



CLINICAL RESEARCH ARTICLE

A transformation of oxygen saturation (the saturation virtual shunt) to improve clinical prediction model calibration and interpretation

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BACKGROUND: The relationship between peripheral oxygen saturation (SpO₂) and the inspired oxygen concentration is non-linear. SpO₂ is frequently used as a dichotomized predictor, to manage this non-linearity. We propose the saturation virtual shunt (VS) as a transformation of SpO₂ to a continuous linear variable to improve interpretation of disease severity within clinical prediction models.

METHOD: We calculate the saturation VS based on an empirically derived approximation formula between physiological VS and SpO₂. We evaluated the utility of the saturation VS in a clinical study predicting the need for facility admission in children in a low resource health-care setting.

RESULTS: The transformation was saturation VS = 68.864 × log₁₀(103.711 – SpO₂) – 52.110. The ability to predict hospital admission based on a dichotomized SpO₂ produced an area under the receiver operating characteristic curve of 0.57, compared to 0.71 based on the untransformed SpO₂ and saturation VS. However, the untransformed SpO₂ demonstrated a lack of fit compared to the saturation VS (goodness-of-fit test *p* value < 0.0001 vs 0.098). The observed admission rates varied non-linearly with the untransformed SpO₂ but varied linearly with the saturation VS.

CONCLUSION: The saturation VS estimates a continuous linearly interpretable disease severity based on SpO₂ and improves clinical prediction.

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INTRODUCTION

Predictor transformation (e.g., using the squared values of a predictor) is a well understood method to optimize the performance of a predictor known to be non-linearly related to clinical outcomes.¹ Transformation has been shown to enhance the empirical performance for a predictor having a U-shape non-linear association with clinical outcomes, such as body temperature, for which high and low values are both associated with increased risk of adverse clinical outcomes.² The pulse oximeter oxygen saturation (SpO₂) is widely used as a clinical indicator of the degree of impairment in gas exchange.³ However, the SpO₂ does have a sigmoidal shape non-linear association with clinical outcomes because of the well-known sigmoid shape of the oxygen dissociation curve. This non-linear association between SpO₂ and clinical outcomes is a major limitation for using SpO₂ as a predictor in linear prediction models.

To circumvent this limitation, we propose a simple transformation of SpO₂, the saturation virtual shunt (VS). The key element of our transformation is the concept of physiological VS.⁴ The concept of physiological VS was initially used to describe the non-linear relationship between FiO₂ and the arterial partial pressure of O₂ (PaO₂) using iso-shunt curves.⁴ The physiological VS describes the overall loss of oxygen content between the inspired gas and the arterial blood⁵ and is linearly related to the degree of

impairment in oxygen exchange. The physiological VS can be defined as the proportion of blood that would need to bypass the lungs to produce the difference between the calculated end capillary venous oxygen content and arterial blood oxygen content and is also known as venous admixture.⁵ The physiological VS quantitatively describes the efficiency of the gas exchange and the severity of a disease process that may lead to hypoxemia.³ The physiological VS can also be adjusted for the fraction of inspired oxygen (FiO₂).

The physiological VS is typically calculated based on assumed values of the arterial/mixed venous oxygen content difference, hemoglobin level, pH, and temperature unless these values can be measured.^{5,6} A more common formula, the difference between the oxygen partial pressure in the alveoli (PAO₂) and systemic arteries (PaO₂) (P[A–a]O₂), has been used to represent the shunt calculation. This formula does adjust for changes in FiO₂ (due to changes in altitude or oxygen administration) but the reliance on an invasive measurement to obtain PaO₂ makes it impractical and the partial pressure of oxygen is used as a surrogate for oxygen content. The partial pressure of oxygen, however, is not linearly related to the degree of gas exchange abnormality and hence this approach is sub-optimal.^{5–7}

This article develops a physiologically based transformation of SpO₂ called the saturation VS (for clinical interpretation and

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prognostic research), with an illustrative application of using the saturation VS as one candidate predictor of hospital admission, compared to the previously used counterparts (the dichotomized SpO₂ and the untransformed SpO₂), in a cohort of children visiting the emergency department at the Kamudini Women Medical College Hospital in Bangladesh.⁸

METHODS

Calculation of physiological VS

Following Karlen et al.,^{5,6} we derive physiological VS from inspired oxygen FiO₂ and arterial oxygen saturation (SaO₂) for a full range of theoretical subjects that satisfy the following assumptions.

