

# Evaluation of Autonomic Nervous System Changes Using Short-term Heart Rate Variability During Apnea

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## Research

**Keywords:** Autonomic nervous system, Apnea, Short-term, Heart rate variability

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1 **Title page**

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3 Short-term Heart Rate Variability During Apnea

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13 **Abstract**

14 **Background:** Frequent cessations of respiration can greatly increase the prevalence  
15 rate of arrhythmia. It has been confirmed that cardiac activity is regulated by  
16 autonomic nervous system (ANS). And heart rate variability (HRV) is widely used as  
17 a method to evaluate the function of ANS. Therefore, we analyzed whether apnea can  
18 affect the balance and normal function of ANS using short-term HRV indices.

19 **Methods:** Forty-five healthy subjects were asked to breathe normally and hold their  
20 breathing to simulate 10 times apnea. Thirty-six patients from the dataset of a sleep  
21 laboratory for the diagnosis of sleep disorders with 10 times apnea were included in  
22 analysis. We calculated short-term HRV indices of subjects in normal respiratory and  
23 apneic states, respectively.

24 **Results:** Compared with normal respiratory state, respiration cease would lead to the  
25 values of the mean-RR, nLF, LF/HF, and  $\alpha 1$  were significantly increase whereas the  
26 values of rMSSD and nHF were significantly decrease.

27 **Conclusions:** Cessations of respiration would lead to an imbalance in function of  
28 ANS, as well as an increase in fractal characteristics of the heart. These changes in  
29 physiological state are likely to induce and cause the occurrence of arrhythmia, which  
30 is regulated by ANS.

31 **Keywords** Autonomic nervous system, Apnea, Short-term, Heart rate variability

## 32 **I. Background**

33 People who experience frequent apneic periods initiated by either voluntary or  
34 involuntary apnea are more prone to develop cardiac arrhythmia [1]. For example,  
35 voluntary breath-holding divers and underwater hockey players are more prone to  
36 cardiac arrhythmia [2]. More than 90% of patients with obstructive sleep apnea  
37 hypopnea syndrome, characterized by involuntary apnea during sleep, also have  
38 cardiac arrhythmia [3]. The incidence of frequent apneic periods may be a high risk  
39 factor for non-organic cardiac arrhythmia, which is a hallmark of a dysregulated  
40 autonomic nervous system (ANS) [4]. We studied whether apneic periods (both

41 voluntary and involuntary apnea) can affect the balance and normal function of the  
 42 ANS, exhibited by the presence of cardiac arrhythmia. The methods of heart rate  
 43 variability (HRV), blood pressure monitoring, pulse transit time (PTT), catecholamine  
 44 assay, and radionuclide imaging [5] can be adopted to evaluate the function of ANS.  
 45 Compared with other methods, HRV has the advantages of being noninvasive,  
 46 quantitative, and simple to calculate. It can analyze the dynamic changes of the ANS  
 47 more accurately and better evaluate the cardiac sympatho-vagal balance. We  
 48 hypothesized that HRV could be used to evaluate the effect of apnea on the function  
 49 of the ANS.

## 50 **II. Results**

51 The results of study1 and study2 show that when apnea (either type) occurred,  
 52 the values of mean-RR, nLF, LF/HF, and  $\alpha 1$  increased and the values of rMSSD and  
 53 nHF decreased. The HRV indices under different respiratory states in study1 were  
 54 shown in Table 2 and Fig.3. Table 2 and Fig.3 show that for the subjects in study1,  
 55 comparing with normal respiratory state, under the state of voluntary apnea, the value  
 56 of mean-RR (10 events of voluntary apnea) is much more significantly increased, and  
 57 the values of nLF, LF/HF, and  $\alpha 1$  are significantly increased ( $\geq 7$  events of voluntary  
 58 apnea), whereas the value of rMSSD is significantly decreased (10 events of  
 59 voluntary apnea), and the value of nHF is significantly decreased (8 events of  
 60 voluntary apnea).

61 Table 2 Result of HRV during normal respiratory condition and voluntary apnea

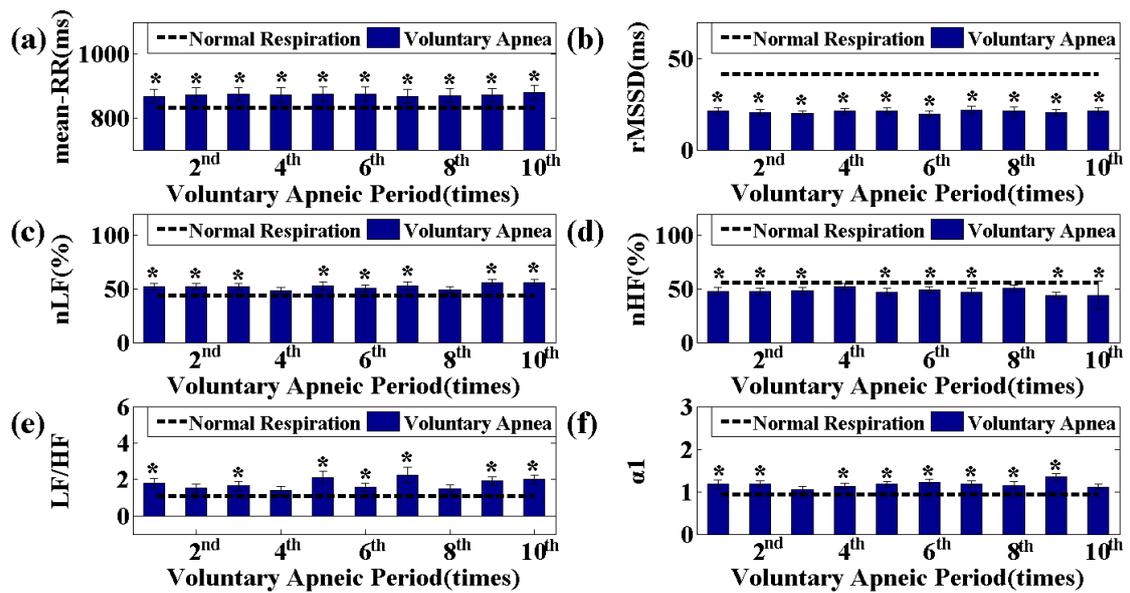
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Mean-RR (ms)	rMSSD (ms)	nLF (%)	nHF (%)	LF/HF	$\alpha 1$
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Normal	831.59±19.34	41.57±4.62	44.16±2.71	55.84±2.71	1.07±0.15	0.94±0.04
Respiratory State						
1 <sup>st</sup> Voluntary Apnea	867.71±22.07*	21.16±2.1*	52.05±3.29*	47.95±3.29*	1.79±0.27*	1.18±0.09*
2 <sup>nd</sup> Voluntary Apnea	873.36±21.95*	20.62±1.83*	52.43±2.79*	47.57±2.79*	1.53±0.21	1.18±0.07*
3 <sup>rd</sup> Voluntary Apnea	874.32±20.98*	20.02±1.49*	51.96±3.14*	48.04±3.14*	1.66±0.24*	1.05±0.08
4 <sup>th</sup> Voluntary Apnea	873.23±22.35*	21.21±1.64*	48.23±3.01	51.77±3.01	1.4±0.23	1.13±0.07*
5 <sup>th</sup> Voluntary Apnea	874.89±21.84*	21.45±1.72*	52.98±3.51*	47.02±3.51*	2.1±0.36*	1.17±0.07*
6 <sup>th</sup> Voluntary Apnea	874.53±22.33*	19.73±1.61*	50.73±3.05*	49.27±3.05*	1.58±0.22*	1.21±0.08*
7 <sup>th</sup> Voluntary Apnea	867.8±20.97*	21.86±1.98*	52.76±3.54*	47.24±3.54*	2.24±0.43*	1.18±0.08*
8 <sup>th</sup> Voluntary Apnea	870.88±20.6*	21.17±2.25*	49.17±3.16	50.83±3.16	1.5±0.2	1.15±0.09*
9 <sup>th</sup> Voluntary Apnea	871.18±20.56*	20.52±1.68*	55.91±3.14*	44.09±3.14*	1.91±0.25*	1.35±0.08*
10 <sup>th</sup> Voluntary Apnea	880.8±21.77*	21.2±2.08*	56±3.11*	44±3.11*	2±0.25*	1.11±0.07

