1	How can I run sleep and anesthesia studies
2	with intracranial EEG?
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1 Abstract

2 The similarity of sleep and general anesthesia has fascinated scientists for a long 3 time. At first glance, both states are characterized by similar behavioral 4 correlates, namely decreased responsiveness, arousal and movement. Previously, 5 non-invasive scalp electroencephalographic (EEG) recordings demonstrated 6 highly comparable spectral signatures of both states, such as the ubiquitous 7 presence of slow waves or delta oscillations. More recently, intracranial 8 recordings in humans provided a more fine-grained perspective and revealed 9 that sleep and anesthesia reflect highly distinct entities.

10 Here, we outline how intracranial sleep and anesthesia recordings can be 11 embedded into the clinical routine. We discuss caveats and shortcomings that 12 need to be considered, especially in the context of epilepsy as the underlying 13 neurological disorder. Subsequently, we provide a practical road map to obtain 14 state-specific neural recordings and discuss technical prerequisites as well as 15 important analytical considerations. Finally, we summarize how intracranial 16 recordings extend our understanding about the mechanism-of-action of 17 anesthetic drugs at the network level and to which extent these signatures 18 overlap with physiologic sleep networks. Collectively, here we review how 19 intracranial recordings in humans can be leveraged to gain important insights 20 into sleep physiology and the neural correlates of (un-) consciousness.

21

22 Keywords

23 Sleep, anesthesia, propofol, unconsciousness, intracranial EEG, slow oscillations,

24 spindles, ripples, interictal discharges, multitaper spectrogram

1 **1. Introduction**

2 "You will fall asleep now" might be the most common phrase used by 3 anesthesiologists before administering the hypnotic drug during everyday 4 clinical care. At first glance, sleep and anesthesia share several behavioral 5 signatures, including decreased arousal and movement [1]. However, upon 6 closer inspection, both states reflect distinct entities. In contrast to someone 7 asleep, patients undergoing anesthesia remain unresponsive to painful stimuli. 8 In addition, anesthesia impairs memory formation and can be detrimental to 9 cognitive functioning (especially in the elderly; [2, 3]), while sleep benefits 10 memory formation and cognition [4]. The neural correlates of unconscious brain 11 states have fascinated scientists for decades [1, 5]. Several scalp EEG studies 12 identified electrophysiological signatures, such as high amplitude slow waves (< 13 1.25 Hz) and delta activity (< 4 Hz) that both occur in non-rapid eye movement 14 (NREM) sleep and under deep anesthesia [6–8].

15 Intracranial EEG (iEEG) offers a unique window to study cognition, sleep 16 physiology, sleep deprivation and anesthesia on the single subject level. Patients 17 are typically monitored for multiple days; hence, several days and nights worth 18 of data can be obtained. Furthermore, sleep deprivation is a common 19 intervention to trigger seizures (see section 3.2) and provides a valuable 20 experimental condition to test causal links between sleep and cognition. In 21 addition, iEEG often explores deeper brain structures, such as the hippocampus, 22 the amygdala or thalamic nuclei, which are difficult to image using non-invasive 23 methods, but are thought to reflect key nodes of the human memory network [4, 24 9, 10]. The high temporal resolution of iEEG enables extraction and analysis of 25 e.g. high-frequency band activity (~70-150 Hz; HFA; [11, 12]) or of cardinal sleep

1 oscillations, such as sharp-wave ripples (~80-120 Hz; [9, 13–15]), which cannot be 2 observed at the scalp level. iEEG is typically used to sample multiple nodes of 3 the suspected epileptic network (i.e. mesial or limbic structures, including the 4 hippocampus, cingulate and orbitofrontal cortex). To target these deeper 5 structures, electrodes have to transverse through intact cortex (i.e. lateral 6 temporal and frontal); thus, enabling simultaneous multisite recordings with 7 high spatiotemporal resolution, which allows dissecting network processes in 8 great detail. With the advent of human single neuron recordings, it is now 9 feasible to record single unit activity (SUA), field potential, HFA, intracranial and 10 scalp EEG all simultaneously within the same patient [16, 17] (see also Chapters 8 11 and 18).

