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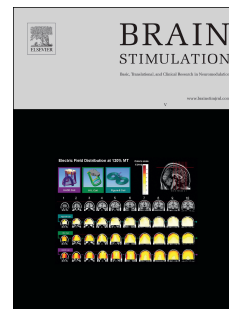
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Quantitative estimation of nerve fiber engagement by vagus nerve stimulation using physiological markers

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Abstract

Background: Cervical vagus nerve stimulation (VNS) is a rapidly emerging bioelectronic treatment for brain, metabolic, cardiovascular and immune disorders. Its desired and off-target effects are mediated by different nerve fiber populations and knowledge of their engagement could guide calibration and monitoring of VNS therapies.

Objective/Hypothesis: Stimulus-evoked compound action potentials (eCAPs) directly provide fiber engagement information but are currently not feasible in humans. A method to estimate fiber engagement through common, noninvasive physiological readouts could be used instead of eCAP measurements.

Methods: In anesthetized rats, we recorded eCAPs while registering acute physiological response markers to VNS: cervical electromyography (EMG), changes in heart rate (Δ HR) and breathing interval (Δ BI). Quantitative models were established to capture the relationship

1 between A-, B- and C-fiber type activation and those markers, and to quantitatively estimate
2 fiber activation from physiological markers and stimulation parameters.

3 **Results:** In bivariate analyses, we found that EMG correlates with A-fiber, Δ HR with B-fiber
4 and Δ BI with C-fiber activation, in agreement with known physiological functions of the
5 vagus. We compiled multivariate models for quantitative estimation of fiber engagement
6 from these markers and stimulation parameters. Finally, we compiled frequency gain models
7 that allow estimation of fiber engagement at a wide range of VNS frequencies. Our models,
8 after calibration in humans, could provide noninvasive estimation of fiber engagement in
9 current and future therapeutic applications of VNS.

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1 Introduction

2 The vagus nerve innervates most thoracic and abdominal organs and relays afferent (sensory)
3 and efferent (motor) information between peripheral receptors and effector cells and the brain
4 (1). Cervical vagus nerve stimulation (cVNS) is emerging as a potential treatment for a
5 multitude of disorders affecting the brain and peripheral organs, including drug-resistant
6 epilepsy (2), depression (3), Alzheimer's disease (4), anxiety (5), pain (6), tinnitus (7),
7 rheumatoid arthritis (8), heart failure (9), diabetes (10) and obesity (11), pulmonary
8 hypertension (12, 13), and others. The therapeutic actions of cVNS, although still under
9 investigation, are mediated by activation of different types of fibers. For example, anti-
10 epileptic action is thought to be related to afferent, large, myelinated A-fibers (14), cardio-
11 inhibitory action in heart failure to efferent, myelinated B-fibers (15), and anti-inflammatory
12 action by B- and possibly by afferent, unmyelinated C-fibers (16, 17). In addition, some of
13 the off-target effects of cervical VNS that often limit its therapeutic efficacy arise from the
14 activation of efferent A-fibers innervating laryngeal and pharyngeal muscles (18).

15 To develop safe and effective VNS protocols for existing and future indications, optimization
16 of stimulation parameters with respect to fiber engagement on a single subject basis is
17 essential, both at the time of electrode implantation and during follow up visits with health
18 care providers. Fiber-selective VNS has been demonstrated in experimental animals, but
19 certain stimulation parameters are different for different subjects (19). Therefore, knowledge
20 of fiber engagement by a set of stimulation parameters is crucial in the process of VNS
21 parameter optimization. The main experimental tool for quantifying fiber engagement in
22 peripheral nerve is registering of stimulus-evoked compound action potentials (eCAPs)
23 through a recording electrode placed at a known distance from the stimulating electrode (20).
24 The conduction velocities of the different fiber types give rise to characteristic patterns of
25 evoked nerve activity when the nerve is stimulated. These responses are comprised of earlier

1 components, corresponding to activation of faster A-fibers, intermediate components
2 representing B-fibers, and later components for slower C-fibers (21). Indeed, eCAPs have
3 been used experimentally to optimize stimulation parameters and electrode design in VNS
4 (15, 22). Despite their value, obtaining eCAPs in experimental animals comes with
5 challenges and is generally limited to acute experiments (23). In clinical applications,
6 registering eCAPs from the vagus nerve is not currently feasible. In principle, a quantifiable
7 physiological response mediated by specific fibers, readily obtainable in experimental
8 animals and in humans, could be used to estimate the magnitude of engagement of those
9 fibers by VNS. For example, B-fiber activity in vagal eCAPs is known to be related to VNS-
10 related changes in heart rate (24). However, for a set of physiological responses to be useful
11 as markers for vagal fiber activation, data-driven models relating those two modalities need
12 to be compiled and validated. Such models do not exist for VNS.

13 In our study in a rat model, we investigated the quantitative relationship between activation
14 of different vagal fiber types and several physiological responses to cervical VNS. We chose
15 physiological responses that can be easily and non-invasively obtained in experimental
16 animals and in humans, and that are involved in mechanisms relating to specific vagal fiber
17 types. We characterized the bivariate associations of stimulus-evoked EMG, heart rate
18 changes and breathing changes with A-, B- and C-fiber eCAP components respectively, on a
19 single subject basis and across many subjects. Based on these associations, we built and
20 tested predictive multivariate models that use physiological responses to stimulus parameters
21 to estimate the magnitude of activation of different fiber types. These models provide the first
22 quantitative tool for rapid, non-invasive estimation of stimulus-evoked vagal fiber activation
23 that, after further evaluation in animal and human studies, could be used to optimize VNS
24 therapies targeting different organs and diseases on a single subject basis.

25

1 Methods

2 Animal preparation, anesthesia, physiological instrumentation

3 Twenty adult male Sprague Dawley rats (age 2-5 months and weight between 300-550 gm)
4 were used in the study under the approval of the Institutional Animal Care and Use
5 Committee at The Feinstein Institutes for Medical Research. Rats were anaesthetized using
6 isoflurane (induction at 4% and maintenance at 1-2%) and medical oxygen; anesthesia was
7 maintained throughout the experiment. Body temperature was measured with a rectal probe
8 and maintained between 36.5-37.5°C using a heating pad (78914731, Patterson Scientific)
9 connected to a warm water recirculator (TP-700 T, Stryker). ECG was recorded by using 3-
10 lead needle electrodes subcutaneously on the limbs and amplified using a commercial octal
11 bio-amplifier (FE238, ADI). Breathing was monitored by using a temperature probe placed
12 outside of the nostrils along with a bridge amplifier (FE221, ADI); the probe reported
13 changes in air temperature during breathing movements: drop in temperature during
14 inhalation, and rise during exhalation (Fig. 1A and B). All physiological signals were first
15 digitized and then acquired at 1 kHz (PowerLab 16/35, ADI) and visualized on LabChart v8
16 (all from ADInstruments Inc).

17 Surgical preparation and vagus electrode placement

18 To expose the cervical vagus nerve (cVN), a midline 3 cm skin incision was given on the
19 neck (Fig. 1A). Salivary glands were separated, and muscles were retracted to reach the
20 carotid bundle. Under a dissecting microscope, the left or right cVN was isolated first at the
21 caudal end of nerve and then at rostral end of nerve. The middle portion, between the two
22 isolated sites was left intact within carotid bundle to minimize the extent of surgical
23 manipulation and trauma to the nerve. After isolation of the nerve, a custom-made, bipolar or
24 tripolar “Flex” electrode was placed on the caudal site; a second bipolar “Flex” electrode was
25 placed on the rostral site of cVN. Flex electrodes were made use a polyimide substrate and

1 sputter-deposited iridium oxide contacts for low electrode impedances and stable stimulation
2 characteristics(25-27). Electrode contacts had dimensions of $1418 \times 167 \mu\text{m}^2$ with an edge-to-
3 edge spacing of $728 \mu\text{m}$ and center-to-center spacing of $895 \mu\text{m}$. Typical individual
4 electrode impedances in saline ranged from 0.5 to 1.5 $\text{k}\Omega$. The distance between the
5 stimulating electrode(tripolar: center contact; bipolar distal side contact) to the most proximal
6 recording electrode on the nerve was measured roughly 5 to 6 mm. Silicone elastomer
7 (Kwiksil by World Precision Instruments) was placed around the cuff to minimize current
8 leakage during stimulation.

9 Vagus nerve recording and stimulation

10 Neural activity from each contact on the recording electrode was amplified, digitized (30KS/s,
11 16bit resolution) and filtered (60-Hz notch), using a 32-channel RHS2000 stim/record
12 headstage and 128ch Stimulation/Recording controller (Intan Technologies); recordings were
13 single-ended, relative to a ground lead placed in the salivary gland. Nerve stimulation was
14 delivered in constant current mode as trains of monophasic rectangular pulses using an
15 STG4008 stimulus generator (Multichannel Systems). In all experiments characterizing
16 neural and physiological relationship, we initially determined the “neural threshold” (NT) as
17 the lowest stimulus intensity for a 100- μs duration pulses that evoked a discernable evoked
18 potential, which was always within A-fiber latency window ($<1\text{ms}$), at the proximal
19 recording contact. Most of time ($>90\%$), the evoked response EMG was also observed. The
20 physiological threshold (PT), which evoked visible heart rate/respiratory change, was usually
21 3 or 4 \times NT. Stimulus trains of 10-s durations were then delivered, each with stimulation
22 parameters randomly selected from a range. In particular, pulsing frequency was 30 Hz, pulse
23 width was between 40 to 600 μs , stimulation intensity was between 0.5 and 10 \times NT. The
24 stimulation configuration was either tripolar (cathode-center or cathode-corner) or bipolar
25 (cathode-cephalad or cathode-caudad). There were at minimum 15-s long pauses between

1 successive trains to ensure that physiological measurements had fully recovered before a new
2 train was delivered. The different stimulus trains were delivered once per animal, in random
3 order, to limit the total duration of each experiment to 3-4 hours and prevent changes of the
4 animal's physiological state due to prolonged anesthesia.

