

Respiratory and Auditory Cortical Processing in Children with Obstructive Sleep Apnea Syndrome

Jingtao Huang¹, Carole L. Marcus¹, Paul W. Davenport², Ian M. Colrain³, Paul R. Gallagher¹, and Ignacio E. Tapia¹

¹The Sleep Center, Children's Hospital of Philadelphia, University of Pennsylvania's Perelman School of Medicine, Philadelphia, Pennsylvania; ²Department of Physiological Sciences, College of Veterinary Medicine, University of Florida, Gainesville, Florida; and ³Center for Health Sciences, SRI International, Menlo Park, California

Rationale: Children with obstructive sleep apnea syndrome (OSAS) have impaired cortical processing of respiratory afferent stimuli, manifested by blunted sleep respiratory-related evoked potentials (RREP). However, whether this impairment is limited to respiratory stimuli, or reversible after successful treatment, is unknown. We hypothesized that, during sleep, children with OSAS have (1) abnormal RREP, (2) normal cortical processing of nonrespiratory stimuli, and (3) persistence of abnormal RREP after treatment.

Objectives: To measure sleep RREP and auditory evoked potentials in normal control subjects and children with OSAS before and after treatment.

Methods: Twenty-four children with OSAS and 24 control subjects were tested during N3 sleep. Thirteen children with OSAS repeated testing 4–6 months after adenotonsillectomy.

Measurements and Main Results: RREP were blunted in OSAS compared with control subjects (N350 at Cz -27 ± 15.5 vs. $-47.4 \pm 28.5 \ \mu$ V; P = 0.019), and did not improve after OSAS treatment (N350 at Cz pretreatment -25.1 ± 7.4 vs. -29.8 ± 8.1 post-treatment). Auditory evoked potentials were similar in OSAS and control subjects at baseline (N350 at Cz -58 ± 33.1 vs. $-66 \pm 31.1 \ \mu$ V), and did not change after treatment (N350 at Cz -67.5 ± 36.8 vs. -65.5 ± 20.3).

Conclusions: Children with OSAS have persistent primary or irreversible respiratory afferent cortical processing deficits during sleep that could put them at risk of OSAS recurrence. OSAS does not seem to affect the cortical processing of nonrespiratory (auditory) afferent stimuli during sleep.

Keywords: evoked potentials; children; auditory; respiratory; obstructive sleep apnea syndrome

The pathophysiology of the childhood obstructive sleep apnea syndrome (OSAS) is not clear. In most children, OSAS is related to adenotonsillar hypertrophy or obesity. However, these structural factors cannot fully explain the degree of upper airway

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AT A GLANCE COMMENTARY

Scientific Knowledge on the Subject

Children with obstructive sleep apnea syndrome have impaired respiratory afferent cortical processing during sleep. However, it is unknown whether this deficit is limited to respiratory stimuli or is reversible after treatment.

What This Study Adds to the Field

This study shows that, during sleep, children with obstructive sleep apnea syndrome have normal cortical processing of auditory afferent stimuli, and respiratory afferent cortical processing impairment. Moreover, this condition does not resolve after treatment.

collapsibility (1, 2). Studies have shown that upper airway neuromotor tone and reflexes during sleep play an important role in maintaining airway patency during sleep in the pediatric population (3, 4). Recently, it has been shown that central nervous system processing of upper airway respiratory stimuli is abnormal during sleep in children with OSAS (5). However, it is not known whether this abnormal afferent processing is limited to respiratory stimuli, or whether it is an indicator of broader abnormalities in stimulus processing, secondary to the hypoxemia, hypercapnia, and sleep fragmentation of OSAS. Furthermore, it is not known whether this deficit resolves after treatment of OSAS. Determining reversibility would help elucidate whether the blunted responses were a primary and perhaps predisposing abnormality, or were secondary to the OSAS.

Respiratory-related evoked potentials (RREP) have been used to study the central nervous system processing of upper airway stimuli (6, 7). Auditory evoked potentials (AEP) are a useful tool to investigate cortical responses to nonrespiratory stimuli and produce the same set of longer-latency evoked response components as those seen in the sleep RREP (8, 9). Therefore, we decided to use event-related evoked potentials to test the following hypotheses: (1) children with OSAS have abnormal RREP during sleep compared with control subjects; (2) children with OSAS have normal cortical processing of nonrespiratory (auditory) stimuli, manifested by normal AEP during sleep; and (3) assuming that children with OSAS have a primary congenital sensory afferent processing, abnormal RREP does not normalize after treatment of OSAS. We performed RREP and AEP in children with OSAS and age-matched control subjects during sleep, and repeated these after surgical treatment of OSAS.