62 Values are expressed as the mean ± SE. Statistical significance between the 10 events of voluntary apnea with  
63 normal respiration: \* (P<0.05) significant.



64

65 Fig. 3. The values of HRV during normal respiratory condition (dotted line) and voluntary apneic state (bar) in study1. (a) the  
 66 value of Mean-RR, (b) the value of rMSSD, (c) the value of nLF, (d) the value of nHF, (e) the value of LF/HF, (f) the value of  $\alpha 1$ .  
 67 Values plotted are means  $\pm$  SE. Statistical significance between the voluntary apneas and normal breathing: \* (P<0.05)  
 68 significant.

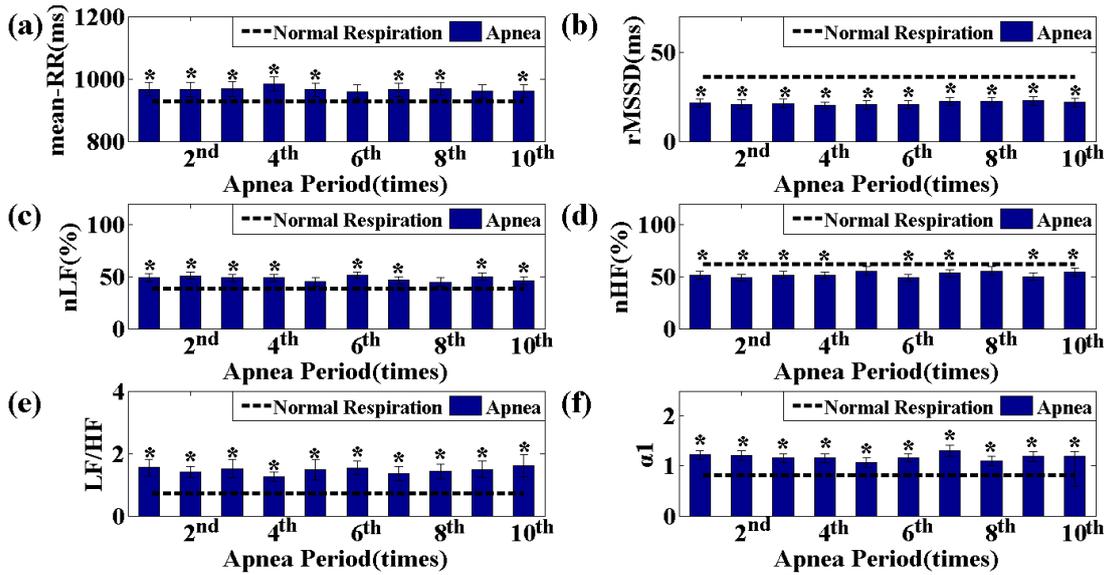
69 The HRV indices in different respiratory states in study2 were shown in Table 3  
 70 and Fig.4. Table 3 and Fig.4 show that for the subjects of study2, comparing with  
 71 normal respiratory state, under the apneic state, the values of LF/HF and  $\alpha 1$  are  
 72 significantly increased (10 events of apnea), and the values of mean-RR and nLF are  
 73 significantly increased (8 events of apnea), whereas the value of rMSSD is  
 74 significantly decreased (10 events of apnea), and the value of nHF is significantly  
 75 decreased (8 events of apnea).

76 Table 3 Result of HRV during normal respiratory condition and apnea

	Mean-RR (ms)	rMSSD (ms)	nLF (%)	nHF (%)	LF/HF	$\alpha 1$
Normal	928.83 $\pm$ 21.99	35.89 $\pm$ 4.31	38.22 $\pm$ 2.57	61.78 $\pm$ 2.57	0.72 $\pm$ 0.48	0.82 $\pm$ 0.04
Respiratory State						
1 <sup>st</sup> Apnea	966.89 $\pm$ 20.89*	21.54 $\pm$ 2.08*	49.09 $\pm$ 3.8*	50.91 $\pm$ 3.8*	1.55 $\pm$ 0.26*	1.22 $\pm$ 0.09*
2 <sup>nd</sup> Apnea	965.96 $\pm$ 21.85*	20.7 $\pm$ 2.39*	50.85 $\pm$ 3.09*	49.15 $\pm$ 3.09*	1.41 $\pm$ 0.18*	1.21 $\pm$ 0.09*
3 <sup>rd</sup> Apnea	967.5 $\pm$ 23.21*	21.19 $\pm$ 2.46*	48.61 $\pm$ 3.39*	51.39 $\pm$ 3.39*	1.51 $\pm$ 0.29*	1.16 $\pm$ 0.09*
4 <sup>th</sup> Apnea	983.39 $\pm$ 22.05*	20.23 $\pm$ 1.76*	48.74 $\pm$ 3.22*	51.26 $\pm$ 3.22*	1.25 $\pm$ 0.15*	1.16 $\pm$ 0.09*
5 <sup>th</sup> Apnea	964.61 $\pm$ 20.59*	20.42 $\pm$ 2.32*	44.87 $\pm$ 4.2	55.13 $\pm$ 4.2	1.48 $\pm$ 0.32*	1.07 $\pm$ 0.1*
6 <sup>th</sup> Apnea	959.22 $\pm$ 21.76	20.55 $\pm$ 2.16*	51.29 $\pm$ 3.35*	48.71 $\pm$ 3.35*	1.54 $\pm$ 0.22*	1.17 $\pm$ 0.08*
7 <sup>th</sup> Apnea	964.89 $\pm$ 21.99*	22.36 $\pm$ 2.19*	46.61 $\pm$ 3.51*	53.38 $\pm$ 3.51*	1.35 $\pm$ 0.23*	1.3 $\pm$ 0.11*

