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The EVA Spectral Descriptor

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Abstract – The EVA descriptor is derived from fundamental IR- and Raman range molecular vibrational frequencies. EVA is sensitive to 3D structure but has an advantage over field-based 3D-QSAR methods inasmuch as it is invariant to both translation and rotation of the structures concerned and thus structural superposition is not required. The latter property and the demonstration of the effectiveness of the descriptor for QSAR means that EVA has been the subject of a great deal of interest from the modelling community. This review describes the derivation of the descriptor, details its main parameters and how to apply them, and provides an overview of the validation that has been done with the descriptor. A recent enhancement to the technique is described which involves the localised adjustment of variance in such a way that enhanced internal and external predictivity may be obtained. Despite the statistical quality of EVA QSAR models the main draw-back to the descriptor at present is the difficulty associated with back-tracking from a PLS model to an EVA pharmacophore. Brief comment is made on the use of the EVA descriptor for diversity studies and the similarity searching of chemical structure databases.

Keywords - 3D-QSAR, alignment-free, descriptor sampling, GA, IR/Raman vibration, PLS

1. Introduction

The advent in the late 1980's of three-dimensional QSAR [1,2] based upon the comparison of steric, electrostatic and subsequently hydrophobic [3,4] molecular "fields" addressed one of the key deficiencies of the otherwise extremely successful classical QSAR techniques [5,6]. The CoMFA (Comparative Molecular Field Analysis) [1] and related methods [7,8] have since proved to be extremely popular and effective complements to classical QSAR [6]. However, one of the main difficulties associated with (and potential benefits of) field-based techniques is that of aligning the structures concerned [9,10] where the term *alignment* covers both conformation

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selection and the superposition of the chosen conformers in such a way as to provide both internally descriptive and externally predictive regression models of high quality. There has thus been much interest in either tackling the alignment issue head-on [9, 11-15] or in seeking alternative molecular descriptors that are both sensitive to 3D-structure but that do not require structural superposition [11,13,14]. EVA [18-23] is one example of such a descriptor, based as it is upon molecular vibrations the characteristics of which are, in the absence of an external modifying influence such as a receptor, invariant to rotation and translation of the structures concerned. However, whilst EVA removes the need for superposition the method is sensitive to 3D structure although not to such an extent as a "true" 3D method such as CoMFA. This reduced sensitivity is a consequence of the use of a Gaussian smearing function to develop the descriptor (as described below) and as a result EVA might be described as a "2½D" descriptor. Nonetheless, it has been demonstrated that it is beneficial to "match" conformations across a dataset where possible rather than using randomly or arbitrarily selected 3D structures [21].

2. Calculation of the EVA descriptor

EVA, and its associated data standardisation technique described below, was originally developed by workers at Shell Research Limited [18, 19]. The rationale behind the use of such information as a molecular descriptor was "that a significant amount of information pertaining to molecular properties, in particular biological activity, might be contained within the molecular vibration wave-function, of which the vibrational spectrum is a fingerprint" [19]. It is also the case that there is a close, albeit complex, relationship between molecular 3D structure and the corresponding IR spectrum, a characteristic that has made IR spectroscopy an extremely powerful tool for determining and identifying chemical structures.

The descriptor is derived from IR- and Raman-range molecular vibrations typically obtained through the application of a classical normal co-ordinate analysis (NCA) to an appropriately energy minimised structure. For a compound with N atoms there are $3N-6$ (or $3N-5$ for a linear structure such as acetylene) normal modes of vibration, each of which has a characteristic frequency of vibration; the latter is more usually expressed (in cm^{-1}) as a vibration wave number (vwn). The EigenVAlues from the NCA correspond to the vwns. Once determined, from whatever source, the set of vwns for a given structure is projected onto a linear bounded frequency scale (BFS) typically covering a range from 1 to 4,000 cm^{-1}. The use of this range

means that all fundamental vibrational normal modes are included in the analysis – should a vwn exceed 4,000 cm^{-1} then either the BFS can be extended or all vwns from all molecules can be scaled according to scale factors such as those described by Scott and Radom [24]. Next a Gaussian kernel of fixed standard deviation (σ) is placed over each and every frequency value. The BFS is then sampled at fixed increments of L cm^{-1} and the value of the resulting EVA descriptor, EVA$_x$, at each sample point, x, is the sum of the amplitudes of the overlaid kernels at that point:

