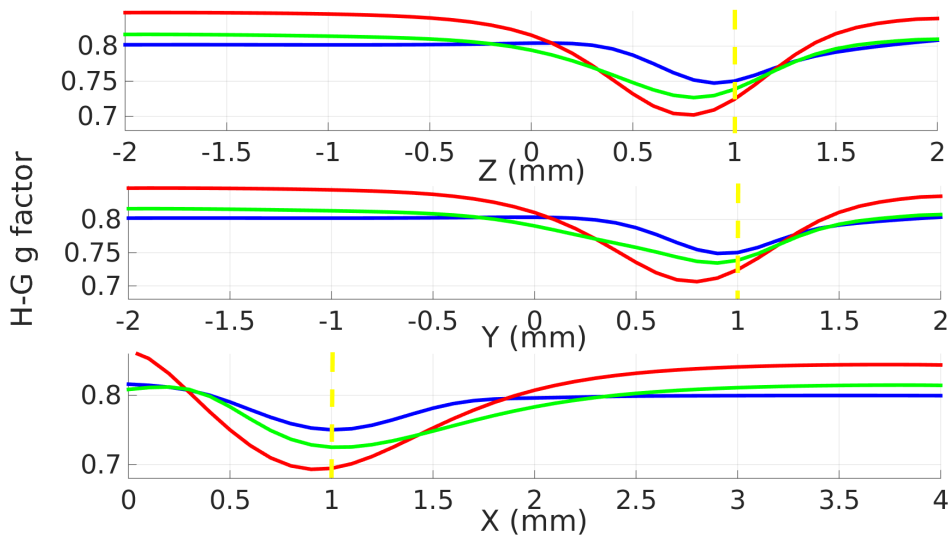


Figure 13: Test case 4, the reconstructed profiles passing through the center position of the inclusion along the  $x$ ,  $y$  and  $z$  axis for the three different initial estimates. The red, green and blue profiles correspond to  $g^0 = 0.85$ ,  $g^0 = 0.82$  and  $g^0 = 0.80$ , respectively. The dashed yellow lines indicate the center position of the inclusion.

Initial Guess	Inclusion			Background	
	$\varepsilon_g$ (%)	$\varepsilon_{position}$ (%)	$\hat{g}_{minimum}$	$\varepsilon_g$ (%)	$\hat{g}_{average}$
$g^0 = 0.8$	2.66%	8.1 %	0.75	0.88%	0.7981
$g^0 = 0.82$	3.63%	14.4 %	0.73	1.82%	0.8131
$g^0 = 0.85$	4.46%	21.21 %	0.68	5.41%	0.8420

Table 1: Test case 4, the relative errors of background and inclusion for the three different initial guesses.  $\hat{g}_{minimum}$  represents the minimum estimated value of  $g$ -factor and  $\hat{g}_{average}$  denotes its estimated mean value.

353 Qualitatively, the algorithm has correctly found the spatial localization of the inclusion when the initial value was  
 354 different from the original background value (see Fig. 13). The relative estimation errors of the  $g$ -factor increase  
 355 from 2.66 % to 4.46 % for the inclusion and from 0.88 % to 5.41 % for the background when the homogeneous  
 356 initial value  $g^0$  was chosen from 0.8 to 0.85, respectively (see Tab. 1). Furthermore, the relative position errors of

357 the inclusion increase and its retrieved values becomes more under-estimated (from  $\hat{g}_{minimum} = 0.75$  to  $\hat{g}_{minimum}$   
358  $= 0.68$ ) when  $g^0$  moves away from the original background value. Additionally, the retrieved mean values of the  
359 reconstructed background don't change sufficiently and remain near to the initial homogeneous value (see Tab. 1).  
360 The noisy data are unavoidable in real clinical scenarios. It is important to check the effect that noise has on the  
361 reconstruction quality of the  $g$ -factor. In the fifth test study, the simulated measurement data are corrupted with four  
362 different noise levels: 1%, 3%, 6%, and 10%. The noise was added to the complex simulated reflectance (module  
363 and phase shift). The medium contains one inclusion positioned at 1 mm depth with  $g^* = 0.75$ . The relative  
364 errors of inclusion and background with the iterations numbers of the algorithm are given in Table 2. The latter  
365 shows that the estimation accuracy of both inclusion and background decreases when the noise level increases.  
366 As expected, higher noise levels on the boundary data lead to quality image degradation. The background error  
367 becomes significantly high at 10% ( $\varepsilon = 8.05\%$ ) compared to the error obtained at 1% ( $\varepsilon = 0.88\%$ ). This is because  
368 detection occurred on the surface. Therefore, edges artifacts and perturbations become more pronounced in the  
369 whole reconstructed medium at larger noise level. On the other hand, the optimization procedure reached the stop  
370 criterion faster as the noise level is higher since the algorithm converged around random values. This computational  
371 feature was often encountered for gradient-based algorithms.<sup>18</sup>