8 <sup>th</sup> Apnea	968.33±21.46*	22.22±2.59*	44.75±4.23	55.25±4.23	1.42±0.25*	1.1±0.09*
9 <sup>th</sup> Apnea	960.03±22.11	22.61±2.38*	50.07±3.3*	49.93±3.3*	1.49±0.26*	1.19±0.1*
10 <sup>th</sup> Apnea	961.81±20.46*	21.79±2.36*	45.86±4.03*	54.13±4.03*	1.6±0.35*	1.19±0.1*

77 Values are expressed as the mean ± SE. Statistical significance between the 10 events of apnea with normal respiration: \*  
78 (P<0.05) significant.



79  
80 Fig. 4. The values of HRV during normal respiratory condition (dotted line) and apneic state (bar) in study2. (a) the value of  
81 Mean-RR, (b) the value of rMSSD, (c) the value of nLF, (d) the value of nHF, (e) the value of LF/HF, (f) the value of  $\alpha 1$ . Values  
82 plotted are means ± SE. Statistical significance between the apneas and normal breathing: \* (P<0.05) significant.

83 Considering the physiological significance of these HRV indices, we concluded  
84 that compared with normal respiration, any form of apnea (simulated or actual apnea)  
85 could result in a significant increase in the body's sympathetic activity, a significant  
86 decrease in vagal activity, and a significant change in balance of ANS, and it also led  
87 to an increase in fractal characteristics of the heart.

### 88 III. Discussion

89 In this study, the method of short-term HRV was used to measure and evaluate

90 the function of ANS in normal respiration and apneic states of two groups of subjects.  
91 The results showed that compared with the normal respiratory state, simulated apnea  
92 (voluntary apnea) and actual apnea (sleep disorder) both lead to a significant increase  
93 in the values of the mean-RR, nLF, LF/HF, and  $\alpha 1$  whereas the values of rMSSD and  
94 nHF both significantly decreased, indicating that sympathetic activity was  
95 significantly enhanced, vagal activity was significantly weakened, the balance of ANS  
96 produced significant changes, and the fractal characteristics of the heart was  
97 enhanced.

98 There are many methods for evaluating the function of the ANS, such as PTT,  
99 Catecholamine assay, Blood pressure monitoring, Radionuclide imaging, and HRV,  
100 etc. Among them, the method of PTT needs to find the R-wave of the ECG signal and  
101 P-wave of pulse signal to obtain Pulse transit time variability (PPTV), which is  
102 complicated to implement. The technique of Catecholamine assay is capable of  
103 qualitatively but not quantitatively measuring the function of ANS. The method of  
104 blood pressure monitoring and Radionuclide imaging can only accurately measure  
105 sympathetic nerve activity, but cannot accurately measure vagal activity. The  
106 calculation of HRV is based on the RR interval of the ECG signal. The method of  
107 HRV can quantitatively evaluate the function of ANS. It can not only specifically  
108 analyze the changes of sympathetic and parasympathetic nerves, but also has the  
109 virtues of being non-invasive, simple to calculate, and repeatable [16]. Hence, the  
110 method of HRV was chosen to evaluate the function of ANS in our experiment.

111 HRV analysis can be performed using different types of indices. Time domain

112 indices can be calculated simply and are intuitive. They have been firstly used in  
113 clinical practice, such as mean-RR, rMSSD. The frequency domain indices can  
114 measure sympathetho-vagal activity, for example, nHF can reflect vagal activity and  
115 nLF can reflect sympathetic activity. Nonlinear domain indices have great advantages  
116 in the analysis of nonstationary signal, which can reflect the characteristics of ECG  
117 signal changing over time and the fractal characteristics of the heart, such as  $\alpha_1$ . In  
118 our study, time, frequency, and nonlinear domain indices of HRV were used to  
119 evaluate the function of ANS from different angles.

120 The method of Lomb-Scargle was used when we calculated the frequency  
121 domain indices of HRV because the experiments involved the analysis of the  
122 short-term ECG signal. This method is based on a least squares fit of sinusoids with  
123 the calculation performed directly on uneven RR intervals. It does not need to  
124 interpolate and resample the original signal, so avoids spectral distortion [17].  
125 Similarly, the method of DFA was chosen when we calculated the nonlinear domain  
126 indices because of the short-term ECG signal in our study. The fractal scaling  
127 exponent,  $\alpha_1$ , calculated by DFA can accurately analyze ECG, which is a  
128 non-stationary signal, and it can better detect the subtle changes of short-term R-R  
129 intervals [18].

130 The reasons for why apnea leads to arrhythmia are multifaceted and complex.  
131 From an anatomical point of view, it has been found that the inspiratory muscles are  
132 relaxed in the lungs when apnea occurs. Then the relaxed muscles cause an increase  
133 in intra-thoracic pressure and hinders the venous return to the right atrium, which

134 reduces the absolute venous pressure. These low-level changes cause the increase of  
135 sympathetic activity through low-pressure baroreceptors, which makes ANS  
136 unbalanced and eventually leads to arrhythmia [19]. This study explored the causes of  
137 arrhythmia from the changes of ANS function. The experimental results showed that  
138 when apnea occurs, the human sympathetic activity was enhanced (the value of nLF  
139 significantly increased); vagal tone and activity was reduced (the values of rMSSD  
140 and nHF significantly decreased); and the original ANS equilibrium state was broken;  
141 at the same time, the index of LF/HF reflecting balance of ANS significantly  
142 increased too, which further illustrated the imbalance of ANS function. Cardiac  
143 activity is regulated by ANS. When the normal function of the ANS is unbalanced, an  
144 abnormal heart rhythm is formed, which induces arrhythmia. In addition, some studies  
145 have confirmed that the reduction of fractal characteristics of the heart is closely  
146 related to the occurrence of cardiac malignant events, such as congestive heart failure,  
147 etc. [20], whereas the enhancement of fractal characteristics of the heart would cause  
148 arrhythmia [21]. Therefore, when apnea occurred, the phenomenon that the value of  
149  $\alpha_1$  reflecting the strength of the fractal characteristics of the heart was significantly  
150 enhanced further explained the process of arrhythmia induced by apnea in this study.

