



UNIVERSITY OF LEEDS

This is a repository copy of *Data collection, handling and fitting strategies to optimize accuracy and precision of oxygen uptake kinetics estimation from breath-by-breath measurements.*

White Rose Research Online URL for this paper:
<http://eprints.whiterose.ac.uk/116355/>

Version: Accepted Version

Article:

Benson, AP orcid.org/0000-0003-4679-9842, Bowen, TS, Ferguson, C orcid.org/0000-0001-5235-1505 et al. (2 more authors) (2017) Data collection, handling and fitting strategies to optimize accuracy and precision of oxygen uptake kinetics estimation from breath-by-breath measurements. *Journal of Applied Physiology*, 123 (1). pp. 227-242. ISSN 8750-7587

<https://doi.org/10.1152/jappphysiol.00988.2016>

© 2017 by the American Physiological Society. This is an author produced version of a paper published in *Journal of Applied Physiology*. Uploaded in accordance with the publisher's self-archiving policy.

Reuse

Items deposited in White Rose Research Online are protected by copyright, with all rights reserved unless indicated otherwise. They may be downloaded and/or printed for private study, or other acts as permitted by national copyright laws. The publisher or other rights holders may allow further reproduction and re-use of the full text version. This is indicated by the licence information on the White Rose Research Online record for the item.

Takedown

If you consider content in White Rose Research Online to be in breach of UK law, please notify us by emailing eprints@whiterose.ac.uk including the URL of the record and the reason for the withdrawal request.



eprints@whiterose.ac.uk
<https://eprints.whiterose.ac.uk/>

1 **Data collection, handling and fitting strategies to optimize accuracy and precision of**
2 **oxygen uptake kinetics estimation from breath-by-breath measurements**

3

4 **Alan P. Benson^{1,2}, T. Scott Bowen³, Carrie Ferguson^{1,2}, Scott R. Murgatroyd⁴ and**
5 **Harry B. Rossiter^{5,1}**

6

7 *¹School of Biomedical Sciences and ²Multidisciplinary Cardiovascular Research Centre,*
8 *University of Leeds, Leeds, United Kingdom; ³Heart Centre, University of Leipzig, Leipzig,*
9 *Germany; ⁴Neurosciences Intensive Care Unit, Wessex Neurological Centre, University*
10 *Hospital Southampton, Southampton, United Kingdom; ⁵Rehabilitation Clinical Trials*
11 *Center, Division of Respiratory and Critical Care Physiology and Medicine, Los Angeles*
12 *Biomedical Research Institute at Harbor-UCLA Medical Center, Torrance, California, USA.*

13

14 **RUNNING HEAD**

15 Strategies to optimize $\dot{V}O_2$ kinetics estimation

16

17 **ADDRESS FOR CORRESPONDENCE**

18 Alan P. Benson

19 School of Biomedical Sciences

20 University of Leeds

21 Leeds

22 LS2 9JT

23 United Kingdom

24 E-mail: a.p.benson@leeds.ac.uk

25 **ABSTRACT**

26 Phase 2 pulmonary oxygen uptake kinetics ($\phi_2 \tau \dot{V}O_{2P}$) reflect muscle oxygen consumption
27 dynamics and are sensitive to changes in state of training or health. This study identified an
28 unbiased method for data collection, handling and fitting to optimize $\dot{V}O_{2P}$ kinetics
29 estimation. A validated computational model of $\dot{V}O_{2P}$ kinetics and a Monte Carlo approach
30 simulated 2×10^5 moderate intensity transitions using a distribution of metabolic and
31 circulatory parameters spanning normal health. Effects of averaging (interpolation, binning,
32 stacking or separate fitting of up to 10 transitions) and fitting procedures (bi-exponential
33 fitting, or ϕ_2 isolation by time removal, statistical or derivative methods followed by mono-
34 exponential fitting) on accuracy and precision of $\dot{V}O_{2P}$ kinetics estimation were assessed. The
35 optimal strategy to maximize accuracy and precision of $\tau \dot{V}O_{2P}$ estimation was 1-s
36 interpolation of 4 bouts, ensemble averaged, with the first 20 s of exercise data removed.
37 Contradictory to previous advice, we found optimal fitting procedures removed *no more than*
38 20 s of ϕ_1 data. Averaging method was less critical: interpolation, binning and stacking gave
39 similar results, each with greater accuracy compared to analyzing repeated bouts separately.
40 The optimal procedure resulted in $\phi_2 \tau \dot{V}O_{2P}$ estimates for transitions from an unloaded or
41 loaded baseline that averaged 1.97 ± 2.08 and 1.04 ± 2.30 s from true, but were within 2 s of
42 true in only 47-62% of simulations. Optimized 95% confidence intervals for $\tau \dot{V}O_{2P}$ ranged
43 from 4.08-4.51 s, suggesting a minimally important difference of ~ 5 s to determine
44 significant changes in $\tau \dot{V}O_{2P}$ during interventional and comparative studies.

45

46 **NEW & NOTEWORTHY**

47 We identified an unbiased method to maximize accuracy and precision of oxygen uptake
48 kinetics ($\tau \dot{V}O_{2P}$) estimation. The optimum number of bouts to average was four;
49 interpolation, bin and stacking averaging methods gave similar results. Contradictory to

50 previous advice, we found that optimal fitting procedures removed *no more than* 20 s of
51 phase 1 data. Our data suggest a minimally important difference of ~5 s to determine
52 significant changes in $\tau\dot{V}O_{2P}$ during interventional and comparative studies.

53

54 **KEYWORDS**

55 Oxygen uptake kinetics; Accuracy and precision; Data handling; Computational modeling.

56 **INTRODUCTION**

57

58 At the onset of constant power exercise below the lactate threshold (LT) in humans,
59 mitochondrial oxidative phosphorylation and, subsequently, muscle oxygen uptake ($\dot{V}O_{2m}$) in
60 activated muscle increase in a manner that is an approximate first order exponential *in vivo*
61 (2, 22, 48; cf. 30). The kinetics of phase (ϕ) 2 of the pulmonary $\dot{V}O_2$ ($\dot{V}O_{2p}$), characterized
62 by the response time constant (τ) from repeated breath-by-breath gas exchange
63 measurements, are commonly used to infer $\dot{V}O_{2m}$ kinetics and provide a non-invasive tool to
64 investigate the control of exercise energetics (27, 41, 46). Fast ϕ_2 $\dot{V}O_{2p}$ kinetics reflect
65 effective cardiopulmonary and neuromuscular integration, and are associated with high
66 endurance exercise performance (29, 38, 41), whereas ϕ_2 $\dot{V}O_{2p}$ kinetics are slowed in the
67 elderly (1) and with chronic disease (12, 23, 40, 46, 51). In addition, ϕ_2 $\dot{V}O_{2p}$ kinetics are
68 sensitive to interventions that influence blood flow distribution and muscle O_2 delivery,
69 muscle metabolism, or muscle recruitment (41, 46), making them a useful prognosticator (49)
70 and method for evaluation of therapeutic benefit (44). Furthermore, the kinetics of ϕ_1 of the
71 $\dot{V}O_{2p}$ response (ϕ_1 duration and amplitude) are clinically discriminatory (50) and sensitive to
72 age (37). Thus, the strong link between $\dot{V}O_{2p}$ kinetics and state of health provides the basis
73 for an inherently attractive, non-invasive and effort-independent method to characterize the
74 efficacy of the integrated physiologic systems response to exercise.

75

76 While there are general guidelines for characterizing $\dot{V}O_{2p}$ kinetics in terms of data
77 collection, processing and fitting procedures (56), a range of proposals exist for each of these
78 steps (e.g. 10, 14, 19, 20, 26, 33, 39, 58). However, a systematic quantification of the effects
79 of these different procedures on the precision and accuracy of the final ϕ_1 duration and

80 amplitude and $\phi_2 \tau \dot{V}O_{2P}$ characterization, as well as a standardization of these procedures, is
81 lacking.

82

83 This study therefore aimed to identify an unbiased (i.e. free from human error) method for
84 $\dot{V}O_{2P}$ data collection, handling and fitting that allows the most accurate and precise
85 estimation of $\dot{V}O_{2P}$ kinetics. We identified this optimal criterion by systematically
86 determining the influences of a range of common and uncommon collection, averaging and
87 fitting strategies on both the precision and accuracy of ϕ_1 duration and amplitude and ϕ_2
88 $\tau \dot{V}O_{2P}$ estimation, using a validated cardiopulmonary simulation of exercise gas exchange (8)
89 and a Monte Carlo approach.

90

91 **THEORETICAL CONSIDERATIONS**

92

93 The process linking $\dot{V}O_{2P}$ data collection in the laboratory or clinic, to kinetics
94 characterization, is typically undertaken in three distinct steps: (i) data collection, (ii) data
95 processing, and (iii) data fitting.

96

97 *Step 1 – data collection:* Strategies employed in this step include identification of the optimal
98 algorithms for calculating breath-by-breath gas exchange to improve signal-to-noise for
99 kinetic fitting (6, 13, 14, 55). Strategies to improve primary $\dot{V}O_{2P}$ data also include the
100 repetition of identical bouts of exercise with the intention of combining and averaging those
101 data in the data processing step (Fig. 1B) (10, 26, 33, 57). The breath-by-breath fluctuations
102 (also referred to as “noise”) inherent in any $\dot{V}O_{2P}$ measurement are uncorrelated (33) and
103 have a Gaussian distribution in adults (although not in children; 42) with the standard
104 deviation (SD) of this distribution ranging from approximately 30 to 110 ml.min⁻¹ (33, 47),

105 independent of metabolic rate (33). What is less clear, however, is how different signal-to-
106 noise ratios (or, analogously, the number of combined exercise bouts) affect $\dot{V}O_{2P}$ kinetics
107 estimation and, therefore, whether there is an optimal number of exercise bouts required to
108 estimate $\dot{V}O_{2P}$ kinetics to a given level of confidence.

109

110 *Step 2 – data processing:* After the removal of outlying breaths generated by swallows or
111 coughs or other ‘mistriggers’ of the breath identification algorithms, and unrelated to tidal
112 breathing [typically those breaths more than 3 or 4 SDs from the local mean (33, 57)], the
113 second step involves averaging of the data collected from multiple exercise bouts to obtain a
114 single (processed) $\dot{V}O_{2P}$ signal with a high signal-to-noise ratio, prior to kinetic
115 characterization. Several averaging techniques are employed (Fig. 1C-E), the most widely-
116 used involving some form of interpolation and/or averaging. Linear interpolation of data prior
117 to averaging (commonly to 1 s intervals) is necessary to normalize gas exchange sampling
118 frequency, from the non-uniform breath-by-breath sampling, and therefore ensure equal
119 weighting of data among repeated trials (Fig. 1C) (57). Averaging may be in the form of post-
120 interpolation ensemble averaging (56), or by arranging un-interpolated data from all bouts in
121 time (10) before averaging the combined breaths into bins whose size depends on the number
122 of averaged bouts (38) or time (9, 26) (Fig. 1D). This “binning” approach to averaging, while
123 improving the signal-to-noise ratio, may help to maintain the density of the data close to that
124 at which it was collected (i.e. breathing frequency), and improve the validity of the estimated
125 confidence intervals (21, 38). Despite the general popularity and acceptance of these
126 approaches, several other data processing methods warrant investigation. Recent simulation
127 studies have suggested that simple superimposition of all data from all bouts before fitting
128 can give accurate $\phi_2 \tau \dot{V}O_{2P}$ estimates, with the added simplicity of reducing the requirement
129 for complex data treatments (Fig. 1E) (19). Another alternative averaging approach, and

130 maybe one that is statistically more robust (16) yet is not typically used for estimating $\dot{V}O_{2P}$
 131 kinetics, involves fitting the individual exercise bouts then averaging the resulting fit
 132 parameters (32). Kier et al. (26) showed that various stacking, interpolation, and bin or
 133 ensemble averaging procedures had essentially no effect on the precision of subsequent
 134 $\tau\dot{V}O_{2P}$ estimation. It remains unclear, though, how averaging strategies affect both the
 135 precision and accuracy of $\dot{V}O_{2P}$ kinetics estimation in the context of different numbers of
 136 averaged bouts and different approaches to fitting the data.

