

# The potential role of exhaled breath analysis in the diagnostic process of pneumonia - a systematic review

**DOI:**

[10.1088/1752-7163/aaa499](https://doi.org/10.1088/1752-7163/aaa499)

**Document Version**

Accepted author manuscript

[Link to publication record in Manchester Research Explorer](#)

**Citation for published version (APA):**

van Oort, P., Pova, P., Schnabel, R., Dark, P., Artigas, A., Bergmans, D., Felton, T., Coelho, L., Schultz, M. J., Fowler, S. J., & Bos, L. (2018). The potential role of exhaled breath analysis in the diagnostic process of pneumonia - a systematic review. *Journal of Breath Research*. <https://doi.org/10.1088/1752-7163/aaa499>

**Published in:**

Journal of Breath Research

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## The potential role of exhaled breath analysis in the diagnostic process of pneumonia – a systematic review

To cite this article before publication: Pouline van Oort *et al* 2018 *J. Breath Res.* in press <https://doi.org/10.1088/1752-7163/aaa499>

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3 **1 The Potential Role of Exhaled Breath Analysis in the Diagnostic Process**  
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5 **2 of Pneumonia – A Systematic Review**  
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15  
16 34 **Word count abstract: 237**

17  
18 35 **Word count text: 3183**

19  
20 36 **Running Title:** Exhaled Breath Analysis for Diagnosis of Pneumonia  
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1  
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3 37 **Abstract**  
4

5 38 Diagnostic strategies currently used for pneumonia are time-consuming, lack  
6 accuracy and suffer from large inter-observer variability. Exhaled breath contains  
7 39 thousands of volatile organic compounds (VOCs), which include products of host and  
8 thousands of volatile organic compounds (VOCs), which include products of host and  
9 40 pathogen metabolism. In this systematic review we investigated the use of so-called  
10 41 'breathomics' for diagnosing pneumonia.  
11 42

12 43 A Medline search yielded 18 manuscripts reporting on animal and human studies  
13 44 using organic and inorganic molecules in exhaled breath, that all could be used to  
14 45 answer whether analysis of VOC profiles could potentially improve the diagnostic  
15 46 process of pneumonia. Papers were categorised based on their specific aims; the  
16 47 exclusion of pneumonia; the detection of specific respiratory pathogens; and whether  
17 48 targeted or untargeted VOC analysis was used.  
18 49

19 50 Ten studies reported on the association between VOCs and presence of pneumonia.  
20 51 Eight studies demonstrated a difference in exhaled VOCs between pneumonia and  
21 52 controls; in the individual studies this discrimination was based on unique sets of  
22 53 VOCs. Eight studies reported on the accuracy of a breath test for a specific  
23 54 respiratory pathogen: five of these concerned preclinical studies in animals. All  
24 55 studies were valued as having a high risk of bias, except for one study that used an  
25 56 external validation cohort.  
26 57

27 58 The findings in the identified studies are promising. However, as yet no breath test  
28 59 has been shown to have sufficient diagnostic accuracy for pneumonia. We are in  
29 60 need of studies that further translate the knowledge from discovery studies to clinical  
30 61 practice.  
31 62

32 63 **Key words:** Exhaled breath analysis; Pneumonia; Diagnosis; Breathomics; Volatile  
33 64 Organic Compounds  
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## 65 Introduction

66 The prevalence of community-acquired pneumonia (CAP)<sup>1</sup> and nosocomial  
67 pneumonia<sup>2,3</sup> is high with substantial impact on morbidity and mortality<sup>4-10</sup>. Treatment  
68 of pneumonia is a balance between optimal antibiotic therapy for the patient (e.g. a  
69 combination of antibiotics that effectively target the causative pathogen) and for the  
70 community (e.g. minimizing the duration of exposure to broad spectrum antibiotics to  
71 limit antimicrobial resistance)<sup>11</sup>. In the ideal world, this balance would be met through  
72 a diagnostic test that is not only quick, non-invasive, reliable and available in real-  
73 time at the bedside, but most of all (1) excludes pneumonia in order to withhold  
74 antibiotic treatment from patients without an infection; (2) enables targeting of  
75 antibiotic treatment of the causative pathogen; and (3) facilitates evaluation of the  
76 treatment response aiming to refine antibiotic de-escalation and duration of antibiotic  
77 treatment.

78 'Breathomics' refers to the analysis of volatile compounds in exhaled breath  
79 that resulted from, or are affected by metabolism<sup>12</sup>. The complete human breathome  
80 consists of thousands of compounds<sup>13-17</sup>. The volatile organic compounds (VOCs)  
81 that are present in the exhaled breath have various origins. Exogenous VOCs are  
82 derived from the environment and are taken in through inhalation or ingestion (e.g.  
83 via food or drugs). VOCs that are produced within the body can emerge as products  
84 of physiological metabolic processes from the host, as products of metabolic  
85 processes from microbial pathogens, or results from of a host response to  
86 pathological processes such as infection or inflammation<sup>18-20</sup>. Changes, therefore, in  
87 host or microbial metabolism might lead to an impact on the composition of the  
88 exhaled breath profile.