$$EVA_x = \sum_{i=1}^{3N-6} \frac{1}{\sigma\sqrt{2\pi}} e^{-(x-f_i)^2/2\sigma^2} \tag{1}$$

where f_i is the ith normal mode frequency of the compound concerned. This procedure is repeated for each dataset compound and then combined to provide a matrix with M rows (compounds) and 4,000/L (columns) descriptor variables. Typically a descriptor set has been derived using a σ of 10 cm^{-1} and an L of 5 cm^{-1} giving 800 descriptor variables [19, 20]. Thus, for a QSAR dataset of typical size the number of variables is very much larger than M and a method such as Partial least squares to Latent Structures (PLS) in conjunction with crossvalidation [25] is required to provide a robust regression analysis.

It is important to note that the purpose of the EVA smoothing procedure is *not* to simulate an experimental IR spectrum (transition dipole data is discarded and overtones *etc.* are not considered) but rather it is to apply a smearing function such that vibrations at slightly different frequencies in different compounds can be compared with one another. As such the results obtained with EVA QSAR are usually dependent upon the chosen kernel width (σ) [20-22] since this parameter determines whether or not, and the extent to which, proximal kernels overlap. A general approach for choosing an appropriate Gaussian σ is described below together with a detailed explanation of how the sampling resolution (determined by L) should be selected. It should be noted that the use of a fixed Gaussian standard deviation (kernel height, width and shape) means that each frequency (i.e., each part of the spectrum) is equally weighted prior to regression analysis.

Finally, the smearing procedure described can be applied using functions other than the Gaussian such as, for example, a Lorentzian, triangular or box function; in-house, and rather ad hoc, experience suggests that these shapes provide no advantage in terms of QSAR statistical scores. Alternatively, the smearing technique has been applied to other non-standard spectral and non-spectral molecular properties with some success; details are provided below.

3. Selection of parameter values

As noted above the purpose of applying the Gaussian kernels to the vwns is to smear them out such that vibrations at slightly different frequencies in different compounds can be compared to one another. The univariate variance of each EVA variable thus depends upon the chosen Gaussian σ and the relative disposition of the vwns both inter- and intra-structurally. Given that the descriptor variance depends upon these factors it follows that any variance-based method such as PLS is sensitive to the chosen Gaussian σ. It is indeed the case that optimal σ (as judged by the resulting PLS scores) can be identified for particular data sets [20, 21] although the sensitivity to σ is a data set-dependent feature. The much discussed "benchmark" steroid data set [26], for example, is particularly sensitive to σ (as demonstrated in Figure 1) [21]. In this example, models were obtained for a range of σ from 1 to 25 cm^{-1} and LOO crossvalidation, fitted modelling and prediction performed for each descriptor set; PLS model dimensionality was chosen on the basis of the first SE$_{cv}$-minimum. It is clear that the best internally predictive models (judged by q^2) are obtained where σ = 3-4 cm^{-1} and, gratifyingly, test set (i.e., external) predictivity is also clearly optimal for this σ. For a set of melatonin receptor ligands [22, 27] there is no such clear optimal σ for q^2 (Figure 2); any value of σ in the range 1 to 10 cm^{-1} gives a q^2 of ~0.47 while the q^2 drops off where σ > ~ 10 cm^{-1}. The corresponding test set predictivity on the other hand shows an optimum at around 4 cm^{-1} but this peak is not nearly so pronounced as it is for the steroid set. The overall conclusion from a wide range of analyses [21] was that a default σ of 10cm^{-1} is a useful starting point but that it is definitely worth exploring models derived using alternative σ values.