137

138 *Step 3 – data fitting:* The third step involves the fitting of the processed $\dot{V}O_{2P}$ data in order to
 139 obtain an estimate of the kinetics of $\dot{V}O_{2P}$. The $\dot{V}O_{2P}$ response to a step change in work rate
 140 in the moderate intensity domain consists of an initial “cardiodynamic” phase (largely a result
 141 of increased blood flow through the pulmonary circulation; 56) followed by a “fundamental”
 142 phase, the kinetics of which closely represent those of $\dot{V}O_{2m}$ in young healthy adults (Fig.
 143 1A) (22, 48). This entire response has been described mathematically using a piecewise bi-
 144 exponential equation of the form

$$\dot{V}O_{2P}(t) = \dot{V}O_{2P,base} + A_1[1 - e^{-t/\tau_1}] + H(t)A_2[1 - e^{-(t-TD)/\tau_2}], \quad (1)$$

$$H(t) = \begin{cases} 0, & t < TD, \\ 1, & t \geq TD, \end{cases}$$

145 where t is time, $\dot{V}O_{2P,base}$ is baseline $\dot{V}O_{2P}$, A_1 and A_2 are the amplitudes of the first and
 146 second phases of the response, τ_1 and τ_2 are time constants associated with each phase of the
 147 response, TD is a time delay and $H(t)$ is the Heaviside step function (cf. 36). Generally, the
 148 parameter of most interest is τ_2 , i.e. $\phi_2 \tau\dot{V}O_{2P}$. However, ϕ_1 is a complex physiological
 149 construct, influenced by several processes including changes in mixed venous gas tensions,
 150 pulmonary perfusion and end-expiratory lung volume, which sum to generate a response that
 151 often deviates from a mono-exponential (15, 55). In addition, there are several practical

152 difficulties when using Equation (1) to fit $\dot{V}O_{2P}$ data: Phase 1 typically contains only a few
153 breaths (typically 5 or 6 in our simulations; see Fig. 1B), and fitting so few data points with
154 the first exponential term in Equation (1) drastically reduces the confidence of the parameter
155 estimations in that first exponential term. The influence of this potentially unconfident ϕ_1 fit
156 continues into ϕ_2 , affecting τ_2 ($\phi_2 \tau \dot{V}O_{2P}$) estimation, particularly if the fit to the ϕ_1 data does
157 not reach a steady-state before ϕ_2 begins (i.e. at $t = TD$). Furthermore, most nonlinear least
158 squares algorithms used by data fitting software (the Levenberg-Marquardt algorithm being
159 the standard; 43) require the calculation of derivatives and cannot handle the Heaviside step
160 function in Equation (1); the parameters A_1 and τ_1 are shared over, and influenced by the data
161 in, the two different sub-domains ($t < TD$ or ϕ_1 , and $t \geq TD$ or ϕ_2), and the extents of the sub-
162 domains themselves are determined by the parameter TD . As such, fitting Equation (1) is
163 difficult without custom implementation of alternative, potentially less robust, nonlinear
164 fitting algorithms such as direct search methods (35). As the parameter of most interest is the
165 time constant of ϕ_2 , an alternative (and the most commonly used) approach is to isolate the
166 ϕ_2 data then fit these data with a mono-exponential equation of the form

$$\dot{V}O_{2P}(t) = \dot{V}O_{2P,base} + A[1 - e^{-(t-TD)/\tau}]. \quad (2)$$

167 Such a mono-exponential equation accurately describes the $\phi_2 \dot{V}O_{2P}$ response to moderate
168 intensity step exercise (4, 5) and can be handled by most nonlinear least squares algorithms.
169 If Equation (2) is used to fit the $\dot{V}O_{2P}$ data and obtain an estimate of $\phi_2 \tau \dot{V}O_{2P}$, it is necessary
170 to omit the ϕ_1 data from the fit. The most widely-used methods for removing ϕ_1 data are
171 empirically-derived time-removal methods, where “at least” the first 20 s of data from the
172 exercise transient are removed prior to fitting (7, 39, 54, 57). The rationale behind this
173 strategy is that, because ϕ_1 is expected to last less than 20 s and the $\phi_2 \dot{V}O_{2P}$ response is
174 expected to be exponential, starting the fit from any given point past the ϕ_1 -2 transition will
175 yield an identical time constant that represents the underlying ϕ_2 kinetics; whereas starting

176 the fit from any point before the ϕ 1-2 transition will result in a larger (incorrect) time
177 constant for ϕ 2 (39, 54, 57). However, the ϕ 2 $\dot{V}O_{2P}$ response is not truly exponential, but
178 rather is a non-linear distortion of a mono-exponential $\dot{V}O_{2m}$ response (3, 5, 8, 25; cf. 18).
179 Thus, contrary to $\tau\dot{V}O_{2m}$, the $\tau\dot{V}O_{2P}$ is not a “true” constant throughout the transient, and
180 fitting an exponential equation from different points in such a non-exponential ϕ 2 will yield
181 varying values for $\tau\dot{V}O_{2P}$; progressively larger values as the fit is started from later in ϕ 2 (cf.
182 8). Such behavior is suggested in the empirical results of Murias et al. (39) where $\tau\dot{V}O_{2P}$
183 becomes larger as the imposed exponential fit is started from later in the exercise transient, at
184 least in older adults. Although $\tau\dot{V}O_{2P}$ is influenced by a complex interaction of circulatory
185 and gas exchange responses to exercise, and ϕ 2 $\dot{V}O_{2P}$ is not quite exponential, a mono-
186 exponential fit of moderate intensity $\dot{V}O_{2P}$ kinetics remains a useful, concise and effort-
187 independent method to characterize the integrated dynamic responsiveness of
188 cardiopulmonary and neuromuscular health. Nevertheless, it seems crucial that *all data*
189 contained in the ϕ 2 response, but *none* of the ϕ 1 data, are fitted in order to obtain the most
190 accurate characterization of $\dot{V}O_{2P}$ kinetics (57). As such, accurate identification of the ϕ 1-2
191 transition is paramount.

192

193 When using the mono-exponential Equation (2) to fit $\dot{V}O_{2P}$ data, human error in selecting the
194 ϕ 1-2 transition can lead to an unintended bias in $\tau\dot{V}O_{2P}$ estimation, and so an ideal, unbiased
195 method for isolating ϕ 2 data for such a fit would be based on either (i) identification of some
196 *consistent* time period (rather than leaving the choice to the individual researcher) at the start
197 of exercise during which data should be removed, or (ii) some other information in the data
198 itself that could algorithmically identify the ϕ 1-2 transition.

199

200 Rather than employing empirical time-removal methods, the abrupt change in $\dot{V}O_{2P}$ at the
201 $\phi 1-2$ transition may be identifiable from the $\dot{V}O_{2P}$ data using either the peak time-derivative
202 of the $\dot{V}O_{2P}$ data (34) or statistical measures reflecting the best confidence in the fit
203 parameters [e.g. the smallest confidence interval of the obtained time constant; (48)].
204 Although theoretically sound, in that both methods can identify abrupt changes in a
205 continuous signal, their application to experimental $\dot{V}O_{2P}$ data may be hindered by the low
206 sampling rate (relative to the duration of $\phi 1$) and noise inherent in those data. Whether the
207 use of derivatives or statistical methods to identify the $\phi 1-2$ transition results in improved
208 $\tau\dot{V}O_{2P}$ estimates over the empirical time-removal methods currently favored remains to be
209 investigated.

210

211 Several studies have examined the effects of the different strategies employed in the three
212 steps described above on the confidence of $\dot{V}O_{2P}$ kinetic parameter estimates using
213 experimental data [e.g. $\phi 1-2$ transition and $\phi 2$ $\tau\dot{V}O_{2P}$; (10, 26, 39, 54)]. However, a limitation
214 of such studies is that the true underlying $\dot{V}O_{2P}$ kinetic parameters are unknown: such
215 experimental methods can therefore give an indication of the precision of $\dot{V}O_{2P}$ kinetics
216 estimation but not of its accuracy. Computational approaches using Monte Carlo methods
217 (17) can overcome some of these limitations. For this, a simulation is first used to produce a
218 clean, continuous $\dot{V}O_{2P}$ trace with known kinetic parameters. This trace is then sampled
219 using simulations of breathing frequency and Gaussian noise is added (using known
220 characteristics) to produce a dataset with similar sampling, noise and kinetic characteristics as
221 experimentally-obtained $\dot{V}O_{2P}$ data, but where the underlying $\dot{V}O_{2P}$ kinetic parameters are
222 known (33). In addition, the same clean trace can be randomly resampled and new noise
223 added to produce further noisy datasets (but all with the same underlying kinetic parameters),
224 analogous to obtaining experimental $\dot{V}O_{2P}$ data during repeated bouts of exercise from a

225 single subject. Thus, these Monte Carlo methods allow both the precision and accuracy of
226 $\dot{V}O_{2P}$ fitting methods to be systematically assessed.

227

228 Computational approaches have been previously applied using a simple delayed mono-
229 exponential (19, 20) or a bi-exponential (10, 33) $\dot{V}O_{2P}$ response generated *in silico*. However,
230 as the underlying $\dot{V}O_{2P}$ kinetics do not follow a simple mono- or bi-exponential time course
231 (3, 5, 8), it is necessary to use a validated simulation of $\dot{V}O_{2P}$ kinetics that takes into account
232 how circulatory dynamics modulate the mono-exponential $\dot{V}O_{2m}$ response to produce the $\phi 1$
233 and $\phi 2$ $\dot{V}O_{2P}$ responses (8). Such computationally-produced datasets can therefore contain
234 the influence of normal variation in the steady states and kinetics of, for example, cardiac
235 output, muscle blood flow and $\dot{V}O_{2m}$, to derive a distribution of $\dot{V}O_{2P}$ characteristics
236 (including $\phi 1$ duration and amplitude, and $\phi 2$ $\tau\dot{V}O_{2P}$), analogous to collecting experimental
237 $\dot{V}O_{2P}$ data from a large number of healthy human subjects.

238 **METHODS**

239

240 We used a validated simulation of $\dot{V}O_2$ and circulatory dynamic interactions during moderate
241 intensity cycling exercise in humans (8) that accounts for the vascular capacitances and
242 circulatory dynamics that cause a mono-exponential $\dot{V}O_{2m}$ response to manifest at the lungs
243 as a three-phase $\dot{V}O_{2p}$ response, with a cardiodynamic ϕ_1 , a near-exponential fundamental
244 ϕ_2 , and a steady-state ϕ_3 . The simulation $\dot{V}O_{2p}$ outputs initially have no noise, so the
245 baseline $\dot{V}O_{2p}$ steady-state, ϕ_1 duration and amplitude, $\phi_2 \tau \dot{V}O_{2p}$, and $\phi_3 \dot{V}O_{2p}$ steady-state
246 for each output are precisely known. This allows quantification of both the accuracy and the
247 precision of subsequent fits to the data.

248

249 *Data production:* The minimum required number of Monte Carlo iterations, n , was estimated
250 from the central limit theorem (17) using $n = (z_{\alpha/2} \sigma / \varepsilon)^2$, where $z_{\alpha/2}$ is the z score
251 associated with significance level α , σ is the estimated SD of the simulation output, and ε is
252 the acceptable margin of error for the simulation output (equal to half the required confidence
253 interval). We set α at 0.05 to give $z_{\alpha/2} = 1.96$, it was assumed that the SD of $\phi_2 \tau \dot{V}O_{2p}$ (our
254 parameter of interest) produced by stochastic simulations would be 4.3 s [based on the
255 experimental data used to parameterize the simulations (8, 22)], and the acceptable margin of
256 error was set at 0.1 s (the same as the simulation time resolution). This predicted a minimum
257 iteration number of $n = 7104$; we therefore performed 10^4 iterations during the Monte Carlo
258 simulations.