12

13 2. The clinical context for sleep and anesthesia studies

14 2.1 The peri- and post-operative clinical setting

15 Patients undergoing invasive intracranial monitoring have typically experienced 16 a long-lasting ordeal of seizures, failed treatments and non-invasive diagnostic 17 tests. Once the non-invasive work-up is completed and electrode implantation 18 has been planned to pinpoint the seizure onset zone, patients are admitted to 19 neurosurgery for implantation of either subdural grid electrodes (ECoG), 20 stereotactically placed depth electrodes (sEEG) or a combination of both. Once 21 patients are out of the operating room and electrode placement has been 22 radiologically confirmed, they are transferred to the epilepsy-monitoring unit 23 (EMU). Depending on the duration of the procedure and the precise dosing of 24 the anesthetics, patients might be drowsy or somnolent until all effects of the 25 general anesthesia wear off over the course of the first few hours. Depending on

1 the type of electrode (grid vs. depth) patients might experience different levels of 2 discomfort. In general, depth electrodes are better tolerated with less post-3 operative pain, given that no craniotomy is necessary. However, depth 4 electrodes targeting mesial temporal lobe areas typically transverse through the 5 temporal muscles, hence, patients often report pain and discomfort while 6 chewing or drinking. In addition, electrodes are covered in a head-wrap, often 7 requiring a supine positioning with an elevated backrest; hence, habitual 8 sleeping positions are not always feasible. Most patients are confined to bed rest 9 during the entire monitoring. Therefore, patients often require one or two days 10 (and nights) to adapt to the surroundings of the EMU during invasive 11 monitoring, which in turn, impacts sleep quality and duration (see also Chapter 12 28).

13

14 2.2 Factors determining sleep quality in the monitoring unit

15 Peri-operative circumstances impact sleep in the first few hours, but once the 16 immediate effects of the procedure wear off, most patients resume their habitual 17 night-day cycle. In the context of sleep studies on the monitoring unit a few 18 caveats apply. Depending on the medical center, some patients will be assessed 19 clinically every few hours throughout the night to monitor their vital signs as 20 well as their neurological state. Hence, the clinical routine might introduce sleep 21 fragmentation and frequent arousals during the night (Figure 1). Arousals 22 during nighttime might also be triggered through alarms on the ward at night or 23 warning sounds of intravenous infusion systems.

24

1 Figure 1



2

3 Sleep architecture in the sleep lab and EMU

(A) Top: Hypnogram. Bottom: Multitaper spectral representation with number of
detected slow oscillations and sleep spindles superimposed as recorded during a
habitual night of sleep in a sleep lab. (B) Same conventions. Data recorded in the
EMU. A comparable pattern is observed; thus, indicating the feasibility to
conduct sleep studies in the EMU. Panel A is reproduced with permission from
[60]. Panel B reproduced with permission from [14] under the Creative
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12

13 Another factor that influences sleep quality on the EMU is the current 14 antiepileptic drug regime (see section 2.3 for drug specific effects), which is 15 typically tapered during monitoring to provoke seizures. While the patient or 16 members of the family/staff can press a bedside button whenever the patient 17 experiences epileptic prodromes or seizures, in some instances, especially during 18 reduction of antiepileptic medication, patients may first present with subclinical 19 seizure patterns. Subclinical events are noted by the EEG techs as suddenly 20 occurring rhythmic spiking patterns in the EEG without obvious clinical 21 correlate. In order to determine the precise clinical manifestation of a given 22 pattern, the techs then wake up the patient and administer a series of tests to 23 determine orientation and executive functions. Collectively, given the clinical

circumstances and several contributing factors, an undisturbed night on the
 EMU is less common that in a dedicated sleep laboratory. This needs to be
 accounted for in studies that examine sleep physiology or sleep-dependent
 memory formation.