89 In this systematic review we aim to investigate the potential role of exhaled  
90 breath analysis for diagnosing pneumonia, by providing: (1) sensitive detection of  
91 pneumonia; (2) specific detection of the causative organism(s); and (3) a tool to  
92 monitor the treatment response after the initiation of antibiotics (see Figure 1). We

93 hypothesize that changed concentrations of VOCs in exhaled breath can be used to  
94 accurately discriminate patients with pneumonia from patients without pneumonia  
95 and may be used for specific identification of the causative pathogen.

96

## 97 **Methods**

### 98 Search

99 This is a systematic review following PRISMA (Preferred Reporting Items for  
100 Systematic Reviews and Meta-Analyses) guidelines, performed by two independent  
101 researchers. We searched Medline for potentially relevant articles up to March 7<sup>th</sup>  
102 2017, using the following search terms: “(((Chromatography OR Spectrometry OR  
103 MS OR (Volatile AND Organic) OR Metabol\*) AND breath) OR (volatile fingerprint\*)  
104 OR (breathprin\*) OR (electronic AND nose)) AND (pneumonia OR (lung infection\*)  
105 OR (respiratory infection\*) OR (lung bacteria\*) OR (respirator\* bacteria\*))”. There  
106 was no restriction with respect to human or animal studies; but articles written in a  
107 language other than English and studies performed in vitro were excluded. Two  
108 authors (PvO and LB) reviewed the abstracts and/or full-text manuscripts  
109 independently and selected those that were regarded to be relevant. No  
110 disagreement on selection of articles was seen between the two reviewers.

### 111 Selection criteria

112 Inclusion criteria were (1) human or animal studies that (2) studied volatiles in  
113 exhaled breath to (3) diagnose bacterial pneumonia or identify the causative  
114 organism of pneumonia. Objective 3 as mentioned in the introduction (the evaluation  
115 of the treatment effect in patients with pneumonia) was let go, due to a lack of  
116 studies specifically investigating this. We excluded in vitro studies and studies that  
117 focused on very specific atypical causative organisms (such as Aspergillus).

### 118 Reference test

119 The diagnosis of pneumonia could be based on clinical symptoms alone, or could be  
120 supported by chest radiography and/or microbiology testing (cultures of endotracheal

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2  
3 121 aspirate (ETA), nondirected bronchial lavage (NBL or mini-BAL) or bronchoalveolar  
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5 122 lavage (BAL)). For community-acquired pneumonia, the combination of clinical signs  
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7 123 and symptoms with an evident infiltrate on the chest radiograph was considered a  
8  
9 124 good reference test, while anything less was considered too nonspecific. For  
10  
11 125 ventilator-associated pneumonia, clinical signs, laboratory parameters, an infiltrate  
12  
13 126 on chest radiography and quantitative cultures of BAL or NBL were considered an  
14  
15 127 appropriate reference standard.

### 18 Index test

20 129 Advances in chemical analytics have enabled the measurement of inorganic<sup>21,22</sup> and  
21  
22 130 organic compounds<sup>23–25</sup> in biological matrices such as exhaled breath. Volatile  
23  
24 131 molecules in breath can be studied via a targeted and an untargeted approach<sup>12</sup>.  
25  
26 132 With the targeted approach the researcher identifies the molecules of interest  
27  
28 133 beforehand and uses analytical assays to measure those compounds quantitatively.  
29  
30 134 The untargeted approach entails analytical techniques that measure multiple  
31  
32 135 molecules present in the breath. Untargeted analysis can be performed with mass-  
33  
34 136 spectrometry based techniques aimed to identify a variety of VOCs<sup>26</sup> or with so-  
35  
36 137 called electronic nose technology that is based on pattern recognition<sup>14,27,28</sup>. The  
37  
38 138 analytical details of these techniques are discussed in detail in previous  
39  
40 139 publications<sup>27,29</sup>. Figure 2 summarises the analytical methods that will be referred to  
41  
42 140 in this systematic review. No single method is superior to the others, they provide  
43  
44 141 different types of information, therefore the quality of the index test was assessed  
45  
46 142 based on the use of an independent validation cohort, which has been shown to limit  
47  
48 143 bias<sup>27</sup>.

### 51 Methodological assessment and categorisation

53 145 The methodological quality of each selected full manuscript was evaluated using the  
54  
55 146 QUADAS-2 tool by the same authors as describes above<sup>30</sup>. Risk of bias was  
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57 147 assessed concerning patient selection, the interpretation or conduct of the index test,  
58  
59 148 the interpretation or conduct of the reference standard and the patient flow. The  
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3 149 papers were classified as either (1) studies concerning sensitive detection of the  
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5 150 presence of pathogenic bacteria, either concerning studies investigating inorganic  
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7 151 compounds, untargeted analysis of VOCs or eNose technology for discrimination  
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9 152 between pneumonia and no pneumonia; or (2) studies investigating the use of VOC  
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11 153 analysis for specific detection of pathogenic bacteria, in animals or in humans.  
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## 15 155 16 156 **Results**

