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Relationship between Baseline and Post-bronchodilator Interrupter

Resistance and Specific Airway Resistance in preschool children.

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<u>7) Keywords:</u> airway resistance; preschool child; pulmonary function test (PFT); bronchodilator response

8) Abbreviations/acronyms :

AUC : Area Under the Curve BDR : Bronchodilator Response CI : Confiance Interval FEV1 : forced expiratory volume in one second GINA : Global Initiative for Asthma PFT : pulmonary function test Rint : interrupter resistance ROC : Receiver Operating Characteristics curves sRaw : specific airway resistance

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1 INTRODUCTION

Measurement of lung function is an essential component of the management of school children (> 6 years old, yo) and adults with chronic lung diseases such as asthma or cystic fibrosis.¹ Nevertheless, this measurement is hard to achieve in preschool children (< 6 yo). Indeed, it would be difficult to have active cooperation of a preschool child whose muscular capacity and motor coordination are not fully developed to yield an optimal forced exhaling and inhaling outcome.

8 To address this issue, different techniques requiring only mild active co-operation from the
9 children have been developed and evaluated among children under 6 yo.¹

Interrupter resistance (Rint) is nowadays a popular lung function technique routinely used to measure respiratory resistance in young children. Rint is a non invasive procedure during which alveolar pressure and flow is estimated through the mouth. The former is measured during a brief and sudden airflow interruption. The latter is measured during tidal breathing just before the interruption. The calculated Rint includes components of lung tissue and chest wall resistance as well as respiratory tissue viscoelasticity.^{2,3}

Plethysmographic specific airway resistance (sRaw) is a useful method for detection of lung disease in young children.⁴ sRaw can be measured during tidal breathing from the relationship between simultaneous measurements of airflow and change of plethysmographic pressure without any special breathing maneuvers against an airway occlusion.⁵

Both Rint and sRaw techniques are safe, feasable and reproductible.^{4,6-9} Rint and sRaw values
show a strong correlation with clinical status and FEV1 results in children 3 to 13 yo.^{6,10-13}
The Bronchodilator Response (BDR) routinely assessed during Pulmonary Function Test
(PFT) can provide an objective and sensitive criterion for the diagnosis of asthma.¹⁴

Reference equations for calculation of Rint and sRaw as well as the definition for airway
resistance expressed as z-scores were published in 2010 by the asthma UK initiative.^{15,16}

Several studies have reported cut-off values for the change in Rint, interpreted as positive
 BDR^{6,17} and only one reported a cut-off for the change in sRaw as positive BDR.¹²

Thus, we aimed to study the relationship between Rint and sRaw baseline measurements, and the agreement between Rint and sRaw in diagnosis of bronchial obstruction and BDR in accordance with the latest guidelines in children aged 3 to 6 years.¹⁵ Our second objective was to determine our cut-off for the change in sRaw as positive BDR in our population.

32

33 **METHODS**

34 Subjects

One hundred thirty children 3 to 6 yo referred to our Pediatric Pulmonary Function Test unit 35 for assessment of airway function (PET) were consecutively and prospectively included from 36 October 15, 2015 to May 22, 2017. Children < 90 cm of height were excluded in accordance 37 with gold standard height for Rint and sRaw. Patients and their parents received 38 comprehensive information about the objectives of the study, their rights to refuse to 39 participate in the study or the possibility of withdrawal at any time. Patient information and 40 non-opposition form was obtained from the legal representative or parent. The ethics 41 committee approved the study on August 25, 2015 (reference number RB 15.181). This work 42 was declared to the French commission for information technology and civil liberties (CNIL). 43 Trial Registration: NCT02563210 (ClinicalTrials.gov identifier). 44

45

46 **Procedures**

47 During consultation, an interview with each child and parents was conducted by the 48 physician. The children were then weighed, measured (height) and examined by the physician 49 before carrying out resistance measurements. For patients with asthma, baseline clinical 50 status was as follows: asymptomatic for well-controlled asthma or symptomatic for poorly or partially controlled one according to clinical GINA Criteria 2015. Each child was randomized for order of Rint and sRaw measurements. A BDR test was performed for each child who did not take bronchodilator within 12 hours of testing. Measurements were performed 15 min after administration of the bronchodilator (400 μ g of Salbutamol administered using a metered dose inhaler and a spacer device Aerochamber +®, GlaskoSmithKline).