	Noise levels			
	1 %	3 %	6 %	10 %
$\varepsilon$ of inclusion (%)	2.66	3.53	7.12	13.51
$\varepsilon$ of background (%)	0.88	1.75	4.43	8.05
Number of iterations	29	20	13	7

Table 2: Test case 5, the relative estimation errors  $\varepsilon$  of background and inclusion with the iterations numbers of the reconstruction algorithm for the 4 different noise levels on the reflected data.

372 The characterization of multi-layered media representing several anatomical structures of biological tissues has  
373 frequently been studied in the literature.<sup>34,35</sup> However, it was mainly restricted to reflectance spectroscopic appli-  
374 cations<sup>36,37</sup> where the layer thickness is often assumed to be known. In the sixth test case, the reconstruction of the  
375  $g$ -factor is studied for a two-layered phantom which mimics the epidermis and dermis of human skin tissue. The  
376 layers thickness are considered to be unknown and not used as a prior information in the reconstruction algorithm.  
377 The optical properties and thicknesses of the two layers are given in Table 3. The phantom is illuminated as in the

378 cylindrical example (section 3.2).

Optical properties	Epidermis	Dermis
Absorption $\mu_a$ ( $\text{mm}^{-1}$ )	0.19	0.13
Scattering $\mu_s$ ( $\text{mm}^{-1}$ )	18.95	11.65
Thickness (mm)	1	3

Table 3: Thickness and optical properties of epidermis and dermis at 785 nm extracted from [38].

379 The  $g$  value of the epidermis ( $g^{\text{epidermis}} = 0.75$ ) is assumed to be different from the dermis ( $g^{\text{dermis}} = 0.8$ ) in order  
 380 to consider endogenous spatial variation within the skin tissue.

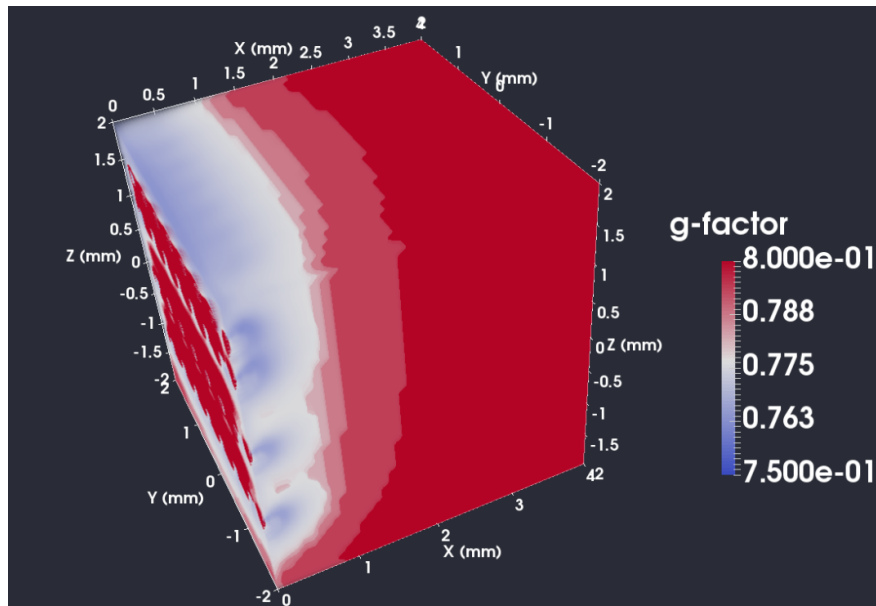


Figure 14: Test case 6, reconstruction of a two-layered phantom representing the human skin tissue composed of dermis (1 mm) and epidermis (3 mm).