5

6 2.3 The effects of antiepileptic drugs

7 Patients undergoing invasive monitoring failed multiple drug regimes and are 8 typically being admitted while they are on a combination of different 9 antiepileptic drugs (AEDs), which might include sodium channel blockers, 10 GABAergic drugs or AMPA receptor antagonists. During monitoring, AEDs are 11 typically tapered off to provoke habitual seizures. In the context of sleep studies, 12 it is important to note that tapering off medications will increase both interictal 13 spiking (see also section 3.1) and the likelihood for seizures. On the other hand, 14 AEDs themselves often impair sleep quality and its electrophysiological 15 signatures. For instance, lamotrigine, a widely used sodium channel blocker, 16 triggers sleep disturbances and fragmentation [18]. In contrast, GABAergic 17 drugs, such as clobazam (a benzodiazepine), lead to daytime sleepiness and 18 sedation [19]. AMPA receptor antagonists like perampanel are strong sedatives 19 and are therefore taken only in the evening hours [20]. To date, the precise effects 20 of many AEDs on sleep are not well known, but in the context of sleep studies 21 detailed knowledge about the current medication status is helpful to interpret 22 these findings [21–24]. This is of particular relevance, since certain 23 anticonvulsants exhibit distinct electrophysiological signatures, such as 24 benzodiazepines, which introduce widespread EEG beta activity (~13-30 Hz).

1 2.4 Electrode explantation as a window into the neural correlates of anesthesia 2 Once intracranial electrodes are in place and patients are awake and stable, they 3 are typically transferred from the operating room (OR) to the monitoring ward, 4 where electrodes are first connected to the clinical and research recording setup, 5 a process that takes between 45 min to 1.5 hours. In rare instances, the setup can 6 already be completed in the OR; thus, enabling recording electrophysiological 7 activity during the emergence of anesthesia [25]. However, as virtually all 8 patients undergo post-operative imaging by means of CT- or MRI-based imaging 9 to confirm electrode placement and to rule out perioperative complications such 10 as brain hemorrhage, electrodes would have to be disconnected for scanning and 11 then reconnected on the EMU, making this recording strategy highly impractical 12 in the clinical context.

13 The more feasible route to obtain iEEG recordings during anesthesia is recording 14 at the end of invasive monitoring, just before electrode explantation. Again, this 15 is only viable if electrodes are explanted under general anesthesia, which is 16 common for grid electrodes, in patients that cannot comply with lying still (e.g. 17 young children or patients with anxiety disorders) or when the epileptogenic 18 tissue is removed in the same session. Nowadays, many centers remove depth 19 electrodes in the EMU under local anesthesia, while patients are awake. If 20 patients undergo general anesthesia for explantation, then recording equipment 21 may be transferred to the OR and recordings continue until the wires are 22 physically removed; hence, capturing induction and maintenance of anesthesia. 23 A few reports are available where patients underwent light anesthesia or 24 sedation accompanied by research testing (e.g. tasks or auditory stimuli), then 25 recovered as part of the research protocol and then were again anesthetized for final removal of the electrodes [26]. The exact clinical set up will vary between medical centers. However, often enough it will be possible to incorporate research studies into the individual clinical context, without jeopardizing patient safety and while respecting clinical time constrains and limited OR time. In most centers, protocols can be tailored to address specific questions; however, given the scarcity of reports, there is currently no consensus or gold standard available on how to conduct these studies.

8

9 3. Implications of epilepsy as the underlying neurological disorder

10 3.1 Sleep stages and epileptic activity

11 An empirical observation in numerous overnight EEG recordings is that the 12 frequency of epileptic spikes (interictal epileptic discharges; IEDs) sharply 13 increases during NREM sleep and that they are less common during wakefulness 14 and REM sleep (Figure 2; [21]). In addition, most nighttime seizures occur during 15 NREM sleep. In fact, epileptic activity that occurs during REM sleep is highly 16 informative for clinical localization of the seizure onset zone (SOZ), while NREM 17 spikes are less specific. The precise (patho-) physiologic underpinnings of these 18 observations remain unknown, however, it has been argued that NREM sleep 19 reflects a hyper-synchronized brain state that facilitates propagation of 20 synchronized volleys of epileptic activity [24]. A related clinical observation is 21 that hippocampal IEDs are common during NREM sleep, even if the SOZ is 22 located outside of the medial temporal lobe. It has been argued that the 23 anatomical structure and connectivity of the hippocampus abets its susceptibility 24 to epileptic activity [21, 27]. Uncontrolled seizure activity outside of the medial 25 temporal lobe might 'kindle' the hippocampus [28], i.e. induce a second independent source of seizure activity, thus, rendering a focal epilepsy multifocal and therefore, not amendable to resective surgery. In the context of sleep
studies, the spatial and temporal characteristics of IEDs need to be accounted for
to circumvent a systematic bias when analyzing REM and NREM sleep
separately. Likewise, special caution is necessary when analyzing hippocampal
activity during sleep (see also section 4.3).