56

57 **Rint measurements**

Rint was measured using a SpiroDynR apparatus (SpiroDyn'R[®] 3.2.0.5 version, LtD, Toulouse, France) calibrated daily for flow. In accordance with the guideline by the American Thoracic Society/European Respiratory Society, Rint was measured during a 100 ms occlusion that occurred during expiration, using linear-back extrapolation of mouth pressure to estimate alveolar pressure.¹⁸

During measurements, the child was seated and asked to breathe quietly, connected to the
flowmeter by a mouthpiece and a bacteriological filter (total dead space of 40 ml) with a nose
clip. Measurements were performed with the head held in a neutral position, cheeks and chin
held by a third party hands (parent or physician).

After 3 breathing cycles at the same volume and frequency, the flow interruption was triggered by the operator and the flow and buccal depression measurements were performed. Validation of the measurements was done in accordance with international guidelines.⁶ In line with the literature, ten measurements of Rint were required to reach seven validated ones thus a mean Rint with an intrasubject coefficient of variation $\leq 20\%$.

72

Rint absolute values were expressed in kPa.L⁻¹.s and z-score according to the latest international guidelines.¹⁵ Baseline bronchial obstruction was defined as z-score > 2. BDR was positive if the change in Rint was ≥ 0.26 kPa.L⁻¹.s from the absolute value (Δabs) or \geq 1.25 z-score (Δz -score) or ≥ 32 % from the baseline measurement (Δ %bas), ≥ 35 % from the predicted value (Δ %pre).^{10,16}

78

79 sRaw measurements

sRaw were measured using MasterScreen (Jaeger[®] standard model, a constant-pressure body 80 plethysmograph) daily calibrated and during tidal breathing and without manual ajustement 81 of tangents.^{16,19} In the closed cabin, the child was in sitting position, the head in neutral 82 position, the cheeks held with the hands. The child was coached to reach a respiratory rate of 83 30 to 45 breaths/min, connected to the pneumotachograph by a mouthpiece and a 84 bacteriological filter (total dead space of 40 ml) with a nose clip. In line with the literature, a 85 mean of 20 breathing cycles with an intra-subject coefficient of variation $\leq 20\%$ and a stable 86 ventilatory level were required.^{6,20} sRaw was calculated from the relationship between 87 simultaneous flow measurements at the airway opening and the alveolar pressure 88 modification reflected by the pressure inside the plethysmograph.¹⁹ sRtot was computed 89 between two points of maximum plethysmographic pressure during respiratory cycle.¹⁶ The 90 validated measurement was the median of the 3 measurement medians (i.e. medians of three 91 series of at least 5 correct curves). Compensation for body temperature and barometric 92 93 pressure at water vapor saturation (BTPS conditions) was achieved electronically. The airway measurement method was done during tidal breathing in line with that described by Kirkby et 94 95 al (2010) and no manual ajustement of tangents was applied.

sRaw absolute values were expressed in kPa.s⁻¹ and z-scores in accordance with the latest international recommendations.¹⁶ Baseline bronchial obstruction was defined as z-score > 2. In line with the reported reference methodology by Nielsen et al¹² and Raywood et al ²¹ the cut-off for sRaw positive BDR was set at 32%, from the baseline measurement (Δ %bas).

100

101 Statistical Analysis

102 Categorical variables were expressed as frequency and percentage. Continuous variables
103 were expressed as means and standard deviations (SD) or as median and quartiles depending
104 on the data distribution.