259

260 We examined two protocols for a step increase in work rate (WR), both constrained to be
261 within the moderate intensity exercise domain: the first from unloaded pedaling (UP-WR)
262 and the second from a raised baseline (WR-WR). For each of these two protocols, 10^4 clean

263 (time resolution = 0.1 s) $\dot{V}O_{2P}$ simulations, each with different kinetics, were produced (see
264 Fig. 1A for an example). The start of the step increase in WR was set to $t = 0$ s. Simulation
265 input parameters were varied stochastically (43) using distributions taken from the data of
266 Grassi et al. (22) and Benson et al. (8) (Table 1). This provided simulations with normal
267 physiologic variation in, for example, baseline $\dot{V}O_{2P}$, $\dot{V}O_{2P}$ gain ($\Delta\dot{V}O_{2P}/\Delta W$), the relative
268 increase in cardiac output ($\Delta\dot{Q}_m/\Delta\dot{V}O_{2m}$), and the kinetics of cardiac output and $\dot{V}O_{2m}$
269 ($\tau\dot{Q}_m/\tau\dot{V}O_{2m}$). Parameter sets that resulted in venous O_2 concentration dropping to zero at
270 any point during the simulated exercise transient were discarded, and a new parameter set
271 was generated.

272

273 Each of these 2×10^4 clean traces (one set of UP-WR, and one set of WR-WR simulations)
274 was then sampled at a variable breathing frequency. The sampling interval was based on the
275 relationship between breathing frequency (bf) and $\dot{V}O_{2P}$ in data collected during moderate
276 intensity exercise in our laboratory, and was given by $bf(t) = 8 \times \dot{V}O_{2P}(t) + 8$. Gaussian
277 noise with an SD of $0.25 \times bf(t)$ was subsequently added to this interval (11, 28), with the
278 noise constrained to be no greater than 2 SDs to avoid unphysiologically-large intervals
279 between sampled “breaths”.

280

281 We then added Gaussian $\dot{V}O_{2P}$ noise to each “breath”: the SD of this noise distribution was
282 randomly sampled for each clean trace from a Gaussian distribution with a mean of 67.96
283 $\text{ml}\cdot\text{min}^{-1}$ and an SD of 25.54 $\text{ml}\cdot\text{min}^{-1}$ [calculated from the individual values reported in
284 Lamarra et al. (33) and Rossiter et al. (47); $n = 22$], with the obtained value constrained to be
285 within 2 SD of the mean, to avoid datasets that were unphysiologically noisy.

286

287 These procedures produced, from the clean simulation output, a trace with the sampling,
288 noise and kinetic characteristics observed in experimentally-collected data (see Fig. 1B for
289 examples). For all 2×10^4 clean simulations, this sampling and noise procedure was
290 performed 10 times to simulate 10 bouts of exercise repeated by a single subject (see Fig. 1A-
291 B for examples). At the end of this Monte Carlo procedure, we therefore had 10^4 noisy UP-
292 WR datasets, i.e. 10^4 “subjects”, each with different physiological characteristics, who
293 performed moderate intensity step exercise from unloaded pedaling: each dataset contained
294 10 noisy traces from separate “exercise bouts”, i.e. each subject performed the same WR
295 protocol 10 times. A further 10^4 noisy WR-WR datasets, with each dataset again containing
296 10 traces from separate exercise bouts, were produced. Thus, a total of 2×10^5 simulated
297 moderate-intensity “exercise bouts” in 2×10^4 “subjects” were produced, which sampled the
298 normal variation of key parameters observed in healthy young humans. Note that, despite the
299 sampling and noise procedure used to produce the data, the true underlying kinetic
300 characteristics of any given noisy trace were known from the kinetics of the original clean
301 simulation from which it was produced.

302

303 *Data processing:* Outlying breaths were first removed by fitting Equation (2) to the noisy
304 traces and removing breaths that lay further than 3 SDs away from the local mean (i.e.
305 outside the 99.7% prediction bands of the fit) (33). For each dataset, we used the following
306 data processing techniques, covering a range of commonly-used or potentially-useful
307 methods, to process up to 10 bouts of noisy data (see Fig. 1 for examples): (i) Interpolation of
308 each bout to 1-s intervals before ensemble averaging across bouts (“interpolated”); (ii) Time
309 alignment of data from the bouts to be averaged, before bin averaging into bins whose size
310 depends on the number of bouts being averaged (“binned”); (iii) Superimposition, or
311 stacking, of the data from different bouts, with no further interpolation or averaging

312 (“stacked”); (iv) Fitting of individual bouts (see below) followed by averaging of fit
313 parameters across bouts (“separate”).

314

315 *Data fitting:* For each processed $\dot{V}O_{2P}$ trace, we fit the bi-exponential Equation (1) to the
316 entire ϕ_1 and ϕ_2 data, and used the following strategies for identification of the ϕ_1 -2
317 transition and subsequently fit the mono-exponential Equation (2) to the isolated ϕ_2 data: (i)
318 Empirical time-removal methods, where 10, 15, 20, 25 or 30 s of data were removed from the
319 beginning of each processed $\dot{V}O_{2P}$ trace. (ii) Use of $\dot{V}O_{2P}$ time derivatives on both
320 unsmoothed and smoothed (with a moving 5-breath average) processed data, where the
321 highest derivative of $\dot{V}O_{2P}$ with respect to time during the first 60 s of exercise was taken as
322 the ϕ_1 -2 transition. (iii) Statistical methods to identify the ϕ_1 -2 transition, where a datum was
323 incrementally removed from the beginning of each dataset (until 60 s into exercise) and the
324 remaining data were fit using the mono-exponential Equation (2); the reduced chi-squared
325 (χ_{red}^2), adjusted coefficient of determination (\bar{R}^2), confidence interval for the time constant
326 (CI_τ) and the corrected Akaike information criterion (AICc) were then calculated for each fit
327 (42, 46); the first datum in the fit that returned the minimum statistical value (or maximum
328 for \bar{R}^2) was taken as the identified ϕ_1 -2 transition for that statistical method; See Rossiter et
329 al. (48) for an example using CI_τ to identify the ϕ_1 -2 transition. For each processed trace we
330 therefore obtained 12 fits to the data: one using the bi-exponential fit to the entire ϕ_1 and ϕ_2
331 data, and 11 using a mono-exponential fit to isolated ϕ_2 data (five using empirical time
332 removal methods, two using $\dot{V}O_{2P}$ time derivatives, and four using statistical measures). As a
333 control condition, for each processed trace we also fit the true isolated noisy ϕ_2 data with
334 Equation (2), i.e. the data were fit beginning at the true first “breath” in ϕ_2 , known from the
335 clean simulation. Each of these 13 methods provided an estimate of the ϕ_1 -2 transition [i.e.
336 TD from Equation (1) when using the bi-exponential fit, or the identified first breath in ϕ_2

337 when using the mono-exponential fits] and an estimate of $\phi_2 \tau \dot{V}O_{2P}$ [i.e. τ_2 from fits using
338 Equation (1), or τ from fits using Equation (2)]. The ϕ_1 amplitude (as a percentage of the
339 steady-state response) was estimated from the value of the fit at the identified ϕ_1 - 2 transition.
340 Each of the ϕ_1 - 2 transition, ϕ_1 amplitude and $\phi_2 \tau \dot{V}O_{2P}$ estimates were then compared to the
341 known true underlying values obtained from the clean simulated $\dot{V}O_{2P}$ trace. These true
342 values represent the most accurate estimates possible of ϕ_1 and $\phi_2 \dot{V}O_{2P}$ kinetics.

343

344 *Numerical methods and statistical analyses:* Details of the model used to produce the clean
345 $\dot{V}O_{2P}$ data, along with numerical methods, are given in Benson et al. (8). Because of its
346 unique piecewise nature, Equation (1) was fit using a custom direct search method (35),
347 although this precluded calculation of parameter confidence intervals. Equation (2) was fit
348 using the Levenberg-Marquardt algorithm (43). Values are presented as mean \pm SD unless
349 otherwise stated. Significant differences between data were tested for using two-sample t -
350 tests, or one-way repeated measures analysis of variance (ANOVA) with Tukey's post hoc
351 tests, as appropriate. Significance level was set at $P < 0.05$.

352 **RESULTS**

353

354 *Simulation outputs:* Simulation input WR and output $\dot{V}O_{2P}$ characteristics are summarized in
355 Table 2. Time of the ϕ 1-2 transition was significantly different between UP-WR and WR-
356 WR simulations (19.8 ± 3.4 s vs. 15.9 ± 3.4 s, respectively; $P < 0.05$, t -test), as was ϕ 1
357 amplitude (reported as percentage of the steady-state response: 28.2 ± 8.3 % vs. 28.9 ± 7.7 %,
358 respectively; $P < 0.05$, t -test) and ϕ 2 $\tau\dot{V}O_{2P}$ (22.4 ± 7.2 s vs. 25.0 ± 7.2 s, respectively; $P <$
359 0.05 , t -test). These different $\dot{V}O_{2P}$ characteristics from UP-WR and WR-WR protocols can be
360 explained by the increased baseline cardiac output associated with starting an exercise
361 transition from a raised WR: muscle-to-lung transit time is shortened, reducing ϕ 1 duration
362 (3), and the altered blood flow during the exercise transient modifies the association between
363 muscle and pulmonary $\dot{V}O_2$ kinetics (8). The Monte Carlo simulation output data (10^4 clean
364 UP-WR traces and 10^4 clean WR-WR traces, along with the corresponding 2×10^5 noisy
365 traces, and details of the input and output characteristics for each simulation) are available
366 from the corresponding author upon request.

367

368 The results below present in detail the findings for UP-WR simulations. The key differences
369 between UP-WR and WR-WR simulations are then presented. For the sake of brevity, we
370 present only data pertinent to our significant findings.

371

372 *Number of averaged exercise bouts:* Figure 2 shows the effects of averaging exercise bouts
373 on the precision and accuracy of ϕ 2 $\tau\dot{V}O_{2P}$ estimation (generally the parameter of most
374 interest) during UP-WR simulations. For this example, data from different bouts were
375 interpolated to 1-s intervals then ensemble averaged (see “Averaging methods” below), and
376 fitting was made beginning at the known first breath in ϕ 2 (i.e. control fits). Qualitatively

377 similar results were found for the other averaging and fitting methods. The mean and SD of
378 the estimated $\phi_2 \tau \dot{V}O_{2P}$ are shown in Fig. 2A, and example distributions of the estimated ϕ_2
379 $\tau \dot{V}O_{2P}$ for 1, 4 and 10 exercise bouts are shown in Fig. 2B. The $\phi_2 \tau \dot{V}O_{2P}$ estimates obtained
380 by averaging 1, 2 or 3 bouts were significantly greater than using 10 bouts ($P < 0.05$,
381 ANOVA; there was no difference when averaging 4-9 bouts; Fig. 2A). This indicates that
382 precision and accuracy of $\phi_2 \tau \dot{V}O_{2P}$ estimation is not statistically improved by averaging data
383 from more than four bouts of exercise.

384

385 Figs. 2A and 2B demonstrate that $\tau \dot{V}O_{2P}$ tends to be overestimated on average by ~ 2 s,
386 irrespective of the number of bouts averaged: mean difference between estimated and true
387 $\tau \dot{V}O_{2P}$ was 1.92 ± 4.24 s with 1 bout, 1.68 ± 2.06 s with 4 bouts and 1.62 ± 1.37 s with 10
388 bouts. Figure 2C shows the percentage of estimated $\phi_2 \tau \dot{V}O_{2P}$ values that lay within ± 2 s of
389 true. Using data from a single exercise bout, the estimated $\phi_2 \tau \dot{V}O_{2P}$ was within 2 s of the
390 true value in only 41.3% of cases. When 4 bouts were averaged, the percentage of estimated
391 values within 2 s of the true value increased to 53.0%, even when the first breath in ϕ_2 is
392 known precisely (see also “Data fitting and kinetic characterization” below). The asymptote
393 of this relationship is 62.0% (Fig. 2C), indicating that the maximum probability of returning a
394 $\phi_2 \tau \dot{V}O_{2P}$ estimate within 2 s of true is 62%, even when the first breath in ϕ_2 is known and no
395 matter how many bouts are averaged.

