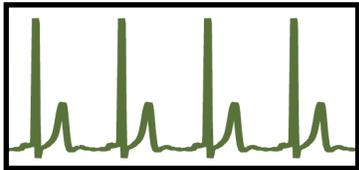
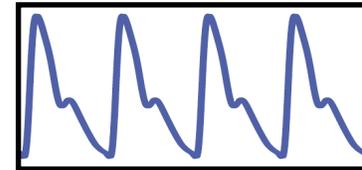


Estimating respiratory rate from the electrocardiogram and photoplethysmogram



Peter H Charlton
King's College London



<http://peterhcharlton.github.io/RRest>

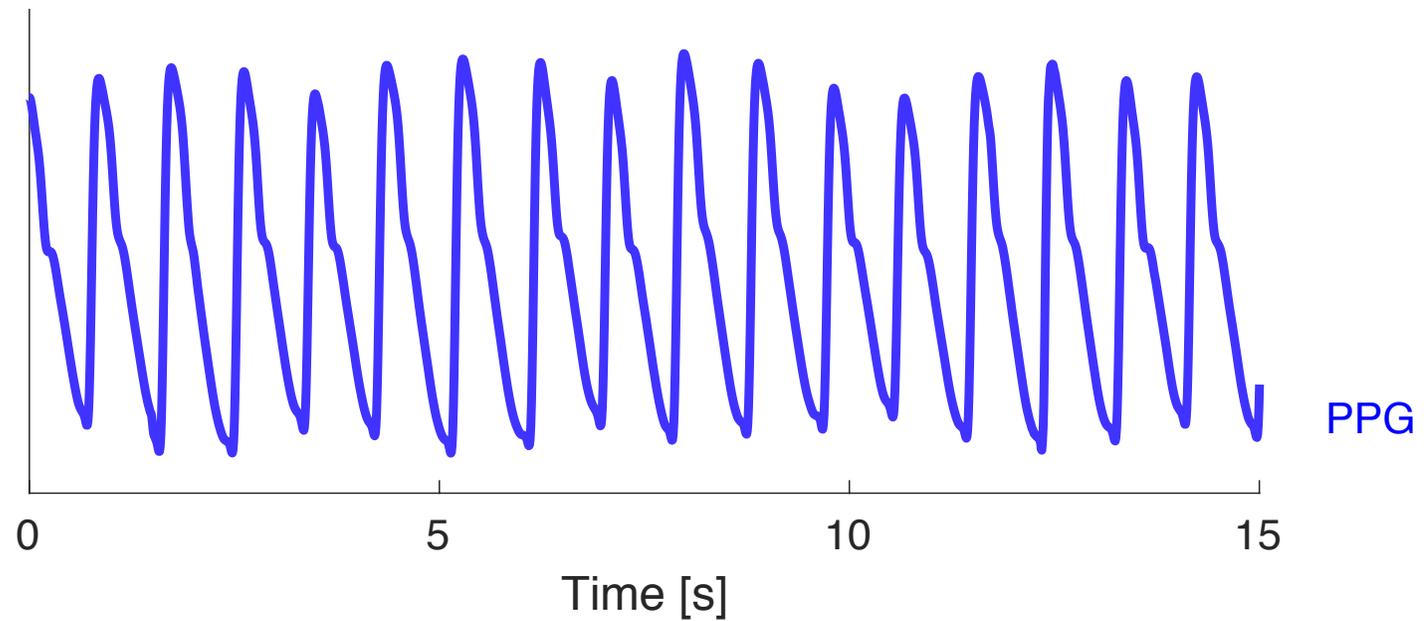
Overview