- The loss due to capillary diffusion is negligible, which allows alveoli oxygen content (PAO₂) to be approximated by end-capillary oxygen content.
- SaO₂ is estimated without error from SpO₂ obtained from pulse oximetry.
- Patients are on room air at the time of SpO₂ measurements. The barometric pressure is at sea level (101 kPa) and inspired oxygen (FiO₂) is at 21%.
- Values for water vapor pressure, alveolar CO₂ partial pressure, respiratory quotient, incomplete capillary diffusion, arteriovenous oxygen difference, oxygen-binding capacity of hemoglobin, blood concentration of hemoglobin, and solubility of O₂ in hemoglobin are assumed to be normal and constant.

With the above assumptions, we can theoretically calculate the physiological VS using the previously established Alveolar Gas equation and the Severinghaus and Severinghaus–Ellis equations.^{9–11} PAO₂ was estimated using the Alveolar Gas equation.⁹ Alveoli oxygen concentration (SAO₂) was then estimated from PAO₂ using the Severinghaus equation.¹⁰ To calculate arterial oxygen content, SaO₂ was transformed to PaO₂ using the Severinghaus–Ellis equation.^{10,11} The detailed mathematical descriptions of the above calculation can be found in the Supplementary Text S1 or in Karlen et al.^{5,6} Supplementary Fig. S1 provides an intuitive graphical illustration for the flow of calculations.

Saturation VS

To produce a simple and more clinically useful method to describe the non-linear relationship between the physiological VS and SpO₂, we fitted several common non-linear functions, such as polynomials and logarithmic functions. The unknown parameters of these functions were estimated using the non-linear least squares method.¹² For this fitting process, we selected SpO₂ at 1% intervals in the range from 50% to 98%. We chose this range of values because the previously described empiric formulae are not valid for SpO₂ values >98%.^{5,6} We also excluded SpO₂ values <50% as they are rare and typically associated with severe clinical cyanosis.

The saturation VS was then defined based on the fitted relationship between the physiological VS and SpO₂.

Evaluation of the empirical performance of the proposed transformation

We evaluated the use of the saturation VS compared to the dichotomized SpO₂ and the untransformed SpO₂ in a recently completed prospective observational study at the Kumudini Women's Medical College Hospital's in Bangladesh, a rural tertiary care hospital.⁸ Ethics approval and informed consent were obtained prior to data collection.

The study aimed to develop a simple model to predict the need for facility admission that could be used in a community setting. Children aged <5 years presenting at the outpatient or emergency department were enrolled. Study physicians collected clinical

signs and symptoms from the facility records and performed recordings of SpO₂, heart rate, and respiratory rate. Facility physicians made the decisions about the need for hospital admission on clinical grounds without knowledge of the oxygen saturation measurements. SpO₂ value was taken as the median over a minute at the time of initial assessment. SpO₂ readings >98% were considered to be equal to 98%, because 98% is the theoretical maximum reading possible on room air at sea level. Readings >98% occurred owing to the tolerance level or bias of the pulse oximeters.^{5,6} Children who showed high SpO₂ variability (range >6%) in combination with low perfusion were excluded. Motion artifact, ambient light, and poor positioning of the sensor typically resulted in high variability and low perfusion leading to a high likelihood of erroneous SpO₂ readings. Low perfusion was assessed post hoc based on the amplitude of the photoplethysmogram and the pulse oximeter device perfusion index (low/medium/high). Children with SpO₂ <75% (a danger sign) were also excluded from predictive modeling, for they were considered critically ill and should be directly admitted into higher-level facilities regardless of any model-based predictions.¹³ The data for this study are publicly available (<https://doi.org/10.1371/journal.pone.0143213.s003>).