Care also needs to be taken when selecting an appropriate value of *L*, the sampling increment for the BFS. For both EVA and CoMFA the descriptors used for regression are obtained by a sampling of the descriptor space for each molecule, respectively the Gaussian smeared vwns and the steric/electrostatic/hydrophobic distance potential functions (loosely referred to as "fields"). With CoMFA the properties of a particular molecular descriptor *sample* are determined by the grid resolution and, at coarse resolutions (see below), by the relationship of the grid-sample points to the molecules. With EVA such properties are determined by the sampling interval (*L*) and, at coarse resolutions, by the "reading frame" (determined by *S*, the point at which sampling of the BFS is initiated – default 1 cm^{-1}). Thus, a key issue in extracting these descriptors is the resolution required to obtain a sample with properties that reflect as closely as possible those of the population as a whole. Theoretically, this can be done by using an infinitely small sampling resolution. Of course this is not possible and in practice the resolution chosen is a compromise

between computational resource/time available for analysis and the stability of the derived PLS models. However, it is possible to identify a *sufficient* resolution for both EVA and CoMFA modelling. In the latter case this amounts to choosing a grid-resolution for which the resultant PLS scores are invariant (at a given significance level) to the aggregate reorientation/translation of the aligned structures relative to the bounding 3D-grid. Where the grid-resolution is insufficient, crossvalidation q^2 scores can vary significantly [28] and, as recent studies have shown [21,22], the test set predictivity can exhibit even greater variance. Only once a sufficiently descriptive grid resolution has been established (typically, ≤ 1 Å [22]) does it make sense to apply rational or systematic variable selection techniques to try and obtain simplified models with enhanced predictivity.

With EVA an entirely analogous situation exists – the sampling interval (*L*) (the resolution) must be such that the sample of descriptor space obtained (prior to any systematic variable selection) is truly representative of the underlying population. Thus, for a given choice of Gaussian σ, critical values of *L* (denoted L_{Crit}^{σ}) can be estimated based upon examination of the PLS scores obtained over a range of *L*. The results of applying this procedure at various Gaussian σ have been described previously [20, 29] and a general rule-of-thumb is to choose *L* so that it is < 2σ. Further examples of such evaluations are given in Figures 3 and 4 using a set of phenolic compounds with $\log_{10}$ (1/MIC) for the oral bacteria P. gingivalis [30,31]. There is an additional factor to be considered here in as much as the "reading frame", determined by the point (S) chosen to initiate sampling of the BFS, provides an alternative source of descriptor variation. Thus, Figures 3-4 respectively illustrate the range of LOO CV q^2 or test *pr-r^2* scores obtained where the Gaussian σ = 1 cm^{-1} and the sampling interval *L* is varied from 0.2 to 6 cm^{-1} in 0.2 cm^{-1} increments; each line represents results obtained where *S* has a value taken from the range 1.0 (the default) to 1.9 cm^{-1} in 0.1 cm^{-1} increments. It is clear that where *L* < 2 cm^{-1} the PLS scores are stable but that once *L* > ~ 2cm^{-1} this stability is lost, indicating that the signal-to-noise ratio in the descriptors is varying. Similar analyses can be done for alternative Gaussian kernel widths from which the rule-of-thumb noted above has been established.

In general terms it is useful to keep *L* as large as possible so as to minimise computational and storage requirements which may be important where a small σ term (and hence *L* value) is utilised or where a very large dataset is to be modelled. All models reported here are those for which the relevant L « L_{Crit}^{σ} and where *S* is the default 1 cm^{-1}.

4. The effectiveness of the EVA descriptor

EVA was originally developed as a descriptor for QSAR [18, 19] and it has been shown to perform well with a wide range of datasets [19-21]; Table 1 lists a summary of EVA QSAR modelling statistics with data from various sources taken both from the literature and unpublished in-house analyses. Many of these analyses were done without a test set, and for these internal validation statistics only are available. A number of the reported QSARs have been further validated both with test sets and using data scrambling techniques [21, 22]. This wide range of successful analyses attests to the general usefulness of EVA as a QSAR descriptor.

In terms of similarity/dissimilarity-based diversity analyses the Tripos neighbourhood behaviour criterion [32] provides a useful base-line from which to proceed. In essence a descriptor exhibits neighbourhood behaviour where small differences in a descriptor value tend to produce only a small difference in biological activity; i.e., high similarity in descriptor space implies similar biological activity. The converse, that dissimilar molecules will have dissimilar biological activities, need not be and, fortunately for diversity-based lead discovery is not, a requirement. Put another way, similarity in descriptor space is a sufficient, but not necessary, condition for similar biological activity. The EVA descriptor has indeed been shown to exhibit neighbourhood behaviour [33] thus providing support for its use in diversity analysis/compound selection protocols.