5 Another set of experiments was conducted to document the physiological responses to
6 different pulsing frequencies and pulse counts. In these experiments, VNS consisted of 10-s
7 long trains of 100- μ s or 600- μ s long pulses, with pulsing frequency between 5 and 300 Hz,
8 and stimulation intensity between 0.5 and $3 \times$ PT. In a subset of these experiments, the same
9 frequencies were tested with shorter trains (2-10 pulses, 0.0067- to 5-s train duration,
10 depending on frequency) and intensities between 1 and $10 \times$ PT.

11 Identification and analysis of neural and EMG signals

12 Raw nerve signal traces from both recording contacts were filtered using a 1Hz high-pass
13 filter to remove the DC component. Stimulus-evoked compound nerve action potentials
14 (eCAPs) elicited from all pulses in each stimulus train were extracted by average individual
15 sweeps of nerve recording traces around the onset of pulses (Fig. 1C). A custom-made buffer
16 amplifier was used to record the induced voltage on the electrode during stimulation.
17 Stimulation artifact was suppressed offline by a recently proposed method which subtracts
18 the trace of the stimulation electrode voltage from the eCAP with proper template matching
19 and an edge effect removal algorithm (28) (Fig. S1, Supplementary Materials).

20 Given the rough estimation of distance between the recording and stimulation electrodes (5-6
21 mm), we fine tune the distance in analysis so that the latency windows can align well with the
22 A-, B- and C-fiber prominent peaks with pre-defined conduction velocity ranges for each
23 fiber type (A: 5-120 m/s; B: 2-8 m/s; C: 0.1-0.8 m/s)(21). Fig. 2A shows representative
24 eCAPs at 3 different intensities: $1 \times$, $4 \times$ and $10 \times$ NT, including activity of different fiber

1 types and EMG. Signals from both contacts in the recording electrode, proximal and distal to
2 the stimulating electrode, were collected (solid and dashed black traces in Fig. 2A). This
3 allowed us to distinguish between neural and EMG signal components. For the given
4 electrode spacing A- and B-fibers had short latencies (< 3 ms), while slower C-fibers
5 occurred at longer latencies (> 6 ms)(28). To discriminate C-fiber components from stimulus-
6 evoked EMG, we reasoned that C-fiber volleys should show a latency difference between the
7 proximal and distal recording contacts, spaced apart by a distance of 895 μm , of 1-2 ms,
8 whereas EMG or line noise-related signals should occur simultaneously on both recording
9 contacts (27) (Fig. 2A, panel III).

10 We conducted additional experiments to ensure that what we considered nerve fiber activity
11 was not EMG. Vecuronium, a neuromuscular junction blocking agent, was infused
12 intravenously with a bolus dose (0.15 mg/kg) and continuous IV (0.15 mg/kg/min) while the
13 animal was ventilated with 41 breaths per minute and 4 ml tidal volume (SAR-1000, CWE
14 Inc., Ardmore, PA). During vecuronium infusion, the EMG component in the eCAP was
15 considerably suppressed while the neural components were still visible (Fig. S2 and S9,
16 Supplementary Materials). The resulting time window for major EMG component was 2-6
17 ms, consistent with other studies documenting VNS-induced laryngeal motor-evoked
18 potential in rats (27-29) (Fig. 2B). We computed A- and B-type fibers amplitudes as the peak
19 prominence and C-type fiber amplitude was defined as the peak-to-trough amplitude of late
20 (>6 ms) eCAP components. The C-fiber component of the eCAP was clearly distinguishable
21 from the EMG-related component at a range of stimulus intensities, as shown by
22 measurements made with and without neuromuscular blocker (Fig. S9A and B,
23 Supplementary Materials). The amplitude of the C-fiber component increased with stimulus
24 intensity, and saturated at intensities of about 8-10 times threshold (Fig. S9C, Supplementary
25 Materials).

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2 Analysis of physiological signals

3 We computed the magnitude of EMG response from respective eCAPs as the peak-to-trough
4 amplitude of the (typically biphasic) response within the EMG window; that amplitude was
5 then normalized by the mean EMG amplitude in that subject, recorded at a specific set of
6 VNS parameters (based on results shown in Fig. S3, Supplementary Materials): intensity 6-8
7 \times NT, pulse width 600 μ s. Using a custom algorithm, ECG peaks corresponding to the R
8 waves were identified, and heart rate (HR) was computed from R-R intervals. We defined
9 stimulus-induced change in HR (Δ HR) as the difference between the mean HR during a 10-s
10 epoch before the onset of the stimulus train (“pre-stimulus”) and the mean HR during the
11 stimulus train (“during-stimulus”), divided the mean pre-stimulus HR. In recordings from the
12 nasal temperature sensor, we identified peaks (end of expiration) and troughs (end of
13 inspiration). We defined the interval between two successive peaks (or two successive
14 troughs) as breathing interval (BI). We defined the stimulus-elicited change in breathing
15 interval (Δ BI) as the difference between the mean pre-stimulus and the mean during-stimulus
16 BI. In those experiments in which VNS trains were of short duration, during which less than
17 2 R-R intervals occurred, we used 5 R-R intervals immediately following the train to estimate
18 mean HR “during stimulus”. The measured signals and corresponding derived variables
19 (ECG and Δ HR, and nasal sensor temperature and Δ BI) are shown in Fig. 2C, D.

20 Regression and prediction models

21 A bivariate model was used to capture the relationship between A-, B- and C-fiber amplitude
22 and the related physiological variable (EMG, Δ HR and Δ BI, respectively). Individual models
23 were fitted from data for each subject (Fig. 4 A, B and C). After normalizing fiber
24 amplitudes and physiological responses to their maximum values for a given subject,

1 normalized data were used to generate a single bivariate model for each fiber type across all
 2 subjects (Fig. 4 D, E and F).

3 A multivariate quadratic model was compiled for quantitative estimation of relative
 4 amplitude of fiber activation (percent of maximum for that subject), using four inputs from
 5 all the subjects: EMG, Δ HR, Δ BI, and charge per pulse (Q), defined as the product between
 6 pulse width and the current intensity in units of NT. The general form of the model was:

$$\text{Fiber ampl. \%} = a_0 Q + a_1 \text{EMG} + a_2 \Delta\text{HR} + a_3 \Delta\text{BI} + a_4 Q^2 + a_5 \text{EMG}^2 + a_6 \Delta\text{HR}^2 + a_7 \Delta\text{BI}^2 \quad (\text{Eq. 1})$$

7
 8 The model was trained and tested with leave-one subject-out cross-validation. Briefly, the
 9 entire dataset was divided in two subsets: training set (data from all subjects except one), to
 10 build the model, and the test set (the subject that was left out) to assess model performance.
 11 The training procedure was repeated 100 times (100-fold random cross-validation method).
 12 To build the model, we selected only those fitted coefficients showing statistical significance
 13 (F-test, $p < 0.01$) in at least 50 of 100 times. The last model was developed by taking the
 14 medians of the selected coefficients for each input term in the Eq. 1. Finally, we computed
 15 performance by applying the model on data from the test set.

16 A 2-term asymptotic exponential model, akin to double exponential function, was computed
 17 to capture the relationship between each of the physiological responses (HR or BI) at a
 18 pulsing frequency f with respect to the same response at 30 Hz (“frequency gain”). The
 19 general form of the model was:

$$\text{Frequency gain} = b_0 + b_1 \exp(-f/\tau_1) + b_2 \exp(-f/\tau_2) \quad (\text{Eq. 2})$$

20 Where b_0 is a fitting offset, b_1 and b_2 are the initial values, and τ_1 and τ_2 are the time constants
 21 of the exponential functions. The coefficients were optimized using Nelder-Mead simplex
 22 direct search method with distinct initial value settings for two exponential terms.

1 Performance metrics and Statistical Analysis

2 To assess goodness-of-fit performance of the different models, the root mean square error
3 (RMSE) and the normalized RMSE values were computed.

$$4 \quad \text{RMSE} = \sqrt{\frac{\sum_i^N (y_i - \hat{y}_i)^2}{N}}, \quad \text{NRMSE} = \frac{\text{RMSE}}{\max(y) - \min(y)}$$

5

6 Where y_i is the observed value for the i -th observation, \hat{y}_i is the predicted value and N is the
7 length of the observation.

8 After building the linear quadratic model for each fiber type, we computed RMSE values.

9 Chance performance level was set with a permutation test (30). We created surrogate data
10 sets from the test data by randomly shuffling the fiber-type label of each data point, thereby
11 destroying any relationship between inputs and outputs. Then, we treated the surrogate
12 dataset just like the original data and computed the RMSE using the final models. By
13 repeating this process 100 times, we created a distribution of “random performance” metrics;
14 we considered model performance computed on the original data significant if it was smaller
15 than the 5th percentile of the random performance RMSE distribution.

16 The non-parametric Kruskal-Wallis test (KWT) was used to compare different fiber
17 activation evoked during VNS. A p value less than 0.05 was considered statistically
18 significant. All the analyses were performed using MATLAB 2017b software (MathWorks,
19 Natick, MA, USA).

