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This is the **accepted version** of the journal article:

Soto-Retes, Lorena [et al.]. «Parasympathetic nervous system : A key role in control and mood disorders in patients with asthma». *Annals of Allergy, Asthma and Immunology*, Vol. 133 Núm. 4 (October 2024), p. 430-436. DOI 10.1016/j.anai.2024.07.022

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# **Parasympathetic nervous system: a key role in control and mood disorders in patients with asthma**

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**Conflicts of interest:** the authors declare that there is no conflict of interests regarding the publication of this paper.

**Funding Source:** Proyectos Integrados de Investigación de Asma (PII-Asma) through Sociedad Española de Neumología y Cirugía Torácica (SEPAR).

**Keywords:** autonomic nervous system, uncontrolled asthma, severe asthma, depression, anxiety, heart rate variability.

### **Abbreviations/Acronyms**

ACT, Asthma Control Test; ANOVA, analysis of variance; ANS, autonomic nervous system; BMI, body mass index; ELISA, enzyme-linked immunosorbent assay; ECG, electrocardiogram; FeNO, fraction of exhaled nitric oxide; FEV<sub>1</sub>, forced expiratory volume in the first second; FVC, forced vital capacity; HADS, Hospital Anxiety and Depression Scale; HF, high frequency; HFP, high-frequency power; HRV, heart rate variability; IgE, immunoglobulin E; LABA, long-acting beta2 agonist; LAMA, Long-acting muscarinic antagonists; LF, low frequency; MiniAQLQ, Asthma Quality of Life Questionnaire (short version); NN, normal-to-normal; PANS, parasympathetic autonomic nervous system; PLF, low-frequency power; PLF<sub>nr</sub>, non-respiratory-related HRV power; pNN50, percentage of NN intervals greater than 50 ms; Pr, respiratory-related HRV power; QoL, quality of life; RMSSD, root mean square of successive differences; RR, respiratory rate; SABA, Short-acting beta-2 agonists; SD, Standard Deviation; SDNN, standard deviation of the difference between consecutive NN intervals; SNS, sympathetic nervous system; TP, total power.

**Word Count: 3648.**

**Figures: none.**

**Tables: 5**

## 1 INTRODUCTION

2 The important role played by the autonomic nervous system (ANS) in asthma  
3 pathophysiology and symptomatology has long been known.<sup>1</sup> In addition to  
4 regulating important airway functions, such as bronchial smooth muscle tone,  
5 secretions, blood flow, and microvascular permeability, the ANS also intervenes  
6 in the migration and release of inflammatory mediators.<sup>2-5</sup> Inflammatory  
7 phenotypes in asthma can usually be distinguished based on the presence of  
8 eosinophils or neutrophils, using non-invasive procedures such as exhaled nitric  
9 oxide and induced sputum.<sup>6</sup> However bronchoconstriction is not always mediated  
10 by bronchial inflammation, as evidenced by a significant proportion of patients  
11 with asthma (40%) in whom bronchial inflammation is not detected.<sup>7,8</sup> However,  
12 it is suspected that bronchoconstriction may be caused by strictly airway  
13 diameter-related mechanical mechanisms induced by nerve stimulation (the  
14 cholinergic reflex).<sup>9</sup> This complex interaction between inflammation and neuronal  
15 airway control, with effects on inflammatory mediators in neurotransmitters,  
16 modulates the inflammatory response (hypersecretion, edema, and the release  
17 of pro-inflammatory mediators such as mast cells)<sup>3</sup> by activating the cholinergic  
18 reflex.<sup>4,5</sup>

19 Evidence-based literature refers specifically to mental and emotional health in  
20 people with severe asthma.<sup>10</sup> Anxiety and depression are 1.5-2.4 times more  
21 common in people with asthma than in people without asthma,<sup>11,12</sup> and the  
22 impact is even greater in people with severe or uncontrolled asthma.<sup>13,14</sup> Anxiety  
23 and depression, which often occur together, affect a person's ability to function  
24 and are associated with various behavioural, cognitive, and physiological  
25 changes.<sup>15</sup> There is growing awareness of the shared relationship between

26 mental health and asthma course, as both interact directly on the pathogenic  
27 mechanisms of the respiratory tract and affect the appearance and evolution of  
28 asthma.<sup>10,15</sup> Although the relationship is not fully understood, anxiety and  
29 depression can negatively affect asthma course, which could be related to the  
30 overlap in autonomic mechanisms that appear to play a role in asthma are also  
31 involved in activation and regulation of the physiological response to emotional  
32 disorders related to asthma.<sup>16,17</sup>

33 Decreased heart rate variability (HRV), a neurobiological marker of the autonomic  
34 nervous system (ANS), is associated with a variety of negative physical and  
35 psychological outcomes.<sup>18</sup> Given that individuals with asthma tend to have a  
36 dysregulated heart rate compared to individuals without asthma, some authors  
37 suggest that autonomic control of airway calibre in asthma may be accompanied  
38 by a change in heart rhythm, suggesting altered activity of the parasympathetic  
39 ANS (PANS).<sup>19-21</sup> In fact, variations in PANS activity and HRV have been  
40 observed in children with asthma and allergy, with the baseline parasympathetic  
41 tone associated with altered HRV.<sup>22</sup>