Since the objective of this subsection is to illustrate the usefulness of the proposed transformation of SpO₂, we fitted three univariate logistic regression models for more straightforward demonstration. We are not proposing that SpO₂ be used on its own as a predictor of severity. Far from it, we aim to illustrate that a transformation of SpO₂ could enhance the usefulness of SpO₂ as one candidate predictor for illness severity. A multivariable prediction model using a transformed version of SpO₂ and vital signs was previously described.⁸

The three univariate models used different predictors to predict the need for facility admission: (1) hypoxemia, defined as SpO₂ <90% by the World Health Organization (WHO; dichotomized SpO₂ model), (2) the observed SpO₂ (untransformed SpO₂ model), and (3) the saturation VS (saturation VS model). We compared these models in terms of overall accuracy, calibration, and clinical interpretation. Overall accuracy was assessed using the area under the receiver operating characteristic curve (AUC ROC) and its 95% confidence interval (CI). AUC ROC measured the probability that a randomly selected admitted child would receive a higher predicted probability of requiring admission than a randomly selected child who was not admitted.¹⁴ For the untransformed SpO₂ model and the saturation VS model, calibration was assessed by plotting the observed admission rate against the group average of the predicted probability of requiring admission for each of the three groups determined a priori: SpO₂ <90%, SpO₂ from 90% to 97.5% and SpO₂ equal to 98%. A chi-square goodness-of-fit test was then applied.¹⁵ In addition, the observed admission rates were plotted against ten equally spaced SpO₂ or ten equally spaced saturation VS categories sharing similar ranges. The plots were fitted to linear and non-linear trends using the method of least squares,¹² which aimed to minimize the total squared difference between the observed admission rates and the risks of admission directly interpreted from the category-average SpO₂ or saturation VS levels. The accuracy of the fitted relationship was quantified by the standard deviations of the difference between the observed admission rates and the interpreted risks of admission based on the SpO₂ or saturation VS category labels. The 95% CIs for these standard deviations were calculated based on chi-square distributions.¹²

RESULTS

Results for calculation of physiological VS

Owing to the empirical nature of the physiological equations,^{9–11} the physiological VS corresponding to SpO₂ 98% was a small negative value (−0.78). We thus added 0.78 to all physiological VS

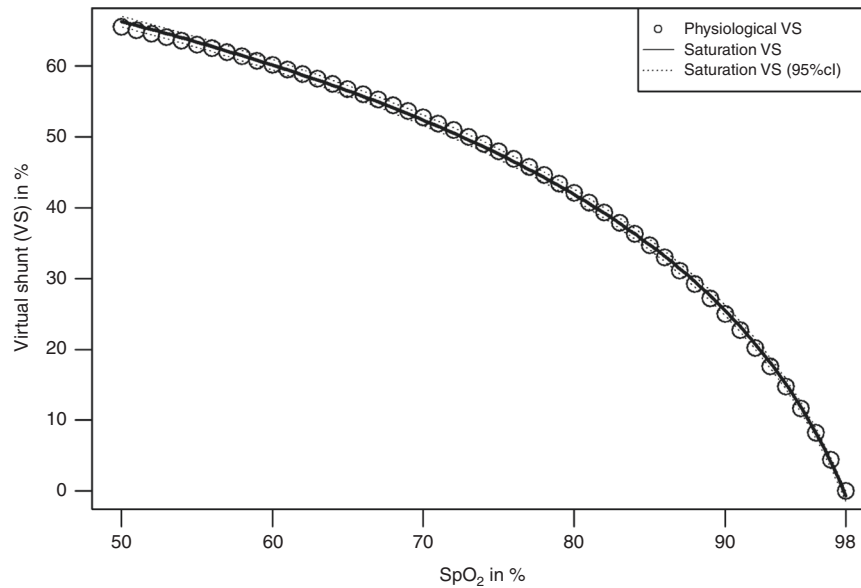


Fig. 1 Scatterplot of the physiological virtual shunt (VS) (%) and the saturation VS (%) against SpO₂ (%). “Physiological VS” is estimated by solving simultaneous equations using multiple physiological variables, “Saturation VS” is computed by “Saturation VS = 68.864 × log₁₀(103.711 – SpO₂) – 52.110”. The standard deviation of the differences between “Physiological VS” and “Saturation VS” is 0.37%, indicating that 95% of the differences between “Saturation VS” and “Physiological VS” are within 0.74%