EVA has also been evaluated for use in similarity searching of structure databases, using simulated property-prediction methods. Two evaluations have been performed. The first made use of the Pomona Starlist database with high-quality experimentally determined log P values as the property to be predicted [23]. Performance here was as only as good as conventional 2D-bit-string descriptors, specifically those in the UNITY chemical information management package [34]. However, detailed examination of the nearest-neighbour "hits" indicated that EVA tended to return quite different structures to those obtained with the 2D descriptor, suggesting that EVA-based similarity searching may be useful as an "ideas generator" for the browsing chemist. A second, unpublished study has been made using subsets of the World Drugs Index. In these analyses similarity searching performance was assessed according to how many compounds of the same activity class were found in nearest-neighbour lists for various selected targets. The results were compared to those obtained using UNITY 2D bit-strings, and it was again found that EVA provides similar performance to bit-string-based searching but tend to return different sets of nearest-neighbours.

The main obstacle to the utilisation of EVA descriptors in similarity and diversity-studies is the overhead required to calculate the vwns for which a geometry optimisation step is a pre-requisite; even with a molecular mechanics approach such as MM3 [35] the time required is at least an order of magnitude higher than that needed for 2D fragment bit-string descriptors, for example. The extent to which geometry optimisation can be relaxed, and the time required to determine vwns thus reduced, without significantly affecting descriptor performance has yet to be assessed.

5. A modification to the EVA methodology - EVA_GA

In "classical" EVA described above the Gaussian kernels have a uniform fixed σ (*i.e.*, equal width, height and shape) for all frequencies in all compounds being analysed. This is important because it means that each frequency (*i.e.*, each part of the spectrum) is equally weighted prior to regression. In the EVA_GA method [22] the kernel standard deviation (σ) is permitted to have localised values at different regions on the BFS. This approach permits the determination of an optimal or near-optimal overlap of kernels across the spectrum, where the quality of this overlap is judged by the scores from subsequent PLS regression with the derived descriptor matrix. Equal weighting of frequencies prior to analysis is ensured by scaling the kernels such that they have unit maximum amplitude; the main difference between the kernels is thus their width and to a lesser extent shape.

For EVA_GA the BFS is divided up into NBINS bins of equal size and a localised σ associated with each bin. A frequency value falling within a bin range is thus expanded using the associated local σ. A GA is used to drive the search for optimal combinations of localised σ, with the GA chromosome consisting of a vector of NBINS σ values. A typical value of NBINS is 100 giving a bin width of 40 cm^{-1}. PLS LOO or LNO CV regression scores (i.e., q^2) have been used as the fitness function to be optimised by the GA and the final solution(s) validated using previously unseen, test sets of compounds. Results with EVA_GA have thus far been extremely promising with substantial improvements in both q^2 and test set predictive-r^2 (pr^2) scores with a set of melatonin ligands (Table 2) and a set of phenolic compounds with oral bacteria inhibition data; when applied to the benchmark steroid dataset (not shown) an improvement in q^2 but no change in pr^2 was obtained.

Whilst these results are very promising it has been found that a great deal of care is required to prevent training set overfit, even where LNO CV q^2 is used as the GA fitness score. The GA maybe also be applied as a variable selection/deletion tool wherein a variable can be deselected

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when a localised σ of zero is permitted. Such variable selection provides simplified models which in turn may provide greater opportunity to back-track effectively to structure from an EVA QSAR. Model interpretation is one of the most appealing features of the CoMFA method while at present such ready back-transformation is not available within EVA. We are hence also investigating the use of alternative techniques such as continuum regression [36] and various variable selection procedures [37-39] that in combination may provide better or more appropriate reduced-variable models.

6. Related descriptors

As indicated previously [19,20,40] the Gaussian smearing methodology is not restricted to vwns but can in fact be applied to any suitable non-standard property. The method has since been applied to other spectral properties [41] − the so-called Comparative Spectra Analysis (CoSA) − including experimentally determined ^{1}H NMR, Mass and IR spectra as well as simulated IR and ^{13}C NMR data. The various descriptors were tested using a single set of 45 progestagens, both with all compounds as a training set and where the compounds were divided into a training and test set. With the exception of experimental IR descriptors, results with individual spectral descriptors were generally better than analogous CoMFA analyses; combining the descriptors, including the molecular fields, in various ways tended to improve the PLS scores obtained.