396

397 *Averaging methods:* Figure 3A shows the effects on $\phi_2 \tau \dot{V}O_{2P}$ estimation of the different
398 averaging methods during UP-WR simulations. For the example shown, data from four
399 exercise bouts were averaged and fitting was from the known first breath in ϕ_2 (i.e. control
400 fits). Qualitatively similar results were found for other numbers of averaged bouts and for the
401 other fitting methods. Each averaging method returned significantly different $\phi_2 \tau \dot{V}O_{2P}$

402 estimates ($P < 0.05$, ANOVA), although the mean $\phi_2 \tau \dot{V}O_{2P}$ values obtained using the
403 interpolated, binned and stacked averaging methods were quantitatively very similar, being
404 within 0.1 s of each other (i.e. within the acceptable margin of error set for our Monte Carlo
405 simulations). Mean $\phi_2 \tau \dot{V}O_{2P}$ estimation with the interpolation method was 1.68 ± 2.06 s
406 from true (53.0% of values within ± 2 s of true), compared to 1.76 ± 2.17 s (50.7%) for
407 binned, 1.72 ± 2.13 s (51.4%) for stacked and 2.04 ± 2.34 s (46.9%) for separate. The
408 distribution of the confidence intervals of the estimated $\phi_2 \tau \dot{V}O_{2P}$ are shown in Fig. 3B. Each
409 averaging method returned a significantly different confidence interval distribution ($P < 0.05$,
410 ANOVA), although the confidence interval distributions for the binned and stacked averaging
411 methods were quantitatively similar (the difference between the means of these two
412 distributions was 0.14 s).

413

414 *Data fitting and kinetic characterization:* Figures 4 to 6 compare the different methods for
415 estimating the ϕ_1 -2 transition (Fig. 4), and the subsequent estimation of ϕ_1 amplitude (Fig. 5)
416 and $\phi_2 \tau \dot{V}O_{2P}$ (Fig. 6), during UP-WR simulations. In Figs. 5 and 6, the distributions of ϕ_1
417 amplitude and $\phi_2 \tau \dot{V}O_{2P}$ estimates obtained from control fits (i.e. fits from the known first ϕ_2
418 breath) are shown as dashed curves. The examples shown use data from four bouts averaged
419 using the interpolation method, although qualitatively similar results were found for other
420 numbers of averaged bouts and for the other averaging methods. Only removal of the first 20
421 s of data (Panel B in Figs. 4-6) resulted in the accurate identification of the first breath in ϕ_2 ,
422 and ϕ_1 amplitude and $\phi_2 \tau \dot{V}O_{2P}$ values that were not significantly different from the control
423 fits; all other methods were significantly different from true ($P < 0.05$, ANOVA). Using this
424 empirical 20 s removal method, the identified ϕ_1 -2 transition was within ± 2 breaths of true in
425 99.3% of cases, estimated ϕ_1 amplitude was within $\pm 5\%$ of true in 32.6% of cases (vs. 34.2%
426 with control fits), and estimated $\phi_2 \tau \dot{V}O_{2P}$ was within ± 2 s of true in 46.5% of cases (vs.

427 53.0% with control fits). Although the bi-exponential fitting method (Panel *A* in Figs. 4-6)
428 returned the second best estimates of the ϕ 1-2 transition (93.8% of estimates within ± 2
429 breaths of true), the over-parameterization of the model resulted in less accurate and precise
430 ϕ 2 $\tau\dot{V}O_{2P}$ estimates (only 32.0% of estimates within ± 2 s of true) than both the empirical 15 s
431 and 25 s removal methods (37.9% and 37.6%, respectively) (Panel *B* in Figs. 4-6).
432 Interestingly, removal of 15 s of data (i.e. including some ϕ 1 data in the fit) gave more
433 accurate and precise ϕ 1 amplitude and ϕ 2 $\tau\dot{V}O_{2P}$ estimates than removal of 25 s of data (i.e.
434 excluding the initial portion of ϕ 2 data). Basing ϕ 1-2 identification on time-derivative or
435 statistical methods resulted in skewed distributions (Fig. 4*C,D*), and ϕ 1-2 transition, ϕ 1
436 amplitude and ϕ 2 $\tau\dot{V}O_{2P}$ values that were furthest from true (Figs. 5*C,D* & 6*C,D*).

437

438 *Optimal protocol:* Having identified that removal of the first 20 s of data, followed by a
439 mono-exponential fit to the isolated ϕ 2 data, was the optimal fitting method for UP-WR
440 transitions, we repeated the previous analyses that were performed on the control, i.e. known
441 ϕ 2, data (as shown in Figs. 2 and 3) using this empirical 20 s removal fitting method (Fig. 7).
442 Qualitatively, the results were identical, in that four averaged bouts provided no more
443 accuracy and precision than 10 averaged bouts, and the interpolated averaging method gave
444 the most accurate and precise ϕ 1-2 transition, ϕ 1 amplitude and ϕ 2 $\tau\dot{V}O_{2P}$ estimates, that
445 were not significantly different to the control fits. Quantitatively, the mean estimate of the
446 ϕ 1-2 transition was 0.06 ± 0.85 breaths from true, with 99.3% of values within ± 2 breaths of
447 true; the mean ϕ 1 amplitude estimate was 6.63 ± 10.61 % from true (vs. 6.65 ± 4.46 % from
448 true with control data), with 32.6% of values within $\pm 5\%$ of true (vs. 34.2% with control fits);
449 and the mean ϕ 2 $\tau\dot{V}O_{2P}$ estimate was 1.97 ± 2.08 s from true (vs. 1.68 ± 2.06 s from true with
450 control data), with 46.5% of estimates within ± 2 s of true (vs. 53.0% with control fits). Again,
451 the binned and stacked averaging methods gave very similar (but slightly less precise and

452 accurate) $\phi_2 \tau \dot{V}O_{2P}$ estimates to the interpolated method: 2.00 ± 2.19 s and 1.98 ± 2.16 s
453 from true, respectively. Using the optimal methods, the asymptote of the exponential fit to the
454 proportion of $\phi_2 \tau \dot{V}O_{2P}$ estimates within ± 2 s across all numbers of averaged bouts (Fig. 7C)
455 was 51.3%.

456

457 *WR-WR simulations:* The analyses performed for the UP-WR simulations (Figs. 2-7) were
458 repeated for the WR-WR simulations, where “exercise” was initiated from a raised baseline
459 WR between 0 and 100 W. These analyses are summarized in Fig. 8. As with UP-WR
460 simulations, averaging of four bouts (Fig. 8A-C), using interpolated, binned or stacked data,
461 optimized $\phi_2 \tau \dot{V}O_{2P}$ estimation while minimizing the number of required bouts (Fig. 8D-E).
462 However, for WR-WR data, removal of the first 15 s or 20 s of data gave statistically similar
463 results to control fits (where the first breath in ϕ_2 is known), although quantitatively the
464 removal of 15 s of data gave more precise and accurate estimates of $\dot{V}O_{2P}$ kinetics than
465 removing 20 s of data: 97.2% (with 15 s removal) vs. 93.1% (with 20 s removal) of the ϕ_1 -2
466 transition estimates within ± 2 breaths of true; 41.5% vs. 16.9% of ϕ_1 amplitude values within
467 $\pm 5\%$ of true; and 61.9% vs. 57.6% of $\phi_2 \tau \dot{V}O_{2P}$ values within ± 2 s of true (Fig. 8F). Phase 2
468 $\tau \dot{V}O_{2P}$ estimation was more accurate for WR-WR data than for UP-WR data: using four
469 interpolated and ensemble averaged bouts with ϕ_2 isolated by removal of the first 15 s of
470 data, the mean difference between estimated and known $\tau \dot{V}O_{2P}$ was 1.04 ± 2.30 s (vs. $1.97 \pm$
471 2.08 s with the optimal UP-WR analysis; $P < 0.05$, t -test) and the percentage of values lying
472 within ± 2 s of the true value was 61.9% (vs. 46.5% with UP-WR data). The asymptote of the
473 exponential fit to these data (Fig. 8C) suggested that a maximum of 75.9% of $\phi_2 \tau \dot{V}O_{2P}$
474 values would lie within ± 2 s of the true value (vs. 51.3% for UP-WR data).

475

476 *Minimally important difference:* The optimal collection, handling and fitting procedures for
477 UP-WR and WR-WR simulations were used to determine the minimally important difference
478 for significant changes in $\tau\dot{V}O_{2P}$ during moderate intensity exercise. Table 3 shows that the
479 95% confidence limits of $\tau\dot{V}O_{2P}$ estimation narrows from 8.25 s to 4.08 s for UP-WR, and
480 from 9.43 s to 4.51 s for WR-WR, as the number of bouts averaged is increased from 1 to 4.
481 These data propose a minimal important difference of ~ 5 s to detect differences in $\tau\dot{V}O_{2P}$
482 among groups or within individuals for comparative or interventional studies.

483

484 *Robustness of Monte Carlo simulations:* To confirm the robustness of the Monte Carlo
485 simulations, the entire data production procedure was repeated (i.e. a second set of 10^4 UP-
486 WR and 10^4 WR-WR clean simulations was produced, and noise was added to each trace 10
487 times, to give 2×10^5 noisy traces) and these data were analyzed as described above. There
488 were no differences in the key findings with this second set of simulations (data not shown).
489 As with the original Monte Carlo data, the output data from this second set of Monte Carlo
490 simulations (2×10^4 clean and 2×10^5 noisy traces, along with simulation input and output
491 characteristics) are available from the corresponding author upon request.

492 **DISCUSSION**

493

494 We used a validated computational model together with a Monte Carlo approach to produce 2
495 $\times 10^5$ simulated $\dot{V}O_{2P}$ datasets with similar sampling, noise and kinetic characteristics as
496 experimentally-obtained $\dot{V}O_{2P}$ data. As the true underlying $\dot{V}O_{2P}$ kinetic parameters of these
497 datasets were known from the clean simulation traces from which they were produced, we
498 could assess both the accuracy and the precision of various averaging and fitting procedures
499 on the estimation of $\tau\dot{V}O_{2P}$; something that is not feasible using experimentally-obtained data
500 where the true underlying $\tau\dot{V}O_{2P}$ is not known. We showed that the optimal data handling
501 steps to give the most accurate and precise estimation of $\tau\dot{V}O_{2P}$ were linear interpolation with
502 ensemble averaging data from four bouts of exercise, followed by removal of the first 20 s (if
503 exercise was from unloaded pedaling) or 15 s (if exercise was from a raised work rate) of
504 data before mono-exponential fitting of the isolated ϕ_2 data. Variations on the averaging
505 method led to substantially similar results, with the exception that the confidence interval for
506 kinetic estimation was significantly wider for the technique of independently fitting repeats of
507 the same exercise transition (the *separate* method). This suggests that different data
508 processing techniques currently used among different laboratories is unlikely to substantially
509 influence the derived parameters. However, it is of note that even the optimal procedures that
510 we identified yielded $\tau\dot{V}O_{2P}$ estimates that were within 2 s of true in just 47% of simulations
511 from unloaded pedaling, rising to only 62% for protocols where exercise started from a raised
512 work rate.

513

514 *Data collection:* The simulated data of exercise transitions either from unloaded pedaling or
515 from a raised work rate spanned a wide range of variable and parameter estimates expected
516 for sub-LT exercise (Table 2). Simulated ϕ_1 duration ranged from 7 s to 30 s and was 9% to

517 72% of the steady-state response in amplitude, and simulated ϕ_2 $\tau\dot{V}O_{2P}$ spanned
518 approximately 7 s to 40 s, across transitions ranging from 50 W to 150 W in amplitude,
519 making our findings widely generalizable to the study of moderate-intensity $\dot{V}O_{2P}$ kinetics in
520 healthy adults. We showed that averaging data from four exercise bouts optimized accuracy
521 and precision of $\tau\dot{V}O_{2P}$ estimation, while minimizing experimental burden, regardless of the
522 averaging or fitting methods subsequently used. Averaging more bouts did not give a
523 significantly more precise or accurate estimation of $\tau\dot{V}O_{2P}$. Some investigators may be
524 willing to accept lower accuracy and precision in $\tau\dot{V}O_{2P}$ estimation in order to reduce the
525 testing burden of four exercise bouts. For example, interpolating and averaging three bouts of
526 UP-WR exercise, and removing 20 s of data to isolate ϕ_2 , resulted in $\tau\dot{V}O_{2P}$ estimations that
527 were 2.00 ± 2.39 s from true, with 45.0% of these estimations within 2 s of true, a relatively
528 small reduction in accuracy and precision compared to the same data handling method with
529 four exercise bouts (1.97 ± 2.08 s and 46.5%). These differences are associated with an
530 increase in the minimal detectable difference for $\tau\dot{V}O_{2P}$, e.g. for use in comparative and
531 interventional studies, from ~ 5 s to ~ 6 s. The data shown in Table 3 can be used to inform
532 such decisions.