Table 1. Summary of clinical diagnosis: frequency (prevalence in %)

| Clinical diagnosis | Children requiring hospital admission (N = 831) | Children not requiring hospital admission (N = 2112) |
|---|---|--|
| Fever | 359 (43.2%) | 621 (29.4%) |
| Fever >24 h | 264 (31.8%) | 453 (21.4%) |
| Cough | 572 (68.8%) | 1218 (57.7%) |
| Cough >24 h | 522 (62.8%) | 1119 (53.0%) |
| Vomiting | 76 (9.1%) | 214 (10.1%) |
| Vomiting >24 h | 62 (7.5%) | 136 (6.4%) |
| Difficult or fast breathing (mother) | 428 (51.5%) | 151 (7.1%) |
| Difficult or fast breathing (physician) | 170 (20.5%) | 38 (1.8%) |
| Abdominal pain | 17 (2.0%) | 88 (4.2%) |
| Diarrhea | 53 (6.4%) | 348 (16.5%) |
| Diarrhea >24 h | 39 (4.7%) | 244 (11.6%) |
| Chest in-drawing | 215 (25.9%) | 17 (0.8%) |
| Lethargy | 480 (57.8%) | 133 (6.3%) |
| Irritability | 70 (8.4%) | 61 (2.9%) |

values so that a normal SpO₂ 98% corresponded to exactly zero physiological VS.

The transformation formula for the saturation VS

The functions of the form $y = a \times \log_{10}(b - x) + c$ were sufficient to capture the non-linearity in the relationship between physiological VS and SpO₂. The relationship was statistically best fitted by an equation $VS = 68.864 \times \log_{10}(103.711 - SpO_2) - 52.110$ (Fig. 1). The saturation VS was therefore defined as saturation VS = $68.864 \times \log_{10}(103.711 - SpO_2) - 52.110$.

Prediction performance and model calibration and interpretation
In total, 2943 of the 3374 recruited cases had adequate SpO₂ recordings, of whom 831 were admitted and 2112 were not

admitted. We excluded 5 cases showing SpO₂ variability >6% in combination with low perfusion. We adjusted the 868 SpO₂ readings >98% to be equal to 98%. The 12 cases with SpO₂ <75% were all admitted and they were excluded from predictive modeling. Table 1 summarizes the information about the clinical diagnosis.

The distribution of the untransformed SpO₂ and that of the saturation VS revealed more informative discrimination of the outcome group than that of the dichotomized SpO₂ (Fig. 2). In addition, the distribution of the saturation VS was less skewed (skewness 2.26 vs –3.54 for the admitted and 0.98 vs –2.84 for the not admitted cases) than that of the untransformed SpO₂ (Fig. 2).

The dichotomized SpO₂, the untransformed SpO₂ model, and the saturation VS model all demonstrated that a SpO₂ <90% was associated with increased risk of admission and the latter two unsurprisingly had a much higher AUC ROC (Table 2). Despite the identical AUC ROC, the untransformed SpO₂ model demonstrated a statistically significant lack of fit (p value < 0.0001, $\chi^2 = 19.973$, $df = 1$), whereas the saturation VS model did not (p value = 0.098, $\chi^2 = 2.744$, $df = 1$). A closer look at the data revealed that the untransformed SpO₂ model significantly underestimated the risk of admission among the 1017 children with SpO₂ between 90% and 97.5% and significantly overestimated the risk of admission among the 1750 children with SpO₂ ≥ 98% (Fig. 3). Therefore, the saturation VS model was better calibrated than the untransformed SpO₂ model. In terms of clinical interpretation, a 5% decrease in SpO₂ and a 5% increase in the saturation VS were respectively predicted to be associated with a 286% and 55% increase in the odds of requiring admission (Table 2). The magnified odds ratio obtained from the untransformed SpO₂ model was due to the dense distribution of SpO₂ data between 85% and 98% (Fig. 2) and that in this region a 5% decrease in SpO₂ corresponded to a >5% increase in the saturation VS (Fig. 1). In addition, the contrast between an odds ratio of 1.55 for only 5% increase in the saturation VS and an odds ratio of 11.5 for a much larger increase of the saturation VS from between 0% and 26% to between 26% and 67% is consistent with Fig. 2. This marked difference is also not surprising in view of the sigmoid shape of