105 Changes in Rint and sRaw values were assessed using the paired Student t test. Correlation 106 tests were performed by using the Pearson correlation coefficient. Symptomatic and 107 asymptomatic asthmatic patient groups were compared using the Student t test.

108 We assessed the agreement between Rint and sRaw by calculating the Cohen's Kappa109 coefficient and its 95% confidence interval (CI).

110 To determine our cut-offs of sRaw positive BDR, we used Receiver Operating Characteristics 111 (ROC) curves. ROC curves were generated to determine the highest concomitant sensitivity 112 and specificity of sRaw cut-off with decrease in sRaw expressed in four different ways: 1) the 113 absolute value (Δ abs), 2) the baseline measurement (Δ %bas), 3) the predicted value (Δ %pre) 114 and 4) the z-score (Δ z-score).

In the absence of healthy children (without any respiratory symptoms), we arbitrarily chose to use Rint as the reference measurement for airway resistance evaluation in our preschool children population. This was done for optimal prediction of BDR with maximal Youden Index. The Area Under the Curve (AUC) was measured to assess how well sRaw could distinguish between two diagnostic groups (positive BDR or negative BDR). Sensitivity, specificity, negative, and positive predictive values were calculated and presented with 95% CI.

P-values < 0.05 were considered statistically significant. Statistical analyses were carried out
using SAS Version 9.4.

124

125

126 **RESULTS**

127 Participants

One hundred thirty patients were included in this study. All were European Caucasian 128 129 children. The mean age of children was 4.9 years (SD = 0.63) with 9.2% between 3 and 4 years. Fifty eight per cent of children were male. Among these patients, 28 (21.5%) were 130 referred for asthma suspicion with symptoms of atypical asthma, 63 (48.5%) for the 131 management of a viral induced asthma, 38 (29.2%) for the management of allergic asthma 132 and 1 (0.8%) for bronchopulmonary dysplasia. Among the one hundred one patients referred 133 134 for management of asthma (viral induced or allergic), 57 were symptomatic with poorly or partially controlled asthma and 44 were asymptomatic with well-controlled asthma. Most 135 children (73.8%) already had treatment(s) (bronchodilators, inhaled corticosteroids or 136 137 montelukast) before the measurements. Figure 1 displays the flow of children throughout the study. 138

139

140 **Baseline measurements**

Baseline measurements of Rint and sRaw were obtained for 120 (92.3%) children. The excluded children (7.7%) were those who refused to blow into the flowmeter, or enter the cabin or were not able to maintain a respiratory rate between 30 and 45 per min for sRaw.

Baseline Rint and sRaw z-scores were significantly different (mean \pm SD: -0.4 \pm 2.47 and -0.6 \pm 0.96, respectively; *P* < 0.01) (Table 1).

146

147 Correlation between baseline Rint and baseline sRaw z-scores was significant according to 148 Pearson correlation coefficient r = 0.5 (P < 0.01). Baseline bronchial obstruction defined as 149 abnormally high Rint (z-score > 2) was present in 18 patients although baseline obstruction 150 defined as abnormally high sRaw (z-score > 2) was present in 1 patient. Only this one patient

- had bronchial obstruction detected by both Rint and sRaw (Figure.2). The agreement between
 the two techniques was poor, Cohen Kappa coefficient at 0.09 [95% CI:-0.08: 0.26].
- 153

In children with diagnosis of asthma (viral induced and allergic), Rint z-scores of symptomatic group were higher than those of asymptomatic patients: $0.2 \pm 2.34 vs. -1.1 \pm$ 2.74 respectively, P = 0.012. Similarly, sRaw z-scores in the symptomatic group were significantly higher than in the asymptomatic group: $-0.2 \pm 0.93 vs. -0.9 \pm 0.96$ respectively, P = 0.002 (Figure 3).