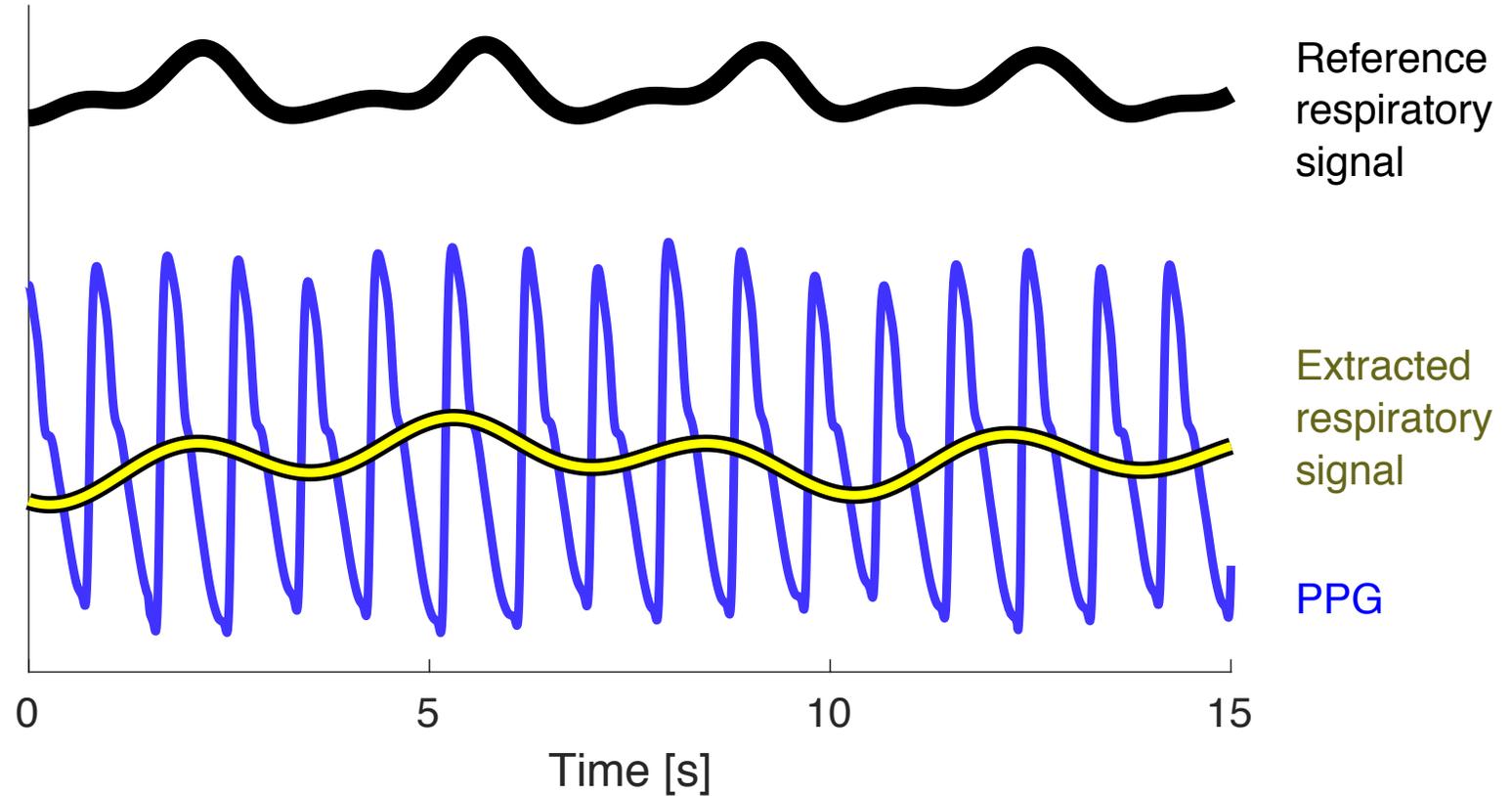
Overview



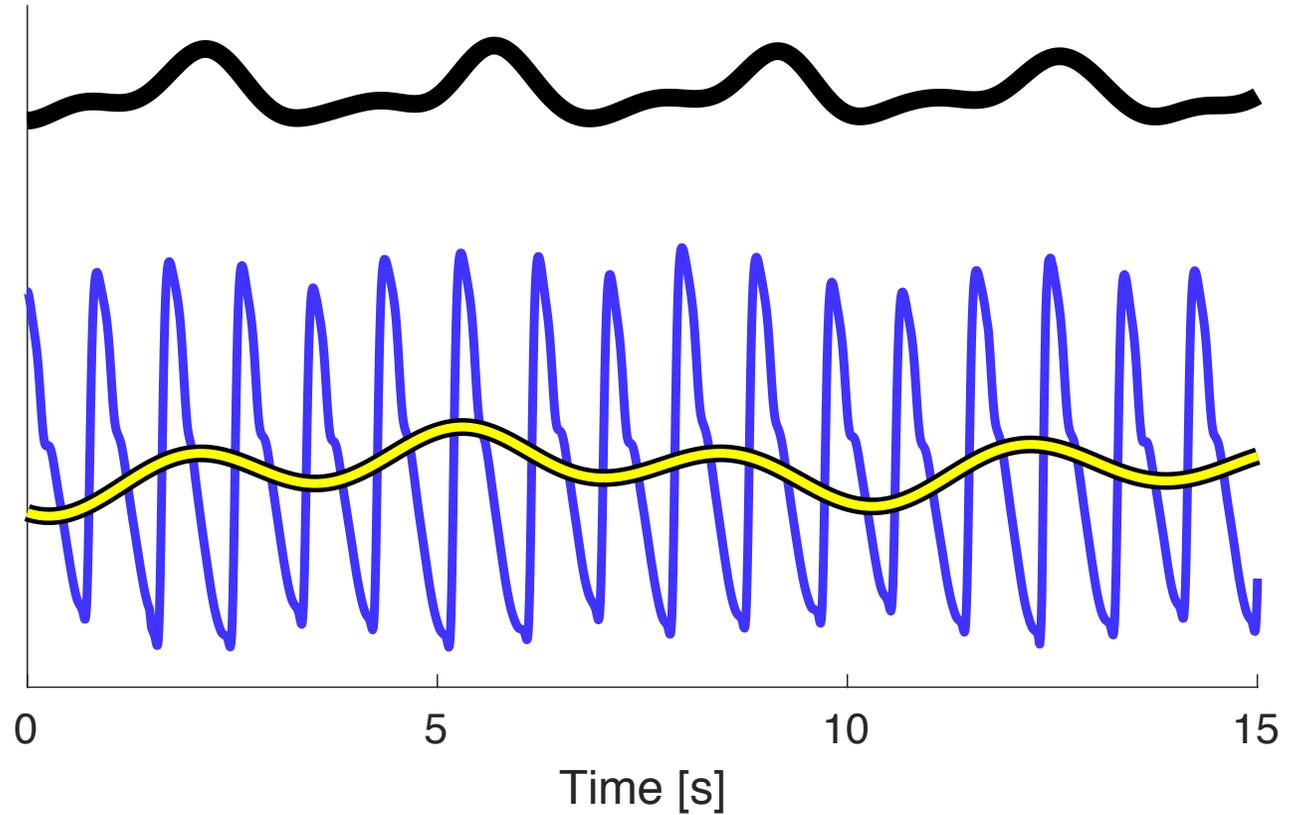
Overview



Overview



Overview



17
bpm

18
bpm

Outline

- Background
 - *Case Study 1: Elevated RR prior to cardiac arrest*
- RR algorithms
 - *Case Study 2: Unobtrusive RR monitoring*
- Performance assessment
 - *Case Study 3: Predicting adverse events*
- Implementation
- Conclusion

Outline

- **Background**

- *Case Study 1: Elevated RR prior to cardiac arrest*

- RR algorithms

- *Case Study 2: Unobtrusive RR monitoring*

- Performance assessment

- *Case Study 3: Predicting adverse events*

- Implementation

- Conclusion

Definitions:

RR – respiratory rate

ECG – electrocardiogram

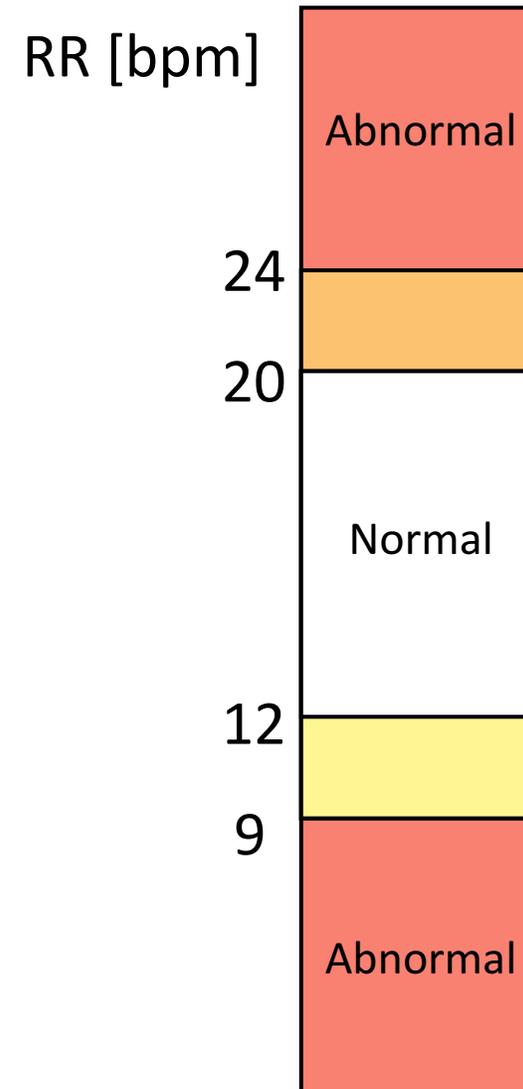
PPG – photoplethysmogram

Accompanying resources:

<http://peterhcharlton.github.io/RRest/webinar.html>

Importance of RR

- Diagnosis
 - Pneumonia
 - Sepsis
 - Pulmonary embolism
- Prognosis
 - Acute deteriorations
 - Cardiac arrest
 - In-hospital mortality
 - Emergency department screening