151 This study had some limitations. First, although the method of short-term HRV  
152 can reflect the changes of ANS during apnea to a certain extent, its accuracy needs to  
153 be verified using a more direct method, such as a neural pathways-related approach.  
154 Second, most of the simulated and actual apnea in our study lasted for only 20  
155 seconds. Our study only revealed how these 20-second apneic periods influence ANS.

156 The relationship between longer apnea and ANS should be investigated further.

## 157 **IV. Conclusions**

158 In this study, we compared short-term HRV indices of subjects in normal  
159 respiratory and apneic states to analyze whether apnea can affect the balance and  
160 normal function of ANS. The results suggest that both form of apnea (simulated or  
161 actual apnea) result in a significant increase of sympathetic activity and a decrease of  
162 vagal activity, thus leading to an imbalance in function of ANS, as well as an increase  
163 in fractal characteristics of the heart. These changes in physiological state are likely to  
164 induce and cause the occurrence of arrhythmia. At the same time, we have described  
165 algorithms and indices for short-term HRV, which provides a reliable method for  
166 future short-term HRV analysis.

## 167 **V. Materials and methods**

### 168 A. Subjects

169 Forty-five healthy male (n=23) and female volunteers (n=22), aged 18-35 years  
170 and body mass index (BMI) <21.4 kg/m<sup>2</sup> were enrolled in the study after approval for  
171 the study protocol was obtained from the Human Institutional Review Board of the  
172 China Medical University. All subjects gave informed consent before the  
173 measurements. The study was registered at Chinese Clinical Trial Registry  
174 ([www.chictr.org.cn](http://www.chictr.org.cn)) under number ChiCTR-DDD-17014238.

175 Meanwhile, three hundred subjects were chosen randomly from the dataset of a  
176 sleep laboratory for the diagnosis of sleep disorders which is available from  
177 PhysioNet (<https://physionet.org/physiobank/database/challenge/2018/#files>). The

178 subjects had a variety of physiological signals recorded as they slept through the night  
179 including: electroencephalography (EEG), electrooculography (EOG),  
180 electromyography (EMG), electrocardiology (ECG), oxygen saturation (SaO<sub>2</sub>), and  
181 nasal flow pressure, etc. Subjects were eligible if they maintained continuous steady  
182 breathing for more than 5 minutes and experienced apneic periods (> 15 seconds each)  
183 more than 10 times during the studied period. Thirty-six male (n=11) and female  
184 (n=25) subjects, aged 40-82 years met the eligibility criteria of our study.

#### 185 B. Experimental Protocol

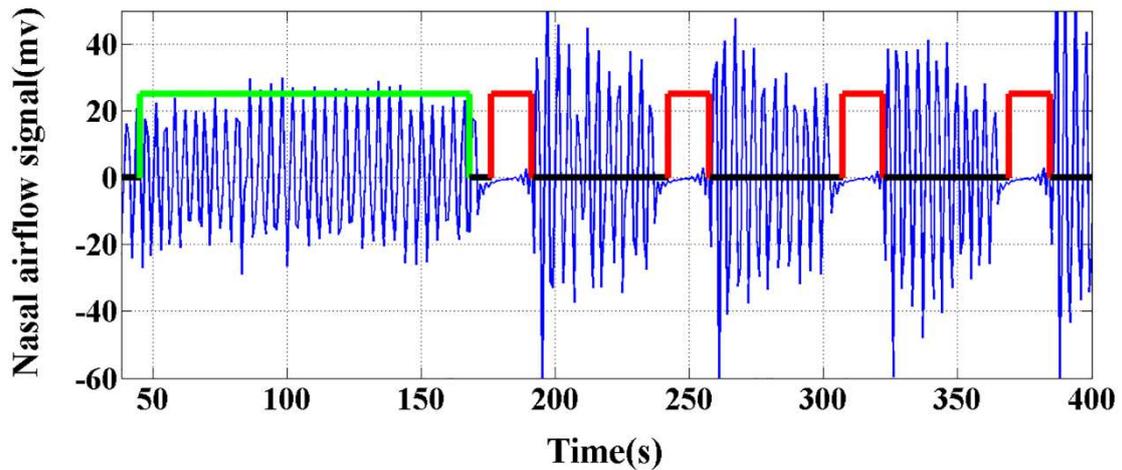
186 We performed two studies to analyze how apnea influences the ANS using HRV  
187 indices: Study1 (45 subjects), in which voluntary apnea was used to simulate apnea  
188 and Study2 (36 subjects), in which actual apnea was observed. For Study1 and Study2,  
189 absence of nasal flow pressure signal for more than 15 seconds was considered an  
190 apneic event [6].

#### 191 Study 1

192 The subjects in the supine position were asked to breathe normally under resting  
193 state for 2 minutes. Then the subjects were asked to hold their breathing for about 20  
194 seconds to simulate an apneic event. This type of apnea simulation was repeated every  
195 40 seconds for 10 iterations. During the experiment, we used polysomnography (Alice  
196 PDx, Amsterdam, Holland) to collect the physiological signals, including ECG and  
197 nasal flow pressure. All signals were acquired synchronously via multiple channels.  
198 The sampling rate of the ECG and nasal flow pressure signal is 200 Hz.

