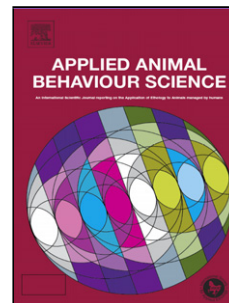


## Accepted Manuscript

Title: Behavioural, endocrine and cardiac autonomic responses to a model of startle in horses

Author: Julia Dias Villas-Boas Daniel Penteado Martins Dias  
Pablo IgnacioTrigo Norma Aparecida dos Santos Almeida  
Fernando Queiroz de Almeida Magda Alves de Medeiros



PII: S0168-1591(15)00271-3  
DOI: <http://dx.doi.org/doi:10.1016/j.applanim.2015.10.005>  
Reference: APPLAN 4143

To appear in: *APPLAN*

Received date: 15-4-2015  
Revised date: 28-8-2015  
Accepted date: 7-10-2015

Please cite this article as: Villas-Boas, J.D., Dias, D.P.M., IgnacioTrigo, P., Almeida, N.A.S., Almeida, F.Q., Medeiros, M.A., Behavioural, endocrine and cardiac autonomic responses to a model of startle in horses, *Applied Animal Behaviour Science* (2015), <http://dx.doi.org/10.1016/j.applanim.2015.10.005>

This is a PDF file of an unedited manuscript that has been accepted for publication. As a service to our customers we are providing this early version of the manuscript. The manuscript will undergo copyediting, typesetting, and review of the resulting proof before it is published in its final form. Please note that during the production process errors may be discovered which could affect the content, and all legal disclaimers that apply to the journal pertain.

1 Title:

2 Behavioural, endocrine and cardiac autonomic responses to a model of startle in  
3 horses

4 Authors:

5 Julia Dias Villas-Boas

6 Department of Physiological Sciences, Federal Rural University of Rio de Janeiro, BR 465 KM 7, 23890 000,  
7 Rio de Janeiro, Brazil, [juliavillasboas@yahoo.com.br](mailto:juliavillasboas@yahoo.com.br)

8

9 Daniel Penteadó Martins Dias

10 Department of Physiology, School of Medicine of Ribeirão Preto, University of São Paulo, 14049-900,  
11 Ribeirão Preto, SP, Brazil; [danielpentead@gmail.com](mailto:danielpentead@gmail.com)

12

13 Pablo Ignacio Trigo

14 Veterinary Institute, Federal Rural University of Rio de Janeiro, BR 465 KM 7, 23890 000, Rio de Janeiro,  
15 Brazil; [pablotrigo@hotmail.com](mailto:pablotrigo@hotmail.com)

16

17 Norma Aparecida dos Santos Almeida

18 Department of Physiological Sciences, Federal Rural University of Rio de Janeiro, BR 465 KM 7, 23890 000,  
19 Rio de Janeiro, Brazil; [normaalmeida@gmail.com](mailto:normaalmeida@gmail.com)

20

21 Fernando Queiroz de Almeida

22 Veterinary Institute, Federal Rural University of Rio de Janeiro, BR 465 KM 7, 23890 000, Rio de Janeiro,  
23 Brazil; [almeidafq@yahoo.com.br](mailto:almeidafq@yahoo.com.br)

24

25 Magda Alves de Medeiros

26 Department of Physiological Sciences, Federal Rural University of Rio de Janeiro, BR 465 KM 7, 23890 000,  
27 Rio de Janeiro, Brazil, Phone / FAX: +552126823222; [magda.medeiros@gmail.com](mailto:magda.medeiros@gmail.com). Corresponding author.

28

29

30

30

31 Title:

32 Behavioural, endocrine and cardiac autonomic responses to a model of startle in  
33 horses

## 34 ABSTRACT

35 Startle is a fast response elicited by sudden acoustic, tactile or visual stimuli in a variety of animal species  
36 and in humans. The magnitude of startle response can be modulated by external and internal variables and  
37 can be a useful tool to study the sensory-motor integration in animals. Different stimuli have been used to  
38 induce startle in horses, which makes it difficult to compare the responses to these different approaches.  
39 The present study uses ultra-short-term heart rate variability (HRV) analysis to characterize the cardiac  
40 autonomic modulation, reactivity assessment and blood cortisol measurements to describe the behavioural  
41 and endocrine responses to a simple, easy to replicate, effective and safe method of startle (an umbrella is  
42 abruptly opened near the horse). The ultra-short-term (64 s) heart rate (HR) series were interpolated (4 Hz)  
43 and divided into 256 points segments then the spectra calculated (Fast Fourier Transform). The spectra  
44 were then integrated into low (LF; 0.01-0.07 Hz; Index of Cardiac Sympathetic Modulation) and high (HF;  
45 0.07-0.50 Hz; Index of Cardiac Parasympathetic Modulation) frequency bands. Following the startle test,  
46 the HR ( $p=0.0101$ ), the power of the LF band of the cardiac interval spectrum ( $p=0.0002$ ) and the LF/HF  
47 ratio ( $p=0.0066$ ) were found to be higher, whereas the power of the HF band of the cardiac interval  
48 spectrum was found to be lower ( $p=0.0002$ ). Also, the horses showed a noticeable escape response, with  
49 latency of reaction varying from 0.28 to 1.28 s, duration of reaction ranging from 1.52 to 7.92 s and escape  
50 distance covered varying from 3.43 to 9.97 m. However, the endocrine measurements failed to reveal  
51 significant changes in the cortisol levels after the startle test. We conclude that the startle test used in the  
52 current study was effective to produce changes in behavioural parameters and cardiac autonomic  
53 modulation of the horses and can therefore be an appropriate tool for neurobiological studies.  
54 Furthermore, the use of ultra-short segments (64 s) for HRV analysis appears to be effective and promising  
55 for the detection of mental stress in horses.

## 56 HIGHLIGHTS:

57 Abrupt umbrella-opening produces startle in horses

58 It is a simple, replicable, effective and safe method of startle for horses

59 Umbrella-opening induces behavioural and autonomic responses in horses

60 Umbrella-opening does not change cortisol levels in horses

61 HRV analysis of ultra-short segments can be used to detect mental stress in horses

62

## 63 KEYWORDS:

64 Horses – startle response – umbrella-opening – autonomic response – cortisol – reactivity – behaviour –

65 cardiac interval variability

## 66 ABBREVIATIONS

67 ACTH - adrenocorticotropic hormone

68 ASR - acoustic startle response

69 FFT - Fast Fourier Transform

70 HF - high frequency

71 HR - heart rate

72 HRV - heart rate variability

73 LF - low frequency

74 PSD - power spectral density

75 VLF -very low frequency

76

76

## 77 1. INTRODUCTION

78 Startle responses are defensive reflexes induced by unexpected and intense stimuli, which are  
79 characterized by coordinated eyelid closure and contraction of face, neck, foreleg and hind leg. Startle is  
80 also associated with increases in heart rate (HR) and arrest of other on-going behaviours. Although several  
81 kinds of stimuli (acoustic, tactile or visual) can induce startle in animals and humans, the acoustic startle  
82 response (ASR) has been investigated the most (Koch, 1999). The ASR is a proven, reliable and accurate  
83 approach to investigate the brain mechanisms of learning, memory, emotions and movement control since  
84 the magnitude of ASR can be increased or decreased by a variety of pathological conditions and  
85 experimental manipulations (Davis, 1990; Koch, 1999). For example, changes in emotional and perceptual  
86 homeostasis, i.e. conditioned and unconditioned aversive events, can enhance the magnitude of ASR  
87 (Bradley et al., 1990; Lang et al., 1990). Alternatively, the repeated application of startling stimuli, prior to  
88 the presentation of a prepulse (prepulse inhibition) or a pleasant emotional context (Lang et al., 1990;  
89 Schmid et al., 1995) may lead to attenuated startle responses (Koch et al., 1996).