- 7
- 8
- 9 Figure 2



11 The rate of interictal discharges increases during NREM sleep

(A) Inter-ictal discharges (IED) as detected by two automatic detectors [15, 27].
(B) Discharge rate (red) across the night (hypnogram in grey), highlighting more
IEDs during NREM sleep as compared to wakefulness (blue) or REM sleep
(purple). Panel A reproduced with permission from [14] under the Creative
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19 3.2 Sleep deprivation is a powerful trigger for seizures

20 Invasive monitoring on the EMU provides a narrow time window (often

21 between 4 to 7 days) to observe seizures and to determine the SOZ for

- 22 subsequent surgical resection. In addition to tapering off the AEDs, (partial)
- 23 sleep deprivation is another commonly employed tool to trigger seizures during
- 24 monitoring [29, 30]. Patients are typically kept awake or are only allowed to sleep

1 for approximately four hours, e.g. from 2-6am. Seizures after sleep deprivation 2 do not occur immediately, but manifest within the subsequent 24 hours. The 3 precise mechanisms are not fully understood yet, but it has been argued that 4 sleep deprivation attenuates physiologic homeostasis for the excitatory-to-5 inhibitory balance; thereby, resulting in a net increase of excitation and 6 subsequent epileptic activity [30–32]. In the context of iEEG sleep studies on e.g. 7 overnight memory formation, sleep deprivation constitutes a valuable control 8 condition that is already implemented in the clinical context. However, an 9 important confound is that it also sharply increases epileptic activity, which 10 might bias behavioral performance and electrophysiological signatures the next 11 day.

12

13 3.3 The relationship of anesthesia and epileptic activity

14 General anesthesia induces a state of unconsciousness, often by increasing 15 inhibition in the brain [5]. Common anesthetic agents like propofol bind to 16 GABAergic receptors, similar to benzodiazepines, which are also used as 17 anticonvulsants. Hence, anesthetic drugs are occasionally being used to treat a 18 status epilepticus, i.e. a continuous epileptic seizure. This has also strong 19 implications for intracranial EEG studies on general anesthesia. In contrast to 20 sleep studies, where epileptic activity can be sharply increased, IEDs are 21 typically strongly attenuated during general anesthesia; thus, potentially biasing 22 and hampering a direct within subject comparison between both neuronal states. 23 However, most studies focused on the neuronal correlates of the loss-of-24 consciousness (LOC) under anesthesia and in this scenario a strong attenuation 25 of epileptic activity is desirable. From a clinical point-of-view, LOC from general anesthesia results from a maximum of inhibitory drive resulting in hyper synchronized medium to slow neural activity, while LOC during a seizure
 typically results from uncoordinated neuronal firing due to hyperexcitability.

4

5 4. Analysis strategies

6 4.1 Technical pre-requisites for comparative electrophysiology

7 In principle, data is continuously recorded during monitoring. However, in 8 order to take full advantage of the acquired data, several prerequisites need to be 9 met. First, it is desirable that iEEG during sleep and anesthesia are recorded 10 using the same amplifier. Some centers run dedicated clinical and research 11 systems that are either fully independent (parallel data streaming) or that run 12 serially (data is streamed from the clinical to the research system). If a serial 13 setup is employed, it might be difficult to transfer both the clinical and research 14 system to the OR for recordings during anesthesia. In this scenario, it would be 15 beneficial to use the clinical amplifier for both recordings. It is of critical 16 importance to be aware of the operating room logistics where several disciplines 17 (nurses, anesthesia techs, neurophysiologists, anesthesiologists and 18 neurosurgeons) interact under both, time and space constrains. Continuous EEG 19 recordings during this phase likely contain movement artifacts as well as 20 artifacts from manipulation of wires and the head, which will require careful 21 inspection during analysis. Wherever possible, noise should be attenuated 22 during the recording, e.g. by shielding recording leads from surrounding noise 23 sources or unplug unnecessary equipment in the vicinity.