381 Figure 14 shows the spatial distribution of the recovered volumetric  $g$ -factor. As expected, the reconstructed phan-  
 382 tom has two layers. The relative errors of the retrieved values are 6.4 % and 0.9 % for the epidermis and dermis  
 383 respectively. The error of the first layer is higher due to the artifacts at the illuminated boundary. Additionally to the  
 384 reasonable quantitative accuracy, the algorithm, not aware of the internal structure, has also correctly provided the  
 385 layer thickness of the epidermis. The obtained result can be considered as an illustration for pre-clinical imaging  
 386 of small-layered media.

387 To date, the simultaneous reconstruction of  $\mu_s$  and  $g$ -factor has not been considered in the literature for optical  
 388 imaging. In order to study and mime the crosstalk between the scattering parameters, the final test case considers  
 389 two different examples. In this case, all boundaries nodes are taken as detection locations for the inversion. For



390 the first example, the inclusion varies only in the anisotropy factor ( $g^* = 0.85$ ) while it represents a heterogeneity  
 391 only in scattering coefficient ( $\mu_s^* = 4 \text{ mm}^{-1}$ ) for the second example. The reconstructed results are depicted in  
 392 Fig. 15. As shown, the reconstructed profile was spatially well fitted with the original distribution for the first  
 393 example. The maximum local value retrieved in the  $g$  inclusion has reached 0.84 against 0.85. For the second  
 394 example, the algorithm has localized the  $\mu_s$  inclusion in its exact position but the quantitative accuracy was very  
 395 underestimated. Indeed, the maximum value has reached only  $2.5 \text{ mm}^{-1}$  against  $4 \text{ mm}^{-1}$ . The superiority in the  
 396 quality reconstruction of the  $g$ -factor can be explained by the high sensitivity of this factor on the boundary data. It  
 can be seen that the crosstalk effect induced in each parameter was insignificant.