90 Besides the behavioural response, startle induces autonomic and endocrine changes. Literature  
91 shows that the transitory increase (< 60 s) in HR induced by startle is consistently observed in different  
92 experimental animals and is mediated by the sympathetic and parasympathetic divisions of the autonomic  
93 nervous system (Baudrie et al., 1997; Vila et al., 2007). On the other hand, the startle-induced increase in  
94 corticosterone levels is not observed in all strains of rats (Glowa et al., 1992). A combined study of these  
95 responses is important for a better understanding of the physiological effects of startle tests on horses  
96 since the magnitude of autonomic, endocrine and behavioural responses to a stimulus cannot always be  
97 correlated.

98 Startle responses are frequently observed in horses; furthermore, the analysis of startle reactions  
99 in equines is important as it can be a useful tool to assess stress and welfare. Startle tests have been  
100 combined with other measurements to predict temperament in horses. The literature suggests that a  
101 horse's reaction to novelty, suddenness and to social isolation might be associated with a general trait of

102 “fearfulness” (Lansade et al., 2008). Excessive reactions of fear can hamper the use of horses, and can even  
103 pose a risk to the animals themselves and people. Furthermore, exaggerated fearful reactions have also  
104 been associated with an impaired learning ability of horses (Heird et al., 1986).

105 Different types of stimuli have been used to produce suddenness or startle in horses. The umbrella  
106 opening, a relatively common method, has been used in different ways. To study the existence of a  
107 “fearfulness” trait in horses and the effect of social isolation on the emotional reactivity, Lansade and  
108 colleagues used the umbrella opening when horses were eating (Lansade et al., 2008; Lansade et al., 2012).  
109 Other authors have induced the startle reaction by opening a coloured umbrella while the horses were  
110 walking to evaluate the influence of soy lecithin and corn oil diet on the behaviour (Holland et al., 1996). To  
111 study the effect of habituation and active human handling, an umbrella was manually opened when horses  
112 were released in an arena or when held on a lead rope by the handler (Górecka et al., 2007). HR and the  
113 heart rate variability (HRV) were analysed in young horses using a Novel Object test, in which an umbrella  
114 was lowered from the ceiling (Visser et al., 2002). Furthermore Anderson and colleagues with the aim to  
115 find appropriate methods of selecting horses for therapeutic riding programs used the umbrella opening  
116 between a series of other stimuli (a walking and vocalizing toy pig and a balloon popping near the horse). In  
117 this case the umbrella was opened by a handler standing in front of the animal (Anderson et al., 1999).

118 The variation in the methods used to produce startle makes the comparisons between the  
119 parameters studied difficult. Therefore the present study proposes the use of ultra-short-term HRV analysis  
120 to assess the cardiac autonomic responses to a simple, easy to replicate and effective method of startle - an  
121 umbrella is abruptly opened near the horse. Our hypothesis is this method of startle produces well-defined  
122 behavioural and autonomic responses in equines, and the ultra-short-term HRV analysis can be used to  
123 characterize this autonomic response.

## 124 2. METHODS

### 125 2.1. Animals

126 Six Brazilian Sport horses (3 males and 3 females; 6-8 years old; 450-550 kg in weight), with  
127 appropriate body condition scores (between 5.0 and 5.5) from the Brazilian Army Riding School were used

128 in the experimental protocols. The sample size used was based on previous studies and on the variability of  
129 the parameters studied. These horses had been undergoing eventing training since they were 5 years old  
130 and followed a 6-day-week training routine including galloping, jumping and dressage exercises. They were  
131 housed in 4 x 4 m individual masonry box stalls, with water dispenser, feeder and wood shavings bedding.  
132 The stall doors allow visual contact between horses. The horses were fed with concentrated coast-cross  
133 hay and had free access to tap water.

134 All experimental procedures were approved by the Committee on Animal and Human Research and  
135 Ethics of the Federal Rural University of Rio de Janeiro/COMEP-UFRRJ/Brazil (protocol  
136 #230833.002064/2012-10).

137

## 138 2.2. Experimental Design

139 Early in the morning (0600–0700h) a heart monitor (RS 800 G3, Polar, Kempele, Finland) was  
140 strapped to the chest of the horses to record the HR, beat-by-beat and then the baseline blood samples  
141 (S1) were collected. The animals were then left to rest quietly for 20 minutes in their stalls. Next, each  
142 horse was taken individually to a covered arena (70 x 30m, known by the animals and often used for  
143 dressage exercises) and subjected to the startle test, the abrupt opening of an umbrella. Briefly, the horse  
144 was led by a known handler and positioned at a predetermined location, with its back to a low wall (70 cm  
145 high) that surrounds the arena and held loosely by its lead rope. The horse was left undisturbed until signs  
146 of quietness and inattention were seen (no attempts to escape or other significant movements). Then, a  
147 rainbow coloured umbrella (diameter of 70 cm) was suddenly opened and spun for 2 minutes by a person  
148 that was hidden behind the wall at a distance of approximately 1.5 m from the rump of the animal. The  
149 umbrella was positioned clearly in the visual field of the animal (an angle of approximately 45 degrees to  
150 the tail of the horse, Figure 1A). Following the test, the horse was kept in the arena, by the lead rope for an  
151 additional 3 minutes in order to record the behavioural responses on a videotape for analysis. After which  
152 the horse was returned to its stall and blood samples were collected at 30 and 60 minutes following the  
153 startle test (Figure 1B).

154

### 155 2.3. Behavioural Analysis of Reactivity

156 The horses were videotaped with a camera (SDR H20, Panasonic, Tokyo, Japan) positioned on a  
157 tripod in the arena at a distance of about 20 meters. The images were later processed and analysed by  
158 computer (ImageJ, U.S. National Institute of Health, <http://rsb.info.nih.gov/nih-image>). The behavioural  
159 analysis was done according to (Redondo et al., 2009); three parameters were assessed: 1) Latency of  
160 reaction: time between the beginning of the test and the first reaction of the animal; 2) Duration: total time  
161 spent in the motor response to the stimulus; and 3) Covered distance: displacement of the animal in  
162 response to the stimulus.

163

### 164 2.4. Cortisol Analysis

165 Blood samples from the jugular vein were collected in SST Vacutainer® tubes. Following the  
166 collection, the blood was centrifuged for 10 minutes at 3200 rpm. The serum (~ 3 mL) was collected in  
167 plastic tubes and kept at -20°C. Serum cortisol concentrations were determined, in duplicate, by a double  
168 antibody radioimmunoassay method using a commercial kit (RD Coated Tube Cortisol I125 RIA, Costa Mesa,  
169 CA, USA). The sensitivity of the assay was 0.17 µg/dL and the intra assay coefficient of variation was 6.59%.

170

### 171 2.5. Heart Rate Variability Analysis

172 Cardiac intervals were continuously sampled using a heart monitor (RS 800 G3, Polar, Kempele,  
173 Finland). Following acquisition, the data were transmitted from the heart monitor to custom computer  
174 software (Polar Pro Trainer 5, Polar, Kempele, Finland) through an infrared interface. The recordings were  
175 then processed and a time series of cardiac interval values were generated. Next, the time series of cardiac  
176 interval from the moments: basal stall (horses in their stalls before the startle test), basal arena (horse in  
177 the arena, immediately before the test), startle and post-startle (horses in their stalls, 30 minutes after the  
178 startle test) were submitted to HRV analysis.