533

534 Our 4-bout data collection recommendation is only applicable to data that have similar
535 breath-by-breath fluctuation characteristics as the data produced in our simulation studies (68
536 ± 26 ml.min⁻¹). Nevertheless, our simulated transitions mimicked very well typical
537 observations using many standard gas exchange measurement approaches. Our findings
538 indicate that in order to provide more precise estimations of $\tau\dot{V}O_{2P}$ from experimental data,
539 strategies should focus not on averaging additional exercise bouts, but on increasing the
540 signal-to-noise ratio in the collected data. These findings echo those of Lamarra et al. (32),
541 who also used a Monte Carlo approach to show that increasing $\dot{V}O_{2P}$ noise, expressed as a

542 percentage of the steady-state change in the $\dot{V}O_{2P}$ response, increased the confidence
543 intervals for the estimated fit parameters (ϕ_1 duration and $\phi_2 \tau \dot{V}O_{2P}$). We showed that
544 approaches that increase the signal-to-noise ratio have a substantial effect on precision, but
545 little effect on accuracy, of kinetic estimates. These fluctuations are expected to arise from
546 the interaction of a number of variables, not least the breath-by-breath variations in tidal
547 volume and pulmonary blood flow, within which fluctuation and timing of stroke volume and
548 thoracic pressure changes may variably sum or counteract one another to give rise to
549 fluctuations in gas exchange. Therefore, algorithms for breath-by-breath gas exchange
550 measurement that reduce the inherent fluctuation of the data, e.g. by accounting for changes
551 in alveolar gas storage, or by re-characterizing a breath to be equal to a tidal breathing cycle
552 that returns to an identical end-expiratory lung volume (6, 13), would be expected to further
553 reduce the testing burden while maintaining optimal precision and accuracy of kinetic
554 estimates.

555

556 *Data processing:* Although there are many possible methods for data averaging, the four
557 techniques examined in this study (interpolation, binning, stacking, and separate fitting)
558 provide a cross-section of the most commonly used methods. Although we have identified
559 linear interpolation followed by ensemble averaging as the optimal method for averaging data
560 [similar to the findings of Keir et al. (26)], both the breath binning and stacking methods
561 produced quantitatively similar estimates of $\tau \dot{V}O_{2P}$. As such, researchers who have
562 previously used, or currently use, any of these methods should be confident that their choice
563 of averaging procedure does not unduly influence their estimates of $\tau \dot{V}O_{2P}$. While averaging
564 of the exponential fit parameters from separate bouts of exercise offers the simplicity of
565 avoiding potentially complicated and assumption-laden averaging procedures on large
566 datasets, $\tau \dot{V}O_{2P}$ estimation using this averaging method reduced accuracy and markedly

567 lessened the confidence in the derived parameter estimates and should therefore be avoided.
568 This likely arose because the influence on $\tau\dot{V}O_{2p}$ of breath-by-breath fluctuations is non-
569 linear: large ‘noise’ in the early transient has more influence on $\tau\dot{V}O_{2p}$ than the same ‘noise’
570 in the later transient (57). Therefore, data handling approaches that first reduce breath-by-
571 breath fluctuations and then characterize the fit (rather than the other way around) appear to
572 result in more robust parameterization of the kinetics.

573

574 Another cautionary note is evident in our data for the interpolation method of averaging. This
575 method appears to return a substantially narrowed confidence interval for $\tau\dot{V}O_{2p}$ estimation
576 (Figure 3B, 7E and 8E). However, because the confidence interval is dependent on the
577 number of samples (i.e. breaths), interpolation artificially increases the sampling frequency of
578 the original data. The interpolation method therefore returns an artificial confidence interval
579 that is more dependent on the characteristics of the interpolation than on the original
580 measurements (21). The true confidence interval of parameter estimation for the interpolation
581 method is likely better reflected in the binned and stacked methods (Fig 3B), which were
582 substantially similar across all simulations.

583

584 Each data processing method investigated resulted in a similar degree of accuracy around the
585 true value, and therefore approaches to data processing should focus on attempts to optimize
586 the confidence of parameter estimation. As with data collection, valid and appropriate
587 processing methods that reduce breath-by-breath fluctuations in the data will result in
588 increased confidence.

589

590 *Data fitting:* We found that empirical time removal methods to isolate the ϕ_2 data for fitting
591 resulted in significantly more accurate and precise estimations of $\tau\dot{V}O_{2p}$ than either a bi-

592 exponential fit, or statistical and time-derivative methods to identify the ϕ 1-2 transition
593 followed by a mono-exponential fit to the isolated ϕ 2 data. The majority of published
594 experimental studies that have quantified the kinetics of $\dot{V}O_{2P}$ have used such empirical time
595 removal methods (usually removing the first 20 s of data), and so researchers have
596 historically used the ϕ 2 isolation method that we have now shown provides the most accurate
597 and precise estimations of $\tau\dot{V}O_{2P}$. Furthermore, this empirical time removal approach is far
598 simpler to implement than the bi-exponential, statistical or time-derivative methods. Previous
599 recommendations have been to remove *at least* 20 s of data from the beginning of the dataset
600 in order to completely remove ϕ 1 data, even though some data from the start of ϕ 2 may also
601 be removed (7, 57). However, our results suggest that, somewhat counter-intuitively, it is
602 better to include a small amount of data from the end of ϕ 1 in the fitting procedure than
603 exclude data from the start of ϕ 2. This is seen in Figs. 5B and 6B, where ϕ 1 amplitude and ϕ 2
604 $\tau\dot{V}O_{2P}$ estimation for exercise from unloaded pedaling was more precise and accurate when
605 the initial 15 s of data were removed than when the initial 25 s of data were removed (the true
606 ϕ 1-2 transition for these data occurred at 19.5 ± 3.3 s). We suggest that this is because the
607 inherent fluctuations in the $\dot{V}O_{2P}$ data means that including a small amount of ϕ 1 data in the
608 fit has minimal effect on the resultant ϕ 1 amplitude and ϕ 2 $\tau\dot{V}O_{2P}$ estimation. The rapidly
609 changing initial portion of ϕ 2 data (which changes rapidly with respect to the breath-by-
610 breath fluctuations at the end of ϕ 1) is key to obtaining accurate and precise estimations.
611 Qualitatively similar results were found for exercise that started from a raised work rate, but
612 here the best $\tau\dot{V}O_{2P}$ estimation was with the removal of the first 15 s of data (Fig. 8F). This is
613 likely due to the increased baseline work rate elevating cardiac output, which reduces muscle-
614 to-lung blood transit times and, therefore, the cardiodynamic ϕ 1 duration. Nevertheless, the
615 accuracy and precision of $\tau\dot{V}O_{2P}$ estimation was statistically similar for WR-WR transitions
616 when either 15 s or 20 s of data were removed. We therefore recommend that researchers err

617 on the side of caution when isolating $\phi_2 \dot{V}O_{2P}$ data and remove *no more than* 20 s of data to
618 optimize $\tau\dot{V}O_{2P}$ estimation.

619

620 *Implications for interpretation of $\phi_2 \dot{V}O_{2P}$ kinetics:* There are two significant findings from
621 our simulations that have implications for interpretation of $\phi_2 \dot{V}O_{2P}$ kinetics. Firstly, we
622 found that, on average, $\phi_2 \tau\dot{V}O_{2P}$ was overestimated in all the data collection and handling
623 strategies investigated. This overestimation can be explained, at least in part, by the two-
624 phase $\dot{V}O_{2P}$ response and the non-exponentiality of ϕ_2 (3, 5, 8, 25; cf. 18). Figure 9 shows
625 the effects on $\phi_2 \tau\dot{V}O_{2P}$ estimation when the mono-exponential Equation (2) is fit to clean
626 simulation output data from different points throughout the $\dot{V}O_{2P}$ response. If the mono-
627 exponential fit is started during ϕ_1 (i.e. from any point before 19.4 s in this example) then the
628 estimated $\phi_2 \tau\dot{V}O_{2P}$ is larger than true, due to the inclusion of some ϕ_1 data in the fit. If the
629 fit is started after the ϕ_1 -2 transition, then the $\phi_2 \tau\dot{V}O_{2P}$ estimation is also larger than true,
630 becoming larger as the fit is started further from the ϕ_1 -2 transition, because the underlying
631 ϕ_2 response is not a pure mono-exponential; it initially increases more rapidly than a mono-
632 exponential before slowing down as it reaches the steady-state (8). Only a fit that starts
633 exactly at the ϕ_1 -2 transition returns the true $\phi_2 \tau\dot{V}O_{2P}$. For these clean simulated data,
634 inaccurate identification of the ϕ_1 -2 transition by just 2 s can result in a $\phi_2 \tau\dot{V}O_{2P}$ estimation
635 that is 1.6 s larger than the true value; the influence of noise in experimentally-obtained data
636 may exacerbate this error. Because of these effects on $\phi_2 \tau\dot{V}O_{2P}$ estimation, when using the
637 identified optimal data processing and fitting procedures we were only able to estimate ϕ_2
638 $\tau\dot{V}O_{2P}$ to within 2 s of true in 47% of the 10^4 UP-WR simulations, and in 62% of the 10^4
639 WR-WR simulations [2 s represents an effect size of $\sim 10\%$ for a healthy young human,
640 where $\tau\dot{V}O_{2P}$ is typically ~ 20 s (45)]. Extrapolating this analysis further, we calculated the
641 95% confidence limits of our $\tau\dot{V}O_{2P}$ estimate distributions (as shown in Figs. 7B and D, and

642 Figs. 8B, D and F); $\tau\dot{V}O_{2P}$ estimates from outside this confidence interval are statistically
643 likely to come from a different distribution/population. These 95% confidence limits, for
644 $\tau\dot{V}O_{2P}$ estimates using our predetermined optimal data processing and fitting procedures, are
645 ± 4.08 s and ± 4.51 s from the mean, for transitions from unloaded pedaling or a raised work
646 rate respectively (Table 3). We therefore propose that the minimally important difference for
647 a significant change in $\tau\dot{V}O_{2P}$, e.g. during interventional and comparative studies, should be
648 5.0 s. If the number of averaged bouts is reduced from the optimum of four, this minimally
649 important difference should be increased in accordance with the confidence limits shown in
650 Table 3.

651

652 The second implication for interpretation of $\tau\dot{V}O_{2P}$ from our data is to question whether an
653 exponential fit should be used at all. We have previously shown that the dynamics and
654 mixing of circulatory compartments between muscle and lung distort the approximately-
655 exponential muscle $\dot{V}O_2$ kinetics into a non-exponential $\phi_2 \dot{V}O_{2P}$ response at the lung (8). A
656 recent meta-analysis of available data measuring both muscle and lung $\dot{V}O_2$ kinetics during
657 cycling and knee extension exercise demonstrates a wide variability of $\tau\dot{V}O_2$ between muscle
658 and lung (27). Some have proposed alternative methods to assess kinetic responses, such as
659 the time to steady state (45). However, such approaches have been demonstrated to be both
660 inherently more variable than relying on a method that maximizes the utility of available non-
661 steady-state data (24, 47) and is conceptually flawed on the basis that the time to steady state
662 of a non-exponential process is continually changing (8). Alternative approaches to kinetics
663 estimation using, for example, pseudorandom binary sequence exercise testing and time-
664 series analysis may allow for muscle $\tau\dot{V}O_2$ to be resolved by alternative methods (24, 31). It
665 remains to be determined whether such methods provide increased accuracy for non-invasive
666 estimation of muscle $\dot{V}O_2$ kinetic responses compared with $\phi_2 \tau\dot{V}O_2$ estimation by repeated

667 step transitions. Our simulations here demonstrate that a mono-exponential fit to $\phi_2 \dot{V}O_{2P}$ is a
668 useful and concise method for accurately describing the overall kinetics of the exponential-
669 like pulmonary $\phi_2 \dot{V}O_2$ kinetic response.