42 Mood disorders, including depression and anxiety, are prevalent psychiatric  
43 disorders and a common comorbidity in people with asthma,<sup>15</sup> and their impact  
44 on psychophysiological markers of health and wellbeing, such as HRV, has been  
45 documented.<sup>23</sup> The mechanism underlying the relationship between physical and  
46 mental health may, in part, be related to impaired vagus nerve activity, leading to  
47 dysregulation of inflammatory processes.<sup>24</sup>

48 Non-invasive PANS is evaluated via HRV according to measurement,  
49 physiological interpretation, and clinical use standards as described in guidelines  
50 of the working group of the European and American Society of Cardiology and

51 Electrophysiology, which recommends measuring HRV with the  
52 electrocardiogram (ECG) as a means for non-invasively evaluating the PANS.<sup>18</sup>  
53 Because publications are few and yield different results, we aimed to  
54 comprehensively evaluate the role played by activation of the PANS in  
55 uncontrolled asthma and related mood disorders (specifically anxiety and  
56 depression). We hypothesize that ANS dysregulation, and particularly PANS  
57 dysregulation, plays a role in both uncontrolled asthma and mood disorders.  
58 Although studies have evaluated the association of both disorders separately, to  
59 our knowledge, no study has comprehensively related whether greater anxiety  
60 and/or depression leads to worse asthma control or vice versa objectively by  
61 analysing the PANS.

## 62 **Methods**

### 63 *Study population*

64 A proof-of-concept cross-sectional study was conducted to assess the PANS in  
65 relation to uncontrolled asthma, anxiety, and depression.

66 Forty-two patients diagnosed with asthma were recruited from the pneumology  
67 and allergy outpatient's clinic at the Hospital Santa Creu i Sant Pau, Barcelona  
68 (Spain). Twelve declined to participate and 30 agreed to be included. All 30  
69 patients complied with the inclusion and exclusion criteria. Inclusion criteria were  
70 age  $\geq 18$  years, and an asthma diagnosis based on Spanish asthma guidelines  
71 (GEMA)<sup>25</sup> and *Global Initiative for Asthma* (GINA) criteria.<sup>26</sup> Exclusion criteria  
72 were upper respiratory tract infection or asthma exacerbation within the previous  
73 4 weeks, concomitant respiratory disease (bronchiectasis, fibrosis, etc), and any  
74 other major comorbidity (according to investigator criteria), such as diabetes,

75 psychiatric or neurological disease, and systemic inflammatory or immunological  
76 disease.

77 The research complied with the principles of the Declaration of Helsinki (18th  
78 World Medical Assembly, 1964) and was approved by the Hospital Santa Creu i  
79 Sant Pau Hospital Clinical Research Ethics Committee (NTC02836691).

#### 80 *Clinical assessment*

81 Patients were informed about the purposes of the study and signed their informed  
82 consent before inclusion. The 30 patients meeting the inclusion criteria attended  
83 a single visit for ECG measurement of HRV. All asthma medications could be  
84 used, but short acting beta - 2 agonist (SABA) use had to be avoided at least 6  
85 hours before. Patients completed specific asthma and anxiety-depression  
86 questionnaires, and demographic and clinical data collected included data on  
87 asthma severity, asthma control, lung function, and inflammatory cells in induced  
88 sputum, and mental and emotional health (specifically depression and anxiety).

#### 89 *Heart rate variability measurement*

90 HRV analysis has been widely used for non-invasive ANS characterization.<sup>18</sup>  
91 Traditionally, a distinction has been made between analysis in the time and  
92 frequency domains, each with advantages and disadvantages. In this study, both  
93 domain types were considered.<sup>27</sup> Measurements were conducted with  
94 participants seated and motionless: they were asked to breathe naturally and  
95 avoid talking during recording, and following a 2-minute stabilization period, they  
96 were recorded for 10 minutes. Time-domain analysis was based on calculating  
97 different statistics from the HRV signal, which, in our study, were the following:  
98 the normal-to-normal (NN) interval; the time between consecutive beats (a

99 measure of the average heart rate); SDNN, standard deviation of the difference  
100 between consecutive NN intervals (a global measure of HRV); RMSSD, root  
101 mean square of successive differences (a measure of short-term variability  
102 reflecting parasympathetic regulation); and pNN50, the percentage of  
103 consecutive NN intervals that differ by more than 50 ms (a widely used HRV  
104 measure).<sup>18</sup>

105 The resting HRV spectrum is characterized by 2 main components: a high-  
106 frequency (HF) component in the 0.15-0.4 Hz band, and a low-frequency (LF)  
107 component in the 0.04-0.15 Hz band. While the HF band has been related to  
108 parasympathetic activity, the LF band has been related to both sympathetic and  
109 parasympathetic activity, so the power in each of the bands is related to different  
110 ANS branches. The following parameters were considered: PLF, PHF, and TP,  
111 i.e., LF power, related to both sympathetic and parasympathetic activity, HF  
112 power, mainly related to parasympathetic activity, and total power (i.e., PLF and  
113 PHF summed), respectively.<sup>21,28</sup>