179 The heart rate variability analysis was performed using custom computer software (CardioSeries  
180 v2.4 - <http://www.danielpenteado.com>) designed to perform time-frequency analysis of cardiovascular  
181 variability, and which allowed precise adjustment of the parameters related to this kind of analysis (e.g.



182 interpolation rate, segment length and boundaries of frequency bands). Beat-by-beat series of cardiac  
183 interval values were converted to data points every 250 ms using cubic spline interpolation (4 Hz). The  
184 interpolated series were divided into half-overlapping sequential sets of 256 data points (64 s), which were  
185 detrended and tested for stationarity. The existence of slow trends in time series can affect spectra  
186 calculation and the power of frequency bands (Berntson et al., 1997). Before spectral calculation, the time  
187 series were detrended by subtracting the linear trend (obtained by linear regression calculation) from data  
188 points (Nait-Ali, 2009).

189         The cardiovascular variability analysis requires at least a weakly stationary data series (i.e. mean  
190 and stable covariance over time) (Berntson et al., 1997; Porta et al., 2004). Stationary data series can be  
191 verified by means of stationarity tests (i.e. enhanced reproducibility of the results among users and  
192 laboratories) (Porta et al., 2004; Magagnin et al., 2011), as well as through visual inspection of data series  
193 (van de Borne et al., 1997; Porta et al., 2001; Dias et al., 2010). In our study, a well-experienced researcher  
194 visually inspected the segments of interpolated time series searching for transients that could affect the  
195 calculation of the power spectral density (PSD). To confirm that the visual inspection of the time series was  
196 properly performed, a Hanning window was used to attenuate side effects and the spectrum was  
197 calculated for all segments using a direct Fast Fourier Transform (FFT) algorithm for discrete time series. All  
198 segments were visually inspected for abnormal spectra. Lastly, the results from the time series and spectra  
199 inspections were taken together for the PSD calculation; non-stationary data were not considered (Oliveira  
200 et al., 2012). The spectra were integrated in the low frequency band (LF; 0.01-0.07 Hz) and high frequency  
201 band (HF; 0.07-0.50 Hz) (Physick-Sheard et al., 2000). The normalised values were achieved by calculating  
202 the percentage of LF and HF power with regard to the total power of the spectrum minus the very low  
203 frequency band (VLF; <0.01 Hz) power (van de Borne et al., 1997; Billman, 2011). The LF/HF ratio was  
204 calculated in order to assess the sympathovagal balance, (Physick-Sheard et al., 2000; Rietmann et al.,  
205 2004; Matsuura et al., 2010; Ohmura et al., 2012). Before choosing the frequency band setting in the  
206 current study two other ranges of frequency bands were tested: LF: 0.01-0.15/HF: 0.15-0.50 Hz and LF:  
207 0.04-0.15/HF: 0.15-0.50 Hz and two segment lengths: ultra-short (64 s, interpolation rate of 4 Hz and  
208 segments with 256 points) and short (128 s, interpolation rate of 4 Hz and segments with 512 points). The

209 use of ultra-short segments (64 sec) and distinctive frequency bands (LF: 0.01 to 0.07 Hz and HF: 0.07 to  
210 0.50 Hz) seemed to be more advantageous since only ultra-short segments showed a significant increase in  
211 the LF/HF ratio induced by startle. Furthermore, the setting LF: 0.04-0.15/HF: 0.15-0.50 Hz was not able to  
212 show significant increases in the LF/HF ratio induced by startle while the setting: LF: 0.01 to 0.15/HF: 0.15  
213 to 0.50 Hz showed highly variable values of the LF/HF ratio.

214

## 215 2.6. Statistical Analysis

216 HRV parameters were analysed by one-way analysis of variance (ANOVA) for repeated measures,  
217 followed by Newman-Keuls post-test. The cortisol levels were analysed by Friedman test followed by  
218 Dunn's Multiple Comparison Test since this data did not show normal distribution in the Kolmogorov-  
219 Smirnov test. Behavioural data after startle were shown as descriptive statistics and the correlation among  
220 the LF/HF, cortisol levels and behavioural data were assessed by the Spearman test. Differences were  
221 considered statistically significant if  $P < 0.05$ . The results are presented as mean  $\pm$  standard error of mean.

## 222 3. RESULTS

223 In response to the umbrella opening, the horses showed a standard escape response, characterized  
224 by a small jump followed by a quick movement away from the open umbrella. After this reaction, the  
225 animals remained looking at the umbrella that was spun for 2 minutes after its opening. After that, the  
226 horses exhibited little motion in the remaining time that they were observed, but remained alert to the  
227 environment. Some animals even approached the handler and umbrella. The behavioural startle response  
228 is shown in Table 1.

229 In the current study, horses subjected to the startle test showed an increase in HR ( $F_{2,8}=0.4017$ ,  
230  $P=0.0101$ ), in the power of the LF band of the cardiac interval spectrum ( $F_{2,8}=0.8073$ ,  $P=0.0002$ ) and in the  
231 LF/HF ratio ( $F_{2,8}=0.9695$ ,  $P=0.0066$ ), but a decrease in the power of the HF band of the cardiac interval  
232 spectrum ( $F_{2,8}=0.8073$ ,  $P=0.0002$ ) (Figures 2 and 3).

233 In contrast to the remarkable cardiac autonomic responses observed following startle, the  
234 Friedman test followed by Dunn's Multiple Comparison Test did not detected any significant difference in  
235 the cortisol levels ( $p= 0.521$ ), Figure 4.

236 In the present study, no correlation was found among the cortisol levels 30 minutes after startle,  
237 the ratio LF/HF and the distance, latency and time of reaction in the behavioural analysis (data not shown).

#### 238 4. DISCUSSION

239 The startle test in this study was able to produce an escape response associated with an increase in  
240 the HR, in the power of the LF band of the cardiac interval spectrum and in the LF/HF ratio, but a decrease  
241 in the power of the HF band of the cardiac interval spectrum, while no changes were found in the cortisol  
242 levels.

243 Our results confirmed, in horses, the marked cardiac autonomic imbalance typically observed  
244 following startle stimulus in other species (Baudrie et al., 1997; Vila et al., 2007). Studies in the literature  
245 show that startle is associated with a pronounced tachycardic response, mainly mediated by sympathetic  
246 activation (Graham, 1979). However, studies in rats and humans have shown that the startle-induced  
247 changes in HR are mediated by both sympathetic and parasympathetic activation (Baudrie et al., 1997; Vila  
248 et al., 2007). In humans, the cardiac response to startle lasts nearly 70 seconds and is characterized by two  
249 distinct tachycardic phases: the short-latency phase with a peak observed 4 seconds following the startle  
250 stimulus; and, the long-latency phase with a peak observed 35 seconds following the startle stimulus (Vila  
251 et al., 2007). Furthermore, Vila and colleagues (2007) described a mild response to startle characterized by  
252 a tachycardic-bradycardic-tachycardic-bradycardic response pattern. The first tachycardic/bradycardic  
253 response cycle is mediated mainly by the parasympathetic system (inhibition followed by activation) and  
254 the second tachycardic/bradycardic response cycle is mediated essentially by sympathetic and  
255 parasympathetic modulation working reciprocally (Vila et al., 2007). Baudrie and colleagues (1997) using  
256 different autonomic blockades, demonstrated that the startle-induced HR changes in rats also lasts only a  
257 few seconds and combines the sympathetic and parasympathetic activations (Baudrie et al., 1997).