159

160 Bronchodilator response

In 101 children who performed both techniques after bronchodilator administration, Rint and sRaw (absolute value and z-score) significantly decreased from the baseline (P < 0.01; Table 163 1).

164 The changes after administration of bronchodilator expressed with different methods are 165 shown in Table 1.

Rint positive BDR was present in 29 patients whereas sRaw positive BDR was present in 17
patients. Eleven patients had positive BDR with both techniques (Figure 4). The agreement
between Rint and sRaw in positive BDR was fair (Cohen's Kappa coefficient: 0.33; 95% CI:
0.13; 0.54).

170

Among 101 asthmatic children who performed baseline measurements, 83 performed BDR test with Rint and sRaw. The others had taken bronchodilator treatment 12 hours before or were unable to carry out Rint or sRaw measurement after taking bronchodilator. There were significant differences in Rint and sRaw between symptomatic and asymptomatic children when changes from the baseline were expressed in absolute value and in z-score, (P < 0.01). 176 There was no difference between the two groups when results were expressed as percentage 177 of predicted value (P > 0.05; Table 2).

178

179 Our cut-off for sRaw to predict a positive BDR was determined as follows: a decrease \geq 180 28%, according to change from the baseline; a decrease \geq 35 %, according to change from the 181 predicted value; a decrease \geq 0.27 kPa.s⁻¹, according to change from the absolute value; a 182 decrease \geq 1.07 when expressed in z-score.

183 The sensitivity, specificity, positive predictive value and negative predictive value for each184 cut-off point are shown in Table 3.

The most optimal diagnostic performance (sensitivity, specificity, positive and negative predictive values) of sRaw change in predicting positive BDR was either a decrease from the absolute sRaw of ≥ 0.27 kPa.s⁻¹ or a decrease from the baseline sRaw of $\geq 28\%$. The sensitivity, specificity and AUC obtained for the cut-off from the baseline sRaw of $\geq 28\%$ was respectively 60%, 86% and 0.718 (Figure 5). AUC figures for other cut-off values were not shown.

191 The cut-off of ≥ 28% decrease in sRaw showed a mean sensitivity of 60% (Table 3) detecting a
192 decrease of 32% in Rint from baseline.

193

194 **DISCUSSION**

This is the only work that aimed at evaluating the agreement between Rint and sRaw measurements in diagnosis of bronchial obstruction and positive BDR in a very young (mean age: 4.5 yo) population of children with all respiratory indications including symptomatic and asymptomatic asthma. Despite their different physiological meaning, ^{2,3,11} breathing cycle measurement expression in z-scores could be evaluated for correlation and agreement of diagnosis. 201 We observed a poor agreement for bronchial obstruction and fair agreement for BDR. Several previous studies have reported large inter- and intra-individual variability for baseline 202 Rint. ^{3,13,20} For sRaw this inter-individual variability was 10 % in pre-school children.²² In 203 our study we could observe that the standard deviation in Rint measurement was higher than 204 the sRaw standard deviation. This could be explained by the fact that Rint z-score takes into 205 account the height (i.e. quite variable in 3-6 yo children) compared with sRaw z-score which 206 takes into account the age. Nevertheless we found a strong linear correlation between the two 207 measurement methods expressed by Pearson coefficient (r = 0.5). To the best of our 208 knowledge, the study by Nielsen et al. has been the only work comparing Rint and sRaw.¹² 209 They showed a strong correlation between Rint and sRaw in height and clinical status.¹² 210 211 Other studies have reported a correlation between Rint or sRaw measurements and clinical 212 status (healthy or asthmatic) or spirometry data (i.e. the gold standard in lung function test in older children).6,10,12,17,23 213