114 In the frequency domain, when the respiratory rate (RR) is low, HRV analysis is  
115 compromised. This is because the information contained in the HF band is mainly  
116 related to respiration, so if the RR is so low as to be contained within the limits of  
117 the LF band, the HF band ends up empty, and consequently, physiological  
118 interpretation according to traditional measures is not feasible. One way to  
119 overcome this problem is to use orthogonal sub-space projection,<sup>27</sup> which  
120 combines respiratory signal and HRV information and separates the HRV part  
121 due to respiration from that due to other effects. From this decomposition, we  
122 obtained the following indices: PLF<sub>nr</sub>, non-respiratory-related HRV power; and  
123 Pr, respiratory-related HRV power.<sup>28</sup>

124 Generated through the ECG, those signals distinguish between the influence of  
125 the sympathetic ANS and the PANS.<sup>18</sup> This method, previously developed and  
126 studied by our team, has been adapted to patients with asthma using 12 leads, a  
127 respiratory band, and a pulse oximeter. Encephalan-EEGR-19/26 (Medicom)  
128 software was used for recording over 10 minutes and registration.<sup>28</sup>

#### 129 *Clinical variables, atopic status, lung function, and inflammatory tests*

130 Collected data were as follows: demographic and anthropometric data; smoking  
131 status; forced expiratory volume in the first second (FEV<sub>1</sub>) and forced vital  
132 capacity (FVC),<sup>29,30</sup> asthma severity (according to GEMA<sup>25</sup> and GINA<sup>26</sup>); and  
133 fraction of exhaled nitric oxide (FeNO) (chemiluminescence sensor N-6008R SIR;  
134 Madrid, Spain).<sup>31,32</sup> Atopic status was determined using skin prick tests for  
135 common aeroallergens such as dust mites, grass pollen, animal dander, and  
136 common fungi (Leti Pharma, Madrid, Spain),<sup>33</sup> with positivity defined as the  
137 presence on at least 1 weal  $\geq 3$  mm.

#### 138 *Induced sputum*

139 Cell count was analysed by microscopy following the method described by Belda  
140 et al.<sup>34</sup> and Pin et al.<sup>35</sup> Patients were classified by bronchial inflammatory  
141 phenotype according to European Respiratory Society recommendations, as  
142 follows: paucigranulocytic (eosinophils <3%, neutrophils <65%), neutrophilic  
143 (eosinophils <3%, neutrophils  $\geq 65\%$ ), eosinophilic (eosinophils  $\geq 3\%$ , neutrophils  
144 <65%), and mixed (eosinophils  $\geq 3\%$ , neutrophils  $\geq 65\%$ ).<sup>36</sup>

#### 145 *Questionnaires*

146 To establish clinical asthma control level, a validated Spanish version of the  
147 Asthma Control Test (ACT) questionnaire was administered,<sup>37</sup> patients

148 completed the ACT, which comprises five questions to assess activity limitation,  
149 shortness of breath, nighttime symptoms, use of rescue medication, and patient  
150 overall rating of asthma control over the previous 4 weeks. The questions are  
151 scored from 1 (worst) to 5 (best), and the ACT score is the sum of the responses,  
152 giving a maximum best score of 25. An ACT score of 19 or less is the cutoff point  
153 defining uncontrolled asthma. To evaluate quality of life (QoL), a validated  
154 Spanish version of the short version of the Asthma Quality of Life Questionnaire  
155 (MiniAQLQ) was administered,<sup>38,39</sup> includes 15 items divided into four  
156 dimensions: symptoms (5 items), activity limitation (4 items), emotional function  
157 (3 items), and environmental stimuli (3 items). The 15 items are scored on a  
158 seven-point Likert scale, with scores 1 to 7 corresponding to maximum limitation  
159 and absence of limitation (worst and best possible QoL), respectively. Finally,  
160 administered to assess anxiety-depression was the Hospital Anxiety and  
161 Depression Scale (HADS),<sup>40</sup> a 14-point self-assessment scale used to screen for  
162 clinically significant anxiety and depression (7 points each). Each item is rated on  
163 a 4-point scale: 0 indicating not at all; 1, sometimes; 2, often; and 3, all the time.  
164 This gives a maximum subscale score of 21 for anxiety and depression,  
165 respectively. We considered the HADS questionnaire because it is very simple  
166 and explores both anxiety and depression. In the validation of the questionnaire,  
167 a score greater than 7 (in the 2 subscales) has been found to define anxiety or  
168 depression.

#### 169 *Peripheral blood test*

170 Biological samples were collected (using BD-Vacutainer tubes) to determine  
171 complete blood count and total immunoglobulin E (IgE) by enzyme-linked  
172 immunosorbent assay (ELISA; UNICAP, Pharmacia, Uppsala, Sweden).

173 *Statistical analysis*

174 Descriptive baseline values were reported as percentages and frequencies for  
175 qualitative data, and as mean and standard deviation (SD) values for quantitative  
176 data. Severity groups were compared using analysis of variance (ANOVA). The  
177 non-parametric Kruskal-Wallis test was used for non-normally distributed  
178 quantitative variables, yielding median, minimum, and maximum values for each  
179 group. Multivariate analysis included possible confounding and/or interaction  
180 variables. Statistical significance was set to 5% ( $\alpha=0.05$ ) and SPSS (version 22.0)  
181 for Windows (SPSS, Inc., Chicago, IL, USA) was used for the statistical analysis.