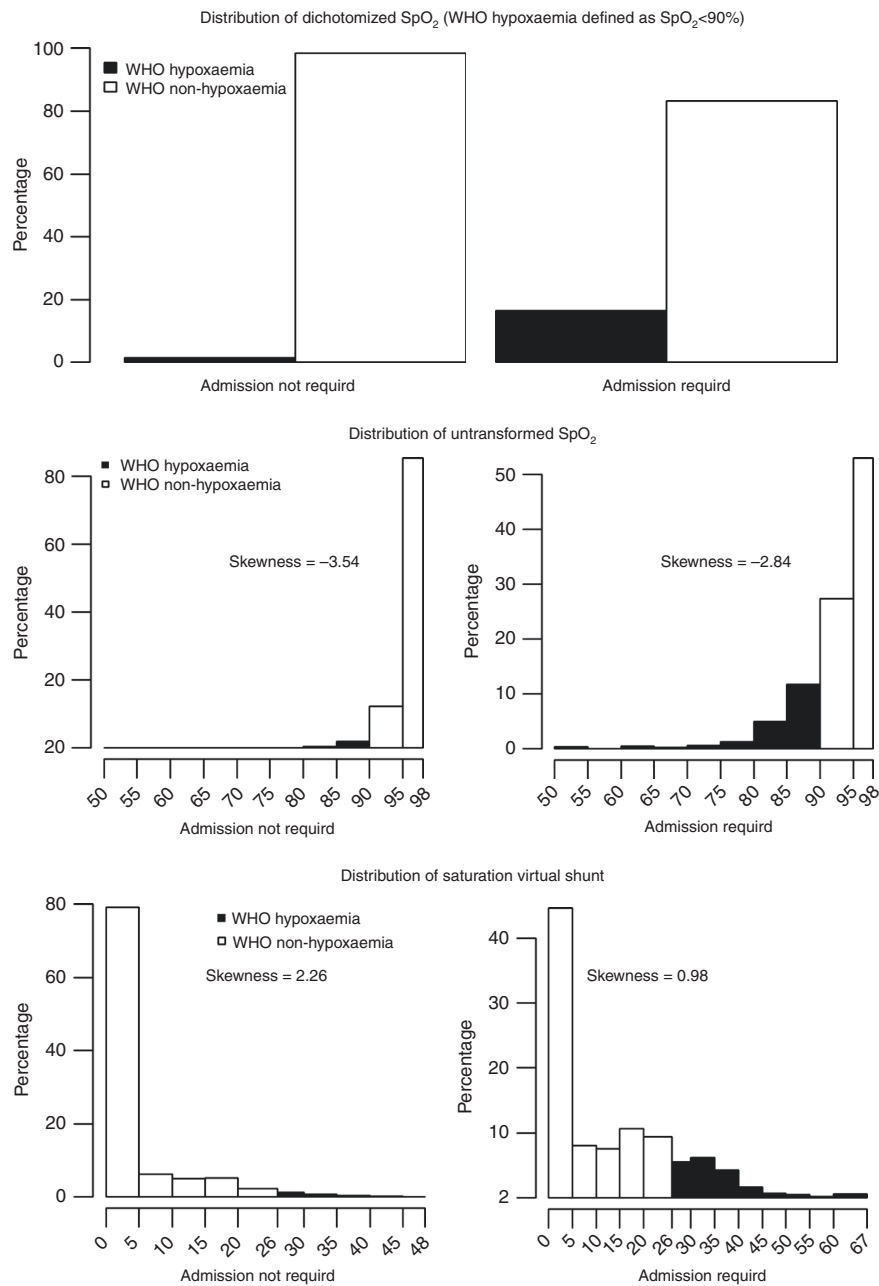


Fig. 2 Distribution of dichotomized SpO₂, untransformed SpO₂ (%), and the saturation virtual shunt (VS) (%) by the outcome group. By having a less skewed distribution, the saturation VS is superior to the untransformed SpO₂ in terms of the ability to more evenly stratify patients by sickness severity

| Model | Odds ratio (95% CI) | AUC ROC (95% CI) |
|--------------------------------------|---------------------------------|------------------|
| Dichotomized SpO ₂ model | 11.47 (7.74–16.99) ^a | 0.57 (0.56–0.58) |
| Untransformed SpO ₂ model | 3.86 (3.31–4.50) ^b | 0.71 (0.69–0.73) |
| Saturation VS model | 1.55 (1.48–1.62) ^c | 0.71 (0.69–0.73) |

AUC ROC area under the receiver operating characteristic curve, CI confidence interval, VS virtual shunt
^aAssociated with changing from the absence to presence of WHO-defined hypoxemia
^bAssociated with a 5% decrease in SpO₂
^cAssociated with a 5% increase in the saturation VS