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2 Results

3 Neural and physiological responses to VNS

4 We wished to infer the magnitudes of A-, B- and C-fiber activation by using physiological
5 responses to VNS that can be measured rapidly and noninvasively in human subjects and
6 experimental animals. We delivered cervical VNS with different stimulation parameters
7 known to engage different fiber types. Through a second recording electrode, also on the
8 cervical vagus, we registered stimulus-evoked compound nerve action potentials (eCAPs)
9 and A-, B- and C-fiber responses, as well as laryngeal EMG responses, were extracted. At
10 the same time, we monitored ECG and breathing and calculated the magnitude of VNS-
11 elicited changes, from a pre-stimulation baseline level, in heart rate (Δ HR) and in breathing
12 interval (Δ BI). Intensity threshold values for neural (typically A-fiber) activity ranged
13 between 12-30 μ A (mean \pm SD: 22.5 \pm 6 μ A) for 100 μ s-long monophasic pulses.

14 To characterize the relationship between vagal fiber activation and physiological responses,
15 we first documented how they both changed in response to VNS of different stimulus
16 intensities, pulse widths and pulsing frequencies. Across all subjects, the mean (\pm SD)
17 amplitude of A-, B- and C-fiber responses were 59.01 \pm 42.60 μ V, 21.11 \pm 15.33 μ V, and
18 74.80 \pm 73.70 μ V, respectively. The mean (\pm SD) latencies of fiber activity peaks were
19 0.4192 \pm 0.0126 ms for A-fiber, 1.2315 \pm 0.1777 ms for B-fiber, and 9.7688 \pm 1.4885 ms for
20 C-fiber (Fig. S7, Supplementary Materials). The mean (\pm SD) magnitude of evoked EMG,
21 Δ HR and Δ BI responses were 57.03 \pm 74.03 μ V, -9.64 \pm 12.27 %, 2.64 \pm 4.59 s, respectively,
22 indicating that the typical physiological responses to VNS were muscle contraction, slowing
23 of the HR and prolongation of the BI. The physiological responses elicited by VNS were
24 statistically different from the corresponding physiological measurements during the 10 s-

1 long pre-stimulation baseline, for all threshold and suprathreshold intensities (upper-tail one-
2 sided statistical t-test, $p < 0.001$ for all 3 comparisons: EMG_{VNS} vs. EMG_{base} , HR_{VNS} vs. HR_{base}
3 and BI_{VNS} vs. BI_{base}).

4 A-fiber amplitude and EMG magnitude both increased with increasing stimulus intensity (Fig.
5 3A, left and middle panels), with a linear relationship between them that was preserved
6 across stimulus intensities (Fig. 3A, right panel). Similarly, B-fiber amplitude and ΔHR
7 magnitude also increased with increasing stimulus intensity (Fig. 3B, left and middle panels),
8 but this time the fiber amplitude-response magnitude relationship had an exponential form
9 (Fig. 3B, right panel). C-fiber amplitude and ΔBI magnitude started building up at
10 significantly higher stimulus intensities (Fig. 3C, left and middle panels) and an exponential
11 relationship between C-fiber activation and the slowing of breathing was typically seen (Fig.
12 3C, right panel).

13 Relationships between fiber amplitudes and physiological response magnitudes

14 We then quantified the relationship between A-, B-, and C-fiber amplitude and the magnitude
15 of EMG, heart rate (ΔHR) and breathing interval (ΔBI) responses, respectively. Based on our
16 previous observations, we used a linear model to relate A-fiber amplitude to EMG magnitude.

17 In all subjects, A-fiber amplitude and magnitude of EMG response were positively and
18 linearly correlated (Fig. 4A). By normalizing the neural and the EMG responses by their
19 maximum values within each subject, we were able to fit data from all subjects with a single
20 linear function (Fig. 4D). Normalized values of A-fiber amplitude and EMG magnitude
21 generally increased with increasing charge per pulse (stimulus intensity \times pulse width) of the
22 pulses within a given stimulus train (Fig. 4D). Using a similar procedure, we related B-fiber
23 amplitude to ΔHR magnitude. In this case, an exponential model was used to fit the data for
24 individual subjects (Fig. 4B) and, after normalization, collectively for all subjects (Fig. 4E).

25 Again, normalized B-fiber amplitude and ΔHR generally became greater as charge increased

1 (Fig. 4E). We repeated these steps for C-fiber amplitude and Δ BI magnitude and used an
2 exponential model to fit the data (Fig. 4C and 4F). In this analysis, data from several stimulus
3 trains were omitted since in C-fibers were not always activated and/or there was not always a
4 breathing response to VNS. This resulted in a smaller dataset than those of A- and B- fibers.
5 These bivariate correlations were similar in shape between bipolar and tripolar stimulation
6 electrode configurations (Fig. S10, Supplementary Materials).

7 To assess goodness of fit, we computed the normalized root mean square error (NRMSE)
8 values for each single-subject fit, for each of the 3 fiber amplitude-physiological response
9 magnitude models. Median NRMSE was 0.173 (range: 0.085-0.266) for the A-fiber vs. EMG
10 model, 0.192 (0.119-0.232) for the B-fiber vs. Δ HR model, and 0.098 (0.044-0.179) for the
11 C-fiber vs. Δ BI model (Fig. 4G).

12 A- and C-fiber activation associated with breathing responses

13 Despite our finding of an association between C-fiber amplitude and magnitude of the
14 breathing response (Δ BI), it is known that breathing is affected in distinct ways by afferent
15 A- and by C-fibers (31). We further characterized the relationship between A- and C-fiber
16 amplitude, and Δ BI. We classified breathing responses to individual VNS trains in 3 groups:
17 “bradypnea”, if Δ BI was >0.2 s and 2 or more breathing events occurred during the 10-s long
18 stimulus train, “apnea”, if 1 or no breathing events occurred during the stimulus train, and
19 “no change in breathing”, if Δ BI was <0.2 s (Fig. 5A). For each VNS train, the amplitudes of
20 A- and C-fiber activity were normalized to their maximum values in the corresponding
21 subject. We found that A-fibers were roughly equally activated in apnea and bradypnea ($p =$
22 0.83, KWT), while there was significantly greater A-fiber activation in bradypnea responses
23 vs. no change in breathing ($p < 0.01$, KWT). On the other hand, there was significantly
24 greater C-fiber activation in apnea compared to either bradypnea or no change in breathing (p
25 < 0.001 , KWT for both comparisons) (Fig. 5B). These findings suggest that moderate

1 changes in the breathing pattern are typically associated with activation of A-fibers alone.
2 However, apnea responses were frequently associated with C-fiber activation. Since non-
3 fiber-selective stimulation waveforms were used in this study, C-fiber activation could
4 happen alone or, most likely, in combination with A-fiber activation.

5 Models to estimate vagal fiber activation

6 We then attempted to estimate quantitatively the percentage of the A-, B- and C-fiber activity
7 evoked by VNS, by considering the magnitude of the observed physiological responses and
8 some stimulation parameters. For that purpose, we built multivariate quadratic models (Eq. 1)
9 using four independent variables: Normalized EMG amplitude, ΔHR , ΔBI , and stimulus
10 charge per pulse (normalized intensity \times pulse width). Among all physiological readouts,
11 EMG require normalization within subject because the magnitude range varies significantly
12 across different animals, and the reference was consistently selected from the stimulation
13 parameter, $6-8 \times NT$, $600 \mu s$, which generally has maximum EMG response (Fig. S3,
14 Supplementary Materials). Table I shows the significant coefficients for each model. After
15 models were computed, chance performance levels were determined by means of surrogate
16 distributions and were used to determine significance of model performance.

17 Regarding model performance, RMSE for A-, B- and C-fiber models were significantly better
18 than chance, for both training and test data sets (Fig. 6A, B, C). Individual estimated and
19 measured fiber activation percentage from all animals as test data sets are shown in Fig. 6D,
20 E, F; data points in A- and C-fiber models (Fig. 6D and F) are generally closer to unity line,
21 and therefore more accurate, compared to the B-fiber model (Fig. 6E). Additionally, Table S1
22 reports the amount of variance explained (R^2 value) for the 3 fiber models in each subject.
23 Finally, to understand the effect of each single predictor, we reported in Table S2 the
24 Proportional Reduction of Error (PRE) as suggested in (32). Briefly, we computed the error
25 as the residual sum of squares (RSS) obtained with the model A (augmented, using all the

1 predictors) and the model C (compacted, without one predictor) to see the effect of each
2 parameter using the following formula: $PRE = 1 - RSS_A / RSS_C$.

3 Scaling of physiological responses with pulsing frequency

4 Our fiber amplitude estimation models depend on physiological responses elicited by VNS at
5 30 Hz, a pulsing frequency commonly used in clinical VNS. In order to generalize these
6 models to other frequencies, we performed experiments to quantify how physiological
7 responses change with frequency, from 5 to 300 Hz. The ΔHR response increases with
8 increasing frequency, reaches maximum at 50-100Hz and then it declines (Fig. 7A). In
9 contrast, the ΔBI response shows an abrupt increase that saturates around 50-100Hz (Fig. 7B).
10 Stimulus-evoked EMG activity did not change with pulsing frequency, as its time-course is
11 shorter than typical inter-stimulus-intervals (Fig. S5, Supplementary Materials), and was not
12 subjected to this analysis. We used 2-term exponential functions (Eq. 2) to create a
13 “frequency gain” model that translates the physiological response (ΔHR or ΔBI) observed at
14 a given frequency to that observed at 30 Hz (Fig. 7C, and Table II with better precision). This
15 translation allows the estimation of vagal fiber amplitudes, using the previously established
16 fiber activation models, for any pulsing frequency. Individual data points used in compiling
17 these models are shown in Fig. S4 (Supplementary Materials). Even though the physiological
18 responses scale with stimulus intensity, their dependence on pulsing frequency is stable.
19 When short-duration stimulus trains were delivered, ΔHR response had a similar dependence
20 on frequency (Fig. S6A, Supplementary Materials), and generally increased with pulse count
21 (Fig. S6B, Supplementary Materials). However, no significant ΔBI responses were
22 documented for trains shorter than 5-10 s (data not shown).