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19 157 The search was last updated on March 7<sup>th</sup> 2017 and yielded 321 articles, of  
20  
21 158 which 18 were selected after screening on title/abstract and full text (Figure 3). Of  
22  
23 159 these, 13 studies were in humans and five were performed in murine models. Eight  
24  
25 160 studies dealt with the detection of specific pathogenic bacteria, the others focused on  
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27 161 discrimination between patients with and without pneumonia. One of the studies  
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29 162 discussed treatment response. Table 1 demonstrates the areas of interest for each  
30  
31 163 study and summarises the methodology used.  
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33  
34 164 The studies were critically appraised and risk of bias was assessed regarding  
35  
36 165 patient selection, index test, reference standard and flow and timing (Table 2). The  
37  
38 166 domain 'patient selection' was considered not applicable in the five animal studies.  
39  
40 167 For most studies the risk of bias was valued as high, except for one that used a  
41  
42 168 validation cohort<sup>31</sup>, resulting in a low risk of bias regarding the index test.  
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### 45 46 170 Discrimination between patients with and without pneumonia

#### 47 48 171 *Detection of volatile inorganic compounds*

49  
50 172 NO was not increased in the breath of a small group of patients admitted with  
51  
52 173 pneumonia, when compared with control patients<sup>32</sup>. As expected it was elevated in  
53  
54 174 patients with an exacerbation of asthma. This result was in contrast to the results of a  
55  
56 175 larger study at less risk of bias (Table 2) in which exhaled NO was measured in  
57  
58 176 tracheal and nasal gas in patients ventilated within 72 hours of ICU admission<sup>31</sup>.  
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3 177 Some of these patients were later diagnosed with VAP and this was used as the  
4  
5 178 reference standard. A validation cohort consisting of similar patients to the first group  
6  
7 179 was used to determine sensitivity and specificity of the NO threshold that was  
8  
9 180 calculated in the preceding group. NO concentrations were measured at multiple  
10  
11 181 sampling points in the airway as well as in the nasal cavity, and significantly higher  
12  
13 182 NO levels were found at all points in patients with pneumonia. Of these, the  
14  
15 183 maximum (end-expiratory) tracheal NO values resulted in the highest sensitivity and  
16  
17 184 specificity for the diagnosis of pneumonia: 88% and 76% respectively (see Table 1).  
18  
19 185 Results from one study with an imperfect reference test, namely subjective  
20  
21 186 symptoms of lower respiratory infection, suggested a possible relationship between  
22  
23 187 elevated exhaled CO levels and the clinical presence of pneumonia<sup>33</sup>. Notably, the  
24  
25 188 exhaled CO concentration followed similar trends as the patients' symptoms after  
26  
27 189 antimicrobial treatment.  
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#### 32 191 *Untargeted analysis of VOCs*

33 192 The abundance of particular VOCs seems to be different in the breath of  
34  
35 193 mechanically ventilated patients with pneumonia compared with those without  
36  
37 194 pneumonia<sup>34-36</sup>. The results of studies using gas chromatography and mass  
38  
39 195 spectrometry (GC-MS, see Figure 2), however, were not uniform. The described  
40  
41 196 VOCs differed between studies and two compounds that were identified as being  
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43 197 associated with VAP (ethanol and heptane) showed conflicting results in two studies  
44  
45 198 (as shown in Table 3). Differences between studies regarding investigated cohorts,  
46  
47 199 reference standards and outcome measures (sensitivity, specificity and/or accuracy)  
48  
49 200 can be found in Table 1. Nevertheless, breath tests showed promising discrimination  
50  
51 201 between patients with and without pneumonia in the included clinical studies. The  
52  
53 202 most frequently isolated pathogens in these studies were *Staphylococcus aureus*,  
54  
55 203 *Haemophilus influenzae*, *Pseudomonas aeruginosa*, *Escherichia coli* and *Klebsiella*  
56  
57 204 *pneumoniae*<sup>34-36</sup>.  
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205

206 *Electronic nose technology*

207 Preliminary results indicated a potential correlation between chest CT scans<sup>37</sup> or  
208 Clinical Pulmonary Infection Score (CPIS)<sup>38</sup> and the subsequent eNose sensor  
209 responses in mechanically ventilated patients. The eNose (see Figure 2) seemed to  
210 distinguish patients with and without bacterial infection<sup>39</sup> (Table 1). When specifically  
211 focusing on diagnosis of VAP, the eNose appeared to have good accuracy,  
212 moderate sensitivity and a rather poor specificity<sup>40</sup>.

213

214 Specific detection of pathogens by VOC analysis

215 Secondary electrospray ionization – mass spectrometry (SESI-MS, see  
216 Figure 2) breathprint analysis was used to investigate the ability to identify respiratory  
217 infection caused by strains of *Haemophilus influenzae*, *Klebsiella pneumoniae*,  
218 *Legionella pneumophila*, *Moraxella catarrhalis*, *Pseudomonas aeruginosa*,  
219 *Staphylococcus aureus* or *Streptococcus pneumoniae* in mice<sup>41–44</sup>. Overall SESI-MS  
220 breathprints seemed to be able to distinguish between respiratory infection and no  
221 infection in mice and enabled differentiation between strains of aforementioned  
222 pathogens. A high degree of variation was seen when translating *in vitro* experiments  
223 to the *in vivo* VOC fingerprints<sup>42</sup>. The relative contribution of bacterial metabolism and  
224 host response on the exhaled breath profile could be inferred through an experiment  
225 in which mice were exposed to bacterial cell lysates<sup>45</sup>. This experimental set-up,  
226 using these bacterial cell lysates, allows for host and pathogen derived metabolites  
227 to be differentiated. The obtained SESI-MS breathprints changed over time after  
228 lysate exposure and appeared to 1) correlate to the host immune response; and 2)  
229 distinguish active infections of *P. aeruginosa* or *S. aureus* from cell lysate exposure.  
230 Also using GC-MS specific VOCs in the exhaled breath seemed to reflect the  
231 presence of particular microorganisms in the respiratory tract and, in line with the use  
232 of SESI-MS, direct translation of biomarkers from the *in vitro* to the *in vivo* setting