METHODS

Additional method details are provided in the online supplement. Children with OSAS and age-matched control subjects were studied. RREP

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Correspondence and requests for reprints should be addressed to Ignacio E. Tapia, M.D., Children's Hospital of Philadelphia, 3501 Civic Center Boulevard, CTRB, Office 11403, Philadelphia, PA 19104. E-mail: tapia@email.chop.edu

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TABLE 1. STUDY GROUP DEMOGRAPHICS AND POLYSOMNOGRAPHY RESULTS

	Control Subjects	OSAS (Baseline)
Ν	24	24
Age, yr	12 ± 3	11 ± 3
Males, %	13 (54)	17 (71)
Body mass index z score	0.4 ± 1.1	$1.8 \pm 1.0*$
Obese, %	5 (20.8)	15 (62.5)*
Apnea–hypopnea index, n/h	0.3 ± 0.3	$24.8\pm26.7^{\dagger}$
Apnea-hypopnea index range, n/h	0–1	2–103.7
Sp _{O2} nadir, %	94 ± 2	$84 \pm 8*$
Time with $Sp_{O_2} < 90\%$, % TST	0 ± 0.1	$2.8 \pm 7.0*$
Peak end-tidal CO ₂ , mm Hg	53 ± 4	$57 \pm 5^{\ddagger}$
Time with end-tidal $Pco_2 \ge 50 \text{ mm Hg}$, %TST	3.9 ± 9.5	$17.9\pm26.2^{\$}$

Definition of abbreviations: $OSAS = obstructive sleep apnea syndrome; Sp_{O_2} = oxygen saturation as measured by pulse oximetry; TST = total sleep time.$

Data shown as mean \pm SD or n (%).

 $^{\dagger} P = 0.008.$

 $^{\ddagger} P = 0.006.$

 ${}^{\$}P = 0.005.$

and AEP were obtained from surface EEG during stage N3 sleep. Some children with OSAS underwent surgical treatment (adenoidectomy and/ or tonsillectomy) as per standard clinical care, followed 4–6 months later by repeat RREP-AEP testing.

The Institutional Review Board at the Children's Hospital of Philadelphia approved the study. Informed consent was obtained from the parents or legal guardians of the subjects, and assent from subjects older than 7 years of age.

Study Group

Subjects with OSAS and control subjects, aged 6–16 years, underwent baseline polysomnography using standard pediatric techniques and scoring (10). OSAS was defined as having an apnea–hypopnea index (AHI) greater than or equal to 2 per hour, and control subjects were included if they were asymptomatic and had an AHI less than 1.5 per hour (11–14). Subjects with OSAS were recruited after a clinical polysomnogram, and healthy nonsnorer control subjects were recruited from the community by means of advertisements.

Sleep RREP and AEP

Sleep AEP and RREP were performed on the same night during stage N3. Subjects slept wearing a snug face mask and ear pieces. RREP were elicited as previously described (5). For AEP, auditory stimuli were applied 500 times by the ear inserts as a monotonous series of 80-dB, 1,000-Hz, and 50-ms tone pips. Data were obtained and analyzed as previously described (5). RREP and AEP were calculated at Fz, Cz, and Pz. P2, N350, N550, and P900 components were determined (15). All amplitudes were expressed relative to the average of activity in the prestimulus baseline period. Latencies of auditory components were expressed relative to stimulus onset. Latencies of respiratory components were expressed relative to the start of the change in mask pressure after occlusion onset.

Statistical Analysis

Statistical analysis was performed with SPSS software version 17.0 for Windows (SPSS Inc., Chicago, IL). The Kolmogorov-Smirnov test was used to test for normality. Categorical data were compared using the chi-square or Fisher exact test. Continuous data were compared using the paired or unpaired Student *t* test or Mann-Whitney rank sum test, as appropriate. A *P* value less than 0.05 was considered statistically significant.

RESULTS

Study Group

Twenty-four subjects with OSAS and 24 control subjects were studied (Table 1). Subjects with OSAS were of similar age to control subjects but were more obese. There was a wide range of severity of OSAS. Thirteen participants were reevaluated after surgical treatment.