258 Recently, HRV analysis has been extensively used to assess cardiovascular autonomic modulation in  
259 both experimental and clinical settings (Malliani et al., 1991; Task-Force, 1996; Castiglioni et al., 2013).  
260 However, HRV analysis has not been widely used in studies of startle or other kinds of acute mental stress.  
261 The short-lasting changes in the ANS observed following startle can restrict the use of HRV analysis  
262 techniques, since the literature recommends that HRV analysis should be performed in a beat-by-beat time  
263 series of at least 5 minutes (Task-Force, 1996). Following a mental stress stimulus a combined activation of  
264 both sympathetic and parasympathetic systems is observed (Vila et al., 2007). In this situation, i.e.  
265 autonomic activation following mental stress stimulus, the use of long beat-by-beat time series for HRV  
266 analysis could hamper the distinct assessment of the sympathetic and parasympathetic cardiovascular  
267 modulation. Few studies have used the HRV analysis to measure mental stress. Salahuddin and colleagues  
268 (2007) used ultra-short-term HRV analysis to assess mental stress in subjects during a Stroop colour word  
269 test. Data analysis was conducted using time series with a length ranging from 10 s to 150 s and these  
270 authors suggested that segments shorter than 50 s could be reliably used to monitor cardiac autonomic  
271 responses to mental stress stimulus (Salahuddin et al., 2007). Studies in the literature have also shown that  
272 time series 10 s long, i.e. ultra short-term, could be used to evaluate autonomic activation in exercise  
273 (Ostojic et al., 2010) and for early risk stratification following acute ST-elevation in myocardial infarction  
274 patients (Karp et al., 2009). In the current study, 64 s long segments were used for HRV analysis in order to  
275 meet the requirements for the Fast Fourier Transform (FFT) technique, i.e. segments should be long  
276 enough to allow the quantification of low frequency components. Longer segments (128 s) were also tested  
277 but the HRV analysis revealed no differences among values obtained before (in the stall and in the arena),  
278 immediately after and 30 minutes after the startle test (data not shown). The current study showed that  
279 the startle-induced changes in cardiac autonomic modulation could not be seen using 128 s long segments,  
280 but were clearly observed when HRV analysis was performed using 64 s long segments.

281 Although there are some issues about the use of heart rate monitors (HRM) Polar® in horses  
282 (Parker et al., 2009), several studies have used this low cost, practical and non-invasive tool to collect  
283 cardiac interval data in this species (Physick-Sheard et al., 2000; Visser et al., 2002; Rietmann et al., 2004;  
284 Schmidt et al., 2010). Ille and colleagues in a recent publication showed that HRMs Polar® are adequate

285 tools for experiments where an ECG tracing is not needed and the use of this system is acceptable to assess  
286 HR and HRV as physiological stress parameters in horses (Ille et al., 2014). Another important  
287 methodological aspect of the HRV studies in horses is the range of frequency bands used in the spectral  
288 analysis. In the present study we tested three frequency band settings: LF:0.01-0.07/HF: 0.07-0.50 (Physick-  
289 Sheard et al., 2000), LF: 0.01-0.15/HF: 0.15-0.50 (Rietmann et al., 2004) and LF: 0.04-0.15/HF: 0.15-0.50  
290 (generally used in humans). The range LF:0.01-0.07/HF: 0.07-0.50 was chosen because it was able to show  
291 an increase in the LF/HF ratio induced by startle with less variable data than the other settings. Therefore,  
292 the use of ultra-short segments (64 s) with frequency bands of 0.01 to 0.07 (LF) and 0.07 to 0.50 (HF)  
293 appears to be helpful in detecting mental stress in horses.

294 In contrast to the remarkable cardiac autonomic responses observed following startle in horses in  
295 this study, the cortisol levels only had a tendency to increase 30 minutes after the startle test. Studies in  
296 the literature show that stress responses to startle vary widely among animal species. Parker and  
297 colleagues (2011) showed increased levels of adrenocorticotrophic hormone (ACTH) and cortisol in monkeys  
298 subjected to acoustic startle stimulus (Parker et al., 2011). In addition, different responses are observed  
299 among rat strains. Following startle, the corticosterone levels were found unchanged in Lewis/N rats but a  
300 2-fold increase was observed in Sprague-Dawley rats and a 5-fold increase in F344/N rats (Glowa et al.,  
301 1992). The nature and the intensity of the stimulus should be considered in this analysis, since the opening  
302 of an umbrella may not be a stimulus strong enough to increase the cortisol levels. It is important to  
303 mention that the lifestyle of a horse could affect its response to a startle test. The athletic horses used in  
304 the present study were familiar with different kinds of stimuli as they were regularly subjected to physical  
305 training sessions and competitions, making them more resilient and less responsive to mild stimuli (Visser  
306 et al., 2003; Górecka et al., 2007). However, further research should be conducted in order to better  
307 address the effect of startle on cortisol levels in different animal species and in experimental settings.

308 As found in the present study, the lack of correlation between endocrine, behavioural and  
309 autonomic parameters was also observed in captive European starlings (Nephew et al., 2003). Schommer  
310 and colleagues (2003) showed a dissociation of Hypothalamus-Pituitary-Adrenal Axis and the Sympathetic-  
311 Adrenal-Medullary System response patterns in subjects submitted to repeated psychosocial stress

312 (Schommer et al., 2003). The dissociation between endocrine, autonomic and behavioural responses to  
313 stress suggests that the mechanisms involved in these responses can be regulated independently and  
314 reinforces the importance of evaluating various physiological parameters in response to a given stimulus.

315 The method used in this study to produce startle in horses has some notable advantages compared  
316 to other approaches (Holland et al., 1996; Lansade et al., 2008; Keeling et al., 2009; Redondo et al., 2009;  
317 Lansade et al., 2012). Firstly, the method did not require any sophisticated technology, since the umbrella  
318 was opened manually. Secondly, since the horses were standing there was no influence of locomotor  
319 activity on cardiovascular measurements. Thirdly, horses were not able to see the subject holding the  
320 umbrella, keeping the startle responses exclusively related to umbrella opening and not to the presence of  
321 a human being. Moreover, the fact that the subject holding the umbrella is protected by a low wall makes  
322 the method safe. Furthermore, in the current study the methods used for the analysis of autonomic,  
323 endocrine and behavioural responses of the horses allowed an accurate and less subjective assessment of  
324 the parameters.

## 325 5. CONCLUSIONS

326 Although there are some similarities in the responses to startle, the mechanisms involved in startle  
327 reaction can differ widely among species. The development and further improvement of a neurobiological  
328 model of startle in horses is of great importance, so that it can be used to predict behavioural and  
329 physiological responses to stress situations commonly experienced by horses. In addition, the mental stress  
330 models that are usually employed in experimental studies, involve the association of different kinds of  
331 visual and acoustic stimuli with a wide diversity of types, magnitudes and durations that affect neural  
332 processing and subsequent physiological responses. Since the startle model employed in the current study  
333 can be easily reproduced and is effective in evaluating behavioural and autonomic responses to startle, we  
334 suggest that this model can be effectively used for neurological studies in horses. Furthermore, the use of  
335 ultra-short segments (64 s) for HRV analysis appears to be effective and promising for the detection of  
336 mental stress in horses.