182

183 **Results**

184 *Demographic and disease characteristics*

185 The study included 30 patients with asthma (53.3% women), mean (SD) age 49.4  
186 (12.8), 80% atopic, and 6.7% active smokers. Most had elevated type-2  
187 biomarkers at baseline, and mean eosinophils and FeNO were 311 cells/mL and  
188 45 ppb. Baseline demographics and disease characteristics are reported in  
189 Table 1.

190 *Asthma control and HRV*

191 Ten patients with uncontrolled asthma ( $ACT \leq 19$ ) were predominantly female  
192 (70%) and overweight (mean (SD) body mass index (BMI) 30 (4.6) vs 26 (3),  
193  $p=0.02$ ), and all required combination inhalers with a long-acting beta2 agonists  
194 (LABAs), long-acting muscarinic antagonists (LAMAs), and SABAs ( $p \leq 0.05$ ).  
195 Compared to patients with controlled asthma, these 10 patients also had poorer  
196 lung function ( $FEV_1$  1.9L [0.4L] vs 3L [0.8L];  $FEV_1$  72% [18%] vs 92% [8.5%];

197 FEV<sub>1</sub>/FVC 60.3% [13%] vs 69.9% [9.5%]), poorer QoL (MiniAQLQ 4.4 [1.2] vs  
198 6.2 [0.8]), and experienced greater mood disorders (HADS 14.4 [7.8] vs 7.5 [9.1])  
199 ( $p \leq 0.05$ ) (Table 2). The 10 patients with uncontrolled asthma also had  
200 significantly lower scores for SDNN (26.5 [8.2] vs 42.7 [29.7],  $p=0.03$ ), RMSSD  
201 (14 [6] vs 24 [20],  $p=0.05$ ), pNN50 (0.6 [1.5] vs 6.2 [11.8],  $p=0.05$ ), TP (0.0005 vs  
202 0.0014,  $p=0.02$ ), and Pr (0.0003 vs 0.0007,  $p=0.01$ ) (Table 3).

### 203 *Asthma, mood disorders, and HRV*

204 Regarding the classification according to mood disorder severity, 13 patients had  
205 borderline or clinically problematic HADS  $\geq 8$  (Table 4). Compared to patients  
206 without depression-anxiety, patients at risk for depression-anxiety were  
207 predominantly overweight (BMI 29.6 [4.8] vs 25.9 [2.4],  $p=0.02$ ). These patients  
208 needed combination inhalers with LABA (100%) ( $p \leq 0.05$ ); differences due to  
209 LAMA and SABA use were non-significant (76.9% vs 52.9%,  $p=0.1$ ; 84.6% vs  
210 41.1%,  $p=0.1$ ). These patients also presented greater airway obstruction (FEV<sub>1</sub>  
211 2.2L [0.79L] vs 3.09L [0.79L],  $p=0.001$ ; FEV<sub>1</sub> 77.6% [19%] vs 91.8% [6.5%],  
212  $p=0.02$ ; FEV<sub>1</sub>/FVC (60% [13%] vs 71% [7%],  $p=0.01$ ), lower ACT scores (18 [3.8]  
213 vs 23 [2],  $p=0.001$ ), and lower MiniAQLQ scores (4.8 [1.3] vs 6.3 [0.9],  $p=0.002$ ).  
214 Finally, they also had reduced SDNN (26.5 [7.9] vs 45.6 [31.3],  $p=0.04$ ), RMSSD  
215 (13.4 [6.5] vs 26 [20],  $p \leq 0.05$ ), pNN50 (0.75 [1.4] vs 7.12 [12.6],  $p=0.05$ ), TP  
216 (0.0005 vs 0.0012,  $p=0.02$ ), and Pr (0.0008 vs 0.0003,  $p=0.01$ ) (Table 5). Only 2  
217 patients with severe uncontrolled asthma were out of risk of mood disorders with  
218 the following clinical features, mean (SD): age 59 (10.6), one male; BMI 28 (2.8);  
219 both no smoker; both required combined LABA and LAMA treatment, and SABA  
220 use; FEV<sub>1</sub> 2.03L (0.24L); FEV<sub>1</sub> 89% (2.5); FEV<sub>1</sub>/FVC 65% (9.5); FeNO 100ppb  
221 (78.5); blood eosinophils 280 mm<sup>3</sup> (84); total immunoglobulin E 336 UI/ml (132),

222 eosinophils and neutrophils in induced sputum 17.5% (15.5) and 69 (10)  
223 respectively; ACT score 18.5 (0.5); MiniAQLQ score 4.1 (1); HADS 3 (1); SDNN  
224 and RMSSD 16.8 (20.8), pNN50 0.27 (0.39), TP 0.0007 (0.003), and Pr 0.0001  
225 (0.0007).

## 226 **Discussion**

227 Our main finding is that, compared to patients with controlled asthma, patients  
228 with poorly controlled asthma had poorer lung function, were overweight, had a  
229 poorer QoL, and a more depressed PANS.