To enable a direct comparison to non-invasive results and to facilitate goldstandard sleep staging, scalp EEG should be recorded simultaneously [33].

Implanted iEEG leads sometimes prohibit placement of scalp leads, but it is best
 practice to at least record from a few scalp locations (i.e. midline electrodes Fz,
 Cz and Pz along with C3/C4 to facilitate spindle detection) as well as
 electrooculogram (EOG) and electromyogram (EMG) electrodes to detect REM
 sleep.

In addition, data should be recorded at a sufficient high sampling rate (>500 Hz)
to enable extraction of HFA and ripple oscillations. During recording data
should be minimally processed with regard to low-pass, high-pass or band-stop
filters.

10

11 4.2 How to determine the current behavioral or brain state?

Sleep staging from iEEG is theoretically possible, however, guidelines for sleep staging are only available for scalp EEG. Hence, it remains best practice to obtain simultaneous scalp EEG, EOG and EMG to facilitate sleep staging. The key challenge is the distinction of wakefulness and REM sleep, while NREM sleep can easily be detected given the presence of clear oscillatory key signatures, such as prominent slow waves and spindle oscillations.

18 With respect to anesthesia, the current gold standard to determine the loss of 19 consciousness is based on clinical judgement by the physician. The Modified 20 Observer's Assessment of Alertness and Sedation (MOAA/S) scale is a validated 21 6-point scale assessing responsiveness of patients, which has been defined by 22 American Society of Anesthesiologists (ASA). For neuroscientific applications, 23 sometimes a simplified categorization into awake/alert, sedated/drowsy (but 24 arousable/responsive to predefined stimuli such as subject's name or mild 25 prodding) and unconscious/unresponsive is employed. Lastly, anesthetic depth 1 may be monitored with the help of special neuromonitoring devices such as the 2 bispectral index (BIS) monitor, which was initially developed to prevent 3 intraoperative awareness. Electrophysiological data (EEG, EMG) is measured 4 from a few frontal sensors and then transformed into a numerical value between 5 0 and 100 that indicates the level of arousal (100 = wakefulness, 40-60 = sufficient 6 anesthetic depth for surgery). However, the algorithm of this calculation is 7 proprietary, thus, it remains unclear which EEG features are being evaluated. 8 Furthermore, BIS has mainly been validated in propofol anesthesia and the 9 efficacy and reliability of BIS monitoring remains controversial.

10

11 4.3 How to address epileptic activity?

12 Epileptic activity is an inherent feature of iEEG data. Depending on the question, 13 multiple approaches are conceivable. Typically, when addressing questions on 14 sleep or cognitive physiology, it is considered best practice to exclude electrode 15 contacts within the clinically identified SOZ and to reject any other channels that 16 contain seizure or spiking activity [12]. However, in the context of sleep studies, 17 these criteria might be overly conservative. As outlined above, even when the 18 SOZ is outside of the MTL it is common to observe IEDs in hippocampal 19 contacts. These IEDs should be rejected either based on visual inspection by a 20 neurologist or by means of an automatic IED detector (Figure 2). Several 21 algorithms have been introduced in recent years [15, 27], but specificity and 22 sensitivity have not fully been evaluated and detectors are not being used for 23 clinical purposes, where the time-consuming visual inspection still constitutes 24 the gold standard. It is common practice to only analyze nights where the patient 25 did not experience any seizures or to discard recordings around the seizures with a large error margin of ±2 hours to avoid any pre- or postictal rhythmic
 slowing, which can easily be mistaken for physiologic slow waves.