337

## 338 6. COMPETING INTERESTS

339 The authors declare that they have no competing interests.

340

## 341 7. ACKNOWLEDGEMENTS

342 The authors would like to thank the Brazilian Army Riding School (Rio de Janeiro, RJ, Brazil) for authorizing  
343 the use of their horses. JDVB is the recipient of Coordination for the Improvement of Higher Education  
344 Personnel (CAPES) Fellowship.

## 345 Figure Captions

346

347 Figure 1: Diagram illustrating the position of the horse and the handler during the startle test (A). Timeline  
348 representation of the experimental design (B).

349

350 Figure 2: Representative spectra (Power Spectral Density, PSD) of all assessed moments. Basal Stall (A), Basal  
351 Arena (B), Startle (C) and After Startle (D). Smaller inner spectra highlight the low-frequency (LF) band.

352

353 Figure 3: Effect of startle on the heart rate (HR, Panel A), ratio between the power of the low and high  
354 frequency bands (LF/HF, Panel B), LF power (LF, Panel C) and HF power (HF, Panel D) of the pulse interval  
355 spectrum. Data obtained from basal stall (horses in their stalls before the startle test), basal arena (horse in  
356 the arena, immediately before the test), startle and after startle. \* different from basal stall,  $P < 0.05$ ; †  
357 different from basal arena,  $P < 0.05$  and ‡ different from after startle,  $P < 0.05$ .

358

359 Figure 4: Serum cortisol levels in basal conditions (Basal), 30 minutes following the startle test (30min) and  
360 60 minutes following the startle test (60min).

361

- 363 Anderson, M.K., Friend, T.H., Evans, J.W., Bushong, D.M., 1999. Behavioral assessment of horses in  
364 therapeutic riding programs. *Applied Animal Behaviour Science* 63, 11-24.
- 365 Baudrie, V., Tulen, J.H., Blanc, J., Elghozi, J.L., 1997. Autonomic components of the cardiovascular responses  
366 to an acoustic startle stimulus in rats. *Journal Autonomic Pharmacology* 17, 303-309.
- 367 Berntson, G.G., Bigger, J.T., Jr., Eckberg, D.L., Grossman, P., Kaufmann, P.G., Malik, M., Nagaraja, H.N.,  
368 Porges, S.W., Saul, J.P., Stone, P.H., van der Molen, M.W., 1997. Heart rate variability: origins, methods,  
369 and interpretive caveats. *Psychophysiology* 34, 623-648.
- 370 Billman, G.E., 2011. Heart Rate Variability - A Historical Perspective. *Frontiers in Physiology* 2.
- 371 Bradley, M.M., Cuthbert, B.N., Lang, P.J., 1990. Startle reflex modification: emotion or attention?  
372 *Psychophysiology* 27, 513-522.
- 373 Castiglioni, P., Di Rienzo, M., Radaelli, A., 2013. Effects of autonomic ganglion blockade on fractal and  
374 spectral components of blood pressure and heart rate variability in free-moving rats. *Auton Neurosci.*
- 375 Davis, M., 1990. Animal models of anxiety based on classical conditioning: the conditioned emotional  
376 response (CER) and the fear-potentiated startle effect. *Pharmacology & therapeutics* 47, 147-165.
- 377 Dias, D.P., Oliveira, M., Salgado, H.C., Fazan, R., Jr., 2010. Ovariectomy does not affect the cardiac  
378 sympathovagal balance of female SHR but estradiol does. *Brazilian Journal of Medical and Biological*  
379 *Research* 43, 969-975.
- 380 Glowa, J.R., Geyer, M.A., Gold, P.W., Sternberg, E.M., 1992. Differential startle amplitude and  
381 corticosterone response in rats. *Neuroendocrinology* 56, 719-723.
- 382 Górecka, A., Bakuniak, M., Chruszczewski, M.H., Jezierski, T.A., 2007. A note on the habituation to novelty  
383 in horses: handler effect. *Animal Science Papers and Reports* 3, 143-152.
- 384 Graham, F.K., 1979. Distinguishing among orienting, defense and startle reflexes, in: Kimmel, H.D., Van Olst,  
385 E.H., Orlebeke, J.F. (Eds.), *The Orienting Reflex in Humans*, Erlbaum, New Jersey.
- 386 Heird, J.C., Whitaker, D.D., Bell, R.W., Ramsey, C.B., Lokey, C.E., 1986. The effects of handling at different  
387 ages on the subsequent learning ability of 2-year-old horses. *Applied Animal Behaviour Science* 15, 15-25.
- 388 Holland, J.L., Kronfeld, D.S., Meacham, T.N., 1996. Behavior of horses is affected by soy lecithin and corn oil  
389 in the diet. *Journal of Animal Science* 74, 1252-1255.
- 390 Ille, N., Erber, R., Aurich, C., Aurich, J., 2014. Comparison of heart rate and heart rate variability obtained by  
391 heart rate monitors and simultaneously recorded electrocardiogram signals in nonexercising horses.  
392 *Journal of Veterinary Behavior: Clinical Applications and Research*.
- 393 Karp, E., Shiyovich, A., Zahger, D., Gilutz, H., Grosbard, A., Katz, A., 2009. Ultra-short-term heart rate  
394 variability for early risk stratification following acute ST-elevation myocardial infarction. *Cardiology* 114,  
395 275-283.
- 396 Keeling, L.J., Jonare, L., Lanneborn, L., 2009. Investigating horse-human interactions: the effect of a nervous  
397 human. *Vet J* 181, 70-71.
- 398 Koch, M., 1999. The neurobiology of startle. *Progress in neurobiology* 59, 107-128.
- 399 Koch, M., Schmid, A., Schnitzler, H.U., 1996. Pleasure-attenuation of startle is disrupted by lesions of the  
400 nucleus accumbens. *Neuroreport* 7, 1442-1446.
- 401 Lang, P.J., Bradley, M.M., Cuthbert, B.N., 1990. Emotion, attention, and the startle reflex. *Psychological*  
402 *review* 97, 377-395.
- 403 Lansade, L., Bouissou, M.-F., Erhard, H.W., 2008. Fearfulness in horses: A temperament trait stable across  
404 time and situations. *Applied Animal Behaviour Science* 115, 182-200.
- 405 Lansade, L., Neveux, C., Levy, F., 2012. A few days of social separation affects yearling horses' response to  
406 emotional reactivity tests and enhances learning performance. *Behavioural processes* 91, 94-102.
- 407 Magagnin, V., Bassani, T., Bari, V., Turiel, M., Maestri, R., Pinna, G.D., Porta, A., 2011. Non-stationarities  
408 significantly distort short-term spectral, symbolic and entropy heart rate variability indices. *Physiological*  
409 *measurement* 32, 1775-1786.
- 410 Malliani, A., Pagani, M., Lombardi, F., Cerutti, S., 1991. Cardiovascular neural regulation explored in the  
411 frequency domain. *Circulation* 84, 482-492.
- 412 Matsuura, A., Tanaka, M., Irimajiri, M., Yamazaki, A., Nakanowatari, T., Hodate, K., 2010. Heart rate  
413 variability after horse trekking in leading and following horses. *Animal Science Journal* 81, 618-621.