214

As we were interested in comparing the two types of measurements in routine conditions, we 215 included all-comer children regardless of the reason for consultation at our Pulmonary 216 Function Test Unit. This could have biased our selection due to the absence of healthy 217 children. The measurements of Rint and sRaw seemed to be consistent with those of the 218 literature even though our population was different. 4,6,20,24,25 Consistent with other works, our 219 subgroup of symptomatic asthmatic children had baseline values of Rint and sRaw higher 220 than those of asymptomatic children.^{6,12} With regard to sRaw measurement, Coutier et al 221 showed that sRaw measured during tidal breathing is overestimated compared with that 222 during panting in children. In our study, measurement during tidal breathing was chosen for 223 its feasibility with ease among our younger population (3-6 yo) compared to that of Coutier et 224 al. (6.5-11.5 yo).²⁶ 225

The agreement between Rint and sRaw was fair (Cohen Kappa coefficient = 0.33) in positive
BDR but higher than that in baseline z-scores.

This was consistent with other works reporting that BDR is better than resistance baseline zscores to highlight bronchial hyper reactivity and hence leading to better prevention, diagnosis and management of asthma in children.^{1,21}

231

Given our clinical practice, we believe that clinical status in 3-6 yo population can be 232 regarded as a reliable criterion when screening for positive BDR. Our population was only 233 234 composed of children consulting for a symptomatic respiratory problem. Given our study design and methodology, we did not include healthy children. Our goal was to distinguish 235 BDR negative children from BDR positive children. Rint measurement, with threshold points 236 237 defined according to clinical status, is the most used technique for airway resistance evaluation in preschool children. To that end, we chose Rint cut-off as the reference 238 measurement to estimate the cut-off points for change in sRaw. 239

240

In our study we found that the most optimal diagnostic performance (sensitivity, specificity, positive and negative predictive values) of sRaw change in predicting positive BDR was a decrease ≥ 28 % from the baseline. In the study by Nielsen et al, the cut-off for the change in sRaw for detection of positive BDR was expressed, as a decrease of: 32 % from the baseline and 25% from the predicted value.¹²

Our cut-off (≥ 28 % decrease from the baseline) was close to that proposed by Nielsen et al.¹² Therefore, in future studies with similar population (children with symptomatic respiratory problems) our suggested cut-off could be used to detect BDR and improve therapeutic decision-making. 250 This estimation of change in sRaw (percentage from the baseline) seems to be the most reliable with regard to sensitivity, specificity, negative and positive predicted values for 251 determining the BDR diagnosis. The least reliable estimation seems to be the change of sRaw 252 according to percentage of predicted value. Indeed, changes in Rint and sRaw expressed in 253 percentages of predicted values are used to predict FEV₁ reversibility in schoolchildren able 254 to perform spirometry and not to predict the clinical status of children < 6 yo.^{10,23} This study 255 has some limitations. The prevalence of bronchial obstruction was low in our pediatric 256 population because of the characteristics of our inclusive population. This could have limited 257 258 the statistical power of our study. No controlled healthy children were available, to compare Rint and sRaw between patient cases and controls. This would have put forward the interest 259 of these measurements in detection of children with uncertain diagnosis of asthma or with 260 261 atypical symptoms of asthma.

262

Our measurement method to obtain sRaw was in line with that described in the literature.^{16,19} However, there seems to be a lack of consensus on its reliability of use in young children. We believe that multicenter, prospective, longitudinal studies should be conducted to reach a consensual measurement method for sRaw and to assess the reliability of such method.²⁷

267

BDR measurement of sRaw in our study was defined as the change in Rint and not that of BDR positivity in clinical status. Consequently, our results (i.e. no cut-off value for BDR) cannot be extrapolated to the general population.

271

The poor agreement between the Rint and sRaw measurements further highlights that a single airway resistance measurement method cannot confer optimal diagnosis of bronchial obstruction. Indeed, additional airway measurement methods such as bronchodilation test should be performed. Further larger sample, prospective studies are required to confirm our cut-off point in sRaw change (decrease ≥ 28 % from the baseline measurement) for positive BDR and to assess its clinical relevance. Then, it would be interesting to assess the usefulness of airway resistance measurements in therapeutic decision for asthma management.