The Gaussian smearing technique has also been applied to molecular orbital (MO) energies [42]. The MO energies were obtained semi-empirically and are thus the Electronic EigenVAlues (EEVA). EEVA has been tested on seventeen data sets with LOO crossvalidated $q^2 > 0.4$ in all cases except two and some very high q^2 scores (up to 0.94) in many cases; external test set predictivity was not considered here. In the authors' opinion some of these results are over-optimistic in as much as models are reported with large numbers of PLS LVs relative to the number of data-points (compounds). Nonetheless, there are sufficient numbers of significant results presented to suggest that EEVA is a promising descriptor. Furthermore, an in-house EEVA analysis using the aforementioned steroid dataset [1,26] has however provided models with both good internal and external predictivity (Gaussian σ = 9 eV, $q^2 = 0.75$ (4); $r^2 = 0.97$; pr-$r^2 = 0.59$).

7. Conclusion

EVA has proved to be an effective and robust descriptor for use in QSAR studies as evidenced by the large number of successful analyses documented herein. EVA has been found to perform as well as CoMFA overall but with the advantage that structural superposition is not required.

EVA's main limitation is that PLS regression models are very difficult to interpret in terms of (contra)-indicated molecular features. However, efforts are underway to simplify regression models through variable selection techniques such that back-tracking from a model may be facilitated. The descriptor has also been validated for use in diversity/compound selection protocols through the demonstration of its neighbourhood properties and through nearest-neighbour based simulated property-prediction studies.

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Table 1: Summary of published and in-house EVA QSAR analyses. EVA descriptors were not scaled (NS) unless stated otherwise. On the whole autoscaling (AS) the descriptors either did not improve or produced a deterioration in PLS model statistics. Test set performance is indicated where available.

Dataset[1]	n[2]	Biological End-point / Property	Best q^2 (ONL)	σ	$\sigma = 10$ cm^{-1} q^2 (ONL)	Test Set pr-r^2 Best σ	/ $\sigma = 10$ cm^{-1}
β-Carboline [20]	41	benzodiazepine receptor inverse agonists and antagonists (log IC$_{50}$)	0.66 (7)	22	0.50 (6)	-	-
BCDEF [19]	135 + 68	Experimental log P	-	-	0.68	-	0.65
Biphenyls (BIP) [20] NS	14	Ah (Dioxin) Receptor Binding Affinity (pEC$_{50}$)	0.14 (3)	7	≤ 0	-	-
AS			0.45 (3)	16	0.28 (2)	-	-
Cain/Cometto-Muniz	52	Odour thresholds (ODT)[3]	0.57 (5)	25	0.54 (5)	-	-
	44	Log(1 / ODT)	0.71 (7)	15	0.62 (5)	-	-
Dibenzo-p-dioxins (DPD) [20]	25	Ah (Dioxin) Receptor Binding Affinity (pEC$_{50}$)	0.70 (2)	18-40	0.65 (2)	-	-
Dibenzofurans (DBF) [20]	39	Ah (Dioxin) Receptor Binding Affinity (pEC$_{50}$)	0.74 (4)	7-9	0.73 (4)	-	-
DPD + BIP + DBF combined [20]	78	Ah (Dioxin) Receptor Binding Affinity (pEC$_{50}$)	0.64 (3)	14-21	0.62 (3)	-	-
Endothelins Abbott [43]	55	ET$_A$ receptor (1/logIC$_{50}$)	0.49 (2)	50	0.58 (3)	-	-
BMS [44]	36	ET$_A$ receptor (1/logIC$_{50}$)	0.54 (3)	1	0.71 (5)	-	-
Melatonin Receptor Ligands [22]	44 + 9	pKi for chicken brain melatonin receptors	0.46 (2)	10	as best	0.66/0.81[4]	as best
Muscarinics [20]	39	muscarinic agonists (pD$_2$)	0.53 (4)	10	as best	-	-