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3 233 proved difficult<sup>46,47</sup>. In clinical studies, the evidence for specific detection of particular  
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5 234 causative pathogens seemed speculative; as the published papers did not provide  
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7 235 data on the accuracy of such measurements<sup>46</sup>. The only study that reported a high  
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9 236 diagnostic accuracy for the identification of a causative pathogen focused on  
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11 237 *Acinetobacter baumannii*. A set of eight compounds resulted in excellent separation  
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13 238 of patients with *A. baumannii* pneumonia, colonization with the same bacterium and  
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15 239 controls. The major limitation of the described studies was that they did not evaluate  
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17 240 the diagnostic accuracy of a breath test in the clinical scenario where such a test  
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19 241 would be used; e.g. in patients with a clinical suspicion of VAP.

## 22 242 **Discussion**

24 243 Based on our systematic review, the presence of certain profiles or patterns  
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26 244 of volatile molecules in the exhaled breath appeared to be associated with  
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28 245 pneumonia. However, the precise identity of these volatile biomarkers remains  
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30 246 largely unknown. Furthermore, none of the studied breath tests delivered results with  
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32 247 sufficient clinical diagnostic accuracy that would likely impact on clinical decisions.  
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34 248 Most of the available studies provided feasibility or proof of concept data with a  
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36 249 substantial risk of bias and did not test a clear, pre-defined hypothesis.

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39 250 There are two leads to follow in the diagnosis of pneumonia: measurement of  
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41 251 the host response or direct identification of the pathogen<sup>48,49</sup>, both important  
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43 252 establishing the ideal diagnostic test. In vitro results suggested that different  
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45 253 pathogenic bacteria produced different volatile molecules, which might be used for  
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47 254 identification<sup>20</sup>. One of the major challenges is that bacterial growth and metabolism  
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49 255 are influenced by the chosen culture media, timing and the selection of particular  
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51 256 strains and, therefore, may not be representative of growth in vivo<sup>20</sup>. A sterile  
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53 257 inflammatory response altered the VOC release in several animal models of lung  
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55 258 injury<sup>21</sup>. Thus, pneumonia may be recognized through exhaled breath analysis by  
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57 259 detection of molecules produced either directly by the pathogen or through an altered  
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59 260 host metabolism associated with the host response. Animal studies might offer

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3 261 advantages enabling the investigation of 1) a single bacterial infection, 2) the  
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5 262 influence of timing on disease progression and 3) post-mortem histology for the gold-  
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7 263 standard diagnosis of respiratory infection.  
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9 264 This systematic literature review demonstrates that certain volatile molecules  
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11 265 could be useful as possible biomarkers for the diagnosis of pneumonia. One of them  
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13 266 is nitric oxide (NO), a compound that has a bronchodilating and vasodilating effect in  
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15 267 the respiratory tract and plays a key role in local inflammatory response<sup>22</sup>. NO is  
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17 268 relatively easy to measure and thus forms an attractive candidate for diagnostic  
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19 269 purposes<sup>50,51</sup>. In the airways NO is produced by endothelial, epithelial and  
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21 270 inflammatory cells. Generation of NO involves the oxidation of the aminoacid L-  
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23 271 arginine, a process that is catalysed by the enzyme NO synthase<sup>52</sup>. An increased  
24  
25 272 concentration of exhaled NO is seen in asthma, bronchiectasis and sepsis<sup>53</sup>, and has  
26  
27 273 also been associated with rhinitis, active pulmonary sarcoidosis and viral respiratory  
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29 274 illnesses<sup>52</sup>. Table 3 shows other biomarkers of potential interest regarding the  
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31 275 discrimination of patients with and without pneumonia. However, hardly any overlap  
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33 276 is seen between the different VOCs reported in separate studies and they also show  
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35 277 conflicting results for heptane and ethanol. Two studies found an association  
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37 278 between pneumonia and a decrease in exhaled breath acetone. Generally, acetone  
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39 279 is present in large quantities in the exhaled breath. Its decrease in the breath of  
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41 280 pneumonia patients might be explained by a reduced ketogenesis that is seen during  
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43 281 inflammation or infection<sup>34</sup>.  
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47 282 As soon as a breath test fulfils the requirements for a diagnostic test for  
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49 283 pneumonia, it shall be able to fulfil a role alongside the currently available and  
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51 284 frequently used alternatives<sup>54,55</sup> and can either compete with them, or complement  
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53 285 them. The diagnosis of pneumonia relies on a combination of physical examination  
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55 286 and chest radiography<sup>56</sup>, potentially accompanied by measurement of inflammatory  
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57 287 markers in plasma, urinary antigen testing<sup>54</sup>, repeated determination of C-reactive  
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59 288 protein (CRP)<sup>57</sup> and collecting airway samples for microbiology cultures<sup>58</sup>. Current  
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3 289 diagnostics lack clinical accuracy<sup>59</sup> and have high inter-observer variability<sup>60</sup>.  
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5 290 Microbiology results take 48-72 hours to become positive. The unnecessary  
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7 291 prescription of antimicrobial treatment increases antimicrobial resistance<sup>61-63</sup>,  
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9 292 whereas applying the wrong antibiotics is likely to increase mortality<sup>64-66</sup>. In order to  
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11 293 withhold antibiotics, the CPIS<sup>67</sup> combines clinical and physiological data, pulmonary  
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13 294 radiography and microbiology results into a numeric score that can be used to  
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15 295 exclude pneumonia with moderate accuracy due to substantial inter-observer  
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17 296 variability<sup>68,69</sup>. Additionally, biomarkers like pulmonary interleukin-1 $\beta$  (IL-1 $\beta$ ) and  
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19 297 interleukin-8 (IL-8) measured in BAL fluid have shown promising results as  
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21 298 discriminators for VAP<sup>70,71</sup>. In the near future Polymerase Chain Reaction (PCR) of  
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23 299 respiratory samples might be used to identify the causative pathogen rapidly and  
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25 300 specifically<sup>72-74</sup> and serum procalcitonin has been proposed as an attractive  
26  
27 301 candidate for determining antibiotic duration<sup>75,76</sup>. How would exhaled breath analysis  
28  
29 302 compete with these alternatives? In contrast to blood or BAL samples, breath can be  
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31 303 collected completely non-invasive and it is continuously available. A breath test could  
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33 304 also provide results rapidly and cost-effectively, which is important in the setting of  
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35 305 pneumonia. A breath test with the right test characteristics could thus provide real  
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37 306 opportunities for improved real-time diagnostic utility, patient acceptability and cost  
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39 307 effectiveness.