230 We demonstrated that objective data obtained from HRV measurement could be  
231 a non-invasive means of discriminating uncontrolled from controlled asthma. We  
232 also found that depression-anxiety were associated with reduced HRV  
233 parameters in patients with poorer lung function. Our results suggest that the  
234 PANS pathway could play a role in asthma pathogenesis, given the alteration in  
235 PANS activity in patients with asthma, most especially in patients with  
236 uncontrolled asthma and depression-anxiety.

237 A strength of the study is that we used an algorithm to stratify patients with asthma  
238 (as described in our recent study<sup>28</sup>) that, in other studies, has performed well in  
239 analysing HRV.<sup>41-43</sup> The most important result was, for the uncontrolled asthma  
240 group compared to the controlled asthma group, a reduction detected in vagal  
241 components, i.e., in RMSSD, pNN50, Pr, and TP. This finding contributes to  
242 paediatric findings by Lufti et al.,<sup>44,45</sup> who reported that poor asthma control in  
243 children and adolescents was associated with depressed HRV modulations, and  
244 that patients with better ventilatory functions had better HRV than patients with  
245 uncontrolled severe asthma.

246 The reduction in HRV vagal components observed in patients with uncontrolled  
247 asthma would suggest that there is a complex relationship between inflammation  
248 and neural airway control. Regarding impaired autonomic control, it is known that  
249 changes in bronchomotor tone in asthma occur rapidly. Decades ago it was  
250 suggested that people with asthma may have abnormal autonomic neural airway  
251 control, with an imbalance between the excitatory and inhibitory pathways  
252 resulting in overly reactive airways.<sup>2</sup> However, other studies of severe asthma  
253 point to increased vagal dominance in response to autonomic challenge (deep  
254 breathing, the Valsalva manoeuvre, and standing up from the recumbent  
255 position) and during sleep.<sup>19,20,46</sup> Hence, it is possible that the PANS in patients  
256 with severe asthma may become depressed during inactivity or relaxation, with  
257 bronchoconstriction occurring when the vagal pathways are activated or  
258 overrespond to stimuli.<sup>47</sup>

259 Our patients with controlled asthma obtained better results for all PANS  
260 parameters, although statistically non-significant differences were found for  
261 PLFnr, which reflects the sympathetic branch. Likewise, patients at risk for  
262 depression-anxiety showed depressed PANS for all parameters, while no  
263 differences were found for PLFnr. Compared to patients with controlled asthma,  
264 patients with poor asthma control and obstructive spirometry ( $FEV_1 \leq 70\%$   
265 predicted) showed more depressed HRV, independently of inflammation as  
266 measured by FeNO, induced sputum, peripheral blood eosinophilia, or total IgE  
267 (Table 1). Note that, although mood disorders like depression-anxiety are  
268 inherent to patients with severe asthma,<sup>10,11,14-17</sup> a strength of our study is that  
269 the ANS results were objective, and so can complement information obtained

270 from self-administered questionnaires that are subjective and difficult to  
271 interpret.<sup>37-40</sup>

272 We found significant differences between the groups in terms of mood disorders  
273 as measured by the HADS questionnaire: patients with severe asthma with  
274 depression-anxiety had poorer lung function, poorer asthma control, poorer QoL,  
275 and a depressed PANS compared to patients not experiencing mood disorders.  
276 Note, however, that although patients with uncontrolled asthma are known to  
277 experience mood disorders,<sup>48</sup> in our study, depression-anxiety were related to  
278 PANS alteration, so the question remains as to whether depression-anxiety are  
279 a consequence or an independent comorbidity of severe uncontrolled asthma.

280 To date, several studies have been published on HRV and anxiety or depression  
281 disorders<sup>23,24,48</sup>. The reasons given for altered HRV in mood disorders, according  
282 to a model of neurovisceral integration, nerve fibers that moderate  
283 parasympathetic activity and inhibition of the vagus nerve, a dysregulation is  
284 related to pathologies such as diabetes type II, cardiac and neurodegenerative  
285 diseases, and depression.<sup>49-52</sup> This model of neurovisceral integration is also  
286 characterized by specific neural structures that allow people to respond  
287 adaptively to physiological, environmental, cognitive, and emotional influences.  
288 Therefore, a healthy cardiorespiratory system is characterized, in the cardiac  
289 period, by oscillations (high HRV), while an unhealthy cardiorespiratory system  
290 shows few oscillations (low HRV).<sup>24</sup> Which is related to our findings in this study.