Class	N	Activity					
Nitromethylene heterocycles [20]	17	$1/\log LC_{50}$ values for the pea aphid	0.66 (3)	4	0.49 (3)	-	-
Oxadiazoles [20] NSg	23	toxicity index (TI) for red spider mite eggs (1/log TI)	≤ 0	-	≤ 0	-	-
AS			≤ 0	-	≤ 0	-	-
Phenols [30,31] P. gingivalis[5]	62 + 62	Log(1/MIC)	0.81 (3)	10	as best	0.75	as best
			0.69 (3)	10	as best	0.83	as best
Str. Sobrinus[5]	56 + 55	Log(1/MIC)	0.85 (3)	10	as best	0.78	as best
			0.83 (6)	10	as best	0.89	as best
S. artemidis[5]	55 + 55	Log(1/MIC)	0.68 (3)	10	as best	0.61	as best
			0.74 (6)	10	as best	0.69	as best
Piperidines [20]	137	$1/\log IC_{50}$ for *U. Maydis*	0.78 (3)	2-4	0.76 (4)	-	-
Steroids (TBG) [20]	21	testosterone- and corticosterone-binding globulin (TBG and CBG) binding affinity (log [K]).	0.70 (4)	8-11	0.70 (4)	-	-
Steroids (CBG) [20]	21 + 10	As above	0.75 (1)	3	0.70 (2)	-	-
Steroids (CBG) [21]	21 + 10	As above	0.80 (2)	3/4	0.73 (2)	0.69	0.59
Steroids (CBG) Design_1 [22]	11 + 20	As above	0.55 (1)[6]	4	0.55 (2)[6]	0.51	0.34
Design_2 [22]	10 + 18	As above	0.69 (2)	4	0.63 (2)	0.69	0.63
Sulphonamides [20]	100	log $1/IC_{50}$ for acetolactate synthase inhibition	0.55 (3)	2	0.56 (7)	-	-
			0.57 (7)	7- 8		-	-
Tropanes [20]	13	cocaine binding site ($1/\log IC_{50}$)	0.68 (3)	65 (+)	0.49 (2)	-	-
			0.55 (3)	13		-	-

[1] Citations refer either to papers where the relevant EVA QSAR analyses are described (within which further references are given) or, where such is not available, the original literature reference is given.

[2] n – number of training set compounds (+ number of test set compounds where available).

[3] Minimum vapour concentrations that human subjects can detect in ppm.

[4] Test set pr-r^2 excluding two outliers.

[5] These datasets were split into two equal-sized groups and models developed for each group were used to predict the activities of the compounds in the other group.

[6] The model based on Gaussian σ of 4 cm^{-1} has identical q^2 to that where $\sigma = 10$ cm^{-1} but the former is preferred since it uses one rather than 2 LVs; test set prediction is better with the simpler model.

Table 2: Some EVA_GA results: melatonin receptor ligands [22] and bacteria inhibiting phenolic compounds: see Table I for equivalent "classical" EVA results and further details.

Dataset	n	LOO q^2	ONL	RAND_PERM[1] p for q^2	r^2	Predictive-r^2
				Training Set		Test Set
Melatonin	44	0.65	3	3.0×10^{-5}	0.90	0.72 / 0.89
Phenols / P. gingivalis	62	0.89	3	3.2×10^{-7}	0.93	0.77
Phenols / S. sobrinus	56	0.90	3/4	6.7×10^{-6}	0.97	0.79
Phenols / Str. Artemidis	55	0.77	2	1.3×10^{-8}	0.95	0.64

[1] RAND_PERM: training set random permutation (Y scrambling) tests: p gives an estimate of the probability that the observed model may have occurred by chance.
[2] Test set pr-r^2 excluding two outliers.