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43 308 Many different methods for breath sampling have been described in literature,  
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45 309 including but not limited to: glass syringes, needle traps<sup>77</sup> steel or glass tubes filled  
46  
47 310 with sorbent material and/or breath gas bags (e.g. Tedlar bags). Pre-concentration of  
48  
49 311 the breath sample could be established through the absorption of the VOCs using for  
50  
51 312 instance organic polymers (e.g. Tenax TA), graphitized carbon, activated charcoal or  
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53 313 carbon molecular sieves<sup>78</sup>. A challenge in the process of breath sampling is the  
54  
55 314 humidity of exhaled breath – especially true for mechanically ventilated patients –  
56  
57 315 which possibly affects pre-concentration, separation and detection of individual  
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59 316 compounds<sup>16</sup>. The use of storage containers such as Tedlar Bags has been linked to

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3 317 loss of analytes or contamination of samples<sup>77</sup>. The lack of standardization of  
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5 318 analytical methods leads to a wide variation of results among studies. Application of  
6  
7 319 a standardised method of exhaled breath analysis would lead to comparable results,  
8  
9 320 thereby facilitating the potential use of breath biomarkers in the future<sup>79</sup>.

11 321 Based on the results from the studies included in this review, we can  
12  
13 322 conclude that the VOCs that are measurable in exhaled breath are altered during  
14  
15 323 pneumonia and can derive from the bacterial metabolism as well as the host  
16  
17 324 response. However, these results do not yet allow us to link specific compounds to  
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19 325 particular pathogens or disease states, nor does it allow us to pool data from different  
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21 326 experiments or studies due to bias and heterogeneity in experimental procedures.  
22  
23 327 Future studies should utilize this understanding and not only focus on VOCs  
24  
25 328 produced by bacteria or the host, but should also combine these two for optimal  
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27 329 diagnostic accuracy. Additionally, a more stringent approach towards the  
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29 330 methodological design of the studies is recommended. This includes following the  
30  
31 331 STARD guidelines for reporting studies on diagnostic accuracy to limit the amount of  
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33 332 bias<sup>80,81</sup>. Previous reviews<sup>27,82</sup> properly summarised the necessary steps to validate  
34  
35 333 preliminary results in breath research. Importantly, future studies should focus more  
36  
37 334 on the clinical application of a breath test. As advocated in this review such a test  
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39 335 would 1) exclude pneumonia in order to withhold antibiotic treatment from patients  
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41 336 without an infection; 2) enable targeting of antibiotic treatment to the causative  
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43 337 pathogen; and/or 3) facilitate evaluation of the treatment response aiming to refine or  
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45 338 stopping antibiotics. To date, most focus has been on VAP rather than on  
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47 339 community-acquired pneumonia, implicating that currently most evidence is available  
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49 340 for this particular respiratory infection aetiology. Therefore, this might also be the  
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51 341 clinical problem that might require direct focus in the forthcoming years of breath  
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53 342 research.

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55 343 This systematic review of the literature has several strengths and  
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57 344 weaknesses. We chose to apply wide inclusion criteria in order to fully cover the

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3 345 literature in this relatively nascent field of research. Naturally, this resulted in a wide  
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5 346 diversity of selected articles and made it impossible to pool data due to the  
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7 347 underlying heterogeneity, which can be seen as a limitation of our review. In general  
8  
9 348 one can also wonder to what extent the results provided by animal experiments can  
10  
11 349 be translated to the human situation. This study also has several strengths: clinical  
12  
13 350 and pre-clinical studies with multiple analytical devices were included and the results  
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15 351 were clustered into the clinical perspective of three scenarios where a biomarker  
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17 352 could alter clinical decision-making.