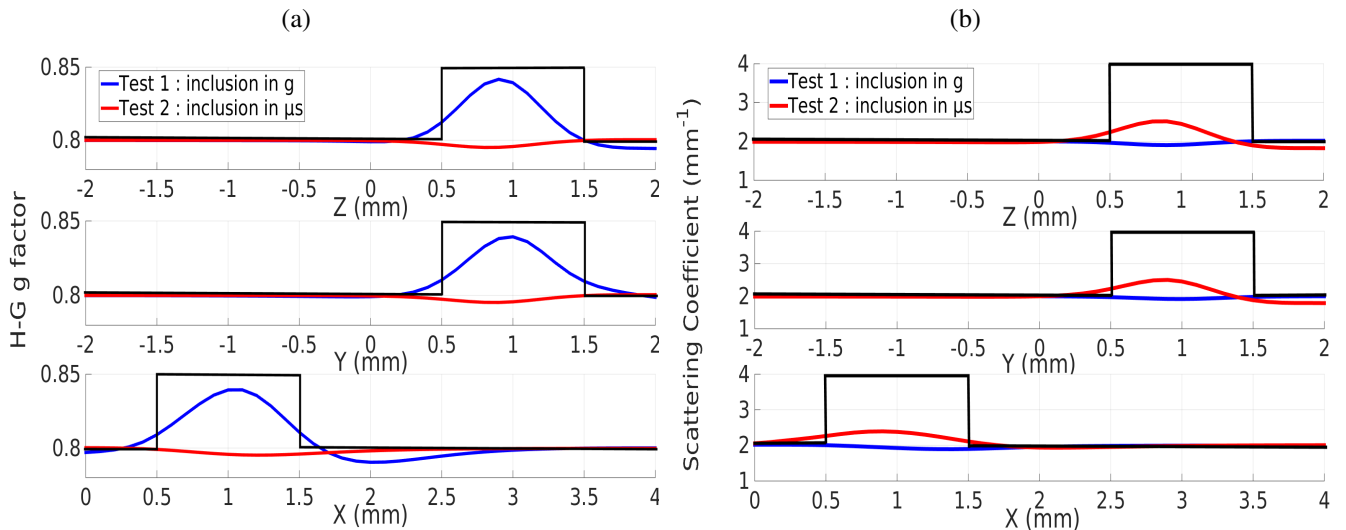


Figure 15: The final test case, simultaneous reconstruction of  $\mu_s$  and  $g$ . The reconstructed profiles passing through the center position of the inclusion along the  $x$ ,  $y$  and  $z$  axis for the anisotropy factor (a) and for the scattering coefficient (b). The black solid profiles represent the original position of the inclusion.

397  
 398 It should be noted that the reconstruction of  $g$  would not have been possible with the Diffusion Equation since the  
 399 anisotropy information is lost by considering the  $\mu_s'$  coefficient<sup>39</sup> where the  $g$  value is given. Despite the several  
 400 studies of 3D optical imaging that were conducted with the RTE, none has presented the reconstruction of the  
 401  $g$ -factor, for the authors best knowledge. Although the study was carried out with synthetic data, it nevertheless  
 402 constitutes an important first step (numerical validation) in the imaging of  $g$ -factor for optical imaging. **The data**  
 403 **were generated with the RTE-based forward model, it is important, in the next step, to synthesize the back-scattered**  
 404 **intensities with an another modality such as Monte-Carlo simulations to perform reconstructions. This would al-**  
 405 **low using arbitrary phase-functions in order to assess the impact of the phase-function mismatches of the  $g$  quality**

406 **reconstruction.** The clinical potential of the method particularly concerns small tissue imaging to detect superficial  
407 lesions such as cutaneous tumors (melanoma), finger joints or small animal imaging and even for biopsies char-  
408 acterization. The  $g$ -factor can then be considered as a potential endogenous contrast biomarker which provides  
409 additional intrinsic information beside  $\mu_a$  and  $\mu_s$ .

## 410 **4 Conclusion**

411 A 3D optical reconstruction algorithm based on the RTE-based forward model was presented to detect tumor-  
412 like inclusions. The algorithm can reconstruct and localize small inclusions with a reasonable quality when only  
413 one tissue surface is probed and within situations in which the commonly used Diffusion Equation is not valid.  
414 Furthermore, we highlighted the performance of the algorithm to retrieve simultaneously the inclusions shapes  
415 (spherical and cylindrical) and the spatial optical values. The main novelty of this work is the reconstruction of  
416 the spatial distribution of the anisotropy factor of the Henyey-Greenstein phase function. This was made possible  
417 thanks to the combination of the RTE-based forward model, the adjoint model, and the parallel computing. The  
418 algorithm was proven to be robust in recovering a heterogeneity in  $g$ -factor in presence of some issues such as  
419 low or high contrast level, inclusion depth, heterogeneous background and with different initial guesses and noise  
420 levels. The simultaneous reconstruction of  $\mu_s$  and  $g$  was also achieved with a reasonable quality while the crosstalk  
421 between the two parameters was weak. Moreover, the algorithm was able to retrieve a spatial map of the thickness  
422 and  $g$  values of a two-layered phantom that mimics the optical properties of epidermis and dermis. This work was  
423 a necessary preliminary study before using the present algorithm with experimental boundary data and performing  
424 real small-tissues imaging. Although the Open MP and MPI libraries have allowed us to considerably reduce  
425 the reconstruction times, they would still need to be accelerated for clinical diagnostic applications. To this end,  
426 parallelization based on GPU (Graphics Processing Unit) is envisaged for some calculations of the RTE inverse  
427 solver. The simultaneous reconstruction of the three optical properties  $\mu_a$ ,  $\mu_s$  and  $g$ -factor is currently under  
428 investigation. That can be an important issue for optical tomography which it is not easy due to the ill-posed  
429 inverse problem and to the difference in nature, units, and sensitivities of the parameters on the boundary data.

430 **Disclosure of Conflicts of Interest**

431 The authors have no relevant financial interests in this article and no potential conflicts of interest to disclose.

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