23

1 Discussion

2 In recent years, quantification of the engagement of different fiber types by VNS has been
3 pursued systematically by recording stimulus-evoked compound nerve action potentials
4 (eCAPs) directly from the nerve (15). However, even though several chronic VNS
5 paradigms have been tested in various animal models of disease (13, 33-35), no stable nerve
6 recordings with longevity and stability have been demonstrated (23), and recording eCAPs
7 from the human vagus is not currently feasible. Placement of extra nerve electrodes for
8 recording might increase the risk for surgical complications, accentuate tissue response or
9 affect the integrity of nerve fibers (36). Given those limitations, a method to quantitatively
10 estimate the level of fiber engagement by cervical VNS using physiological parameters that,
11 ideally, can be registered noninvasively, would be of use in preclinical and clinical research,
12 and eventually in the clinical practice of VNS. To the best of our knowledge, ours is the first
13 study to establish such a quantitative estimation method, even though attempts have been
14 made to relate B-fiber activity to changes in heart rate (37) and to qualitatively calibrate
15 functional thresholds for vagal fiber engagement (38).

16 First, we examined the feasibility of predicting the level of activation of different fiber types
17 using physiological variables with a univariate (linear and nonlinear) regression model. The
18 selection of physiological responses to be correlated with activation of each fiber type was
19 based on established physiological functions of the vagus and on our own preliminary VNS
20 experiments. We then compiled a data-driven model for each fiber type that estimated the
21 amplitude of its activation by using corresponding physiological responses, and in the case of
22 C-type fibers, the amount of injected charge. Performance of each of the models was
23 evaluated with data not used in the building of that model, quantified and compared to the
24 chance performance level. The three models are simple, intuitive and in line with what we
25 expected: A-fibers are related to only the observed EMG amplitude, B-fibers to both the heart

1 rate (HR) response and EMG amplitude, and C-fibers to both the prolongation of the
2 breathing interval (BI) and to the injected charge per phase.

3 VNS evoked fiber activity and physiological responses

4 The linear relationship between VNS-elicited EMG activity and evoked A-fiber amplitude
5 (Fig. 4A, D) agrees with what is known about the vagal innervation of laryngeal muscles and
6 the effects of VNS on their contraction. Efferent A-fibers in the superior and recurrent
7 laryngeal nerves, both being branches of the cervical vagus, innervate intrinsic muscles of
8 the larynx and account for a majority of large myelinated fibers in the trunk of the cervical
9 vagus (39). Electrophysiological studies have shown that activation of A-fibers by VNS leads
10 to contraction of laryngeal muscles, and; in patients with cervical vagus implants, high
11 stimulation intensities produce laryngospasm (40, 41). By comparing eCAPs with and
12 without a neuromuscular blocker (Fig. S2, Supplementary Materials), we established that
13 VNS-elicited EMG occurs 3-10 ms post-stimulus, consistent with monosynaptic activation of
14 innervated muscles. It is worth noting that A-fiber amplitude in these experiments reflects
15 activation of both efferent and afferent A-fibers, which convey sensory information from the
16 lungs. In our experiments, the recording electrode was placed caudally to the stimulating
17 electrode and the stimuli were delivered in the cathode-caudad polarity, promoting the
18 activation of efferent fibers (42, 43). Using this configuration, it is likely that a significant
19 part of the A-fiber component corresponds to activation of efferent A-fibers, as some of the
20 afferent A-fiber activity is blocked by the hyperpolarizing anode (43). This would explain the
21 relatively strong linear relationship between A-fiber amplitude and EMG activity, and the
22 weaker relationship with changes in breathing (Fig. 5). The use of normalized EMG values in
23 the model minimizes variability introduced by the method for recording or analyzing EMG
24 activity. Interestingly, EMG responses were documented at significantly lower intensity
25 levels than HR or breathing responses. This suggests that one can get measurable EMG, and

1 therefore somatic afferent A β fiber activation at lower intensities than those producing heart
2 rate changes (B-fibers) or breathing changes (A δ and C fibers). This has implications for the
3 use of vagal evoked potentials, evoked cortical activity or fMRI changes for measuring
4 afferent vagal activation and optimizing VNS-based neuroplasticity paradigms (44), as part of
5 those cortical responses could reflect “myogenic” sources. Finally, it is known that laryngeal
6 EMG is evoked first by activation of fibers of the recurrent laryngeal nerve, located inside
7 the cuff, and eventually by activation of the superior laryngeal branch located outside the cuff
8 through current leakage (45, 46). Even though measures were taken to provide additional
9 insulation to the neural interface in our experiment, it is likely that the linearly increasing
10 evoked EMG results from co-activation of hypoglossal nerve and pharyngeal branch fibers by
11 leaking current, especially at high stimulation intensities.

12 We found that B-fiber activation by VNS is related to HR drop (Fig. 4B, E), in agreement
13 with findings in other animal studies (37, 38, 47). Indeed, the vagus innervates the sinoatrial
14 and the atrioventricular nodes, with negative chronotropic and dromotropic effects,
15 respectively (48-50). Studies in humans suggest that bradycardia is elicited by increasing
16 VNS intensity or pulse width, both consistent with B-fiber activation (51). The relationship
17 between B-fiber activation and HR drop is not linear, but exponential (Fig. 4B, E). This
18 suggests that fiber types with higher activation thresholds, like C-fibers (Fig. 3B, C) may
19 contribute to the cardio-inhibitory effect of VNS beyond maximum activation of B-fibers.
20 Bradycardia can indeed be induced by selective stimulation of efferent C- fibers (52, 53),
21 whereas activation of afferent fibers, probably A- and C-type, can decrease HR by centrally
22 enhancing parasympathetic efferent outflow and reducing sympathetic efferent outflow (47).
23 Finally, optogenetic activation of vagal A- and C-type afferent fibers caused bradycardia (31).
24 In our study, quantifying the B-fiber response was challenging because its amplitude was
25 small and its latency was short, in some cases neighboring the A-fiber response. For these

1 reasons, we sometimes had to measure the B-components in eCAPs manually and that could
2 be partially responsible for the somewhat lower estimation accuracy of the B-fiber model
3 (Fig. 6D, E, F).

4 We analyzed the effects of VNS on breathing and quantified their relationship to A- and C-
5 fiber activation. C-fiber amplitude correlates strongly with breathing changes: weak C-fiber
6 activation was associated with slower breathing during VNS, whereas strong C-fiber
7 activation with apnea (Fig. 5A and 5B). C-fibers were engaged at relatively large charge
8 injections (Fig. 4F), reflected in the coefficient assigned to charge per phase in the C-fiber
9 model (Table I). A-fibers were sometimes associated with breathing changes, but that
10 relationship was not as consistent: the amplitude of A-fiber activation during bradypnea was
11 significantly greater compared to lack of breathing response (Fig. 5B). Our findings are
12 consistent with the known role of afferent A- and C-fibers in the neural regulation of
13 breathing (54, 55). Stimulation of A-fibers leads to a decrease in breathing rate through
14 inhibition of the central inspiratory drive (56), a response happening normally as part of the
15 Herring-Breuer reflex (57). Our recording and stimulation configuration minimized the
16 afferent component of evoked A-fiber activity, hence the lack of consistent relationship
17 between A-fibers and breathing changes. Similarly, stimulation of C-fibers leads to decrease
18 of tidal volume, increase of respiratory rate, constriction of airways, and defense reflex
19 associated with coughing (58). Fiber engagement in VNS with rectangular waveforms, like
20 those used in our study, follows a size principle (59) (Fig. 3): small stimulation intensities
21 and/or short pulse widths activate A-fibers and lead to moderate prolongation of the BI (Fig.
22 5B), whereas higher intensities and/or longer pulse widths are more likely to engage both A-
23 and C-fibers, resulting in a combined inhibitory effect on breathing and either greater
24 prolongation of the BI or apnea (Fig. 5B).

1 VNS configuration and parameter selection

2 In our study, we used monophasic pulses, as they result in shorter and simpler artifact shapes
3 and yield better artifact suppression for eCAPs. The monophasic design can also prevent the
4 confounding of the second phase acting as "cathodic" on the return electrode which might
5 initiate action potentials from a different point. Monophasic pulses are associated with
6 modestly lower thresholds for all fiber types (60). They are also not common in clinical
7 applications, for the purpose of charge-balancing and chronic neural interface safety. For
8 these reasons, and given the clinical necessity for biphasic pulses, it is likely that the
9 relationship between nerve fiber activation and non-invasive physiological measures in
10 humans will be more complex.

11 In terms of stimulation waveform, we used square pulses of different intensities and pulse
12 widths, that generally do not selectively engage fiber types; instead, fiber recruitment follows
13 a size principle: fiber with the largest diameter (A-type) are recruited first and those with the
14 smallest diameter (C-type) are recruited last. Several stimulation strategies, such as temporal
15 patterning (24), asymmetrical waveforms (61), have been used to reverse this order.
16 Furthermore, in large animals, multi-contact electrodes have been shown to elicit different
17 physiological responses depending on which fascicle was targeted (62). Some of these studies also
18 show good correlations between different fiber components and physiological responses (24),
19 implying that our model may not be relevant only to square pulses and the "default"
20 recruitment order, but may be generalizable to different stimulation parameters. In that sense,
21 it will be interesting to test the validity of our models under conditions of fiber type- or
22 fascicle-selective VNS.