670

671 *Limitations:* The means and SDs of the parameters used in our Monte Carlo simulations were
672 representative of healthy young adults (8, 22). Quantitatively different results may be found
673 for other populations with different $\phi_2 \dot{V}O_{2P}$ kinetic parameters, such as the elderly or heart
674 failure patients who have slowed $\dot{V}O_{2P}$ kinetics (9, 39). Nevertheless, our main qualitative
675 findings will still be pertinent when collecting, processing and fitting $\dot{V}O_{2P}$ data from these
676 other populations. In particular, our main point regarding optimal data collection and
677 processing methods – that methods should be employed to minimize breath-by-breath
678 fluctuations and that it is essential to include all $\phi_2 \dot{V}O_{2P}$ data in the fit – will more than
679 likely stand for these populations, as it is still expected that the (potentially slowed) initial
680 portion of $\phi_2 \dot{V}O_{2P}$ will change rapidly with respect to the noise in the data at the end of ϕ_1 .

681

682 For populations where individuals are expected to have a reduced cardiac output and slowed
683 cardiac output kinetics, and a concomitant prolongation of ϕ_1 duration compared to young
684 healthy adults [such as heart failure patients (52)], the use of a bi-exponential fit, or statistical
685 or derivative methods, to automatically identify the ϕ_1 -2 transition is inherently attractive.
686 However, our results highlight that the noise in the $\dot{V}O_{2P}$ data limit the ability of these
687 methods to correctly identify the ϕ_1 -2 transition, reducing the accuracy and precision of
688 subsequent $\tau\dot{V}O_{2P}$ estimation. In this study, the empirical time-removal methods (removal of
689 the first 20 s of data for exercise from unloaded pedaling, or 15 s if exercise was started from
690 a raised baseline) were the only methods that gave statistically similar $\tau\dot{V}O_{2P}$ estimates to
691 control fits, despite ϕ_1 duration ranging from 7 s to 39 s across all simulations. It remains to

692 be determined whether removal of the first 20 s of data results in the most accurate and
693 precise $\tau\dot{V}O_{2P}$ estimations for populations where ϕ_1 is prolonged, but it may be necessary to
694 compensate for the prolonged ϕ_1 duration when removing ϕ_1 data from the fitting window.

695

696 Only on-transient exercise in the moderate intensity domain was simulated in this study. It is
697 still to be determined whether the identified optimal fitting procedures will produce the most
698 accurate and precise $\tau\dot{V}O_{2P}$ estimations for on-transient data in higher exercise intensity
699 domains where fitting can be complicated by the emergence of a $\dot{V}O_{2P}$ slow component (40,
700 45). Similarly, the applicability of our identified optimal procedures for off-transient data,
701 where cardiac output is expected to be initially elevated and so produce a much shorter ϕ_1 ,
702 potentially influencing the amount of data that should be removed before fitting, is still to be
703 determined.

704

705 **CONCLUSIONS**

706

707 We used a validated computational model together with a Monte Carlo approach to assess the
708 accuracy and the precision of various averaging and fitting procedures on the estimation of
709 $\dot{V}O_{2P}$ kinetics. Our analyses showed that four bouts of exercise was the optimal number to
710 average in order to increase accuracy and precision of $\tau\dot{V}O_{2P}$ estimation. Choice of averaging
711 strategy was not so critical, with interpolation, bin averaging and stacking all giving
712 quantitatively similar $\tau\dot{V}O_{2P}$ estimates. The interpolation, binning and stacking methods did,
713 however, allow more confident parameter estimates when compared to analyzing repeated
714 bouts separately. Data collection and processing strategies should therefore focus on
715 increasing the signal-to-noise ratio in the collected data. Contradictory to previous advice that
716 suggests removal of *at least* 20 s of data to isolate $\phi_2 \dot{V}O_{2P}$ before fitting, our analyses show

717 that data fitting procedures should remove *no more than* 20 s of data, as this provided the
718 most precise and accurate estimates of $\tau\dot{V}O_{2P}$. Our analyses showed the widely used standard
719 approaches for data collection, processing and fitting, while often different between
720 laboratories, did not have a substantial effect on the quantitation of $\phi_2 \dot{V}O_{2P}$ kinetics *per se*.
721 However, we found that even this optimal procedure yielded $\tau\dot{V}O_{2P}$ estimates that were
722 within ± 2 s of true in only 47-62% of simulations. Thus, we identified the minimally
723 important difference for $\tau\dot{V}O_{2P}$ for use in interventional and comparative studies to be 5 s.

724 **GRANTS**

725 This work was supported by a Biotechnology and Biological Science Research Council UK
726 research grant (BR/I00162X/1) and a University of Leeds International Research
727 Collaboration Award.

728

729 **DISCLOSURES**

730 No conflicts of interest, financial or otherwise, are declared by the authors.

731

732 **AUTHOR CONTRIBUTIONS**

733 All authors conceived and designed the study; A.P.B. carried out the simulations and
734 processed and analyzed the collected data; all authors interpreted the results of the
735 simulations; A.P.B. prepared the figures and the first draft of the manuscript; all authors
736 edited and approved the final version of the manuscript.

737 **REFERENCES**

738

- 739 1. **Babcock MA, Paterson DH, Cunningham DA, Dickinson JR.** Exercise on-transient
740 gas exchange kinetics are slowed as a function of age. *Med Sci Sports Exerc* 26: 440-
741 446, 1994.
- 742 2. **Bangsbo J, Krstrup P, González-Alonso J, Boushel R, Saltin B.** Muscle oxygen
743 kinetics at onset of intense dynamic exercise in humans. *Am J Physiol Regul Integr*
744 *Comp Physiol* 279: R899-R906, 2000.
- 745 3. **Barstow TJ, Lamarra N, Whipp BJ.** Modulation of muscle and pulmonary O₂ uptakes
746 by circulatory dynamics during exercise. *J Appl Physiol* 68: 979-989, 1990.
- 747 4. **Barstow TJ, Molé PA.** Linear and nonlinear characteristics of oxygen uptake kinetics
748 during heavy exercise. *J Appl Physiol* 71: 2099-2106, 1991.
- 749 5. **Barstow TJ, Molé PA.** Simulation of pulmonary O₂ uptake during exercise transients in
750 humans. *J Appl Physiol* 63: 2253-2261, 1987.
- 751 6. **Beaver WL, Lamarra N, Wasserman K.** Breath-by-breath measurement of true
752 alveolar gas exchange. *J Appl Physiol* 51: 1662-1675, 1981.
- 753 7. **Bell C, Paterson DH, Kowalchuk JM, Padilla J, Cunningham DA.** A comparison of
754 modelling techniques used to characterise oxygen uptake kinetics during the on-transient
755 of exercise. *Exp Physiol* 86.5: 667-676, 2001.
- 756 8. **Benson AP, Grassi B, Rossiter HB.** A validated model of oxygen uptake and
757 circulatory dynamic interactions at exercise onset in humans. *J Appl Physiol* 115: 743-
758 755, 2013.
- 759 9. **Bowen TS, Cannon DT, Murgatroyd SR, Birch KM, Witte KK, Rossiter HB.** The
760 intramuscular contribution to the slow oxygen uptake kinetics during exercise in chronic

- 761 heart failure is related to the severity of the condition. *J Appl Physiol* 112: 378-387,
762 2012.
- 763 10. **Bringard A, Adami A, Moia C, Ferretti G.** A new interpolation-free procedure for
764 breath-by-breath analysis of oxygen uptake in exercise transients. *Eur J Appl Physiol*
765 114: 1983-1994, 2014.
- 766 11. **Bruce EN.** Temporal variations of breathing pattern. *J Appl Physiol* 80: 1079-1087,
767 1996.
- 768 12. **Brunner-La Rocca HP, Weilenmann D, Follath F, Schlumpf M, Rickli H, Schalcher**
769 **C, Maly FE, Candinas R, Kiowski W.** Oxygen uptake kinetics during low level
770 exercise in patients with heart failure: relation to neurohormones, peak oxygen
771 consumption, and clinical findings. *Heart* 81: 121-127, 1999.
- 772 13. **Capelli C, Cautero M, di Prampero PE.** New perspectives in breath-by-breath
773 determination of alveolar gas exchange in humans. *Pflugers Arch* 441: 566-577, 2001.
- 774 14. **Capelli C, Cautero M, Pogliaghi S.** Algorithms, modelling and VO₂ kinetics. *Eur J*
775 *Appl Physiol* 111: 331-342, 2011.
- 776 15. **Casaburi R, Daly J, Hansen JE, Effros RM.** Abrupt changes in mixed venous blood
777 gas composition after the onset of exercise. *J Appl Physiol* 67: 1106-1112, 1989.
- 778 16. **Chechile RA.** Pooling data versus averaging model fits for some prototypical
779 multinomial processing tree models. *J Math Psychol* 53: 562-576, 2009.
- 780 17. **Dunn WL, Shultis JK.** *Exploring Monte Carlo Methods.* Amsterdam, The Netherlands:
781 Elsevier, 2012.
- 782 18. **Francescato MP, Cettolo V, di Prampero PE.** Oxygen uptake kinetics at work onset:
783 role of cardiac output and of phosphocreatine breakdown. *Respir Physiol Neurobiol* 185:
784 287-295, 2013.

- 785 19. **Francescato MP, Cettolo V, Bellio R.** Assembling more O₂ uptake responses: Is it
786 possible to merely stack the repeated transitions? *Respir Physiol Neurobiol* 200: 46-49,
787 2014.
- 788 20. **Francescato MP, Cettolo V, Bellio R.** Confidence intervals for the parameters
789 estimated from simulated O₂ uptake kinetics: effects of different data treatments. *Exp*
790 *Physiol* 99: 187-195, 2014.
- 791 21. **Francescato MP, Cettolo V, Bellio R.** Interpreting the confidence intervals of model
792 parameters of breath-by-breath pulmonary O₂ uptake. *Exp Physiol* 100:475, 2015.
- 793 22. **Grassi B, Poole DC, Richardson RS, Knight DR, Erickson BK, Wagner PD.** Muscle
794 O₂ uptake kinetics in humans: implications for metabolic control. *J Appl Physiol* 80: 988-
795 998, 1996.
- 796 23. **Grassi B, Porcelli S, Marzorati M, Lanfranconi F, Vago P, Marconi C, Morandi L.**
797 Metabolic myopathies: functional evaluation by analysis of oxygen uptake kinetics. *Med*
798 *Sci Sports Exerc* 41: 2120-2127, 2009.
- 799 24. **Hoffmann U, Drescher U, Benson AP, Rossiter HB, Essfeld D.** Skeletal muscle $\dot{V}O_2$
800 kinetics from cardio-pulmonary measurements: assessing distortions through O₂
801 transport by means of stochastic work-rate signals and circulatory modelling. *Eur J Appl*
802 *Physiol* 113: 1745-1754, 2013.
- 803 25. **Hughson RL.** Oxygen uptake kinetics: historical perspective and future directions. *Appl*
804 *Physiol Nutr Metab* 34: 840-850, 2009.
- 805 26. **Keir DA, Murias JM, Paterson DH, Kowalchuk JM.** Breath-by-breath pulmonary O₂
806 uptake kinetics: effect of data processing on confidence in estimating model parameters.
807 *Exp Physiol* 99: 1511-1522, 2014.