the oxygen dissociation curve, in which switching from hypoxemia absent to present signals a major deterioration in the efficiency of gas exchange in the lung, whereas 5% increase in the saturation VS indicates a much smaller gradual loss in the efficiency of gas exchange in the lung.

The observed admission rates exhibited a non-linear relationship with SpO₂ but an approximately linear relationship with saturation VS (Fig. 4). More specifically, each 4% increase in the saturation VS was on average associated with an approximately 8.2% increase in the admission rate (e.g., 286 out of 1757 children were admitted with the saturation VS from 0% to 4%, whereas 84 out of 288 children were admitted with the saturation VS from 12% to 16%). In contrast, each 2% decrease in SpO₂ would be associated with varying increases in the admission rate due to the nature of the non-linear trend in Fig. 4.

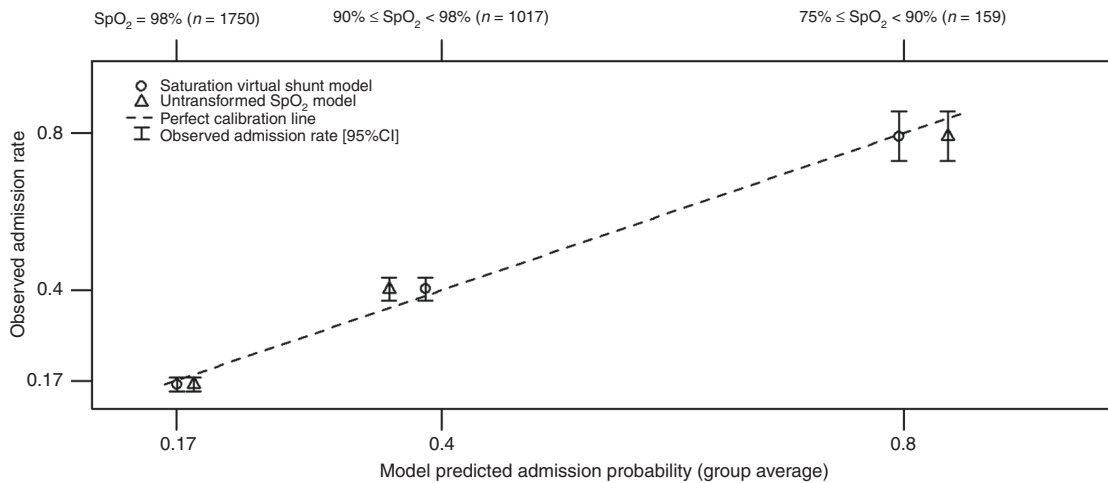


Fig. 3 Calibration plot of the untransformed SpO₂ model and the saturation virtual shunt model applied to the 2926 cases with SpO₂ ≥ 75%. The dotted line is the line of equality on which the model-predicted admission probabilities perfectly coincide with the observed admission rates