3

4 5. Insights into sleep and anesthesia

5 5.1 The human memory network during sleep

6 Contemporary theories of memory consolidation emphasize the role of a two-7 step bidirectional hippocampal-neocortical dialogue, where novel information is 8 initially encoded in hippocampal-dependent loops and overtime becomes mainly 9 neocortex-dependent during consolidation [4, 10]. A hierarchy of sleep 10 oscillations is thought to subserve the sleep-dependent reactivation, transfer and 11 consolidation of mnemonic information. In this model, hippocampus-dependent 12 information is spontaneously replayed during sleep, i.e. the very same pattern 13 that was present during encoding is recapitulated during sleep in a time-14 compressed manner [34-37]. Replay is tightly linked to the expression of a 15 hippocampal sharp-wave ripple (80-120 Hz; [37]), which in turn is nested in 16 thalamo-cortical spindles (12-16 Hz) and neocortical slow waves (< 4 Hz). 17 Selective synchronization of these three cardinal sleep oscillations is thought to 18 reflect an endogenous timing mechanism for the routing of information [4]. 19 Before the advent of iEEG in humans, a major caveat of this theory was that most 20 evidence stemmed from recordings in rodents, as non-invasive imaging of the 21 human hippocampus did not offer a sufficiently high spatiotemporal resolution 22 to detect ripple oscillations [9]. However, in recent years, the field of epileptology 23 transitioned from using grid and strip electrodes on the outer surface of the MTL 24 to employing depth electrodes that directly target the hippocampus, often in 25 standardized bilateral implanting schemes; thus, providing the necessary

1 resolution to examine the building blocks of systems memory consolidation in 2 humans. Intracranial recordings from the sleeping brain have yielded important 3 insights into sleep physiology in recent years. For instance, it has been shown 4 that the hierarchical triple coupling is preserved in humans and that the precise 5 SO-spindle coupling phase predicts hippocampal ripple expression [13–15, 38]. 6 Hippocampal ripples then mediate the transfer of mnemonic information from 7 the hippocampus to long-term neocortical storage (Figure 3). Recently, 8 intracranial recordings have been also used to also establish the presence of 9 cortical ripples, however, their role in systems memory consolidation remains 10 unclear [39, 40].

11

12 Figure 3



13

14 Ripple-triggered information transfer between the hippocampus and 15 neocortex

16 (A) Simultaneous recordings from frontal and hippocampal areas during NREM 17 sleep highlight the presence of all cardinal sleep oscillations. (B) Bidirectional information exchange upon a hippocampal ripple. (C) Widespread increases in 18 shared information between the hippocampus and neocortical intracranial 19 20 contacts. (D) Spectrally-resolved information flow (transfer entropy) highlights a key role of spindle oscillations for mediating inter-areal information flow. Figure 21 22 reproduced with permission from [14] under the Creative Commons Attribution 23 (CC BY) license.

1 5.2 The brain under anesthesia

2 In recent years, EEG studies under various anesthetics have revealed distinct 3 spectral fingerprints of each drug [1, 5]. For example, the administration of 4 GABAergic anesthetics such as propofol lead to an overall decrease of brain 5 activity. Although this is true for most neural activity including IEDs, LOC under 6 anesthesia is associated with a sudden increase of coherent slow and alpha 7 oscillations (depicted in one frontal intracranial electrode **Figure 4A**). We are 8 currently lacking mechanistic insights into how the brain transitions from 9 consciousness to anesthesia and how it recovers from the perturbation, with 10 potential implications for coma and other states of altered arousal. Moreover, 11 anesthesia can impact perioperative cognition beyond immediate recovery 12 resulting in long-lasting cognitive deficits including memory impairments [3]. 13 Although highly valuable, iEEG data during anesthesia remains scarce given the 14 logistical challenges outlined above.

15 To date, iEEG has been used to illuminate the neural correlates of the loss-of-16 consciousness under general anesthesia. It has been demonstrated that network 17 dynamics change dramatically upon anesthesia induction with prominent power 18 increases in the delta- and alpha-bands [41–43]. Specifically, it has been shown 19 that anesthesia alters spatiotemporal network configurations and alters coupling 20 across temporal (i.e. delta-alpha or delta-gamma cross-frequency coupling; [43]) 21 and across spatial scales (delta-, alpha- or gamma-band phase synchronization; 22 [44–46]). It has been argued that impaired network synchronization is 23 detrimental for information integration in large-scale cortical networks [41, 43, 24 46]. This consideration is in line with the observation that sensory processing in 25 primary sensory areas remained intact under general anesthesia, while subsequent processing in secondary sensory and higher-order association areas
 was attenuated [47–49].