Figure 1: Steroid dataset: PLS q^2 or test set $pr\text{-}r^2$ vs. Gaussian σ (see main text for further details).
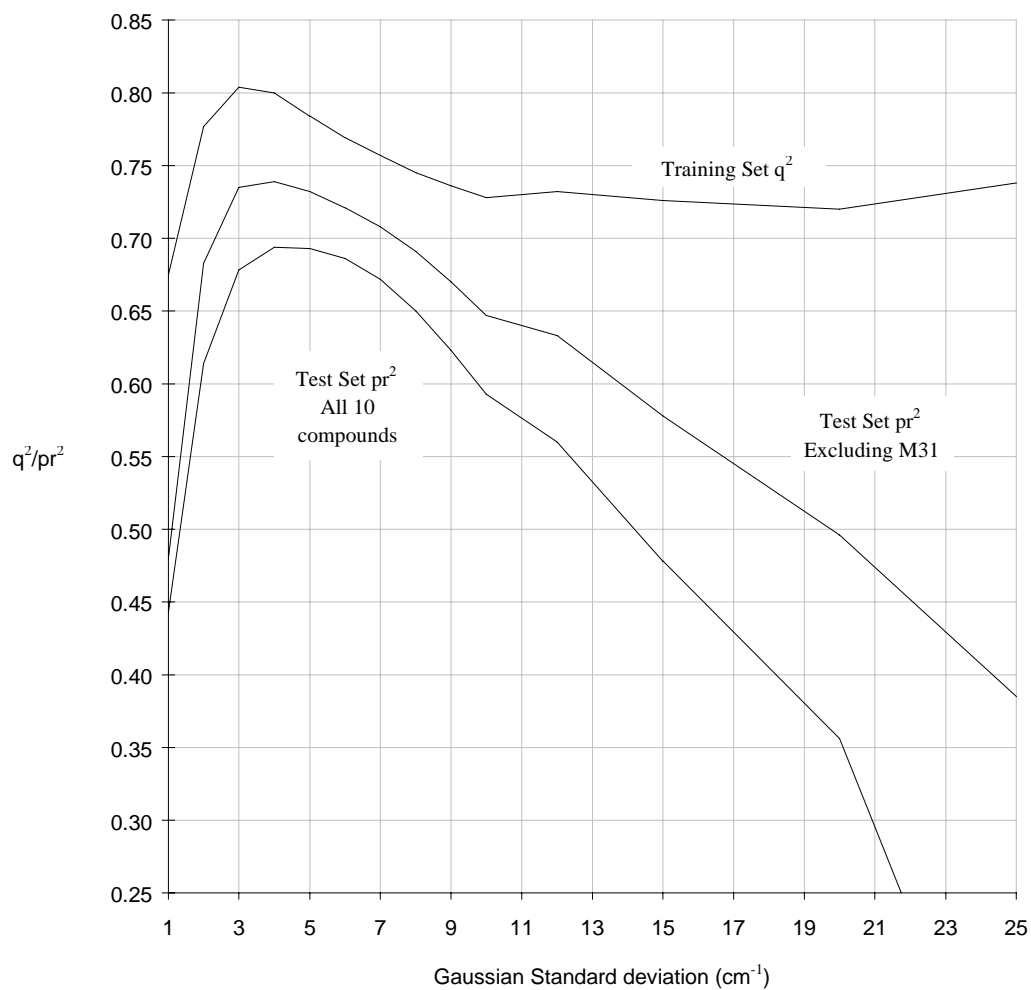
Figure 2: Melatonin receptor ligands: PLS q^2 or test set $pr-r^2$ vs. Gaussian σ (see main text for further details).
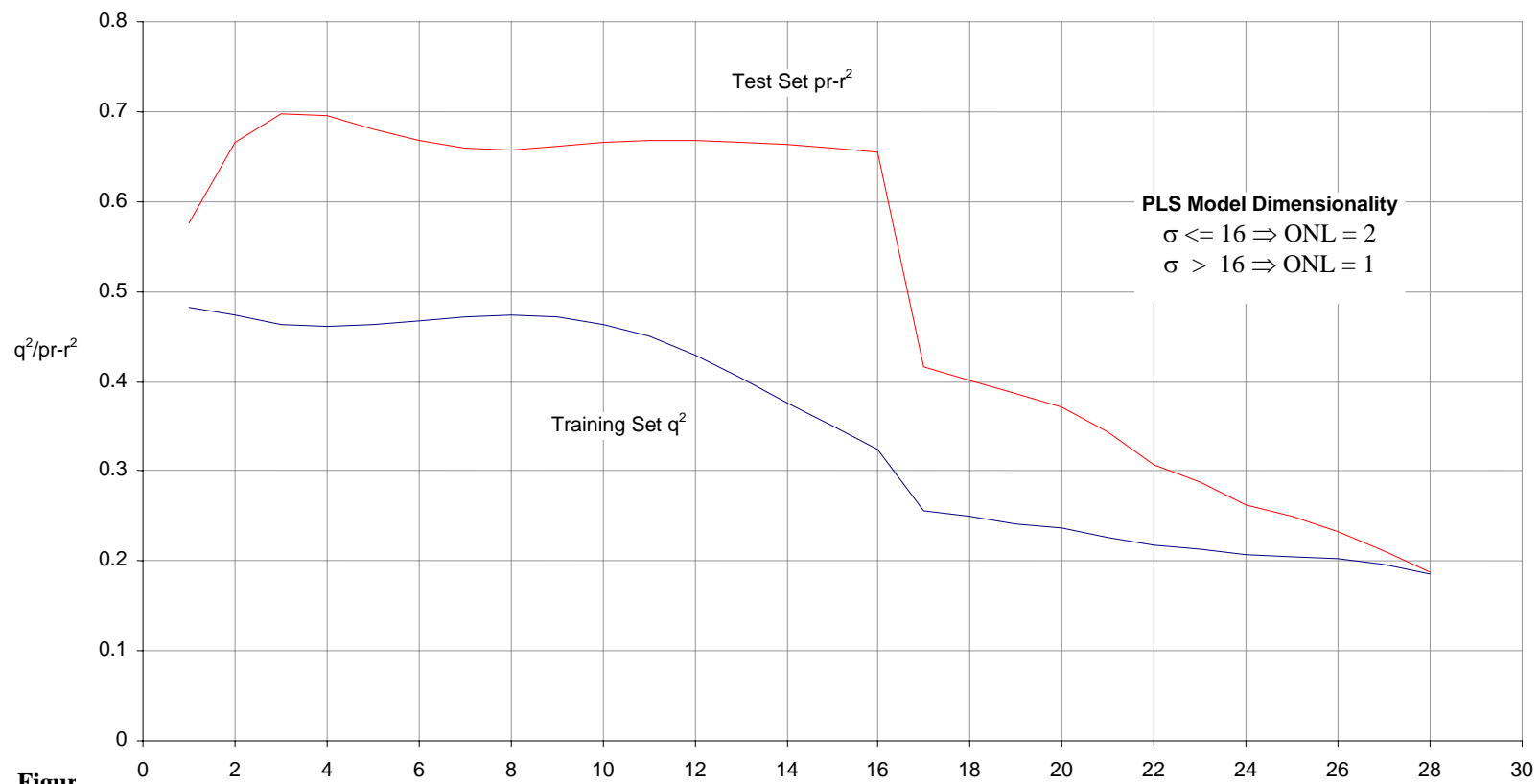