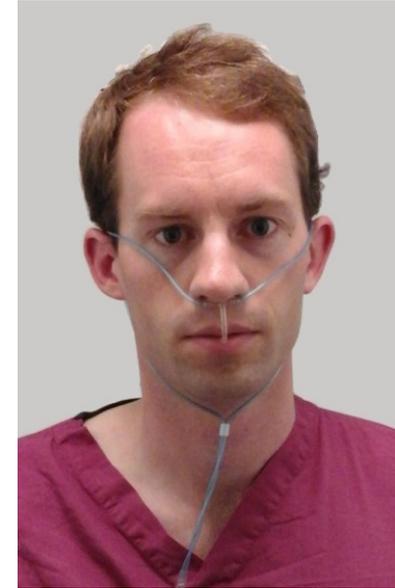
Measuring RR



Thoracic Band



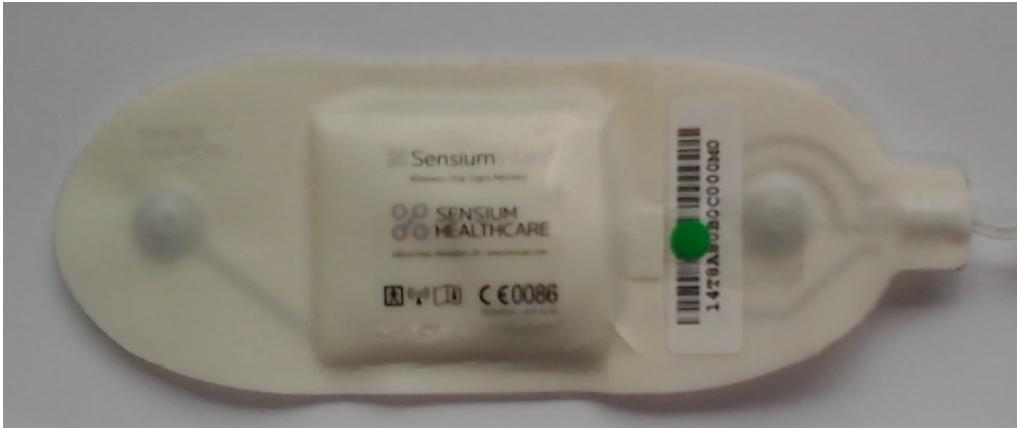
Face Mask



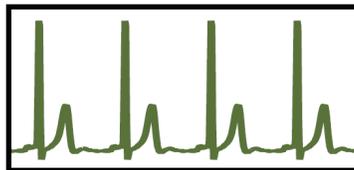
Oral-Nasal Cannula

- Thoracic impedance / inductance
- Air flow / pressure