3 It has been proposed that neural networks operate close to criticality, i.e. at a 4 transition point between ordered and chaotic network states, which may be 5 optimal for information processing and transmission capacities [50–52]. Several 6 findings indicated that anesthesia renders neural activity less critical, i.e. more 7 predictable [53]. It has been argued that high variability close to possible network 8 transition states is necessary to remain conscious, while anesthesia induces a shift 9 away from the network bifurcation and thereby, promotes unconsciousness [54– 10 57].

11 Collectively, this set of findings indicates that anesthesia promotes altered states 12 of consciousness by impairing information flow and integration in cortical 13 networks. Furthermore, the available evidence suggests that hyper-synchrony (as 14 indicated by increased power and connectivity) heavily constrains the neural 15 repertoire, which is necessary for consciousness. Collectively, iEEG under 16 anesthesia provides a unique opportunity to assess the neural correlates of 17 consciousness through the lens of pharmacologically induced unconsciousness.

18

19 5.3 Comparative electrophysiology of sleep and anesthesia

In the last decade, several seminal findings were published using iEEG to understand sleep or anesthesia. However, to date only very few comparative approaches have been reported [25, 47, 56]. Hence, it remains unclear if anesthesia actually hijacks sleep pathways during induction, emergence or maintenance.

1 Until recently, slow oscillations have been considered a hallmark of the 2 unconscious brain and a marker of cortical inhibition as they occur both in deep 3 sleep and under anesthesia [1, 24]. However, this notion was in stark contrast to 4 the presumed active role of NREM sleep in information processing [4]. Recent 5 comparative evidence provided functional insights beyond these prominent 6 oscillatory signatures. Computational modeling indicated increased inhibition is 7 associated with a steepening on the electrophysiological power spectrum 8 (reduction of the spectral exponent; [58]). Indeed, this shift towards inhibition 9 was also observed during propofol anesthesia in rodents, monkeys and humans 10 (Figure 4; [56]). Importantly, anesthesia induced a brain-wide reduction of the 11 spectral exponent (Figure 4C). A similar exponent reduction was also observed 12 during sleep, which had several implications [59]. First, contrary to popular 13 belief, inhibition was maximal during REM and not NREM sleep, possibly sub-14 serving sleep-dependent neural homeostasis. Second, this reduction was mainly 15 confined to the human memory network, i.e. encompassing medial temporal and 16 medial frontal areas (Figure 4D). However, it is critical to note that this line of 17 inquiry is in early stages and we foresee that a direct, within subject comparison 18 of sleep and anesthesia with iEEG will provide important insights into 19 physiological as well as pathophysiological mechanism underlying e.g. post-20 operative cognitive decline.

21

1 Figure 4



2

3 Aperiodic activity dissociates arousal levels in sleep and anesthesia

4 (A) Multitaper spectrogram during induction of propofol anesthesia highlights 5 the emergence of both slow waves and alpha oscillations during loss-of-6 consciousness. (B) Decreased arousal is associated with a reduction of the 7 spectral exponent. States that are characterized by increased inhibition lead to a 8 stronger reduction of the spectral slope. The steepest slope is observed during 9 anesthesia. (C) Reduction of the slope in iEEG recordings highlights that 10 anesthesia induces a brain wide reduction. (D) On the contrary, during sleep this 11 reduction is confined to key nodes of the memory network, namely medial 12 temporal and medial frontal areas. Figure reproduced with permission from [56] 13 under the Creative Commons Attribution (CC BY) license.

14

1 6. Conclusions

2 In summary, intracranial recordings in humans can be leveraged to gain 3 important insights into sleep physiology and the neural correlates of (un-) 4 consciousness. We reviewed the most important technical considerations and 5 prerequisites to successfully implement these recordings in a clinical 6 environment. Recording sleep and anesthesia data during invasive monitoring 7 constitutes an interdisciplinary team effort that involves multiple disciplines 8 (neurology, neurosurgery, anesthesiology) and requires support from nurses and 9 EEG techs. The obtained data provides a unique window in the correlates of (un-10) consciousness in the human brain and therefore, constitutes an important link 11 to recordings in non-human primates and rodents.

12

13

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