- 414 Nait-Ali, A., 2009. *Advanced Biosignal Processing*. Springer Science & Business Media, Berlin.
- 415 Nephew, B.C., Kahn, S.A., Romero, L.M., 2003. Heart rate and behavior are regulated independently of  
416 corticosterone following diverse acute stressors. *General and comparative endocrinology* 133, 173-180.
- 417 Ohmura, H., Hobo, S., Hiraga, A., Jones, J.H., 2012. Changes in heart rate and heart rate variability during  
418 transportation of horses by road and air. *American Journal of Veterinary Research* 73, 515-521.
- 419 Oliveira, L.R., de Melo, V.U., Macedo, F.N., Barreto, A.S., Badaue-Passos, D., Viana dos Santos, M.R., Dias,  
420 D.P.M., Sluka, K.A., DeSantana, J.M., Santana-Filho, V.J., 2012. Induction of chronic non-inflammatory  
421 widespread pain increases cardiac sympathetic modulation in rats. *Autonomic Neuroscience: basic &*  
422 *clinical* 167, 45-49.
- 423 Ostojic, S.M., Markovic, G., Calleja-Gonzalez, J., Jakovljevic, D.G., Vucetic, V., Stojanovic, M.D., 2010. Ultra  
424 short-term heart rate recovery after maximal exercise in continuous versus intermittent endurance athletes.  
425 *European journal of applied physiology* 108, 1055-1059.
- 426 Parker, K.J., Hyde, S.A., Buckmaster, C.L., Tanaka, S.M., Brewster, K.K., Schatzberg, A.F., Lyons, D.M.,  
427 Woodward, S.H., 2011. Somatic and neuroendocrine responses to standard and biologically salient acoustic  
428 startle stimuli in monkeys. *Psychoneuroendocrinology* 36, 547-556.
- 429 Parker, M., Goodwin, D., Eager, R., Redhead, E., Marlin, D., 2009. Comparison of Polar® heart rate interval  
430 data with simultaneously recorded ECG signals in horses. *Comparative Exercise Physiology* 6, 137-142.
- 431 Physick-Sheard, P.W., Marlin, D.J., Thornhill, R., Schroter, R.C., 2000. Frequency domain analysis of heart  
432 rate variability in horses at rest and during exercise. *Equine veterinary journal* 32, 253-262.
- 433 Porta, A., D'Addio, G., Guzzetti, S., Lucini, D., Pagani, M., 2004. Testing the presence of non stationarities in  
434 short heart rate variability series, *Computers in Cardiology*, 2004, pp. 645-648.
- 435 Porta, A., Guzzetti, S., Montano, N., Furlan, R., Pagani, M., Malliani, A., Cerutti, S., 2001. Entropy, entropy  
436 rate, and pattern classification as tools to typify complexity in short heart period variability series. *IEEE*  
437 *Transactions on Biomedical Engineering* 48, 1282-1291.
- 438 Redondo, A.J., Carranza, J., Trigo, P., 2009. Fat diet reduces stress and intensity of startle reaction in horses.  
439 *Applied Animal Behaviour Science* 118, 69-75.
- 440 Rietmann, T.R., Stauffacher, M., Bernasconi, P., Auer, J.A., Weishaupt, M.A., 2004. The association between  
441 heart rate, heart rate variability, endocrine and behavioural pain measures in horses suffering from  
442 laminitis. *Journal of veterinary Medicine. Physiology, Pathology, Clinical medicine* 51, 218-225.
- 443 Salahuddin, L., Cho, J., Jeong, M.G., Kim, D., 2007. Ultra short term analysis of heart rate variability for  
444 monitoring mental stress in mobile settings. *Conference proceedings : Annual International Conference of*  
445 *the IEEE Engineering in Medicine and Biology Society. IEEE Engineering in Medicine and Biology Society.*  
446 *Conference 2007*, 4656-4659.
- 447 Schmid, A., Koch, M., Schnitzler, H.U., 1995. Conditioned pleasure attenuates the startle response in rats.  
448 *Neurobiology of learning and memory* 64, 1-3.
- 449 Schmidt, A., Aurich, J., Mostl, E., Muller, J., Aurich, C., 2010. Changes in cortisol release and heart rate and  
450 heart rate variability during the initial training of 3-year-old sport horses. *Hormones and behavior* 58, 628-  
451 636.
- 452 Schommer, N.C., Hellhammer, D.H., Kirschbaum, C., 2003. Dissociation between reactivity of the  
453 hypothalamus-pituitary-adrenal axis and the sympathetic-adrenal-medullary system to repeated  
454 psychosocial stress. *Psychosomatic medicine* 65, 450-460.
- 455 Task-Force, 1996. *Heart Rate Variability: Standards of Measurement, Physiological Interpretation, and*  
456 *Clinical Use*. Task Force of the European Society of Cardiology the North American Society of Pacing.  
457 *Circulation* 93, 1043-1065.
- 458 van de Borne, P., Montano, N., Pagani, M., Oren, R., Somers, V.K., 1997. Absence of low-frequency  
459 variability of sympathetic nerve activity in severe heart failure. *Circulation* 95, 1449-1454.
- 460 Vila, J., Guerra, P., Munoz, M.A., Vico, C., Viedma-del Jesus, M.I., Delgado, L.C., Perakakis, P., Kley, E., Mata,  
461 J.L., Rodriguez, S., 2007. Cardiac defense: from attention to action. *International Journal of*  
462 *Psychophysiology* 66, 169-182.
- 463 Visser, E.K., Van Reenen, C.G., Rundgren, M., Zetterqvist, M., Morgan, K., Blokhuis, H.J., 2003. Responses of  
464 horses in behavioural tests correlate with temperament assessed by riders. *Equine veterinary journal* 35,  
465 176-183.

466 Visser, E.K., van Reenen, C.G., van der Werf, J.T., Schilder, M.B., Knaap, J.H., Barneveld, A., Blokhuis, H.J.,  
467 2002. Heart rate and heart rate variability during a novel object test and a handling test in young horses.  
468 Physiology and Behavior 76, 289-296.  
469

470

Accepted Manuscript

470 Table 1: Behavioural responses to startle in horses.

|              | Average | Range (minimum-maximum) |
|--------------|---------|-------------------------|
| Latency (s)  | 0.71    | 0.28 to 1.28            |
| Duration (s) | 3.97    | 1.52 to 7.92            |
| Distance (m) | 5.16    | 3.43 to 9.96            |