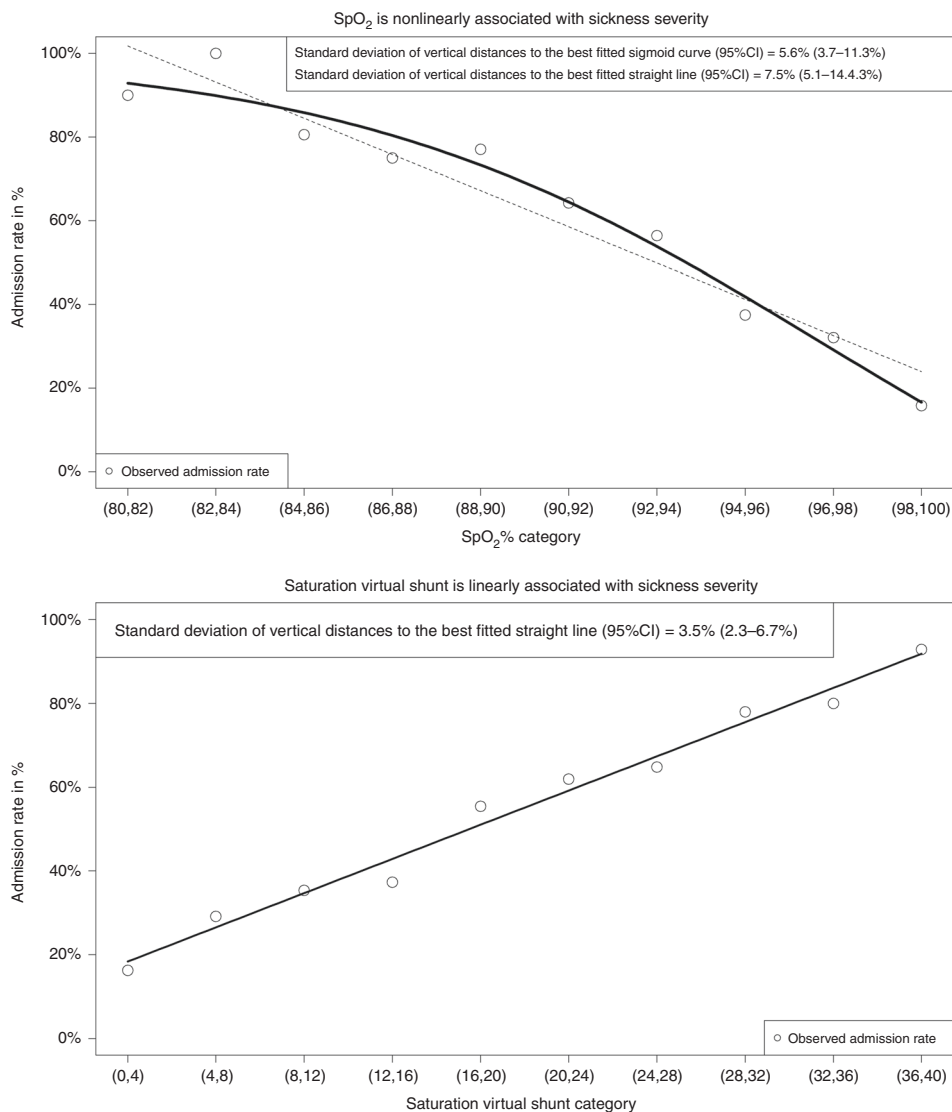


Fig. 4 Observed admission rates compared to equally spaced SpO₂ and saturation virtual shunt categories. Each category includes the right endpoint but excludes left endpoint (e.g., 80–82 includes SpO₂ = 82% but excludes SpO₂ = 80%). For the curve-fitting, the categories are coded from 1 to 10. For SpO₂, the best-fitted sigmoid curve (a common type of non-linear curves for S-shaped relationships) corresponds to an equation $y = 0.980 - 2.138 / (1 + e^{-0.266 \times (x - 11.073)})$