199 Nasal flow pressure was used as the reference signal for dividing normal or

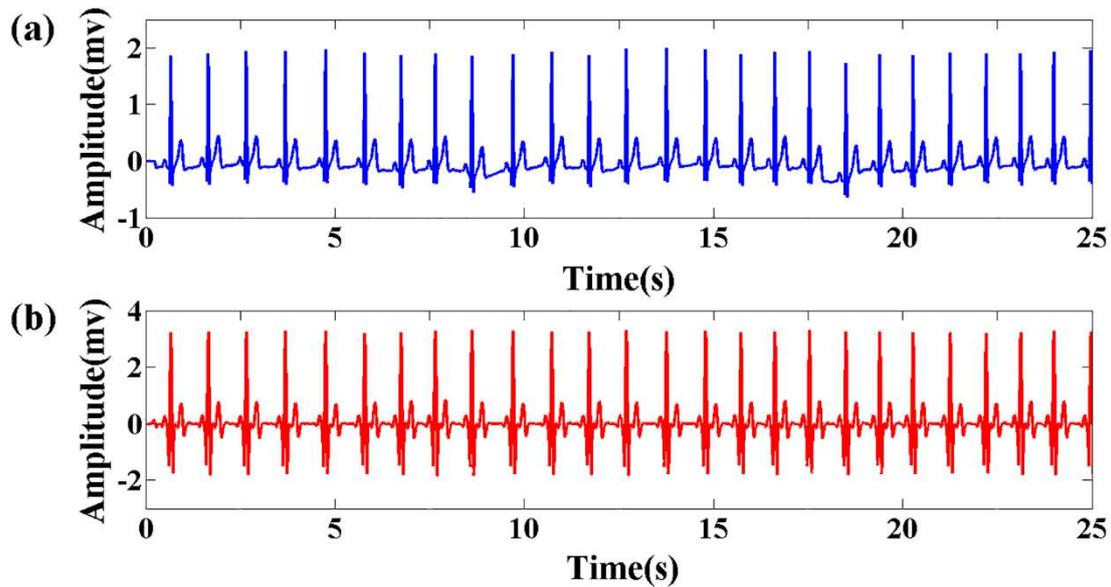
200 apneic respiratory events. [Fig.1].



201

202 Fig. 1. An example of subject's nasal flow pressure signal in Study1. The green rectangle represents normal respiratory  
203 condition, the red rectangle represents holding simulated apneic event.

204 HRV analysis was used to evaluate the function of the ANS. In our study, we  
205 used R-R intervals of ECG to calculate the HRV indices. We performed wavelet  
206 transform [7] on the ECG signal (as shown in fig. 2), which removed the baseline  
207 wander, ambient noise, and power line interference in the signal, and highlighted the  
208 feature of the R-wave. Finally, we identified the R-wave using an amplitude threshold.  
209 All the R-waves were validated and checked manually by visual inspection, despite  
210 the robustness of the R-wave detection algorithm in a fully automated mode.



211

212 Fig. 2. (a) Original ECG signal (blue), (b) ECG signal after wavelet transform (red).

213 In order to explore the changes of the ANS during apnea, HRV indices during  
 214 apneic state (20 seconds) were compared with HRV indices during normal respiratory  
 215 state (2 minutes). However, some recent research revealed that there were significant  
 216 differences in certain HRV indices for different lengths ECG signals[8-10].

217 In order to effectively and reasonably compare the changes in HRV indices  
 218 under the normal respiration and apneic states, the ECG signals collected from our  
 219 pilot experiment were used to screen out the HRV indices which did not change with  
 220 data length changes. These data were collected while the 44 subjects in study1 were  
 221 resting with the supine position for a total of 10 minutes. We separately cut the data  
 222 into 5 minutes, 2 minutes, 40 seconds, and 15 seconds from the initial point of the  
 223 10-minute ECG signal, and calculated the HRV indices. The four groups of indices  
 224 were compared with the HRV indices corresponding to the 10-minute data. If there  
 225 were no significant differences, the index was considered to be available for  
 226 subsequent analysis.

227 A total of ten classic HRV indices were calculated [11]. The time domain indices  
228 include:

229 Mean-RR (mean of successive normal R-R intervals): reflects the mean of all  
230 R-R intervals, in unit of ms. It can be calculated as:

$$231 \text{MEAN}=\overline{\text{RR}}=\sum_{i=1}^N(\text{RR}_i/N) \quad (1)$$

232 SDNN (standard deviation of successive normal R-R intervals): reflects the  
233 magnitude of sympathetic and parasympathetic tone, in unit of ms. It can be  
234 calculated as:

$$235 \text{SDNN}=\sqrt{\frac{1}{N}\sum_{i=1}^N(\text{RR}_i-\overline{\text{RR}})^2} \quad (2)$$

236 pNN50 (percent of difference between adjacent successive normal R-R intervals  
237 that are greater than 50 ms): represents the changes of R-R intervals, reflects vagal  
238 activity, in unit of %. It can be calculated as:

$$239 \text{pNN50}=(\text{NN50}/\text{TotalNN})\times 100\% \quad (3)$$

240 rMSSD (square root of the mean squared differences of successive normal R-R  
241 intervals): reflects the vagal activity, in unit of ms. It can be calculated as:

$$242 \text{rMSSD}=\sqrt{\frac{1}{N-1}\sum_{i=1}^{N-1}(\text{RR}_{i+1}-\text{RR}_i)^2} \quad (4)$$

243 The frequency domain indices calculated with the method of Lomb-Scargle [12]  
244 include:

245 The value of nHF (normalized units of the power in the low frequency band  
246 ranging from 0.04 to 0.15Hz) can reflect vagal activity. nLF (normalized units of the  
247 power in the high frequency band ranging from 0.15 to 0.4Hz) is an indicator of  
248 sympathetic activity, and its value can relate to the combination of sympathetic and

249 parasympathetic function. LF/HF (the ratio of power of LF and HF) is a sensitive  
 250 indicator of the shift of sympatho-vagal balance [13]. In our study, the windowed  
 251 Lomb–Scargle method, which had the window width set at 15 seconds with an  
 252 overlap of 5 seconds, was used to calculate the power spectral distribution.

253 Nonlinear domain indices include SD1, SD2, and  $\alpha 1$ . Among them, SD1 and  
 254 SD2 are obtained based on the method of Poincare plot. SD1 (SD of ellipse width)  
 255 can reflect the changes of adjacent RR intervals. SD2 (SD of ellipse length) is an  
 256 indicator to measure the length of Poincare plot, which can reflect the changes of all  
 257 RR intervals [14]. The fractal scaling exponent  $\alpha 1$  calculated by detrended fluctuation  
 258 analysis (DFA) can not only reflect the sympatho-vagal activity, but also the strength  
 259 of the fractal characteristics of the heart. It is often used as an indicator to predict the  
 260 occurrence of heart disease [15].

261 The screening results of HRV indices are shown in Table 1. We observed that  
 262 the values of indices decrease significantly with the decrease of data length ( $P < 0.05$ ),  
 263 such as SDNN, PNN50, SD1, and SD2, but different data lengths have no significant  
 264 effects on the values of mean-RR, rMSSD, nLF, nHF, LF/HF, and  $\alpha 1$  ( $P > 0.05$ ).