291 All patients were on asthma medication, especially the patients with uncontrolled  
292 asthma that was so severe as to require more than one inhaler. Patients with  
293 asthma were being treated with LABAs in combination with inhaled  
294 corticosteroids and with LAMAs; those with mild and moderate asthma were only

295 on inhaled corticosteroids, without LABAs or LAMAs. SABAs were avoided in the  
296 hours prior to recording. While LABA or LAMA use might suggest that our results  
297 may have been influenced by those medications, the literature is not entirely clear  
298 as to LABA or LAMA influence on HRV, as contradictory results are reported. An  
299 HRV study of patients on LABA found that its use was associated with  
300 sympathetic nervous system (SNS) dominance,<sup>53</sup> while another study  
301 demonstrated that salbutamol was associated with decreased parasympathetic  
302 nervous system (PNS) and increased SNS activity.<sup>54</sup> Although the underlying  
303 mechanism is not entirely clear, it is possible that LABAs bind to  $\beta$ 2  
304 adrenoceptors at efferent sites in the cardiac SNS, or that the peripheral  
305 vasculature may directly stimulate SNS activity. Another more direct study of the  
306 potential effect of LABAs on HRV reports that there was no change in time-  
307 domain parameters (mean RR and SDRR) when fenoterol was administered  
308 immediately before and immediately after HRV analysis, which would suggest  
309 sympathetic activation.<sup>55</sup> However, studies in patients with asthma show that  
310 different LABAs have different effects on cardiac autonomic control. Thus,  
311 Eryonucu et al.<sup>56</sup> reported that fenoterol inhalation had no effect on sympathetic  
312 activation (mean RR and SDRR) in regularly treated patients, while Zahorska-  
313 Markiewicz et al.<sup>46</sup> showed that salbutamol and terbutaline tended to increase  
314 SNS parameters. Yao-Kuang Wu et al.,<sup>57</sup> who studied the effects of LAMA on  
315 HRV in patients with stable chronic obstructive pulmonary disease, found no  
316 significant change in HRV parameters other than a significant decrease in the HF  
317 component and increase in the LF component after 1 month of continued LAMA  
318 treatment, but not after 3 months. Overall, they found no change in HRV  
319 parameters that was of sufficient magnitude to explain the increased HRV.

320 However, since we found significant differences between patients with severe  
321 controlled asthma treated with LABAs or LAMAs and patients with uncontrolled  
322 asthma, we do not believe that LABAs or LAMAs had a direct effect on HRV  
323 results. Given the lack of clarity, nonetheless, further studies are needed of the  
324 pharmacological effects of LABAs or LAMAs and their influence on HRV  
325 outcomes in asthma.

326 The main limitations of our study are the small number of subjects and the lack  
327 of a control group, both typical features of proof-of-concept studies. Necessary to  
328 confirm our results is an extended study that includes more subjects, other  
329 physiological factors, and a control group. However, a study strength is that our  
330 asthma population is very well characterized, with objective evidence of asthma  
331 status (such as bronchodilator reversibility, lung function, inflammation  
332 biomarkers, and allergy status).

333 This study points to the potential role that the PANS may play in asthma control  
334 and its relationship with depression-anxiety. No study, as far as we are aware,  
335 has focused on that role of the PANS, despite the existence of studies addressing  
336 the ANS response to pharmacological intervention and bronchial provocation. In  
337 this sense, and if confirmed with other studies, it could underscore the  
338 pathophysiological role of the PNS in the control of asthma associated with  
339 depression-anxiety, justifying the development of future research to identify new  
340 pharmacological therapeutic targets in the parasympathetic system, even for the  
341 development of a potential complementary clinical tool, objective and non-  
342 invasive in specialist consultations focused on severe asthma, which could  
343 contribute to remote or continuous monitoring with wireless devices or mobile

344 applications, providing a comprehensive approach to the current ones for the  
345 evaluation of asthma control and mood disorders.

346 In conclusion, variables derived from the PANS show depressed HRV in patients  
347 with uncontrolled asthma and depression-anxiety, as compared to patients with  
348 controlled asthma and without mood disorders. PANS evaluation by analysing  
349 non-invasive cardiorespiratory parameters may be a useful means for, and  
350 contribute to, follow-up of asthma control and associated depression-anxiety.  
351 Further studies using HRV analysis are needed to be able to comprehensively  
352 evaluate the PANS in patients with uncontrolled asthma and depression-anxiety.

**Table 1.** Baseline demographics asthma characteristics.

<b>Variables</b>	<b>All sample n=30</b>	<b>Mild &amp; moderate asthma n=10</b>	<b>Severe asthma n=20</b>	<b>P</b>
<b>Demographic/clinical data</b>				
- Age, mean (SD), y	49.4 (12.8)	48 (10)	49.70 (14)	0.9
- Body Mass Index, mean (SD), kg/m <sup>2</sup>	27.5 (4)	27.2 (2.7)	30.2 (4.6)	<b>0.01</b>
- Female (%)	53.3	40	60	0.4
- Atopy (%)	80	90	75	0.5
- Active smoker (%)	6.7	10	5	0.6
- SABA use/week (%)	60	30	75	<b>0.002</b>
- Combined LABA treatment (%)	86.7	60	100	<b>0.007</b>
- Combined LAMA treatment (%)	66.7	0	100	<b>0.000</b>
- Asthma Control Test, mean (SD)	20.8 (3.9)	23 (1.7)	19.70 (4.2)	<b>0.000</b>
- MiniAQLQ, mean (SD)	5.6 (1.3)	6.6 (0.2)	5.1 (1.4)	<b>0.001</b>
- HADS, mean (SD)	9.83 (9.2)	7.8 (11.2)	10.8 (8.1)	0.1
<b>Pulmonary function</b>				
- FEV <sub>1</sub> , mean (SD), L	2.7 (0.8)	3.2 (0.83)	2.4 (0.8)	<b>0.001</b>
- Reference FEV <sub>1</sub> (%)	85.7 (15)	95.6 (9.7)	80.7 (15.4)	<b>0.001</b>
- FEV <sub>1</sub> /FVC (%)	66.7 (11.6)	74.7 (6.3)	62.7 (11.7)	<b>0.01</b>
- FeNO, mean (SD), ppb	45.8 (49.1)	26.3 (13.3)	55.6 (57.4)	0.1
<b>Laboratory</b>				
- Blood eosinophils, mean (SD) mm <sup>3</sup>	311 (171)	289 (95.9)	232 (200.2)	0.8
- Total immunoglobulin E, mean (SD), UI/ml	309 (419)	283.9 (385.2)	323.2 (446.3)	0.1
<b>Induced sputum (%)</b>				
- Eosinophils	4.9 (7)	3.5 (4.6)	5.7 (7.9)	0.6
- Neutrophils	54.3 (19)	56.7 (21.3)	53.2 (18.3)	0.8
- Macrophages	34.5 (19)	37.5 (19.7)	33 (19.4)	0.5
- Lymphocytes	1.4 (0.8)	1.2 (0.74)	1.5 (0.8)	0.3