RREP Stimulus Intensity

The magnitude of the mouth pressure change elicited by occlusions did not vary significantly as a function of diagnosis or treatment. The pressure differences for the subjects with OSAS were 4.2 \pm 1.3 cm H₂O at baseline and 3.8 \pm 1.2 cm H₂O after surgery. The pressure differences for control subjects were 3.3 \pm 1.8 cm H₂O.

Sleep RREP

One white male subject with OSAS, aged 12.6 years, whose AHI was 11.6 events per hour did not have identifiable RREP waveforms at baseline, as compared with zero control subjects. Two control subjects refused to wear the mask during sleep, and therefore did not have RREP data during sleep. AEP data only was collected from these participants.

N350 amplitudes at Cz and Pz were significantly reduced in OSAS compared with control subjects but latencies were not significantly different between the two groups (Table 2). Children with OSAS had reduced N550 amplitudes at Fz and Cz, and longer N550 latencies at all sites (Figure 1). Similarly, they

TABLE 2. SLEEP RESPIRATORY-RELATED EVOKED POTENTIALS DURING N3 IN CHILDREN WITH OBSTRUCTIVE SLEEP APNEA SYNDROME VERSUS CONTROL SUBJECTS

cts P
0.62
6 0.29
9 0.05
3 0.36
4 0.27
.2 0.017
5 0.42
.2 0.17

Definition of abbreviation: OSAS = obstructive sleep apnea syndrome. Data shown as mean \pm SD.

^{*} P < 0.001.



Figure 1. Respiratory-related evoked potentials Cz during sleep stage N3 in children with obstructive sleep apnea syndrome (OSAS) at baseline compared with children with OSAS after treatment and control subjects. Children with OSAS had blunted N350 and more prominent N550 at Cz at baseline compared with control subjects. Respiratory-related evoked potentials did not change after OSAS treatment.

had longer P900 latency at Cz compared with control subjects. As previously shown (5), neither P2 amplitude nor latency displayed any significant effects of diagnosis or electrode site.

Sleep AEP

There were no significant amplitude or latency differences between OSAS and control subjects (Table 3). The amplitudes of N550 at Fz and P900 at Cz showed nonsignificant trends toward blunted responses in the OSAS group.

Response to Treatment of OSAS

Subjects underwent surgical treatment as per the discretion of their clinical physician. Thirteen of the 24 subjects underwent surgery and were reevaluated postoperatively. Eleven of these underwent adenotonsillectomy, one underwent adenoidectomy and turbinectomy, and one underwent adenoidectomy alone. Of the remaining subjects, three were too mild to be treated surgically, three declined further research, two received continuous positive airway pressure therapy rather than surgery, and one moved away. As anticipated, those undergoing treatment had more severe OSAS (Table 4), but no other clinical differences, compared with those who did not.

Baseline polysomnography, RREP, and AEP were repeated 170 \pm 71 days after the initial study, and 137 \pm 52 days after surgery. There was no significant change in body mass index *z* score postoperatively (P = 0.62). The AHI decreased considerably in all subjects, from 24.8 \pm 26.7 to 4.5 \pm 5.7 (P < 0.001), with the decrease in AHI varying from 44–100% of the initial AHI. However, seven subjects still had an AHI in the abnormal range (Figure 2).

Sleep RREP

One of the 13 subjects tested post-treatment did not have identifiable preoperative RREP data. However, this subject had identifiable components post-treatment. Another subject refused to wear the mask. Therefore, the paired comparisons were based on 11 subjects.

Amplitudes and latencies did not significantly change after treatment (Table 5, Figure 1). RREP changes post-treatment of OSAS did not correlate with OSAS improvement as measured by AHI reduction (r = 0.324; P = 0.395).

Sleep AEP

Amplitudes and latencies did not significantly change after treatment (Table 6, Figure 3). AEP changes post-treatment of OSAS did not correlate with OSAS improvement as measured by AHI reduction (r = -0.246; P = 0.557) (16).

DISCUSSION

This study has confirmed previous findings that children with untreated OSAS have blunted RREP responses during sleep (5). Furthermore, this study has shown that these RREP abnormalities do not improve after treatment of OSAS. This study has also demonstrated that children with OSAS and control subjects have similar AEP during sleep. These data suggest that the abnormalities in central nervous system processing of afferent signals in children with OSAS during sleep are limited to respiratory stimuli. This is similar to adults with OSAS, who have been shown to have normal early RREP components during wakefulness, blunted longer latency RREP components during sleep, but to have normal AEP components during wakefulness and sleep (17–20).