- 808 27. **Koga S, Rossiter HB, Heinonen I, Musch TI, Poole DC.** Dynamic heterogeneity of
809 exercising muscle blood flow and O₂ utilization. *Med Sci Sports Exerc* 46: 860-876,
810 2014.
- 811 28. **Kohl J, Koller EA, Jäger M.** Relation between pedaling- and breathing rhythm. *Eur J*
812 *Appl Physiol* 47: 223-237, 1981.
- 813 29. **Koppo K, Bouckaert J, Jones AM.** Effects of training status and exercise intensity on
814 phase II $\dot{V}O_2$ kinetics. *Med Sci Sports Exerc* 36: 225-232, 2004.
- 815 30. **Korzeniewski B, Rossiter HB.** Each-step activation of oxidative phosphorylation is
816 necessary to explain muscle metabolic kinetic responses to exercise and recovery in
817 humans. *J Physiol* 593: 5255-5268, 2015.
- 818 31. **Koschate J, Drescher U, Baum K, Eichberg S, Schiffer T, Latsch J, Brixius K,**
819 **Hoffmann U.** Muscular oxygen uptake kinetics in aged adults. *Int J Sports Med* 37: 516-
820 524, 2016.
- 821 32. **Lamarra N.** Variables, constants, and parameters: clarifying the system structure. *Med*
822 *Sci Sports Exerc* 22: 88-95, 1990.
- 823 33. **Lamarra N, Whipp BJ, Ward SA, Wasserman K.** Effect of interbreath fluctuations on
824 characterizing exercise gas exchange kinetics. *J Appl Physiol* 62: 2003-2012, 1987.
- 825 34. **Lamarra N, Whipp BJ, Ward SA, Wasserman K.** The effect of hyperoxia on the
826 coupling of ventilator and gas-exchange dynamics in response to impulse exercise
827 testing. In: *Concepts and Formalizations in the Control of Breathing*, edited by
828 Benchetrit G, Baconnier P, Demongeot J. Manchester, UK: Manchester University Press,
829 1987.
- 830 35. **Lewis RM, Torczon V, Trosset MW.** Direct search methods: then and now. *J Comput*
831 *Appl Math* 124: 191-207, 2000.

- 832 36. **Ma S, Rossiter HB, Barstow TJ, Casaburi R, Porszasz J.** Clarifying the equation for
833 modeling of $\dot{V}O_2$ kinetics above the lactate threshold. *J Appl Physiol* 109: 1283-1284,
834 2010.
- 835 37. **Mezzani A, Grassi B, Giordano A, Corrà U, Colombo S, Giannuzzi P.** Age-related
836 prolongation of phase I of $\dot{V}O_2$ on-kinetics in healthy humans. *Am J Physiol* 299: R968-
837 R976, 2010.
- 838 38. **Murgatroyd SR, Ferguson C, Ward SA, Whipp BJ, Rossiter HB.** Pulmonary O_2
839 uptake kinetics as a determinant of high-intensity exercise tolerance in humans. *J Appl*
840 *Physiol* 110: 1598-1606, 2011.
- 841 39. **Murias JM, Spencer MD, Kowalchuk JM, Paterson DH.** Influence of phase I duration
842 on phase II $\dot{V}O_2$ kinetics parameter estimates in older and young adults. *Am J Physiol*
843 *Regul Integr Comp Physiol* 301: R218-R224, 2011
- 844 40. **Nery LE, Wasserman K, Andrews JD, Huntsman DJ, Hansen JE, Whipp BJ.**
845 Ventilatory and gas exchange kinetics during exercise in chronic airways obstruction. *J*
846 *Appl Physiol* 53: 1594-1602, 1982.
- 847 41. **Poole DC, Jones AM.** Oxygen uptake kinetics. *Compr Physiol* 2: 933-996, 2012.
- 848 42. **Potter CR, Childs DJ, Houghton W, Armstrong N.** Breath-to-breath "noise" in the
849 ventilatory and gas exchange responses of children to exercise. *Eur J Appl Physiol*
850 *Occup Physiol* 80: 118-124, 1999.
- 851 43. **Press WH, Teukolsky SA, Vetterling WT, Flannery BP.** *Numerical Recipes: The Art*
852 *of Scientific Computing* (3rd ed.). Cambridge, UK: Cambridge University Press, 2007.
- 853 44. **Puente-Maestu L, Palange P, Casaburi R, Laveneziana P, Maltais F, Neder JA,**
854 **O'Donnell DE, Onorati P, Porszasz J, Rabinovich R, Rossiter HB, Singh S,**
855 **Troosters T, Ward S.** Use of exercise testing in the evaluation of interventional
856 efficacy: an official ERS statement. *Eur Respir J* 47: 429-60, 2016.

- 857 45. **Robergs RA.** A critical review of the history of low- to moderate-intensity steady-state
858 VO₂ kinetics. *Sports Med* 44: 641-653, 2014.
- 859 46. **Rossiter HB.** Exercise: kinetic considerations for gas exchange. *Compr Physiol* 1: 203-
860 244, 2011.
- 861 47. **Rossiter HB, Howe FA, Ward SA, Kowalchuk JM, Griffiths JR, Whipp BJ.**
862 Intersample fluctuations in phosphocreatine concentration determined by ³¹P-magnetic
863 resonance spectroscopy and parameter estimation of metabolic responses to exercise in
864 humans. *J Physiol* 528: 359-369, 2000.
- 865 48. **Rossiter HB, Ward SA, Doyle VL, Howe FA, Griffiths JR, Whipp BJ.** Inferences
866 from pulmonary O₂ uptake with respect to intramuscular [phosphocreatine] kinetics
867 during moderate exercise in humans. *J Physiol* 518: 921-932, 1999.
- 868 49. **Schalcher C, Rickli H, Brehm M, Weilenmann D, Oechslin E, Kiowski W, Brunner-
869 La Rocca HP.** Prolonged oxygen uptake kinetics during low-intensity exercise are
870 related to poor prognosis in patients with mild-to-moderate congestive heart failure.
871 *Chest* 124: 580-586, 2003.
- 872 50. **Sietsema KE.** Oxygen uptake kinetics in response to exercise in patients with pulmonary
873 vascular disease. *Am Rev Respir Dis* 145: 1052-1057, 1992.
- 874 51. **Sietsema KE, Ben-Dov I, Zhang YY, Sullivan C, Wasserman K.** Dynamics of oxygen
875 uptake for submaximal exercise and recovery in patients with chronic heart failure. *Chest*
876 105: 1693-1700, 1994.
- 877 52. **Spee RF, Niemeijer VM, Schoots T, Wijn PF, Doevendans PA, Kemps HM.** The
878 relation between cardiac output kinetics and skeletal muscle oxygenation during
879 moderate exercise in moderately impaired patients with chronic heart failure. *J Appl*
880 *Physiol* 121: 198-204, 2016.

- 881 53. **Spiess A-N, Neumeyer N.** An evaluation of R^2 as an inadequate measure for nonlinear
882 models in pharmacological and biochemical research: a Monte Carlo approach. *BMC*
883 *Pharmacol* 10: 6, 2010.
- 884 54. **Spencer MD, Granvelle BMR, Murias JM, Zerbini L, Pogliaghi S, Paterson DH.**
885 Duration of “Phase I” $\dot{V}O_{2p}$: a comparison of methods used in its estimation and the
886 effects of varying moderate-intensity work rate. *Am J Physiol Regul Integr Comp Physiol*
887 304: R238-R247, 2013.
- 888 55. **Swanson GD, Sherrill DL.** On the breath-to-breath estimation of gas exchange. *J Appl*
889 *Physiol* 56: 259-261, 1984.
- 890 56. **Whipp BJ, Ward SA, Lamarra N, Davis JA, Wasserman K.** Parameters of ventilatory
891 and gas exchange dynamics during exercise. *J Appl Physiol* 52: 1506-1513, 1982.
- 892 57. **Whipp BJ, Rossiter HB.** The kinetics of oxygen uptake: physiological inferences from
893 the parameters. In: *Oxygen Uptake Kinetics in Sport, Exercise and Medicine*, edited by
894 Jones AM, Poole DC. London, UK: Routledge, 2005.
- 895 58. **Wüst RC, Aliverti A, Capelli C, Kayser B.** Breath-by-breath changes of lung oxygen
896 stores at rest and during exercise in humans. *Respir Physiol Neurobiol* 164: 291-299,
897 2008.

898 **Table 1.** Distributions of model input parameters for Monte Carlo simulations. See Benson et
899 al. (8) for a detailed description of the model. Gaussian distributions were calculated from the
900 data of Grassi et al. (22) and Benson et al. (8). Linear distributions were set for this study.

Parameters with Gaussian distributions:	Mean	SD
Arterial O ₂ concentration (ml O ₂ /100 ml blood)	20.0	1.00
Total venous volume (l) ^a	3.07	0.61
Baseline $\dot{V}O_{2P}$ (l.min ⁻¹)	0.87	0.08
Fraction of baseline $\dot{V}O_{2P}$ from muscle ^b	0.57	0.11
Baseline \dot{Q}_{tot} (l.min ⁻¹)	8.89	0.44
Fraction of baseline \dot{Q}_{tot} to muscle ^b	0.57	0.08
$\Delta\dot{V}O_{2P}/\Delta W$ (ml.min ⁻¹ .W ⁻¹)	9.47	0.85
$\Delta\dot{V}O_{2m}/\Delta W$ (ml.min ⁻¹ .W ⁻¹)	11.04	1.36
$\Delta\dot{Q}_m/\Delta\dot{V}O_{2m}$	6.03	0.53
$\tau\dot{Q}_m/\tau\dot{V}O_{2m}$ ^c	1.08	0.08
Parameters with linear distributions:	Minimum	Maximum
$\tau\dot{V}O_{2m}$ (s)	15.0	40.0
Baseline WR (for WR-WR simulations only; W) ^d	0.0	100.0
ΔWR (W) ^e	50.0	150.0
Parameters with other dependencies:		
$\Delta\dot{V}O_{2b}/\Delta W = \Delta\dot{V}O_{2P}/\Delta W - \Delta\dot{V}O_{2m}/\Delta W$		
$\Delta\dot{Q}_b/\Delta\dot{V}O_{2b} = \Delta\dot{Q}_m/\Delta\dot{V}O_{2m}$		
$\tau\dot{V}O_{2b} = \tau\dot{V}O_{2m}$		
$\tau\dot{Q}_b = \tau\dot{Q}_m$		

901 \dot{Q} denotes blood flow (with \dot{Q}_{tot} denoting cardiac output). The subscript ‘m’ denotes muscle
902 compartment, the subscript ‘b’ denotes rest-of-body compartment. Baseline is unloaded
903 pedaling (i.e. 0 W). ^aThe ratio of the muscle, body and mixed venous volumes was
904 maintained as in the default model; only the total venous volume was altered. ^bThe remainder
905 of the baseline $\dot{V}O_{2P}$ (and \dot{Q}_{tot}) comes from (and goes to) the body compartment. ^cTo avoid
906 kinetic mismatch between muscle \dot{Q} and $\dot{V}O_2$ (as occurs with slow \dot{Q}_m but fast $\dot{V}O_{2m}$
907 kinetics, that result in muscle O₂ concentration dropping to zero), we first set the absolute
908 $\tau\dot{V}O_{2m}$ value, and then constrained $\tau\dot{Q}_m$ to be similar to $\tau\dot{V}O_{2m}$ using this ratio. ^dBaseline WR
909 for UP-WR simulations was fixed at 0 W. ^e ΔWR was constrained to be positive, and the final

910 WR in the WR-WR simulations (i.e. baseline WR + Δ WR) was constrained to be no greater
911 than 150 W.

912 **Table 2.** Monte Carlo simulation input WR and output $\dot{V}O_{2P}$ characteristics

	Mean	SD	Range
UP-WR simulations ($n = 10^4$):			
Baseline WR (W)	0.0	0.0	0.0 – 0.0
Δ WR (W) *	97.3	28.4	50.0 – 150.0
$\dot{V}O_{2P}$ ϕ 1 duration (s)	19.8	3.4	10.8 – 31.1
$\dot{V}O_{2P}$ ϕ 1 amplitude (% of steady-state response)	28.2	8.3	9.4 – 71.8
ϕ 2 $\tau\dot{V}O_{2P}$ (s)	22.4	7.2	7.3 – 38.8
WR-WR simulations ($n = 10^4$):			
Baseline WR (W)	47.3	28.6	0.0 – 100.0
Δ WR (W) *	75.6	22.0	50.0 – 150.0
$\dot{V}O_{2P}$ ϕ 1 duration (s)	15.9	3.4	7.4 – 29.4
$\dot{V}O_{2P}$ ϕ 1 amplitude (% of steady-state response)	28.9	7.7	11.0 – 63.3
ϕ 2 $\tau\dot{V}O_{2P}$ (s)	25.0	7.2	8.4 – 40.3

913 * Δ WR was constrained to be positive and at least 50 W, with the final WR (i.e. Δ WR in the
914 UP-WR simulations, and baseline WR + Δ WR in the WR-WR simulations) constrained to be
915 no greater than 150 W.