23 The VNS trains used in the modeling part of our study had a fixed pulsing frequency of 30
24 Hz. Even though 30 Hz is common in preclinical and clinical studies, it is known that
25 pulsing frequency has a significant effect on physiological responses, both afferent (63) and

1 efferent (64). At the same time, it does not affect nerve responses to single pulses, due to lack
2 of temporal summation (Fig. S5, Supplementary Materials). That means that the fiber models,
3 as they were (Table I), would not translate to other frequencies. In order to make the models
4 generalizable to other frequencies, we computed formulas that re-scale the relevant
5 physiological responses to those observed at 30 Hz (Fig. 7 and Table II). These formulas rely
6 on responses observed during 10 s-long trains (or during the first 10 s of longer VNS trains).
7 Even though train durations <10 s are uncommon in experimental or clinical VNS studies, we
8 found that shorter trains had similar effects on the HR response (Fig. S6, Supplementary
9 Materials) but not on the BI response, which required train durations of at least 5-10 s (data
10 not shown).

11 Limitations

12 Our study has several limitations. First, the experiments were performed under isoflurane
13 anesthesia. It is unlikely that anesthesia affects eCAPs, as those depend on the excitability of
14 axons close to the stimulating electrode. However, it almost certainly affects the
15 physiological responses to VNS: isoflurane suppresses motor vagal activity to the heart (65)
16 and lungs (66), it suppresses afferent and efferent arms of the baroreflex (67) and is a potent
17 depressant of respiratory function (68). Therefore, it is likely that the coefficients of the
18 models compiled in this study will be different in awake subjects, or in subjects anesthetized
19 with different agents. It is also likely that the use of isoflurane in our study is partly
20 responsible for the relative absence of tachycardia responses to VNS, seen in other papers not
21 using isoflurane (69). For that reason, the B-fiber-bradycardia association may be less
22 obvious in situations where the vagal circuits involved in these responses are less affected by
23 anesthesia, or it may be more dependent on stimulation parameters. For example, smaller
24 intensities may produce tachycardia, due to activation of sympathetic vagal fiber or vagal-
25 sympathetic reflexes (69), whereas higher intensities may still produce bradycardia. Given

1 the noninvasive nature of the physiological measurements used in the models we propose,
2 future experiments in awake, behaving animals using a wide range of stimulation parameters
3 will be needed to address this source of variability.

4 Our analysis is based on the assumption that fiber engagement and eCAP amplitude are
5 linearly related. However, studies have shown that the distribution of nerve fibers is non-
6 uniform within the cervical vagus nerve, even in the relatively simple rodent nerves (70, 71).
7 Fibers that lie closer to the stimulating or recording electrode are easier to be excited or
8 contribute more heavily to the eCAP measurements; both effects are more prominent with
9 larger fibers. As the electrode in our study only directly interface a part of the nerve trunk,
10 there is a chance that some fibers contribute more than others to the eCAP signature or to the
11 physiological response, in a manner inversely proportional the location to those fibers relative
12 to the recording or stimulating electrode. This might inevitably lead to errors while
13 quantifying the relationship between eCAP-resolved fiber engagement and physiological
14 effects. These relationships were similar between bipolar and tripolar stimulating electrode
15 configurations (Fig. S10, Supplementary Materials), so the electrode geometry itself did not
16 appear to introduce a significant confounding factor to these models. It is noteworthy that,
17 even though the absolute error of the proposed models was 20-30 (for an output 0-100), the
18 relative error depends on the level of fiber recruitment: for a recruitment level of about 20%,
19 the median relative error would be 42% for A-fibers, 50% for B-fiber and 40% for C-fibers.

20 Several limitations are related to the choice of animal model (rat) which posed constrains on
21 the distance between the stimulating and recording sites (typically 5-6 mm). As the distance
22 was measured with a mm accuracy which introduces uncertainty around the exact latency
23 windows, in experiment, the latency window corresponding to each fiber type was defined on
24 the basis of the conduction velocity range for that fiber type (72), while taking into account
25 the actual, measured latency of the pre-eminent peak of the respective eCAP component. This

1 accounted essentially to a slight “fine-tuning” of the latency window for a fiber type to
2 encompass a clear eCAP component corresponding to that fiber type, when such a component
3 was present. This short distance also limits our ability to resolve activation of the several A-
4 fiber subtypes, each with different physiological functions and conduction velocities (72). At
5 this distance, the faster A-fibers, $A\alpha$ (motor efferent) and $A\beta$ (somatic sensory from laryngeal
6 muscles and ear), would have latencies around 100 μ s. With stimulus pulse widths over 100
7 μ s and a sampling period of 33 μ s, detecting these components was not feasible. The A-fiber
8 amplitude we measure likely encompasses slower A-subtypes, $A\gamma$ (motor efferents) and $A\delta$
9 (aortic baroreceptor afferents and lung stretch receptors), with expected latencies of 100-1000
10 μ s. The latencies of the A-fiber peaks in our measurements were within that range (Fig. S7,
11 Supplementary Materials). Amplitude measurements of slower A-subtypes and of B-fibers
12 may also confound each other, as those fiber types have overlapping conduction velocities;
13 moreover, activation of those fiber types has similar effects on heart rate (73). Despite the use
14 of a slightly slower-than-standard latency window for B-fibers and a peak-to-trough (rather
15 than trough-to-peak) method for measuring B-fiber amplitude (Fig. 2), which typically
16 shifted that measurement to a latency beyond the A-fiber range, it is likely that our
17 cardioinhibitory “B-fiber” model reflects to an extent activation of $A\delta$ fibers and the effects
18 of their activation.

19 Some of the issues with “blurring” amplitude estimates between different fiber types could be
20 addressed in a large animal, rather than a rodent, model in which the distance between the
21 stimulating and recording site can be significantly longer (15). It is likely that the resolution
22 of eCAP components at a more “expanded” temporal scale in the large animal model will
23 result in different, and more accurate, model coefficients. In addition, the relatively “simple”
24 anatomy of the vagus in rodents, with one or two fascicles, is different than the multi-
25 fascicular anatomy found in large animals and in humans (70). This fascicular organization of

1 the human cervical vagus will likely affect the coefficients of the models, as different
2 fascicles seem to contain populations of different fiber sub-types (70). Finally, given the lack
3 of a clinical, fully implantable recording vagus electrode, collecting detailed eCAP and
4 physiological measurements in humans outside of the operating room is currently not feasible;
5 intra-operative experimental sessions are a possibility but those would be limited in time and
6 will likely not generate enough data to train models that generalize well. For all those
7 reasons, documenting eCAPs and physiological effects of VNS in a representative large
8 animal model, like the swine (70), will be essential to understanding the clinical application
9 potential of our approach.

10 Applications and future works

11 The proposed modeling approach can potentially be leveraged as a tool to estimate fiber
12 activation in current and future therapeutic applications of VNS. All physiological parameters
13 used in the models can be non-invasively measured in humans: laryngeal EMG with
14 recording electrodes placed on the skin of the neck (41), HR with standard ECG techniques,
15 and BI with a respiratory belt. The physiological responses used in our models have all been
16 described in human VNS studies (74), even though they will certainly be quantitatively
17 different. The A-fiber estimate could be used to minimize off-site effects of VNS like voice
18 alteration, coughing and paresthesia (75). Estimation of B-fiber engagement by VNS could
19 facilitate the optimization of stimulation paradigms to treat heart failure (18) or cardiac
20 arrhythmias (76). Estimation of C-fiber engagement could be used as an index of therapeutic
21 effect in anti-inflammatory applications of VNS (17) Furthermore, estimation of vagal fiber
22 activation, done in real time, could be used in a closed-loop system for optimizing or
23 recalibrating a VNS therapy targeting a specific fiber type while minimizing activation of
24 other fiber types (77). Finally, patterns of estimated fiber activation could be used in

1 prospective clinical studies as predictors of other, more long-term physiological and clinical
2 effects of VNS.

3 Author contributions

4 YCC conceived and designed experiments, analyzed and interpreted experimental results, and
5 wrote the paper. MC conceived and designed experiments, analyzed and interpreted
6 experimental results, and wrote the paper. UA conceived, designed, and performed
7 experiments. AG and AD performed experiments. LR, LB, YAA, TDC, and TZ critically
8 reviewed the paper. SZ conceived and designed experiments, analyzed and interpreted
9 experimental results, and wrote the paper.

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17

18 Declaration of interests

19 SZ and YCC have a pending patent application with United Therapeutics Corporation that
20 includes aspects of the research presented in this paper. The other authors declare no conflict
21 of interest.
22

23 **Data and materials availability:** The data that support the findings of this study are
24 available from the corresponding author upon reasonable request.

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Code availability: The code used for the data analysis and modeling are can be cloned from <https://github.com/ychang3/VNS-Fiber-Engagement>.

Journal Pre-proof

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Figure Captions

Figure 1: Electrodes, sensors and physiological signals involved in the experiments. (A) Schematic of an anesthetized animal with the typical locations of vagus nerve cuff electrodes (stimulation: rostral, recording: caudal) and physiological sensors (green: nasal sensor; red: ECG sensors). (B) Representative effects of cervical VNS (top to bottom): cessation of breathing (apnea) in the nasal sensor, drop in heart rate in the ECG and evoked nerve potentials in the electroencephalogram (ENG), in response to a 10 s-long VNS train (30 Hz, 300 μ s pulses). (C) Individual sweeps of evoked nerve potentials aligned with the onset of stimulus pulse (grey traces), and stimulus-triggered average compound nerve action potentials (black trace), extracted from the ENG in panel B.