DISCUSSION

The transformation of the SpO₂ to the saturation VS improves clinical interpretation, accuracy, and calibration of prediction models. For instance, in our study in children aged <5 years in Bangladesh the saturation VS improved clinical prediction, calibration, and interpretation of the need for hospital admissions. This is not surprising because dichotomizing the SpO₂ is ill-suited to decision-making in clinical medicine and resulted in a significant degradation of prediction performance. The saturation VS may also have additional importance in estimating severity of disease and response to treatment (such as oxygen administration) since it incorporates the non-linearity in hemoglobin–oxygen dissociation curves. Small changes in SpO₂ on the flat portion of the oxygen saturation curve (near 100%) reflect a much greater change in physiology than the same change at a lower SpO₂. In contrast, the saturation VS is linearly related to the changes in the physiological and clinical state and provides more granular information of adverse changes in physiology. For example, on the scale of SpO₂, a decrease from 95% to 90% would reflect more impairment in gas exchange, and therefore may indicate more significant change (deterioration in clinical condition), than a decrease from 90% to 85%. This non-linear interpretability of SpO₂ is particularly undesirable when it is used as a predictor (e.g., in Amatet et al.¹⁶), whether in univariate or multivariate analysis, for interpretations of regression models often involve a description of the average amount of outcome change that will be associated with a given amount of predictor change. Such description is only meaningful if the amount of predictor change is clinically comparable for different baseline values. This has typically been resolved by dichotomizing the SpO₂ values. However, the use of continuous predictors has been recommended to prevent information loss and decrease in predictive capability resulting from dichotomization.¹⁷ To improve model interpretability, it would be unwise to use hypoxemia as a surrogate predictor in view of the loss in accuracy. Instead, the use of the saturation VS in lieu of observed SpO₂ as a predictor would not only maintain the prediction accuracy but also increase clinical interpretation and calibration of prediction models. Such benefits are especially valuable for resource-limited settings where staff trainings may also be inadequate. The use of equally spaced saturation VS categories may also provide a more intuitive interpretation for clinicians to linearly interpret sickness severity (e.g., hospital admission rate) that is not achievable with the direct use of the untransformed SpO₂.

The major limitation of the proposed transformation is that the derivation makes many assumptions about normal clinical conditions. A change in the saturation VS may be a result of changes in other unmeasured variables in the model and may not be a result of abnormal gas exchange. A further limitation is that this study modeled the outcome of admission, which was not necessarily linked to issues of respiratory compromise. This would be artificially associated with lower AUC values than if modeled using a cohort of children being assessed with a presumed respiratory illness. However, since our predictive variables were all based on oxygen saturation, the comparative differences remain internally valid. Despite these limitations, this approach has the potential to fill an important gap in the utilization of oxygen saturation data in both clinical and research settings. Further validation in clinical settings is therefore required to better define its utility in this context.

In conclusion, the SpO₂ transformed saturation VS provides an intuitive measure of hypoxemia and may prove to be a useful aid in clinical practice when measuring SpO₂ and as a component of clinical prediction models when included with electronic devices (such as mobile phones) that can easily perform the required calculation. Further validation is necessary prior to adoption into

clinical practice due to the many assumptions about normal clinical conditions during the derivation of the physiological and saturation VS.

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AUTHOR CONTRIBUTIONS

J.M.A., R.B., and N.K. contributed to the design of the study. G.Z., W.K., and R.B. analyzed the data. All the authors wrote, revised, and approved the manuscript.

ADDITIONAL INFORMATION

The online version of this article (<https://doi.org/10.1038/s41390-019-0525-2>) contains supplementary material, which is available to authorized users.

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