916 **Table 3.** Phase 2 $\tau\dot{V}O_{2P}$ estimates and confidence intervals for 1-4 averaged UP-WR and WR-WR exercise bouts. Averaging was by linear
 917 interpolation to 1-s intervals before ensemble averaging; ϕ_2 isolation was by removal of the first 20 s or 15 s of data for UP-WR and WR-WR
 918 protocols, respectively.

	Number of averaged bouts	$\phi_2 \tau\dot{V}O_{2P}$ estimation:		Percentage of values within 2 s of true	95% confidence limits (s from mean)
		Mean (s from true)	SD (s)		
UP-WR simulations ($n = 10^4$):	1	2.21	4.21	38.27	8.25
	2	2.03	2.90	43.32	5.68
	3	2.00	2.39	45.00	4.68
	4	1.97	2.08	46.50	4.08
WR-WR simulations ($n = 10^4$):	1	1.33	4.81	41.82	9.43
	2	1.15	3.24	51.61	6.35
	3	1.07	2.66	57.52	5.21
	4	1.04	2.30	61.91	4.51

919 **FIGURE LEGENDS**

920

921 Fig. 1. Example of data production and processing during a single Monte Carlo iteration from
922 unloaded pedaling. *A*: for each iteration, model parameters were varied stochastically (see
923 Table 1) and a clean model $\dot{V}O_{2P}$ trace with known kinetic parameters (e.g. $\phi 1$ duration and
924 amplitude, and $\phi 2 \tau \dot{V}O_{2P}$) was produced. Note that this clean model trace varied for each of
925 the 10^4 Monte Carlo iterations. *B*: the single clean trace was used to produce 10 noisy
926 “experimental” $\dot{V}O_{2P}$ traces (filled circles) with the sampling (breathing) and $\dot{V}O_{2P}$ noise
927 characteristics seen in experimental data. Here, four examples are shown. Although each of
928 the 10 noisy datasets is different, they have identical underlying kinetic parameters (known
929 from the clean model trace shown in panel *A*, and shown in these panels as dashed lines). The
930 noisy $\dot{V}O_{2P}$ datasets were processed in one of four ways: *C*: interpolation followed by
931 ensemble averaging; *D*: bin averaging; *E*: stacking of datasets; and fitting of the separate
932 traces before averaging of the resultant fit parameters (not shown). Fits to these processed
933 data were compared to the true underlying kinetic parameters (known from the clean model
934 trace shown in panel *A*, and shown in these panels as dashed lines).

935

936 Fig 2. Effects of the number of averaged bouts on the precision and accuracy of $\tau \dot{V}O_{2P}$
937 estimation, using control fits (i.e. using the known $\phi 2$ data) to interpolated and ensemble
938 averaged UP-WR data. *A*: mean \pm SD difference of the estimated $\tau \dot{V}O_{2P}$ from the true value,
939 for 1-10 averaged bouts. Horizontal lines show zero difference (solid) \pm 2 s (dashed) from
940 true. $n = 10^4$ in each case. * = $P < 0.05$ vs. 10 averaged bouts (ANOVA). *B*: distributions of
941 the difference between estimated and true $\tau \dot{V}O_{2P}$ for 1, 4 and 10 averaged bouts. Vertical
942 lines show zero difference (solid) \pm 2 s (dashed) from true. $n = 10^4$ in each case. *C*:

943 percentages of the 10^4 $\tau\dot{V}O_{2P}$ estimates within ± 2 s of true, for 1-10 averaged bouts. The
944 solid line is an exponential fit to the data.

945

946 Fig 3. Effects of averaging method on the precision and accuracy of $\tau\dot{V}O_{2P}$ estimation, using
947 control fits (i.e. using the known ϕ_2 data) to four averaged UP-WR bouts. *A*: distributions of
948 the difference between estimated and true $\tau\dot{V}O_{2P}$ for the four different averaging methods.
949 Vertical lines show zero difference (solid) ± 2 s (dashed) from true. $n = 10^4$ in each case. *B*:
950 distributions of the confidence interval of the fitted τ for the four different averaging
951 methods. $n = 10^4$ in each case.

952

953 Fig 4. Effects of fitting methods on the precision and accuracy of ϕ_{1-2} transition
954 identification. Shown are distributions of the difference between the estimated and true ϕ_{1-2}
955 transition for the bi-exponential fit (*A*), and empirical (*B*), statistical (*C*) and derivative (*D*) ϕ_2
956 isolation methods. For all panels, vertical lines show zero difference (solid) ± 2 breaths
957 (dashed) from true, and $n = 10^4$ in each distribution. Note the different scales on the
958 abscissas.

959

960 Fig 5. Effects of fitting methods on the precision and accuracy of ϕ_1 amplitude estimation.
961 Shown are distributions of the difference between the estimated and true ϕ_1 amplitude for the
962 bi-exponential fit (*A*), and empirical (*B*), statistical (*C*) and derivative (*D*) ϕ_2 isolation
963 methods. The control fit distribution (i.e. using the known ϕ_2 data) is shown as a dashed
964 curve in each panel. For all panels, vertical lines show zero difference (solid) $\pm 5\%$ (dashed)
965 from true, and $n = 10^4$ in each distribution. Note the different scales on the abscissas.

966

967 Fig 6. Effects of fitting methods on the precision and accuracy of ϕ_2 $\tau\dot{V}O_{2P}$ estimation.
968 Shown are distributions of the difference between the estimated and true ϕ_2 $\tau\dot{V}O_{2P}$ for the bi-
969 exponential fit (A), and empirical (B), statistical (C) and derivative (D) ϕ_2 isolation methods.
970 The control fit distribution (i.e. using the known ϕ_2 data) is shown as a dashed curve in each
971 panel. For all panels, vertical lines show zero difference (solid) ± 2 s (dashed) from true, and
972 $n = 10^4$ in each distribution. Note the different scales on the abscissas.

973

974 Fig 7. Precision and accuracy of $\tau\dot{V}O_{2P}$ estimation for UP-WR bouts when removal of the
975 first 20 s of data is used to isolate ϕ_2 . A-C: effects of the number of averaged bouts, where
976 data processing is by interpolation and ensemble averaging (see Fig. 2 for explanations). D-E:
977 effects of averaging method on $\tau\dot{V}O_{2P}$ estimation and the associated confidence interval,
978 using four averaged bouts (see Fig. 3 for explanations).

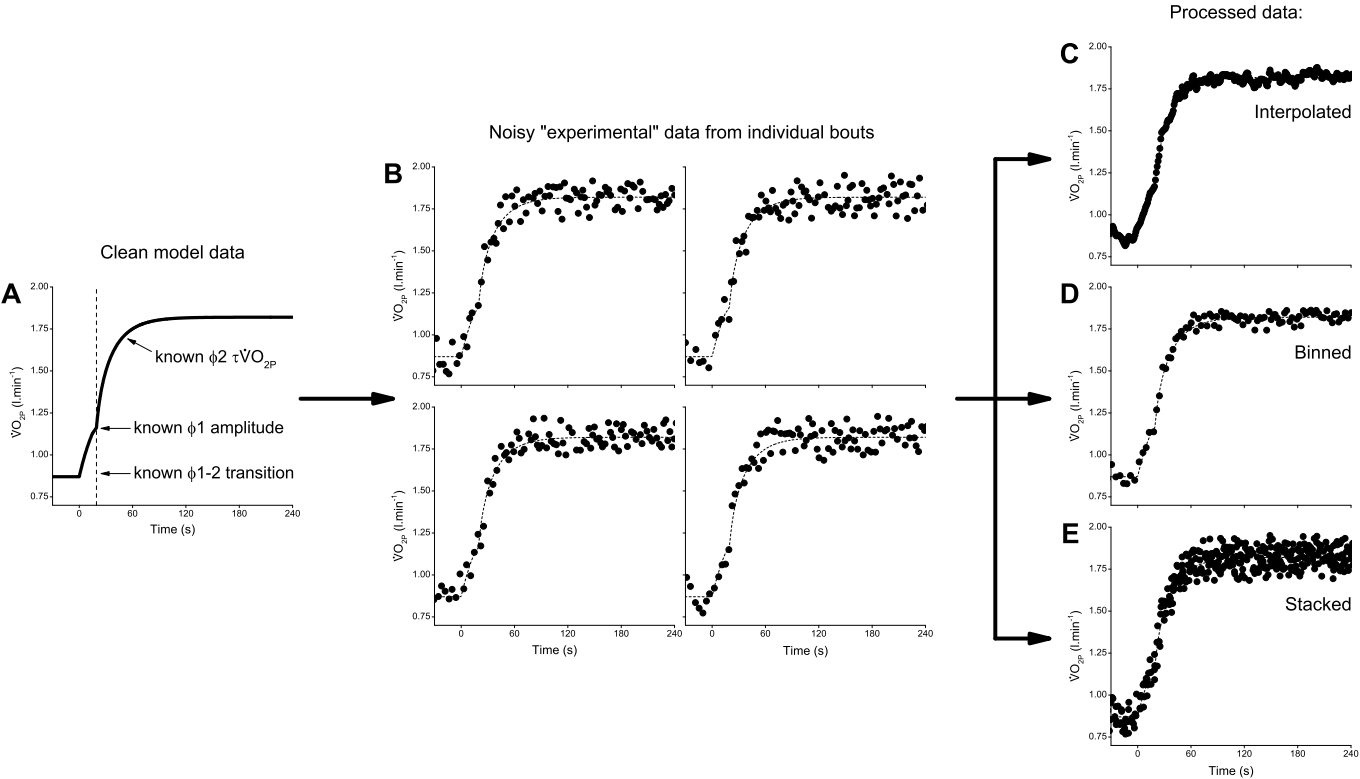
979

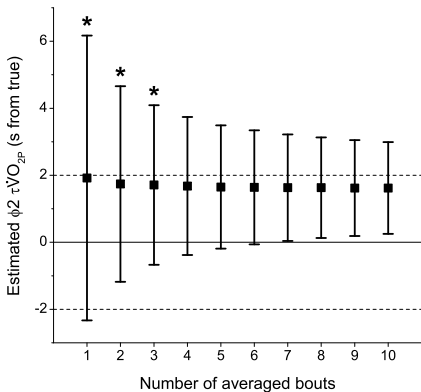
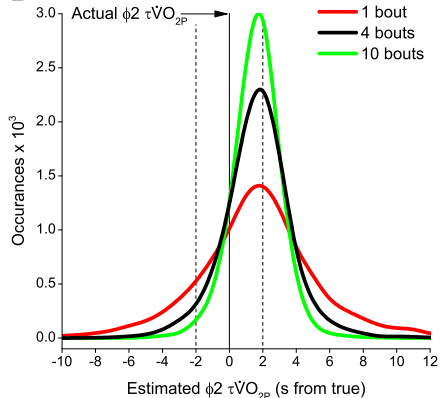
980 Fig 8. Precision and accuracy of $\tau\dot{V}O_{2P}$ estimation for WR-WR bouts. A-C: effects of the
981 number of averaged bouts, where data processing is by interpolation and ensemble averaging
982 and removal of the first 15 s of data is used to isolate ϕ_2 (see Fig. 2 for explanations). D-E:
983 effects of averaging method on $\tau\dot{V}O_{2P}$ estimation and the associated confidence interval,
984 using four bouts and where removal of the first 15 s of data is used to isolate ϕ_2 (see Fig. 3
985 for explanations). F: effects of empirical ϕ_2 isolation methods, using four interpolated and
986 ensemble averaged bouts (see Fig. 4 for explanations).

987

988 Fig. 9. A: Simulated $\dot{V}O_{2P}$ response to a 100 W UP-WR step using default model parameters
989 [see (8) for details]. The ϕ_1 -2 transition occurs at 19.4 s and the true ϕ_2 $\tau\dot{V}O_{2P}$ is 16.3 s. B:
990 Effects on $\tau\dot{V}O_{2P}$ estimation of fitting the mono-exponential Equation (2) starting from

991 different points throughout the clean simulated $\dot{V}O_{2P}$ response. The vertical dashed line
992 shows the time of the $\phi 1-2$ transition; the horizontal dashed line shows the true $\phi 2 \tau \dot{V}O_{2P}$.



A**B****C**