265 Table 1 Comparison of HRV indices with different data lengths under the normal  
 266 respiratory condition

HRV indices	10min	5min	2min	40s	15s
Mean-RR (ms)	870.49±19.2	867.16±18.83	864.9±18.89	870.61±21.44	874.51±22
SDNN (ms)	53.34±3.9	50.35±4.1*	49.26±4.66	43.82±5.17*	41.86±5.44*
pNN50 (%)	20.85±2.9	21.22±3	21.05±3.16	17.37±2.95*	15.8±3.12*

rMSSD (ms)	43.41±3.79	41.59±3.95	41.1±4	40.63±5.17	39.28±5.22
nLF (%)	47.88±2.66	47.95±2.68	50.68±2.92	45.83±3.29	43.79±3.11
nHF (%)	52.12±2.66	52.05±2.68	49.34±2.92	54.17±3.29	56.21±3.11
LF/HF	1.24±0.17	1.32±0.17	1.46±0.19	1.37±0.23	1.13±0.16
SD1	37.7±2.75	35.57±2.89*	34.77±3.26	31.06±3.7*	26.95±3.57*
SD2	65.34±4.79	61.69±5.03*	60.37±5.72	53.62±6.3*	47.39±6.04*
$\alpha 1$	0.96±0.03	0.95±0.03	0.97±0.04	0.93±0.05	1.07±0.07

267 Values are expressed as the mean  $\pm$  SE. Statistical significance between other length of respiratory condition with  
268 length of 10 minutes: \* (P<0.05) significant.

269 Therefore, we calculated and compared the six HRV indices of 45 subjects in the  
270 states of normal respiration (2 minutes) and voluntary apnea (20 seconds) to evaluate  
271 the effects on ANS during voluntary apnea, respectively. These six HRV indices were  
272 also used in study2.

## 273 Study 2

274 For the enrolled thirty-six subjects, we selected the 5-minute periods when the  
275 subjects maintained the normal breathing state and the periods when apnea appeared  
276 10 times during the sampling period. The ECG and nasal flow pressure signals during  
277 these periods were used for subsequent analysis. Nasal flow pressure signal was used  
278 as the reference signal to divide the samples into different respiratory states: normal  
279 or apneic.

280 HRV analysis is the method we adopt to evaluate the function of ANS. In study2,  
281 we also used R-R intervals of ECG to calculate HRV indices. The R-R intervals were

282 determined in the same way as in study1.

283 Just like in study1, we calculated and compared the six HRV indices of the 36  
284 subjects in normal respiratory (5 minutes) and apneic states (>15 seconds) to evaluate  
285 its influence on the balance and normal function of ANS during apnea, respectively.

286 In study1 and study2, the analysis and processing of the signals were performed  
287 using MATLAB (version 8.3, Natick, Massachusetts, USA) software.

### 288 C. Statistical analysis

289 When HRV indices were screened in study1, we used the method of  
290 Paired-sample t-tests to compare the HRV indices for 5 minutes, 2 minutes, 40  
291 seconds, and 15 seconds to the HRV indices for 10 minutes. We used the method of  
292 Paired-sample t-tests to compare the six HRV indices under normal respiratory state  
293 (5 minutes) to the indices in apneic state (>15 seconds). All data were calculated by  
294 SPSS (version 22.0, Inc. Chicago, IL, USA) software, and they were presented in the  
295 form of mean  $\pm$  SE. At the same time,  $P=0.05$  was defined. When  $P<0.05$ , the two  
296 groups of data had statistically significant difference. When  $P>0.05$ , there was no  
297 statistically significant difference between the two groups.

### 298 **Abbreviations**

299 ANS, autonomic nervous system; HRV, heart rate variability; ECG, electrocardiology;  
300 Mean-RR ,mean of successive normal R-R intervals; SDNN, standard deviation of  
301 successive normal R-R intervals; pNN50, percent of difference between adjacent  
302 successive normal R-R intervals that are greater than 50 ms; rMSSD, square root of  
303 the mean squared differences of successive normal R-R intervals; nHF, normalized

304 units of the power in the low frequency band ranging from 0.04 to 0.15Hz; nLF,  
305 normalized units of the power in the high frequency band ranging from 0.15 to 0.4Hz;  
306 LF/HF, the ratio of power of LF and HF; SD1, SD of ellipse width; SD2, SD of  
307 ellipse length; DFA , detrended fluctuation analysis.

### 308 **Ethics approval and consent to participate**

309 All subjects gave informed consent before the measurements in study1. The study was  
310 registered at Chinese Clinical Trial Registry ([www.chictr.org.cn](http://www.chictr.org.cn)) under number  
311 ChiCTR-DDD-17014238.

### 312 **Consent for publication**

313 All subjects have consent for publication.

### 314 **Availability of data and materials**

315 The datasets used and analysed during the study1 are available from the  
316 corresponding author on reasonable request. The datasets generated and analysed  
317 during study2 are available in the [PhysioNet] repository, [[https://physionet.org/  
318 physiobank/database/ challenge/2018/#files](https://physionet.org/physiobank/database/challenge/2018/#files)].

### 319 **Competing interests**

320 The authors declare that they have no competing interests.

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### 324 **Authors' contributions**

325 LY contributed conception and design of the study, data analyzation, and article

326 drafting; BH and WL contributed equally to the literature search, data analyzation,  
327 and article drafting; XZ performed the statistical analysis and data analyzation; YW  
328 and BH participated in data collection and information organization; LB contributed  
329 to and article drafting and study design. All authors read and approved the final  
330 manuscript.