**Abbreviations:** FeNO, fraction of exhaled nitric oxide; FEV<sub>1</sub>, forced expiratory volume in the first second; FVC, forced vital capacity; HADS, Hospital Anxiety and Depression Scale; LABA, Long-Acting Beta2 Agonist; LAMA, Long-Acting Muscarinic Antagonists; MiniAQLQ, Mini Asthma Quality of Life Questionnaire; SD, Standard Deviation; SABA, Short Acting Beta-2 Agonists.

**Table 2.** Demographic and clinical characteristics for patients with controlled and uncontrolled asthma.

<b>Variables</b>	<b>Controlled asthma n=20</b>	<b>Uncontrolled asthma n= 10</b>	<b>P</b>
<b>Demographic/clinical data</b>			
- Age, mean (SD), y	49 (12)	49 (13)	0.9
- Body Mass Index, mean (SD), kg/m <sup>2</sup>	26 (3)	30 (4.6)	<b>0.02</b>
- Female (%)	30	70	0.1
- Atopy (%)	85	70	0.8
- Active smoker (%)	5	10	0.3
- SABA use/week (%)	40	100	<b>0.000</b>
- Combined LABA treatment (%)	80	100	<b>0.000</b>
- Combined LAMA treatment (%)	50	100	<b>0.000</b>
- Asthma Control Test, mean (SD)	23 (2.1)	16 (2.8)	<b>0.001</b>
- MiniAQLQ, mean (SD)	6.2 (0.8)	4.4 (1.2)	<b>0.001</b>
- HADS, mean (SD)	7.5 (9.1)	14.4 (7.8)	<b>0.04</b>
<b>Pulmonary function</b>			
- FEV <sub>1</sub> , mean (SD), L	3.09 (0.8)	1.9 (0.4)	<b>0.001</b>
- Reference FEV <sub>1</sub> (%)	92.2 (8.5)	72.7 (18)	<b>0.001</b>
- FEV <sub>1</sub> /FVC (%)	69.9 (9.5)	60.3 (13.3)	<b>0.03</b>
- FeNO, mean (SD), ppb	34.3 (37)	68.9 (63)	0.06
<b>Laboratory</b>			
- Blood eosinophils, mean (SD) mm <sup>3</sup>	303 (190)	328 (132)	0.6
- Total immunoglobulin E, mean (SD), UI/ml	219 (298)	510 (582)	0.08
<b>Induced sputum (%)</b>			
- Eosinophils	4.2 (4.7)	6.5 (10.4)	0.4
- Neutrophils	54 (18)	54 (21)	0.9
- Macrophages	37 (17)	28 (21)	0.2
- Lymphocytes	1.3 (0.6)	1.7 (1.06)	0.1

**Abbreviations:** FeNO, fraction of exhaled nitric oxide; FEV<sub>1</sub>, forced expiratory volume in the first second; FVC, forced vital capacity; HADS, Hospital Anxiety and Depression Scale; LABA, Long-Acting Beta2 Agonist; LAMA, Long-Acting Muscarinic Antagonists; MiniAQLQ, Mini Asthma Quality of Life Questionnaire; SD, Standard Deviation; SABA, Short Acting Beta-2 Agonists.

**Table 3.** HRV indices in studied asthmatics with controlled and uncontrolled asthma.

<b>Variables</b>	<b>Controlled asthma</b> n=20	<b>Uncontrolled asthma</b> n= 10	<b>P</b>
<b>HRV parameters (PANS-related)</b>			
- SDNN, mean (SD)	42.7 (29.7)	26.5 (8.2)	<b>0.03</b>
- RMSSD, mean (SD)	24 (20)	14.1 (6.5)	<b>0.05</b>
- pNN50, mean (SD)	6.2 (11.8)	0.6 (1.5)	<b>0.05</b>
<b>HRV frequency domain</b>			
- TP, mean (SD)	0.0014 (0.00085)	0.0005 (0.00046)	<b>0.02</b>
<b>HRV respiratory component</b>			
- Pr, mean (SD)	0.0007 (0.00060)	0.0003 (0.00025)	<b>0.01</b>
- PLFnr, mean (SD)	0.0001 (0.00014)	0.0001 (0.00022)	0.5

**Abbreviations:** HRV, heart rate variability; PLFnr, non-respiratory-related HRV power; pNN50, percentage of consecutive normal-to-normal (NN) intervals that differ by more than 50ms; Pr, respiratory-related HRV power; RMSSD, root mean square of the successive differences; SD, Standard Deviation; SDNN, standard deviation of the difference between NN intervals; TP, total power (PLFnr and Pr summed).