471 Latency: time until the animal reaction.

472 Duration: total time spent in the response.

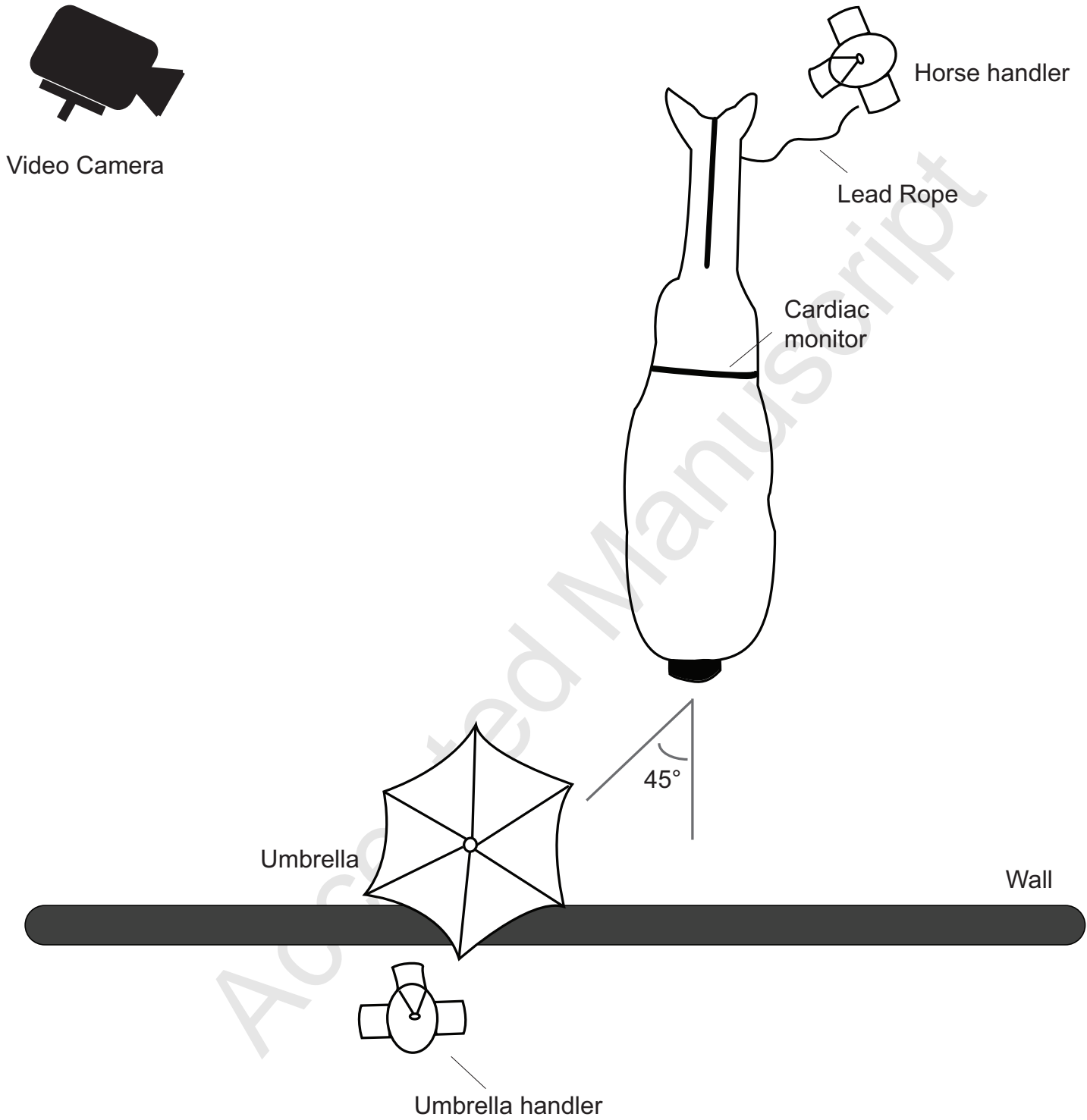
473 Distance: displacement of the animal.

474

475

Accepted Manuscript

# A. Model of starle by opening umbrella in horses



## B. Experimental Design

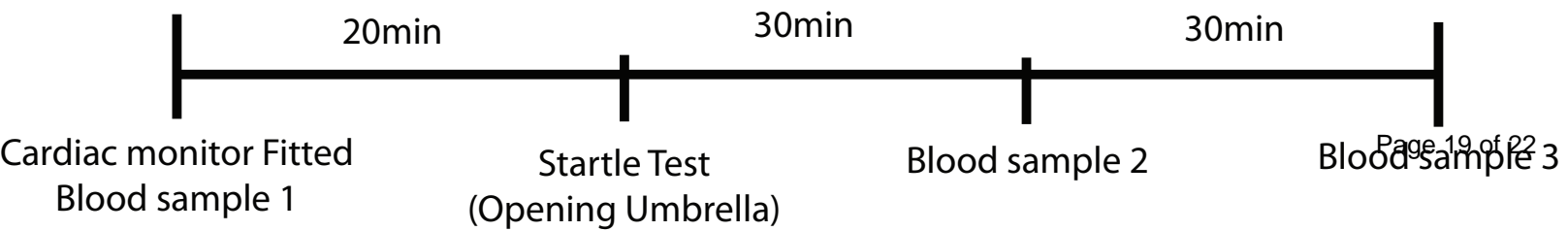
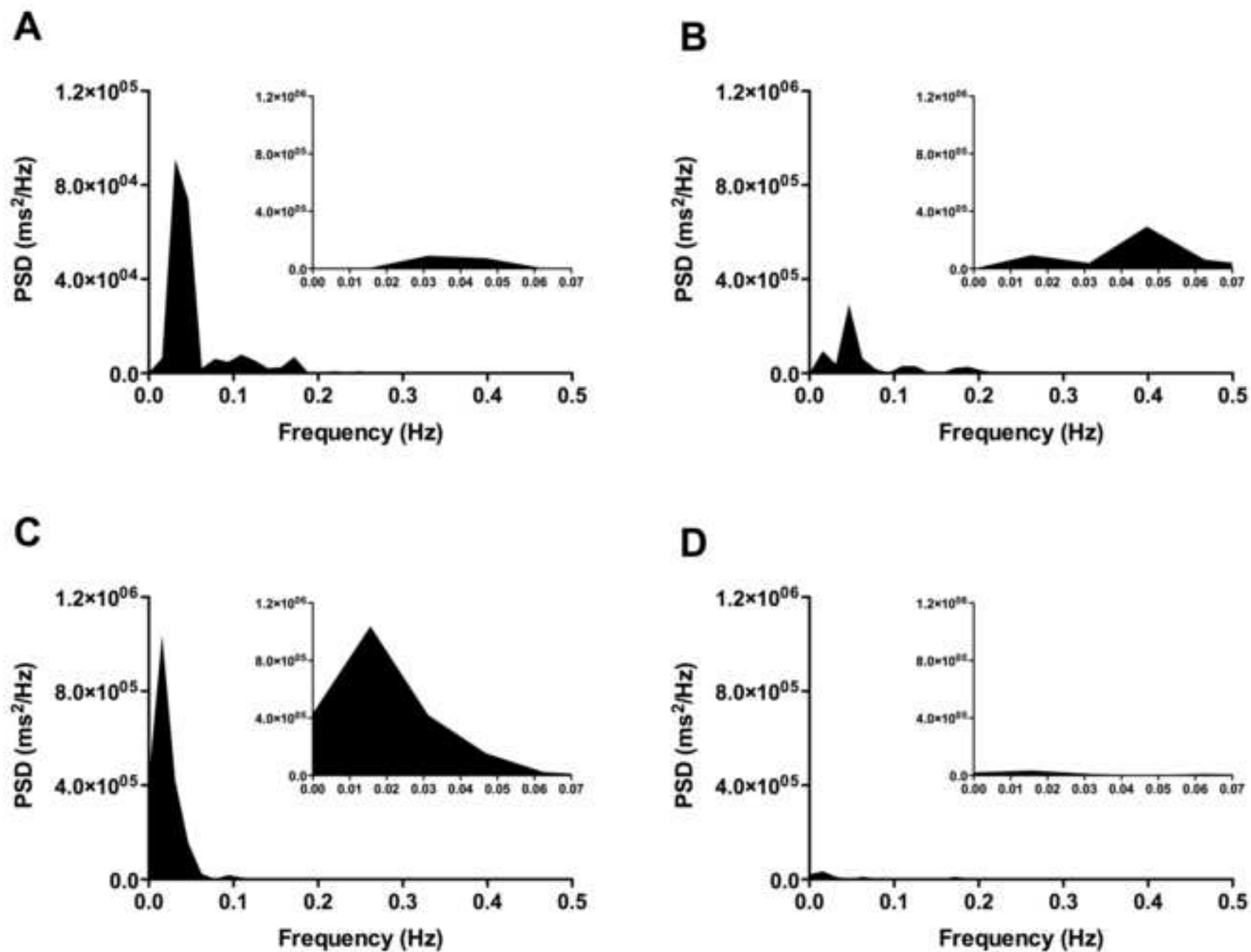