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# Figures

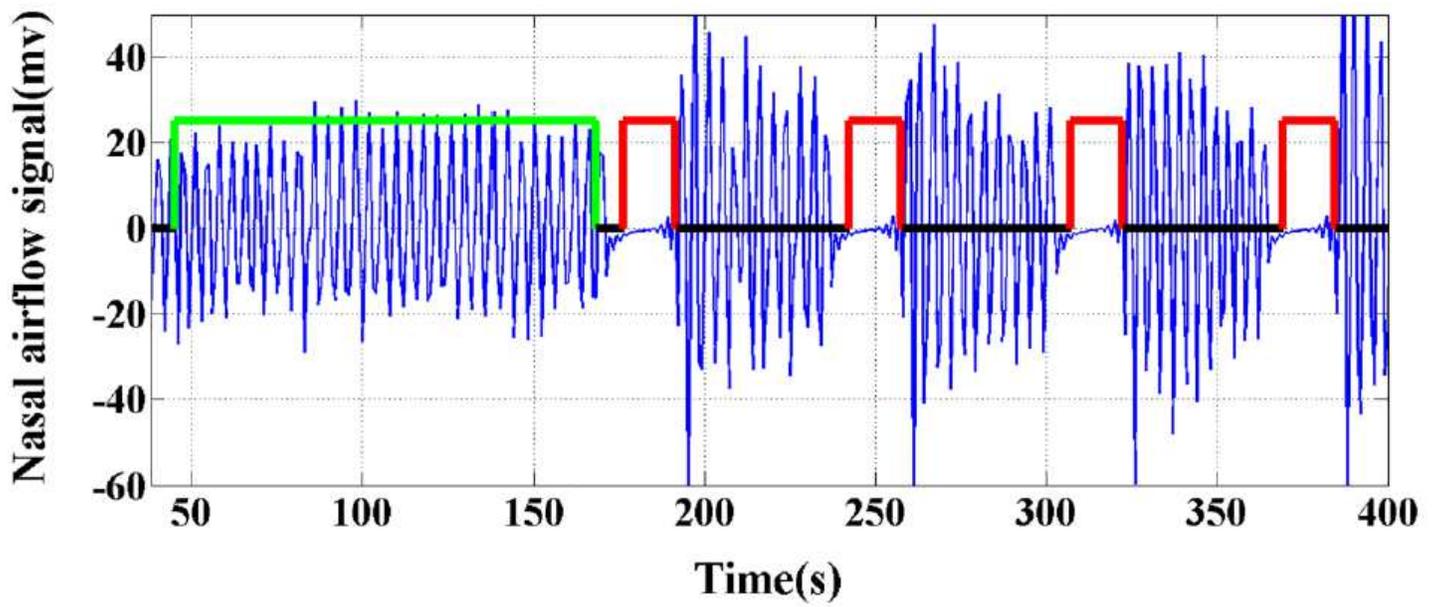


Figure 1

An example of subject's nasal flow pressure signal in Study1. The green rectangle represents normal respiratory condition, the red rectangle represents holding simulated apneic event.

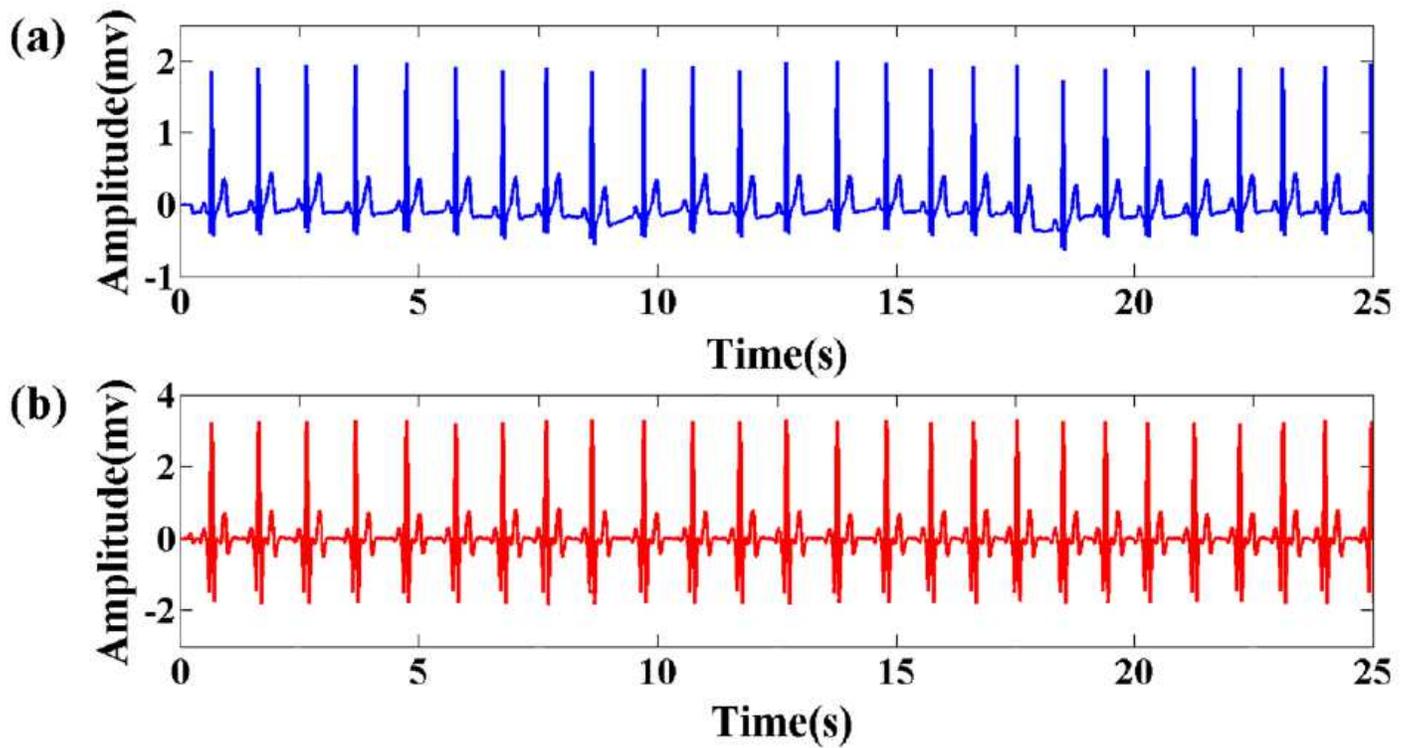


Figure 2

(a) Original ECG signal (blue), (b) ECG signal after wavelet transform (red).