**Table 4.** Clinical characteristics of patients with asthma with and without risk of clinical stress and anxiety.

<b>Variables</b>	<b>HADS <math>\leq 7</math></b> <b>n= 17</b>	<b>HADS <math>\geq 8</math></b> <b>n= 13</b>	<b>P</b>
<b>Demographic/clinical data</b>			
- Age, mean (SD), y	50 (10)	48 (15)	0.7
- Body Mass Index, mean (SD), kg/m <sup>2</sup>	25.9 (2.4)	29.6 (4.8)	<b>0.02</b>
- Female (%)	23	76	0.1
- Atopy (%)	85	84	0.2
- Active smoker (%)	0	15	<b>0.001</b>
- SABA use/week (%)	41.1	84.6	0.1
- Combined LABA treatment (%)	76.5	100	<b>0.000</b>
- Combined LAMA treatment (%)	52.9	76.9	0.1
- Asthma Control Test, mean (SD)	23 (2.4)	18 (3.8)	<b>0.001</b>
- MiniAQLQ, mean (SD)	6.3 (0.9)	4.8 (1.3)	<b>0.002</b>
- HADS, mean (SD)	2.94 (1.9)	18.85 (6.7)	<b>0.001</b>
<b>Pulmonary function</b>			
- FEV <sub>1</sub> , mean (SD), L	3.09 (0.79)	2.2 (0.79)	<b>0.001</b>
- Reference FEV <sub>1</sub> (%)	91.8 (6.5)	77.6 (19.7)	<b>0.02</b>
- FEV <sub>1</sub> /FVC (%)	71.7 (7)	60 (13.3)	<b>0.01</b>
- FeNO, mean (SD), ppb	44 (53.1)	48.3 (45.3)	0.8
<b>Laboratory</b>			
- Blood eosinophils, mean (SD) mm <sup>3</sup>	292 (184)	336 (155)	0.4
- Total immunoglobulin E, mean (SD), UI/ml	206 (246)	455 (566)	0.1
<b>Induced sputum (%)</b>			
- Eosinophils	5.7 (8)	3.9 (5.5)	0.4
- Neutrophils	56.7 (17.6)	51.3 (21)	0.4
- Macrophages	34.1 (17.6)	35 (21.9)	0.9
- Lymphocytes	1.5 (0.67)	1.3 (0.9)	0.5

**Abbreviations:** FeNO, fraction of exhaled nitric oxide; FEV<sub>1</sub>, forced expiratory volume in the first second; FVC, forced vital capacity; HADS, Hospital Anxiety and Depression Scale; LABA, Long-Acting Beta2 Agonist; LAMA, Long-Acting Muscarinic Antagonists; MiniAQLQ, Mini Asthma Quality of Life Questionnaire; SD, Standard Deviation; SABA, Short Acting Beta-2 Agonists.

**Table 5.** HRV indices in studied asthmatics with and without risk of clinical stress and anxiety.

<b>Variables</b>	<b>HADS <math>\leq 7</math></b> <b>n= 17</b>	<b>HADS <math>\geq 8</math></b> <b>n= 13</b>	<b>P</b>
<b>HRV parameters (PANS-related)</b>			
- SDNN, mean (SD)	<b>45.6 (31.3)</b>	<b>26.5 (7.9)</b>	<b>0.04</b>
- RMSSD, mean (SD)	<b>26.4 (20.8)</b>	<b>13.4 (6.5)</b>	<b>0.03</b>
- pNN50, mean (SD)	<b>7.12 (12.6)</b>	<b>0.75 (1.4)</b>	<b>0.05</b>
<b>HRV frequency domain</b>			
- TP, mean (SD)	<b>0.0012 (0.00087)</b>	<b>0.0005 (0.00048)</b>	<b>0.02</b>
<b>HRV respiratory component</b>			
- Pr, mean (SD)	<b>0.0008 (0.00062)</b>	<b>0.0003 (0.00027)</b>	<b>0.01</b>
- PLFnr, mean (SD)	<b>0.0002 (0.00014)</b>	<b>0.0001 (0.0019)</b>	<b>0.3</b>

**Abbreviations:** HRV, heart rate variability; PLFnr, non-respiratory-related HRV power; pNN50, percentage of consecutive normal-to-normal (NN) intervals that differ by more than 50ms; Pr, respiratory-related HRV power; RMSSD, root mean square of the successive differences; SD, Standard Deviation; SDNN, standard deviation of the difference between NN intervals; TP, total power (PLFnr and Pr summed).