Figure 2



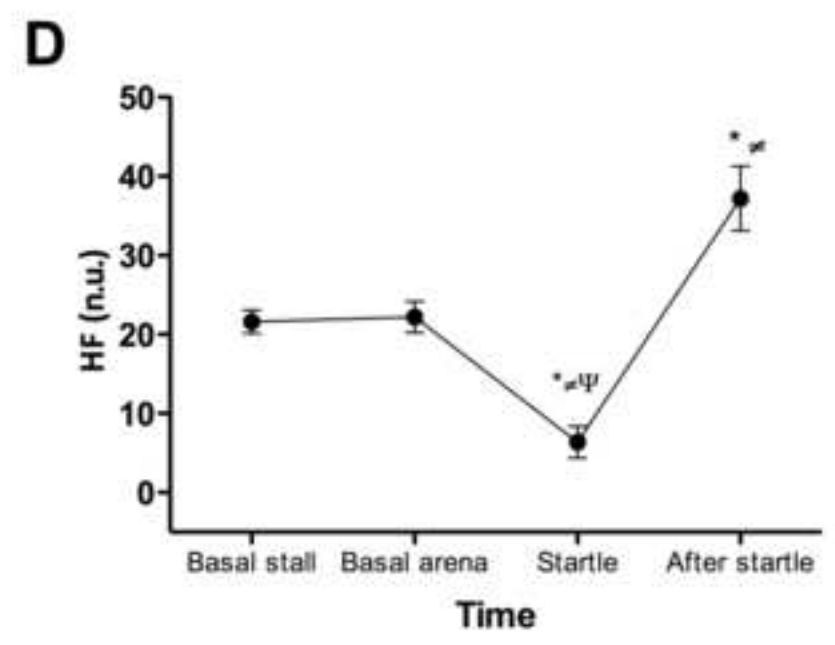
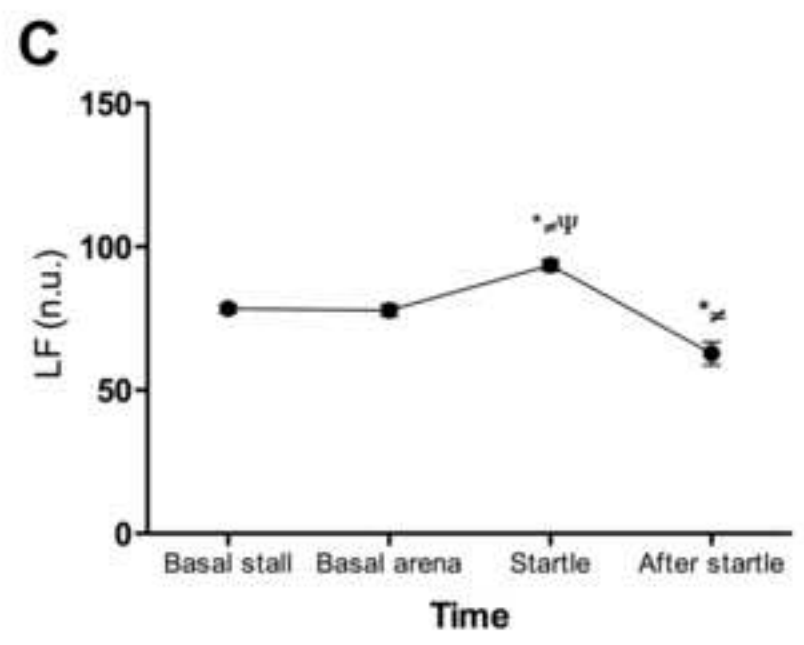
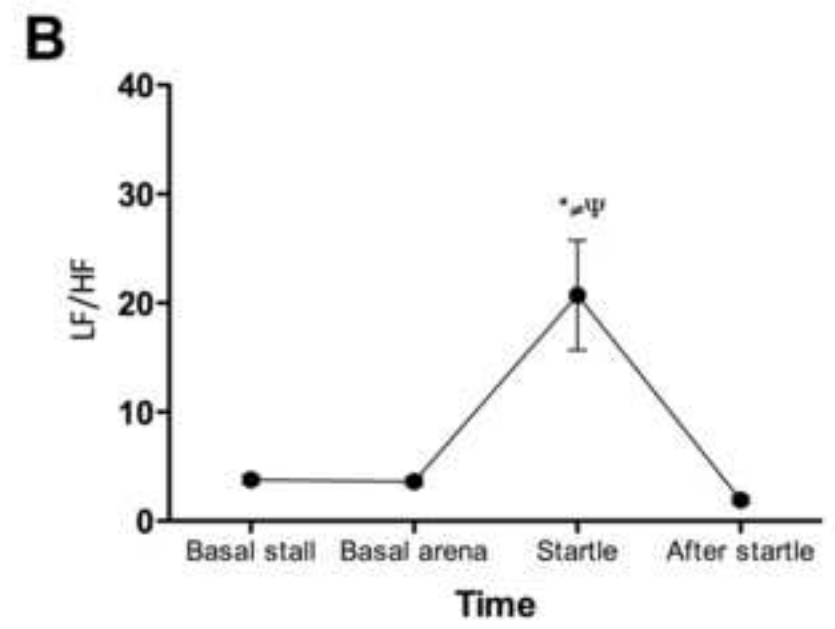
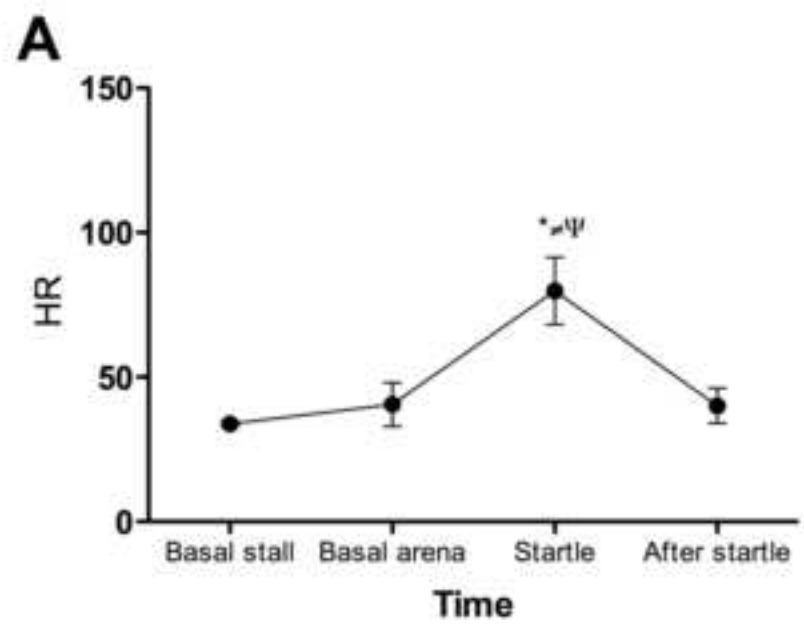


Figure 4