Upper Airway Neuromotor Control

Upper airway muscles are activated in response to subatmospheric pressure, such as that generated during inspiration. This response is



Peak	Fz			Cz			Pz		
	OSAS	Control Subjects	Р	OSAS	Control Subjects	Р	OSAS	Control Subjects	Р
P2									
Amplitude, μV	6.3 ± 9.9	7.1 ± 9.1	0.82	9 ± 10.2	9.8 ± 9	0.79	7.1 ± 10	7.1 ± 6.6	0.99
Latency, ms	158.1 ± 27.4	149.1 ± 42.7	0.43	139.7 ± 33.3	146 ± 29.4	0.50	151.2 ± 29.6	147.6 ± 26.1	0.67
N350									
Amplitude, μV	-46.6 ± 31.3	-55.3 ± 27.3	0.32	-58 ± 33.1	-66 ± 31.1	0.4	-43.6 ± 33.9	-41.6 ± 21.2	0.81
Latency, ms	348.4 ± 64	328 ± 66	0.3	307.2 ± 52.5	291.7 ± 61.5	0.25	298.1 ± 52	288.1 ± 62.2	0.36
N550									
Amplitude, μV	-38.9 ± 29.1	-56.5 ± 32	0.07	-46.4 ± 30.1	-54.6 ± 32.9	0.42	-35.6 ± 33.5	-31.1 ± 25.8	0.62
Latency, ms	434.4 ± 65.1	411 ± 64	0.56	409 ± 58.1	389.4 ± 67.7	0.25	421.3 ± 70.3	415.8 ± 88	0.32
P900									
Amplitude, μV	58.7 ± 28.5	76.2 ± 37.7	0.09	65.1 ± 33.8	85.7 ± 40.5	0.07	47 ± 38	53.1 ± 31.3	0.55
Latency, ms	769.3 ± 111.8	$727.5~\pm~70.9$	0.83	721.6 ± 57.6	$719.1~\pm~75.8$	0.14	761.5 ± 124.1	735.2 ± 96.2	0.9

Definition of abbreviation: OSAS = obstructive sleep apnea syndrome. Data shown as mean (SD).

TABLE 4. BASELINE DEMOGRAPHICS AND POLYSOMNOGRAPHIC RESULTS FOR SUBJECTS WITH OBSTRUCTIVE SLEEP APNEA SYNDROME WHO UNDERWENT POSTOPERATIVE ASSESSMENTS VERSUS THOSE WHO DID NOT

	Postoperative Assessment	No Postoperative Assessment
N	13	11
Age, yr	10 ± 3	12 ± 4
Males, %	9 (69)	8 (73)
Body mass index z score	1.8 ± 1.0	1.8 ± 1.0
Obese	9 (69)	6 (55)
Apnea–hypopnea index, n/h	24.8 ± 26.7	11.3 ± 14.4*

Data shown as mean \pm SD or n (%).

* *P* = 0.028.

considered to be a centrally mediated reflex, as suggested by the following: (1) functional magnetic resonance imaging studies showing activation of central nervous system centers in response to upper airway loading (21); (2) the fact that the upper airway response to disparate stimuli, such as hypercapnia and inspiratory loading, is similar (22); (3) the rapid timing of the response compared with voluntary activation (23); and (4) changes in the response to loading during sleep compared with wakefulness (24). The upper airway contains pressure receptors in the mucosa of the nasopharynx and larynx (25). Afferent stimuli are conducted along the trigeminal, glossopharyngeal, and vagus nerves (26). Central pathways are thought to involve the nucleus of the tractus solitarius, locus coeruleus, caudal raphe, mesopontine tegmentum, and medullary reticular formation (27). Stimulation of these upper airway negative-pressure receptors results in inspiratory and expiratory activation of numerous upper airway dilator muscles (26), thereby preventing airway collapse. In children with OSAS, the dilatory response to subatmospheric pressure is diminished (1, 4). The reason for this is unclear, but one possibility is that the afferent limb of this reflex is abnormal (i.e., that the children do not mount a compensatory [efferent] neuromotor response to airway collapse in part because of lack of an afferent stimulus or a central neural processing deficit). Our data support this hypothesis.