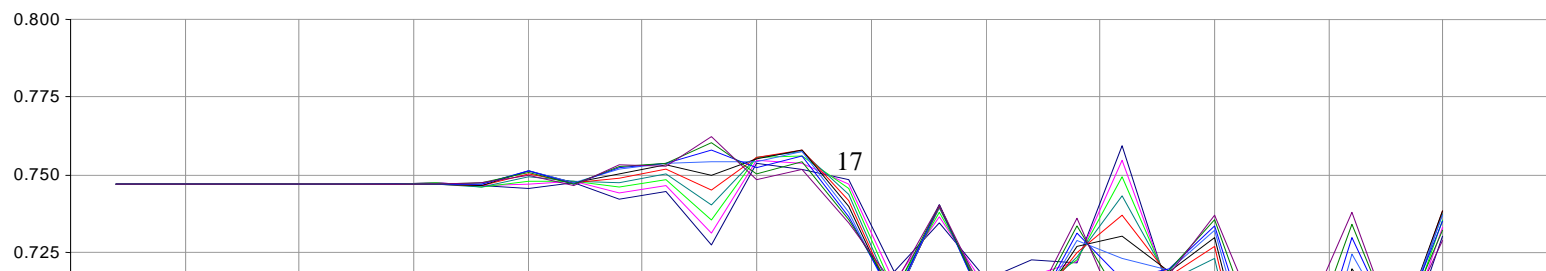**Figur** ...iptors derived where the BPS is sampled starting at 5 cm⁻¹. The q² is stable only wh...

Figure 4: P. gingivalis phenolic inhibitors: Test set pr-r^2 vs. sampling increment (L) where Gaussian $\sigma = 1.0$ cm^{-1}. Each line represents descriptors derived where the BFS is sampled starting at S cm^{-1}. The pr-r^2 is stable only where $L < 2\sigma$.

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