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20 353 This review demonstrates that a relationship exists between respiratory  
21  
22 354 infection and the presence of particular VOCs in the exhaled breath. Presently, no  
23  
24 355 available breath test is accurate enough to qualify for a role within the diagnostic  
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26 356 process of pneumonia. Future studies should focus on clinical scenarios in which a  
27  
28 357 breath test could impact on antimicrobial stewardship and should limit bias by strictly  
29  
30 358 adhering to the latest guidelines.

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34  
35 360 **Acknowledgements** The authors thank all the members of the BreathDx  
36  
37 361 Consortium: Waqar Ahmed, Antonio Artigas, Dennis C.J.J. Bergmans, Lieuwe D. J.  
38  
39 362 Bos, Marta Camprubi, Luis Coelho, Paul Dark, Alan Davie, Emili Diaz, Gemma  
40  
41 363 Goma, Timothy Felton, Stephen J. Fowler, Royston Goodacre, Hugo Knobel,  
42  
43 364 Oluwasola Lawal, Jan-Hendrik Leopold, Ignacio Martin-Loeches, Tamara Nijsen,  
44  
45 365 Poulina M. P. van Oort, Pedro Pova, Nicholas J. W. Rattray, Guus Rijnders, Ronny  
46  
47 366 Schnabel, Marcus J. Schultz, Ruud Steenwelle, Peter J. Sterk, Jordi Valles, Fred  
48  
49 367 Verhoeckx, Anton Vink, Hans Weda and T1616ineke Winters.

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51  
52 368 **Author Contributions** PvO and LB conceptually designed the manuscript and  
53  
54 369 performed the literature search. PvO and LB prepared the initial version of the paper  
55  
56 370 and PP, RS, PD, AA, DB, TF, LC, MS and SF advised on the composition of the  
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58 371 subsequent final manuscript. All authors approved the submitted version of this  
59  
60 372 article. PvO can be regarded the guarantor of the paper, taking responsibility for the



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373 integrity of the work as a whole, from inception to published article.

374 **Funding** Funding is provided by the European Union: *BreathDx* – 611951.

375 **Competing interests** None declared

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Accepted Manuscript

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3 695  
4 696 **Table Legends**

6 697 **Table 1. Full text selected articles**

7 698 The selected articles either concern clinical (C) or pre-clinical (P) studies.

9  
10 699 Investigated inorganic compounds include nitric oxide (NO) and carbon monoxide  
11 700 (CO). The investigated study population could be on ICU patients in general, or could  
12  
13 701 involve a specific target group, e.g. patients with COPD (Chronic obstructive  
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15 702 pulmonary disease), Community-acquired pneumonia (CAP) or Ventilator-associated  
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17 703 pneumonia (VAP). As a reference test a protected specimen brush (PSB),  
18  
19 704 bronchoalveolar lavage (BAL) or endotracheal aspirate (ETA) was used. The used  
20  
21 705 index test to analyse Volatile Organic Compounds (VOCs) could involve secondary  
22  
23 706 electrospray ionization – mass spectrometry (SESI-MS), Clinical Pulmonary Infection  
24  
25 707 Score (CPIS), eNose technology or gas chromatography – mass spectrometry (GC-  
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27 708 MS): either sensitivity (sens) and specificity (spec), or accuracy has been displayed  
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29  
30 709 in the Table.

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33 710 \*For details: see Table 3.

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35 711

36  
37 712 **Table 3. VOCs identified by GC-MS:** The VOCs are either increased (↑) or

38 713 decreased (↓) in the exhaled breath of pneumonia patients when compared to

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40 714 patients without pneumonia.  
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Table 1. Full text selected articles

Type	Study	Population	Sample size	Index test	Disease under study; Reference test	Sens	Spec	Accuracy	Comments
C	31	ICU patients	49	NO analyser	VAP: Clinical signs + culture of unknown specimen	88%	76%		
C	32	General ward	42	NO analyser	CAP: Clinical signs + X-ray				Quantitative, lower NO concentration
C	47	Outpatient clinic	72	CO analyser	CAP: Clinical signs				Accuracy estimated from figure
C	80	ICU patients	76	eNose	VAP: Clinical signs			~90-100%	
C	45	ICU patients	28	GC-MS	VAP: Culture of BAL / ETA			Unknown	Quantitative
C*	34	ICU patients	46	GC-MS	VAP: Culture of ETA	98%	98%		Invasively ventilated patients at risk for VAP
C	46	ICU patients	60	GC-MS	VAP: Clinical signs + radiology + culture of BAL / PSB / ETA			88-89%	
C	36	ICU patients	25	eNose	VAP: Chest CT scan			91-100%	
C	37	ICU patients	44	eNose	VAP: CPIS > 6			70%	
C*	33	ICU patients	100	GC-MS	VAP: Clinical signs + radiology + culture of BAL	76%	73%		Only patients that were suspected of VAP
C	39	ICU patients	125	eNose	VAP: Clinical signs + radiology + culture of BAL	76%	56%		Only patients that were suspected of VAP
C	38	COPD patients	43	eNose	CAP: Sputum cultures	73%	76%		
C*	35	ICU patients	93	GC-MS	VAP: Clinical signs + radiology + culture of ETA	75%	72%	73%	
P	43	Mice	12	SESI-MS	Instillation of MRSA or MSSA			100%	Experimental model with <i>Staphylococcus</i>
P	44	Mice	87	SESI-MS	Instillation of alive or lysated bacteria			100%	Experimental model with alive or dead bacteria
P	41	Mice	?	SESI-MS	Instillation of <i>Pseudomonas</i> or <i>Staphylococcus</i>			Unknown	Quantification of difference between in-vitro and in vivo
P	40	Mice	42	SESI-MS	Instillation of seven different bacterial strains			Unknown	Quantification of difference between pathogens
P	42	Mice	?	SESI-MS	Instillation of <i>Pseudomonas</i> or <i>Staphylococcus</i>			Unknown	Quantification of dynamic changes in breath VOCs