Figure 2: Quantification of nerve fiber activation by and physiological responses to VNS. Three VNS trains (300 pulses, 300 μ s pulse width, at 30 Hz) were delivered at 3 stimulus intensities (1, 4 and 10 times the neural threshold, NT, from top to bottom), and stimulus-evoked compound action potentials (eCAPs), heart rate and breathing responses were registered. (A) Average eCAP responses to single VNS pulses, after stimulus artifact suppression, for each of the 3 VNS intensities. Two eCAP traces shown, one from each of the recording contacts (black trace for proximal lead to the stimulating electrode, red line for the distal lead). Fiber-specific responses were measured as peak-to-trough amplitude of eCAP components occurring within specific latency windows: A-fiber (0.3ms - 1ms, red shaded area), B-fiber (0.9ms - 2.2ms, green area) and C-fiber (5.5ms - 16.7ms, yellow area); also shown is the window corresponding to stimulus-evoked EMG activity (2.5ms - 10ms, blue area), partially overlapping with the C-fiber window. Shown at the 10 \times NT (bottom) panel are the amplitudes of A-, B- and C-fiber activation (shown in red, green and orange vertical arrows, respectively, along with their values). The relative latency shift in the C-fiber response recorded by the 2 electrode leads (horizontal bar in bottom panel, 1.1 ms), indicates a slow-conducting neural source for this component. (B) Magnitude of stimulus-evoked EMG for the 3 VNS intensities (vertical black arrow) measured as peak-to-trough amplitude of the EMG component of the corresponding eCAPs shown in panel (A). The 2 eCAP traces (black and red) show no relative latency shift, indicating a non-neural source. (C) ECG and heart rate (HR, calculated with each cardiac cycle) traces before, during (grey area) and after delivery of the 3 VNS trains. The HR response (Δ HR) is calculated as the difference between the mean HR before and during VNS, normalized by HR before VNS, and its value is shown in each case. (D) Air flow and breathing interval (BI, calculated with each breathing event) before, during and after VNS. The BI response (Δ BI) is calculated as the difference between the mean BI before and during VNS, and its value is shown in each case.

Figure 3: Nerve fiber activation and physiological responses with increasing stimulus intensity. Data are from the same subject in which VNS was delivered in trains of 300 pulses, 100 μ s pulse width, at 30 Hz. (A) Amplitude of A-fibers (left panel) and magnitude of stimulus-evoked EMG (middle panel) plotted as a function of stimulus intensity ("capture curves"), in units of neural threshold (NT). Plotting the same data as A-fiber vs. EMG pairs reveals a linear relationship (right panel). (B) Capture curves of B-fibers (left) and heart rate responses (Δ HR,

middle), and exponential relationship between them (right). (C) Capture curves of C-fibers (left) and breathing interval responses (Δ BI, middle), and exponential relationship between them (right). Note that C-fiber and Δ BI responses are captured at higher intensities.

Figure 4: Relationships between nerve fiber activation and physiological responses. (A) Relationship between A-fiber amplitude and magnitude of stimulus-evoked EMG, in each of 10 subjects. Each dot represents an A-fiber vs. EMG measurement pair from a single VNS train. Colors represent different animals, and each curve represents the best linear fit for the data from that animal. (B) Relationship between B-fiber amplitude and magnitude of the heart rate response (Δ HR). Individual curves represent single exponential fits. (C) Relationship between C-fiber amplitude and magnitude of the breathing interval response (Δ BI). (D) Same data as in panel (A), but after each data pair was normalized to the maximum values registered in the corresponding animal. Color represents relative charge per phase (stimulus intensity in units of neural threshold (NT) \times pulse width in μ s), ranging from $0.5 \times$ NT at 100μ s (blue) to $10 \times$ NT at 600μ s (yellow). Curve represents a linear fit model. (E) Similar as (D), but for normalized values of B-fiber activation and Δ HR response. Curve represents a single exponential fit model. (F) Similar as (D), but for normalized values of C-fiber activation and Δ BI response. Curve represents a single exponential fit model. (G) Normalized root mean square errors (NRMSE) for each of the individual fits shown in panels (A) (A-fiber amp. vs. EMG), (B) (B-fiber amp. vs. Δ HR) and (C) (C-fiber amp. vs. Δ BI). Single dots represent the NRMSE associated to each subject for the three models. Barplots report the median and the interquartile range of all NRMSE values within each model.

Figure 5: A- and C-fiber activation associated with breathing responses. (A) Example average eCAP traces from the two recording electrode contacts (solid black from proximal, dashed grey from distal lead) and corresponding breathing response, in a case of bradypnea (left panels) and apnea (right panels). (B) Scatter plot of pairs of A-fiber vs. C-fiber amplitudes recorded in 10 subjects, color-coded by breathing response group: apnea (red dots), bradypnea (green dots) and no effect in breathing (blue dots). Fiber amplitudes are normalized to the maximum value registered in each subject. Stars represent the center of the 2-D distributions for each of the 3 breathing response groups, and boxplots represent the median and interquartile range of A- and C-type fiber amplitudes for each of the 3 groups (*: $p < 0.01$ Kruskal Wallis test).

Figure 6: Performance of models to estimate A-, B and C-fiber activation. (A) RMSE of the A-fiber model for both train and test sets. Bars represent median RMSE and error bars the interquartile range. The horizontal dashed line indicates chance level, as computed by a permutation test. (D) All actual (measured) A-fiber activation percentage and corresponding estimated using the final A-fiber model from Table I. (B and E) Same as (A and D) but for B-fiber model. (C and F) Same as before, but for C-fiber model.

Figure 7: Scaling of physiological responses with pulsing frequency. (A) Dependence of the heart rate response (ΔHR) on pulsing frequency. Individual points and error bars represent the average and standard error, respectively, of ΔHR responses to VNS trains of a given pulsing frequency with different amplitudes and pulse widths, across 5 animals. Dash line represents the fit line using a 2-term exponential model. (B) Same as in panel (A), but for the breathing interval response (ΔBI). (C) Graphical representation and mathematical equation of the “frequency gain” model for ΔHR and ΔBI , with “unity gain” corresponding to the responses at 30 Hz.

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Table Captions:

Table I. Significant coefficients of the linear and quadratic terms in each of the models for estimating fiber activation, according to the general form of Eq. (1).

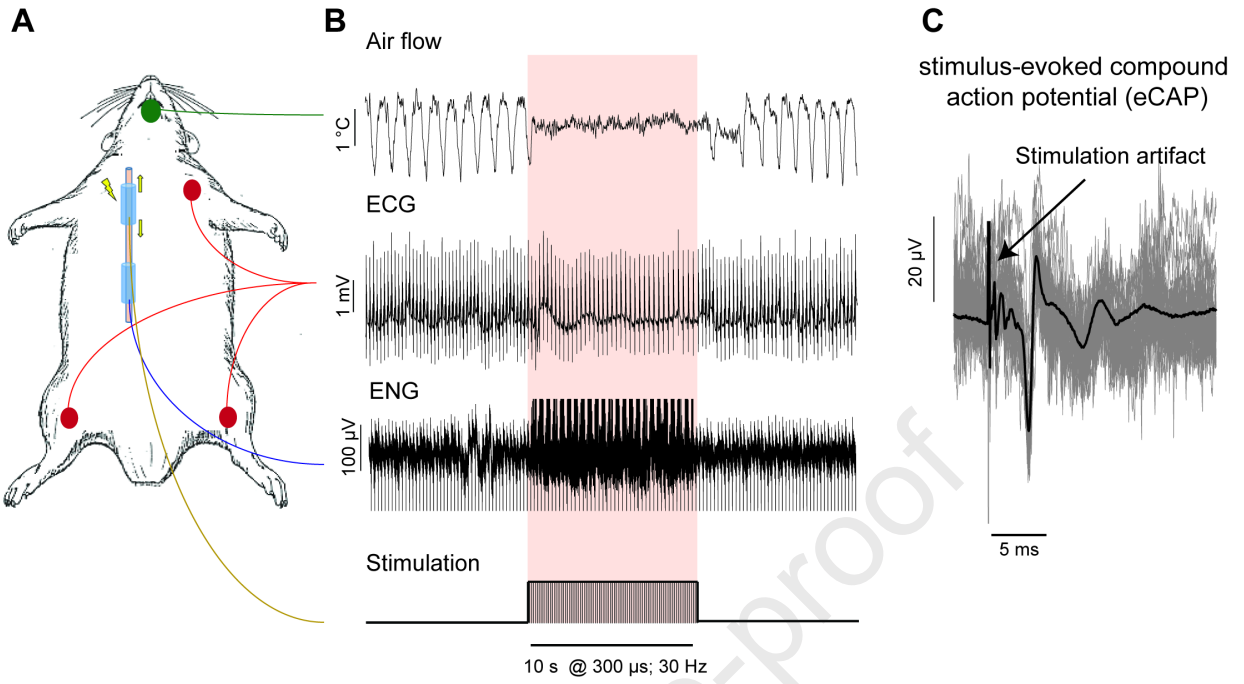
Table II: Coefficients of the nonlinear 2-term asymptotic exponential function for each of the 2 physiological responses (ΔHR and ΔBI), that allow calculation of the “frequency gain” in Eq. (2).