RREP during Sleep

We have previously shown blunting of the RREP N350 during N3 sleep in children with OSAS and control subjects (5). In the present study, we confirmed those results and also showed blunting of the N550 peak and delayed latency, which has been well documented in adults (17, 28). Importantly, this study demonstrated no RREP improvement after treatment of OSAS. This



Figure 2. Change in apnea-hypopnea index after surgery.

implies that the RREP deficits observed during sleep represent either a primary congenital abnormality or an irreversible one, secondary to OSAS. However, it is important to point out that one of our subjects showed significant RREP improvement after OSAS treatment. Specifically, he did not have identifiable RREP components before treatment but peaks were present after considerable OSAS improvement (baseline AHI = 11.7 and posttreatment AHI = 1.7 events per hour). Therefore, reversibility may be possible in certain children with a shorter OSAS course. Further research is warranted.

AEP during Sleep

To determine whether the cortical processing of afferent stimuli impairment was limited to respiratory stimuli or was broadly affected (5), we tested the hypothesis that auditory cortical processing would be normal in children with OSAS compared with control subjects. We have previously demonstrated that children with OSAS had blunted arousal responses to hypercapnia (29), and impaired arousal responses to inspiratory loading during sleep compared with control subjects (16) but had a similar acoustic arousal threshold (30). This study, using a more sophisticated measure of respiratory and auditory processing stimuli, has confirmed our previous findings. Among the non-REM–specific auditory evoked response potentials components, N350, N550, and P900 have been reported to be elevated in response to stimuli occurring less frequently (31, 32). These waveforms do not merely reflect a general response to sensory stimuli but are associated with

TABLE 5. SLEEP RESPIRATORY-RELATED EVOKED POTENTIALS DURING N3 IN CHILDREN WITH OBSTRUCTIVE SLEEP APNEA SYNDROME BEFORE AND AFTER TREATMENT

Peak	Fz			Cz			Pz		
	Before	After	Р	Before	After	Р	Before	After	Р
P2									
Amplitude, μV	9.6 ± 13.2	2.7 ± 1.6	0.49	3.5 ± 10.2	7.4 ± 5.7	0.57	0.4 ± 7.2	2.8 ± 14	0.78
Latency, ms	156.2 ± 34.7	194 ± 116.1	0.71	206.3 ± 142.3	248.4 ± 163.5	0.74	218.8 ± 154.4	252.3 ± 163.2	0.79
N350									
Amplitude, μV	-16.6 ± 10.2	-21.6 ± 12.3	0.43	-25.1 ± 7.4	-29.8 ± 8.1	0.37	-27.2 ± 9.6	-22.9 ± 12.5	0.55
Latency, ms	389.6 ± 150.3	399.4 ± 157.7	0.91	340.3 ± 145	408.7 ± 144.9	0.45	287.4 ± 57.7	369.8 ± 160.5	0.32
N550									
Amplitude, μV	-11.4 ± 15.9	-19.5 ± 10.3	0.18	-16.2 ± 14.7	-20.7 ± 12.9	0.41	-19.7 ± 10.3	-19.6 ± 12.7	0.98
Latency, ms	654.8 ± 115.6	548.3 ± 159.8	0.074	612.8 ± 146.6	622.4 ± 131.8	0.9	569.3 ± 146.7	587.4 ± 161.7	0.80
P900									
Amplitude, μV	22.4 ± 13.8	25.6 ± 13.1	0.67	30.8 ± 20	43.1 ± 19	0.2	25.6 ± 18.1	45.6 ± 29	0.13
Latency, ms	1036.3 ± 94.4	1000.6 ± 29.7	0.41	1003.5 ± 71	958.2 ± 82.1	0.12	998 ± 71.2	954.6 ± 82	0.16