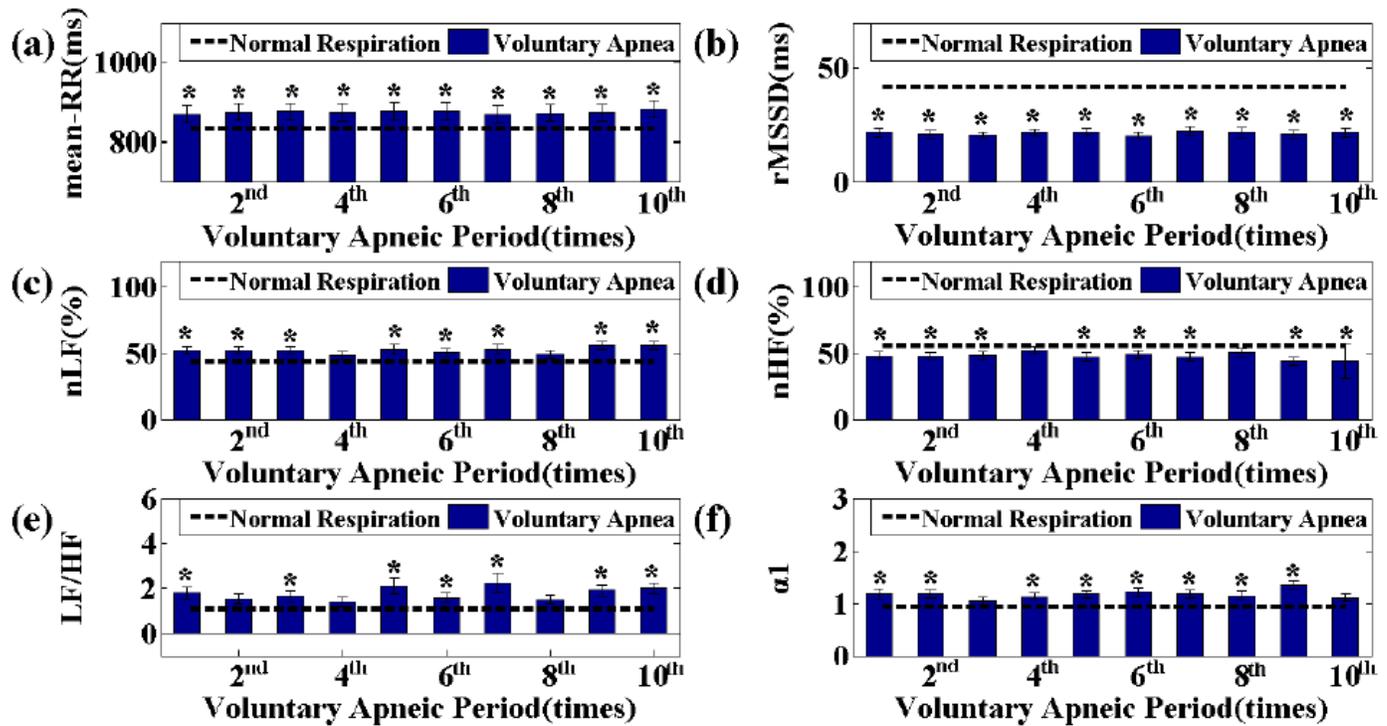


Figure 3

The values of HRV during normal respiratory condition (dotted line) and voluntary apneic state (bar) in study1. (a) the value of Mean-RR, (b) the value of rMSSD, (c) the value of nLF, (d) the value of nHF, (e) the value of LF/HF, (f) the value of  $\alpha 1$ . Values plotted are means  $\pm$  SE. Statistical significance between the voluntary apneas and normal breathing: \* (P<0.05) significant.

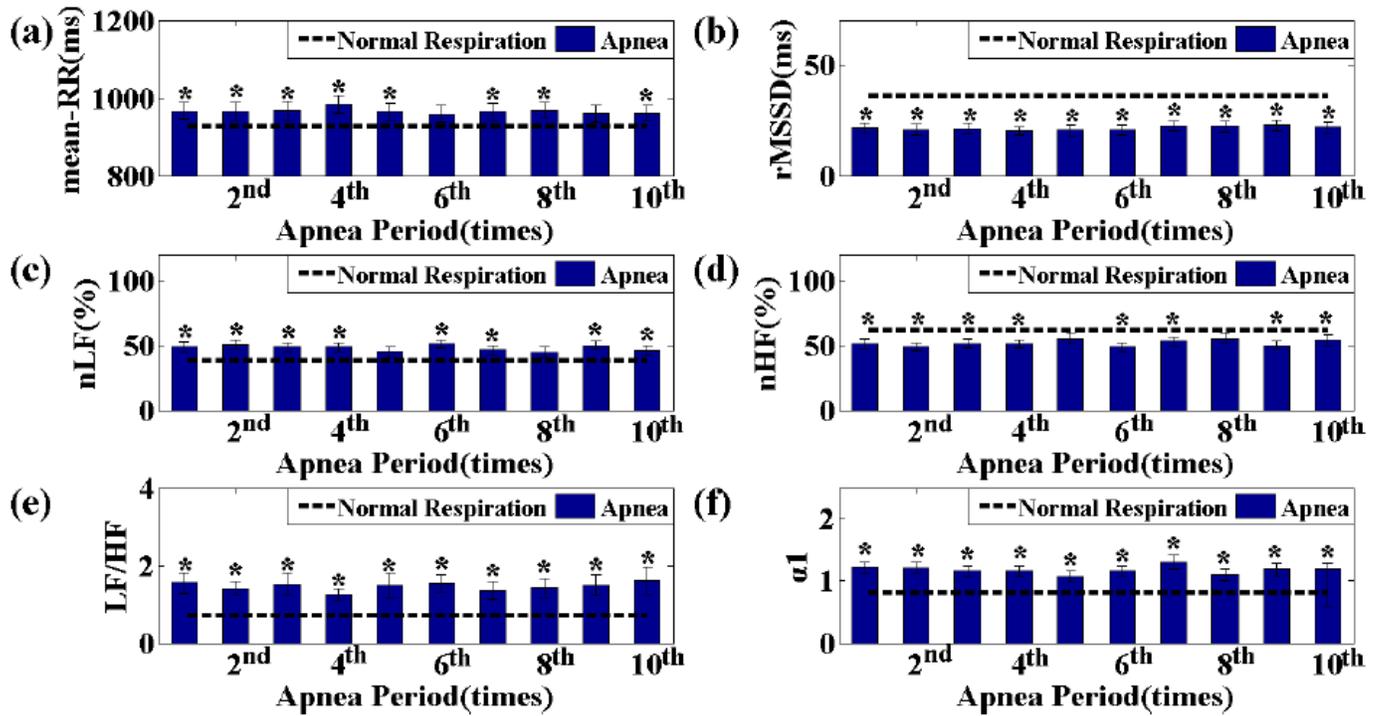


Figure 4

The values of HRV during normal respiratory condition (dotted line) and apneic state (bar) in study2. (a) the value of Mean-RR, (b) the value of rMSSD, (c) the value of nLF, (d) the value of nHF, (e) the value of LF/HF, (f) the value of  $\alpha 1$ . Values plotted are means  $\pm$  SE. Statistical significance between the apneas and normal breathing: \* (P<0.05) significant.