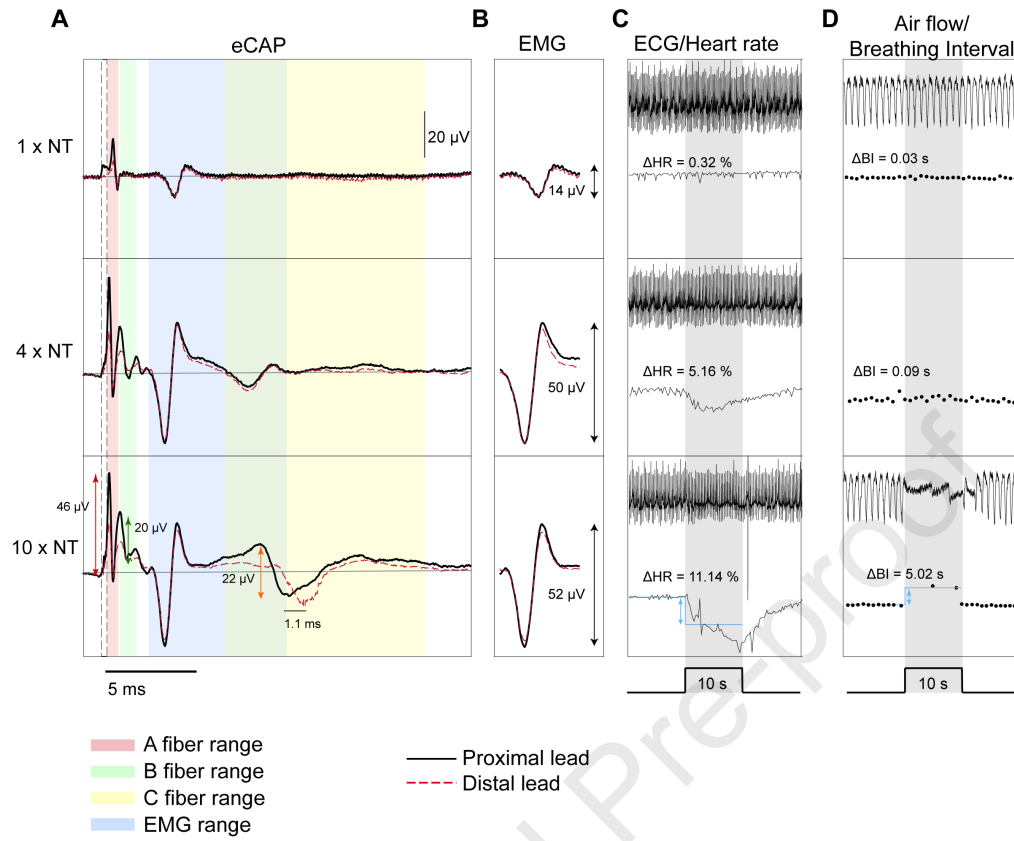
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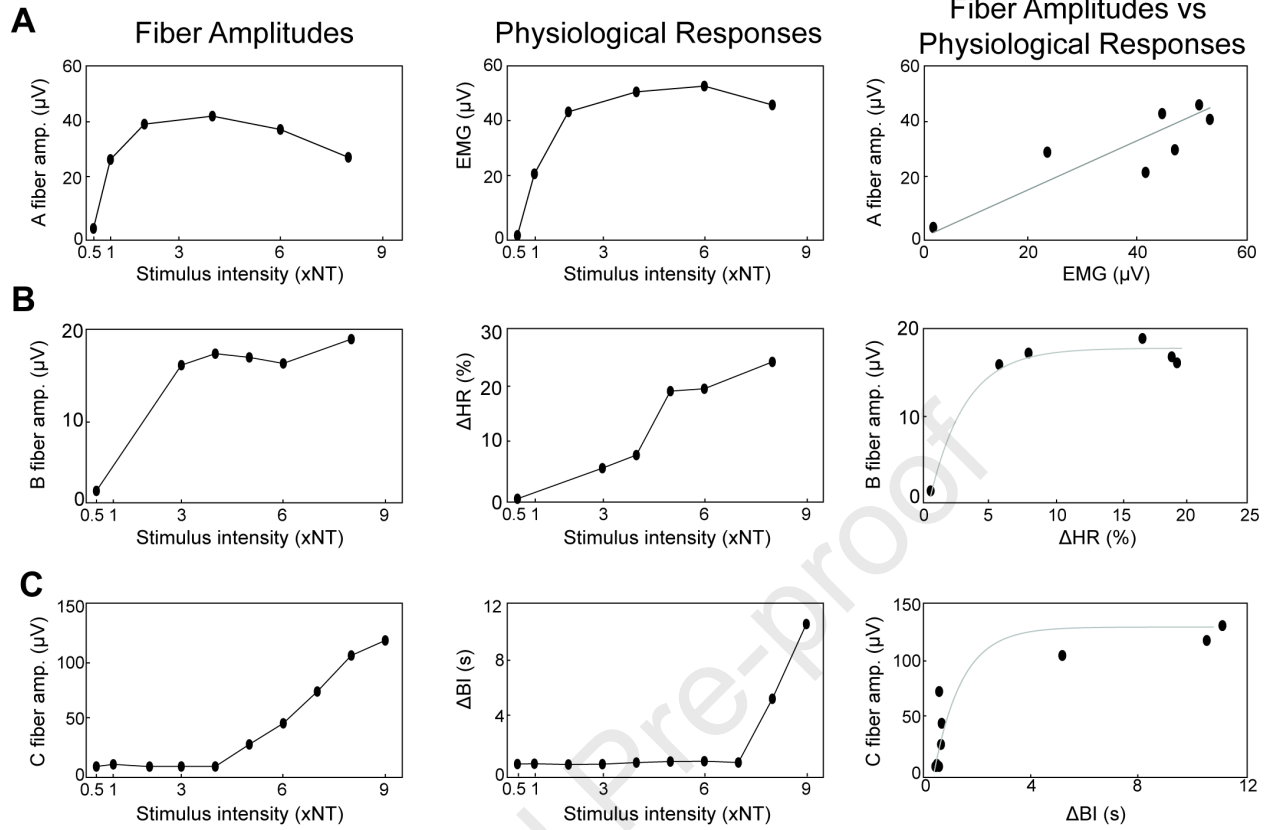
Model	Q	EMG	ΔHR	ΔBI	Q^2	EMG^2	ΔHR²	ΔBI²
A-fiber %	-	88.31	-	4.15	-	-21.98	-	-
B-fiber %	-	86.94	2.87	6.52	-	-34.66	-0.042	-
C-fiber %	0.017	-24.29	-	6.11	-	-	-	-

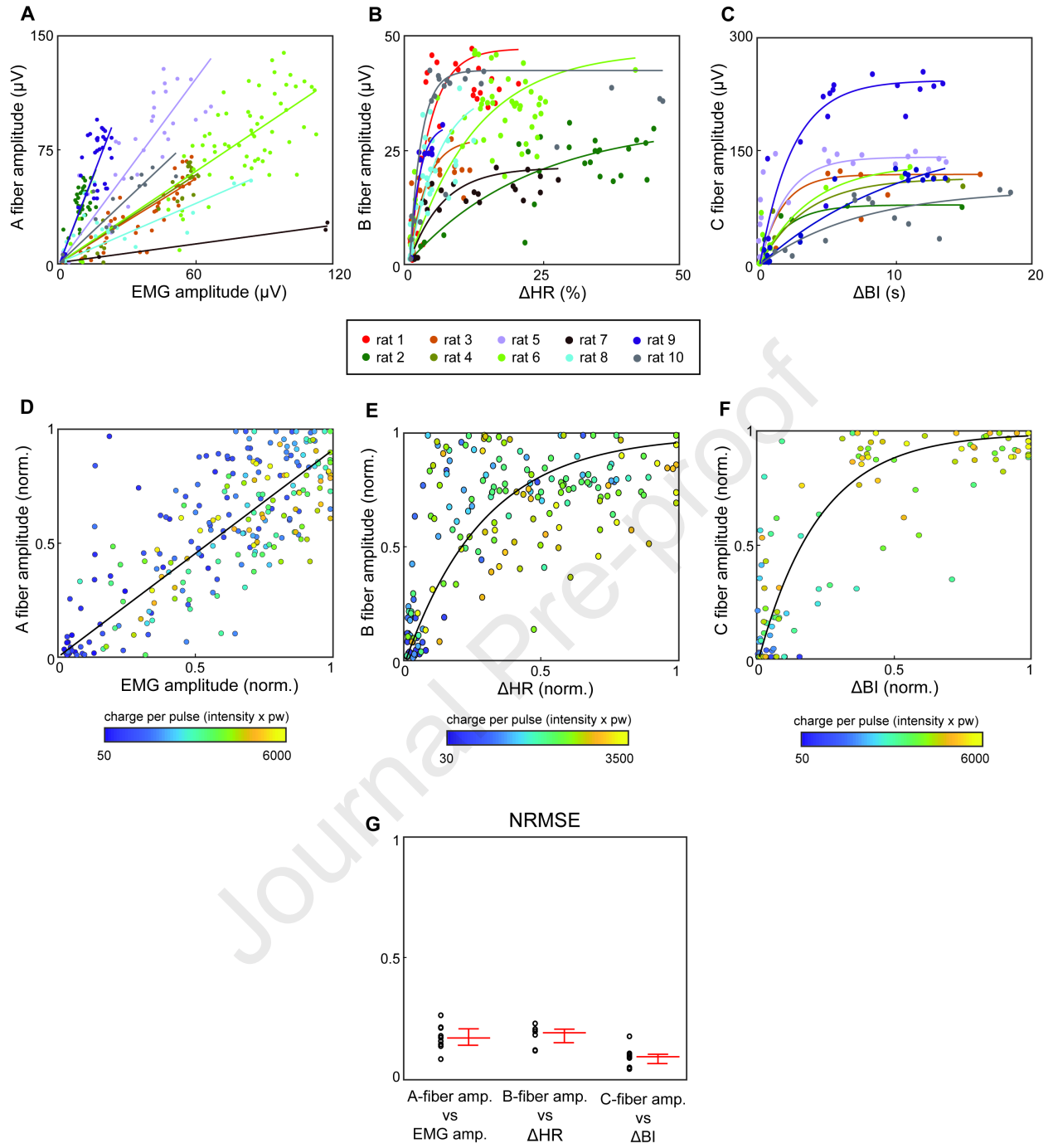
Model	b_0	b_1	τ_1	b_2	τ_2
$\Delta HR(f)$	0.8298	-37.1404	62.9058	36.1449	67.8152
$\Delta BI(f)$	8.7648	-1.3683	12.9306	-7.6528	10189