0.67

0.81

3EFORE AND AFTER TREATMENT									
Peak	Fz			Cz			Pz		
	Before	After	Р	Before	After	Р	Before	After	Р
P2									
Amplitude, μV	6.2 ± 6.2	7.7 ± 9.2	0.7	10.3 ± 11.6	9.6 ± 10	0.86	9 ± 10.4	8.2 ± 6.1	0.78
Latency, ms	153.2 ± 29.7	135.8 ± 48.8	0.37	138.3 ± 29.6	118 ± 42.5	0.21	155.9 ± 25.6	130.7 ± 47.2	0.05
N350									
Amplitude, μV	-51.6 ± 35.4	-40.1 ± 13.2	0.24	-67.5 ± 36.8	-65.5 ± 20.3	0.87	-54.6 ± 40.3	-57.8 ± 27.5	0.77
Latency, ms	363.3 ± 60.9	342.3 ± 60.5	0.29	327.1 ± 53	288.7 ± 46.9	0.06	316.7 ± 52	289.1 ± 43.1	0.08
N550									
Amplitude, μV	-43.9 ± 30.1	-36.3 ± 18.6	0.27	-52.6 ± 33.9	-50.3 ± 29	0.82	-49.1 ± 42.9	-44.8 ± 36.8	0.7
Latency, ms	450.4 ± 55.9	448.8 ± 73.8	0.95	419.1 ± 52	395.3 ± 64	0.21	414.1 ± 70.4	407 ± 69.8	0.7

73.1 + 37

 $726.2~\pm~64$

TABLE 6. SLEEP AUDITORY-RELATED EVOKED POTENTIALS DURING N3 IN CHILDREN WITH OBSTRUCTIVE SLEEP APNEA SYNDROME

at least a minimum level of discrimination in the processing of information. Because all these peaks were present in OSAS and control subjects, this finding suggests that OSAS does not affect the children's ability to properly process auditory information during sleep. This is similar to a previous study in adults with OSAS, in which the main AEP outcome was N550 (17). In the current study we documented the presence of a P900 as well, which has been reported to increase with the deepening of sleep, and has been associated with maintenance of sleep (33, 34). Therefore, the presence of this peak in children with OSAS is consistent with one of the main differences between adult and pediatric OSAS: the conserved sleep architecture in children with OSAS (35).

58.6 + 19.2

 800.8 ± 129

0.44

0.63

63.9 + 30.1

784.8 ± 138.7

Based on the foregoing, we can infer that the auditory pathway is not affected in children with OSAS. Of note, AEP are generated in the cochlea and travel through the cochlear nerve, cochlear nucleus, superior olivary complex, and lateral lemniscus, to the inferior colliculus in the midbrain, and on to the medial geniculate body, to finally arrive to the cortex (36). Any of these structures could theoretically be affected by hypoxia or hypercapnia secondary to OSAS. However, this was not shown by our results. Interestingly, results in adults have showed



Figure 3. Auditory evoked potentials Cz during sleep stage N3 in children with obstructive sleep apnea syndrome (OSAS) at baseline compared with children with OSAS after treatment and control subjects. Children with OSAS and control subjects had similar auditory evoked potentials during sleep before treatment. However, the latency of N350 at Cz tended to be shorter in children with OSAS after treatment.

blunted cortical AEP during wakefulness that does not resolve after a 3-month treatment with CPAP with adequate adherence (37). These results have been linked to behavioral daytime symptoms as attention is required to comply with research procedures because subjects were asked to identify oddball sounds. AEP during wakefulness have yet to be studied in children.

60.9 + 42.2

724.3 ± 64.6

62.6 ± 33.1

740.6 ± 95.4

0.9

0.47

Limitations

77.4 + 22.3

 $718.4~\pm~97$

A limitation of this study was that the subjects with OSAS were more obese than the control subjects. It is theoretically possible that adipose tissue could alter the respiratory mechanics during ventilation and load compensation, impairing afferent transduction of occlusion-related pressure changes. However, no data have established a link between obesity and impaired RREP. Further, our previous research showed that body mass index zscore was not a predictor of RREP amplitude or latency (5). Nevertheless, this study evaluated children across a wide agespectrum. It is possible that nonobese younger children may represent a different phenotype of OSAS than obese adolescents, who may be more similar to adult patients with OSAS. Future studies may be able to clarify this issue.

The number of males was greater in the control group but this difference was not statistically significant. However, because this study evaluated children across a wide age-spectrum, it is possible that adolescent females differ in their response from adolescent males depending on the degree of sexual maturation. Further research in adolescents distributed according to Tanner stage is warranted.

Conclusions

This study has shown that RREP during sleep were impaired in children with OSAS, and that these deficits did not improve after treatment. Children with OSAS and control subjects had similar AEP during sleep. These findings suggest that children with OSAS have a primary or a secondary but irreversible respiratory cortical processing deficit during sleep. This impairment may put them at risk of recurrence of OSAS, despite initial resolution after treatment as measured by the AHI, if they develop further risk factors later in life.

Author disclosures are available with the text of this article at www.atsjournals.org.

P900

Amplitude, µV

Latency, ms

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