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Figure 1.



Figure 2.



Figure 3.



Figure 4.





Measurements of Interrupter Resistance and Specific Airway Resistance at Baseline and after administration of bronchodilator.									
	Baseline (n = 120)		Post bronchodilator (n = 101)		Changes after administration of bronchodilator (n = 101)				
	abs value	z-score	abs value	z-score	Δ abs value	Δ z-score	Δ % bas	Δ % pre	
Rint (kPa.L ⁻¹ .s) sRaw	0.9 ± 0.22	$-0.4 \pm 2.47^{\bullet}$	0.7 ± 0.17*	-2.8 ± 1.96*	-0.2 ± 0.17	-2.3 ± 1.96	-21.6 ± 16.56	-15.1 ± 20.34	
(kPa.s ⁻¹)	1.1 ± 0.22	$-0.6 \pm 0.96^{\bullet}$	$0.9 \pm 0.14^*$	$-1.3 \pm 0.83^{*}$	-0.2 ± 0.19	-0.7 ± 0.90	-19.0 ± 13.39	-27.9 ± 11.29	

Results are expressed as mean \pm standard deviation.

Rint, interrupter resistance; sRaw, specific airway resistance. Abs value, absolute value; Δ abs, change from absolute value; Δ % bas, change expressed as percentage from baseline measurement; Δ % pre, change expressed as percentage of predicted value; Δ z-score, change in z-score.

Table 2

Table 1

Changes after administration of bronchodilator in 83 asthmatic children who performed post bronchodilator Rint and sRaw measurements.

	Asymptomatic $(n = 37)$	Symptomatic (n = 46)	<i>P</i> -value
Δ Abs Rint (kPa.L ⁻¹ .s)	-0.1 ± 0.15	-0.3 ± 0.17	<0.01
sRaw (kPa.s ⁻¹)	-0.2 ± 0.14	-0.3 ± 0.20	<0.01
Δ % bas Rint	-15.6 ± 16.91	-27.7 ± 15.52	<0.01
sRaw	-14.2 ± 11.17	-23.1 ± 12.74	<0.01
Δ % pre Rint	-16.9 ± 20.14	-14.5 ± 21.39	0.61
sRaw	-16.5 ± 11.26	-17.2 ± 13.10	0.80
Δ z-score Rint	-1.5 ± 1.71	-3.1 ± 2.03	<0.01
sRaw	-0.3 ± 0.71	-1.0 ± 0.93	<0.01

Results are expressed as mean \pm standard deviation.

 Δ abs, change from absolute value; Δ % bas, change expressed as percentage from baseline measurement

 Δ % pre, change expressed as percentage of predicted value; Δ z-score, change in z-score.

Table 3

Sensitivity, Specificity, Negative and Positive Predictive Values (%) and their (95%CI) and area under the curve for Bronchodilator response calculated using sRaw considering Rint cut-offs as the reference measurement.

	Sensitivity	Specificity	PPV	NPV	AUC
	(%)	(%)	(%)	(%)	
Δ abs (\geq 0.27 kPa.s ⁻¹)	60 [43; 76]	77 [65; 86]	62 [45; 77]	76 [64; 85]	0.748
Δ % bas (\geq 28 %)	60 [40; 75]	86 [75; 92]	63 [43; 80]	83 [73; 91]	0.718
∆ % pre (≥ 35 %)	44 [20; 70]	76 [65; 85]	26 [11; 47]	88 [78; 94]	0.547
Δ z-score (\geq -1.07)	83 [66; 94]	45 [33; 58]	45 [33; 58]	83 [66; 94]	0.694

 $\overline{\Delta}$ abs, change from absolute value; Δ % bas, change expressed as percentage from baseline measurement; Δ % pre, change expressed as percentage of predicted value; Δ z-score, change in z-score; PPV, positive predicted value; NPV, negative predictive value; AUC, area under the curve