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Table 2. QUADAS-2 (adapted version)

Study	Risk of Bias				
	Year	Patient selection	Index test	Reference standard	Flow and timing
Adrie <sup>31</sup>	2001	No	No	No	No
Ali-Ali <sup>32</sup>	2001	Yes	Yes	Yes	No
Bean <sup>44</sup>	2014	N/A	Yes	No	No
Bean <sup>45</sup>	2015	N/A	Yes	No	No
Biernacki <sup>33</sup>	2001	Yes	Yes	Yes	No
Chiu <sup>83</sup>	2014	Yes	Yes	Yes	Unclear
Filipiak <sup>46</sup>	2015	Yes	Yes	No	No
Fowler <sup>35</sup>	2015	Unclear	Yes	No	No
Gao <sup>47</sup>	2016	Yes	Yes	No	No
Hockstein <sup>37</sup>	2004	Yes	Yes	Yes	No
Hockstein <sup>38</sup>	2005	Yes	Yes	Yes	No
Schnabel <sup>34</sup>	2015	Unclear	Yes	No	No
Schnabel <sup>40</sup>	2015	No	Yes	No	No
Van Geffen <sup>39</sup>	2016	Yes	Yes	No	No
Van Oort <sup>36</sup>	2017	No	Yes	No	No
Zhu <sup>42</sup>	2013	N/A	Yes	No	No
Zhu <sup>41</sup>	2013	N/A	Yes	No	No
Zhu <sup>43</sup>	2013	N/A	Yes	No	No



**Table 3. VOCs identified by GC-MS: increased (↑) or decreased (↓) in breath of pneumonia vs. no pneumonia patients**

Classification	Volatile Organic Compound	Reporting article		
		Schnabel <sup>34</sup>	Fowler <sup>35</sup>	Van Oort <sup>36</sup>
<b>Ketone</b>	Acetone	↓		↓
	2-methyl cyclopentanone		↓	
	Methylisobutylketone			↓
<b>Aldehyde</b>	Acrolein	↓		
	Nonanal		↑	
	Tetradecanal	↑		
<b>Ether</b>	Sevoflurane			↓
	Tetrahydrofuran	↓		
<b>Alkane</b>	2-methyl butane	↑		
	2-ethoxy-2-methyl propane			↓
	Carane	↑		
	Dodecane	↓		
	Heptane	↑	↓	
	Tetradecane	↑		
	2,6,11,15-tetramethyl-hexadecane		↑	
<b>Alkene</b>	Cyclohexene			↓
<b>Terpene</b>	3-carene		↑	
<b>Alcohol</b>	Ethanol	↑	↓	
	Isopropyl Alcohol	↓		
	Hexafluoroisopropanol			↓
	1-propanol			↓
<b>Arene</b>	Ethylbenzene	↑		
<b>Ester</b>	N-butyric acid 2-ethylhexyl ester		↑	
<b>Sulfide</b>	Carbon disulfide			↓
<b>Amide</b>	N-cyclohexyl-N'(2-hydroxyethyl)thio-urea		↓	

## Figure Legends

**Figure 1.** The aspired contribution of breath analysis regarding antibiotic stewardship for pneumonia (↑: increase)

### Figure 2.

Exhaled breath analysis for the prediction of pneumonia: several available techniques and accompanying analytical principles.