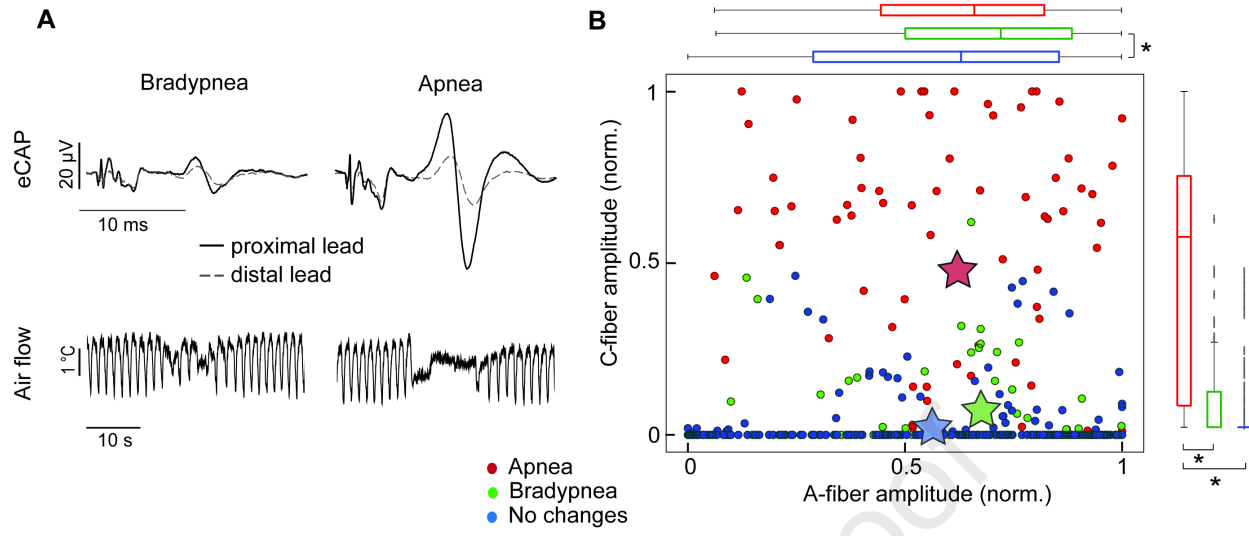
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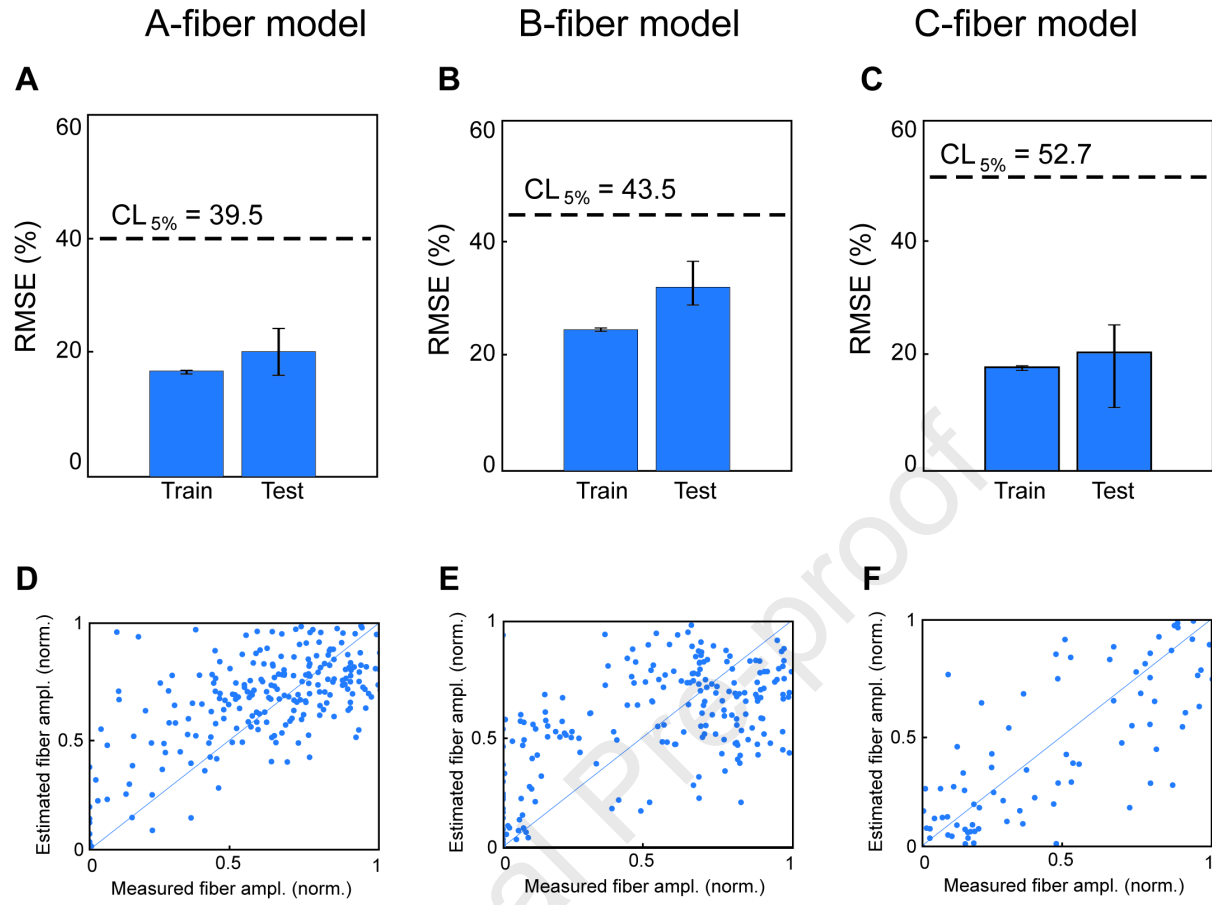


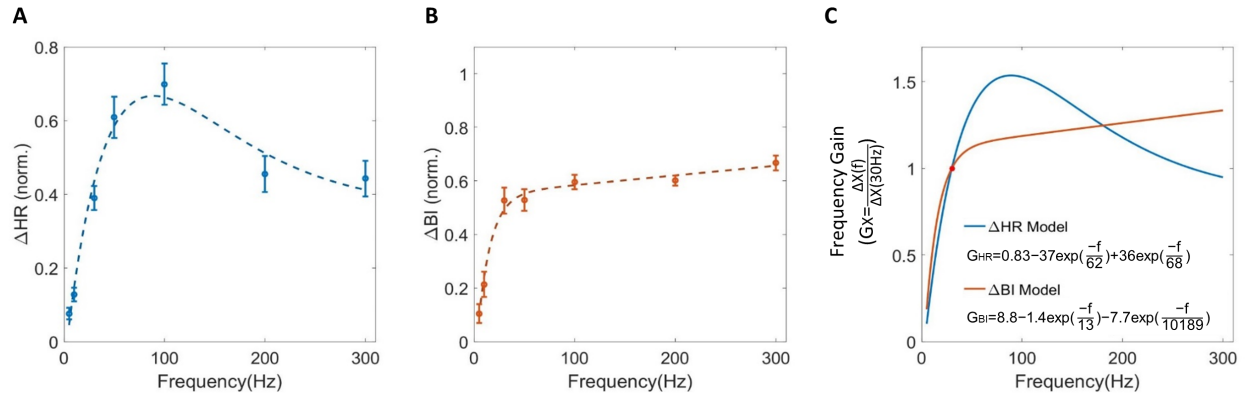












Highlights

- Strong correlations are documented between fiber engagement and noninvasively obtainable physiological responses to VNS: laryngeal EMG with A fibers, change in heart rate with B fibers and change in breathing interval with C-fibers.
- Fiber engagement is quantitatively estimated by quadratic models using those physiological markers and stimulation parameters.
- Frequency gain models expand the capacity of those models to a wide range of VNS pulsing frequencies.
- Such models, after calibration in humans, could provide noninvasive estimation of fiber engagement to guide VNS therapy calibration and monitoring.

AUTHOR DECLARATION

We wish to draw the attention of the Editor to the following facts which may be considered as potential conflicts of interest and to significant financial contributions to this work. A U.S. provisional patent application for "Methods and devices for vagus nerve stimulation" (080618-1900) has been submitted in March 2020, that includes parts of the data presented in this paper.

We confirm that the manuscript has been read and approved by all named authors and that there are no other persons who satisfied the criteria for authorship but are not listed. We further confirm that the order of authors listed in the manuscript has been approved by all of us.

We confirm that we have given due consideration to the protection of intellectual property associated with this work and that there are no impediments to publication, including the timing of publication, with respect to intellectual property. In so doing we confirm that we have followed the regulations of our institutions concerning intellectual property.

We further confirm that any aspect of the work covered in this manuscript that has involved either experimental animals has been conducted with the ethical approval of all relevant bodies and that such approvals are acknowledged within the manuscript.

We understand that the Corresponding Author is the sole contact for the Editorial process (including Editorial Manager and direct communications with the office). He is responsible for communicating with the other author about progress, submissions of revisions and final approval of proofs. We confirm that we have provided a current, correct email address which is accessible by the Corresponding Author and which has been configured to accept email from szanos@northwell.edu

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