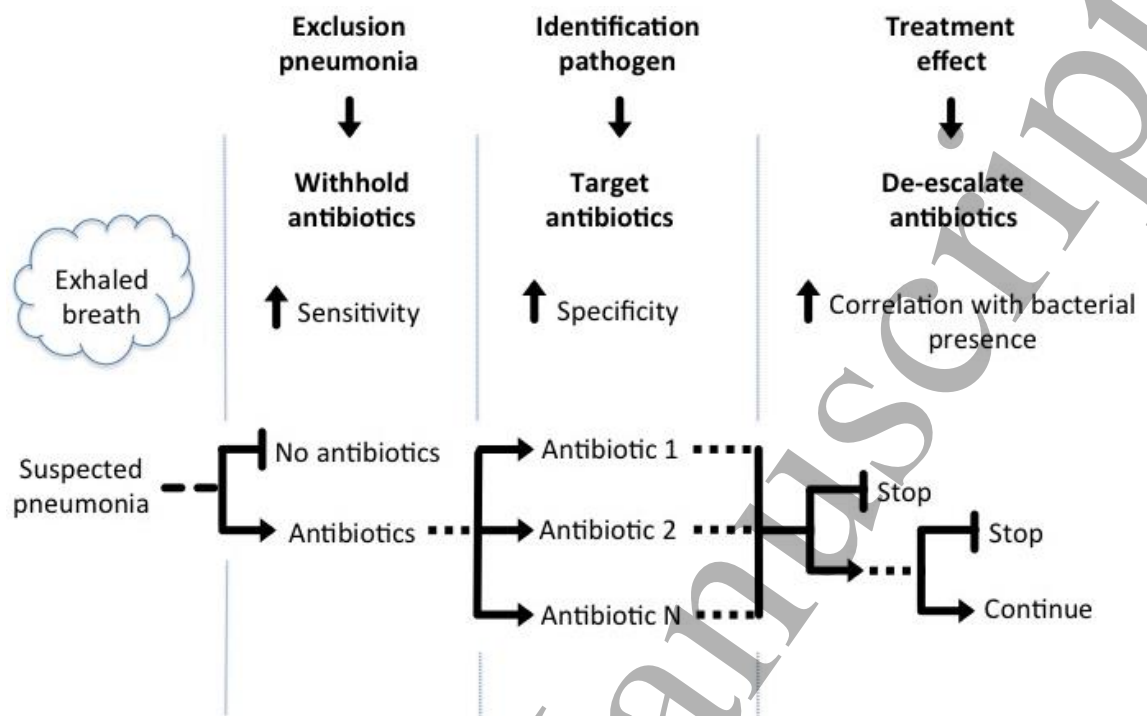
eNose: Conventional electronic noses consist of an array of gas sensors using transducer principles (e.g. through metal oxide sensors, conducting polymer sensors or surface or bulk acoustic wave sensors)<sup>84</sup>, whereas new approaches involve optical sensor systems and colorimetric sensors<sup>17</sup>; GC-MS: Gas chromatography – mass spectrometry is currently seen as the preferred method for separation, detection and identification of individual VOCs; SESI-MS: Secondary electrospray ionization – mass spectrometry enables rapid detection of VOCs without the need for sample pretreatment<sup>85</sup>. After introduction into the SESI reaction chamber the sample passes through an electrospray cloud that ionizes the volatiles, after which the ionized VOCs are detected in the mass spectrometer. The method cannot be used to quantify individual VOCs, as many volatiles have similar molecular weights and the methodology relies on pattern recognition. GC-MS and SESI-MS can both be used for targeted and untargeted analysis.

**Figure 3.** Flow diagram of article selection.

VOC: Volatile Organic Compound; GC-MS: Gas chromatography – mass spectrometry; SESI-MS: Secondary electrospray ionization – mass spectrometry.

Figures

Figure 1



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Figure 2.

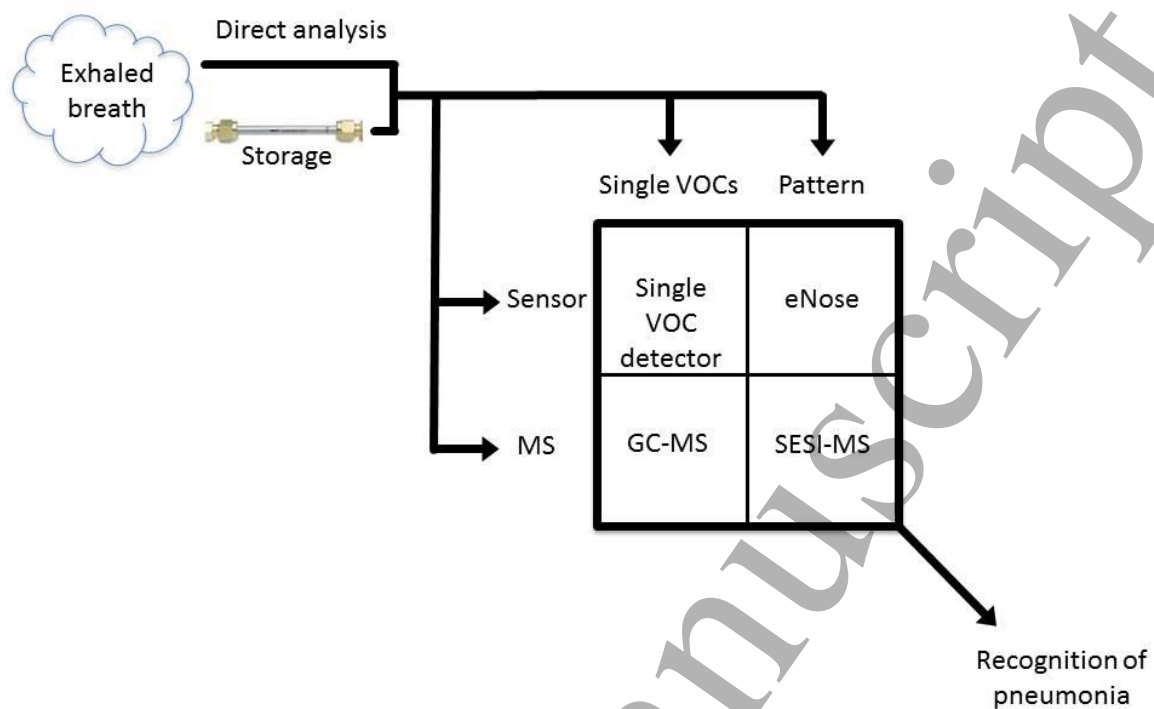


Figure 3.