- Accelerometry

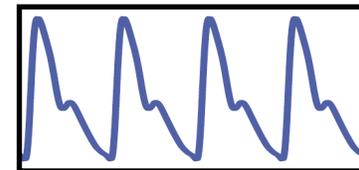
Measuring ECG and PPG



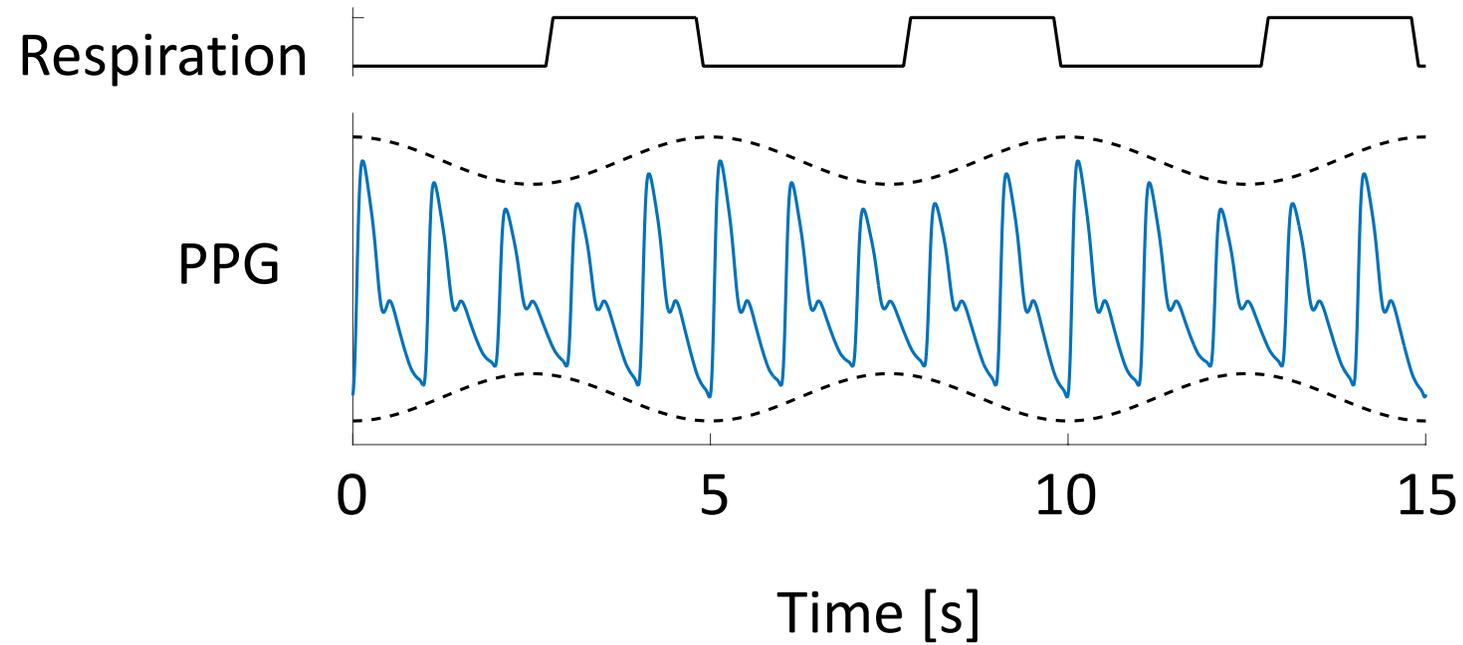
ECG Patch



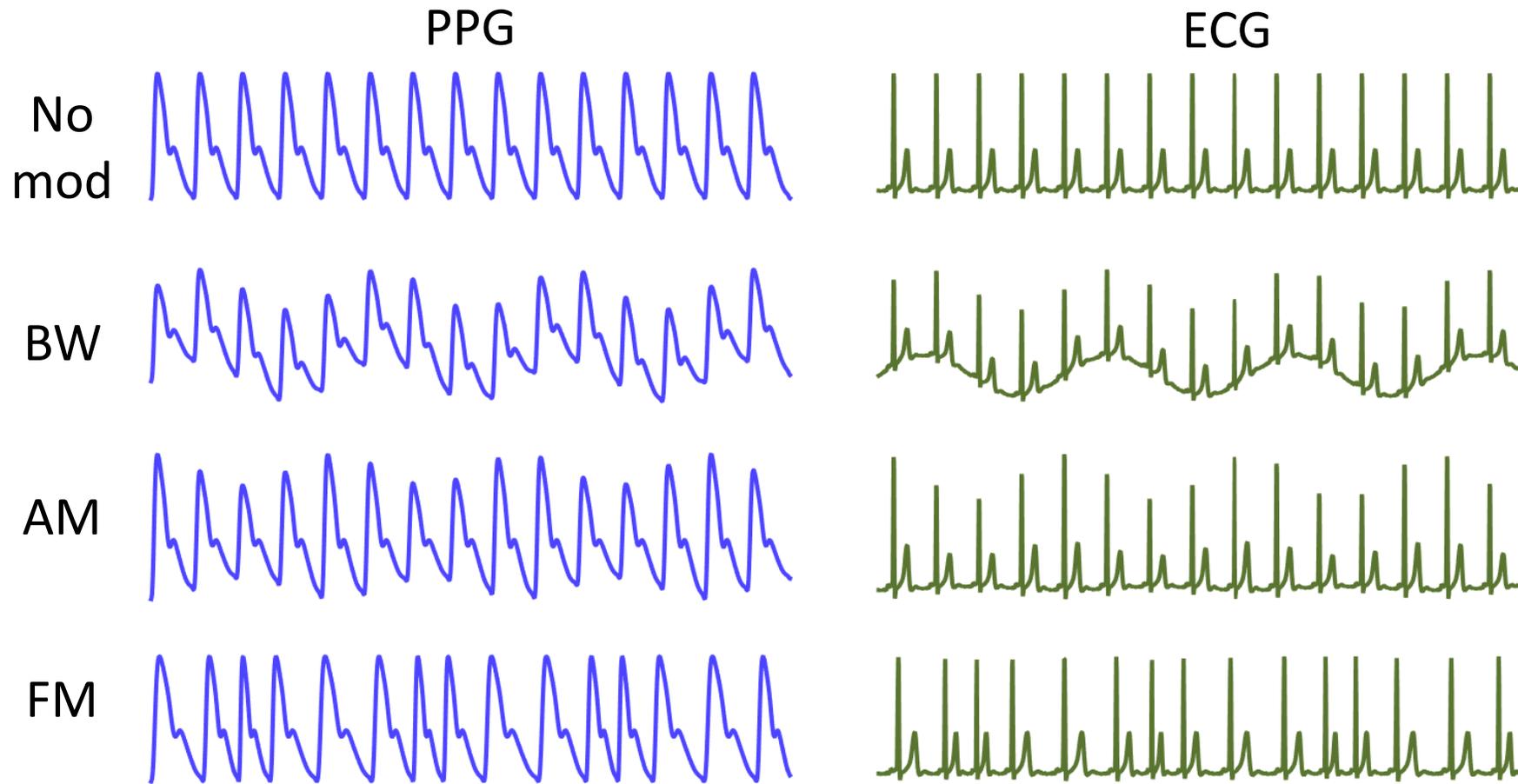
Wearable Pulse Oximeter



Physiological Basis



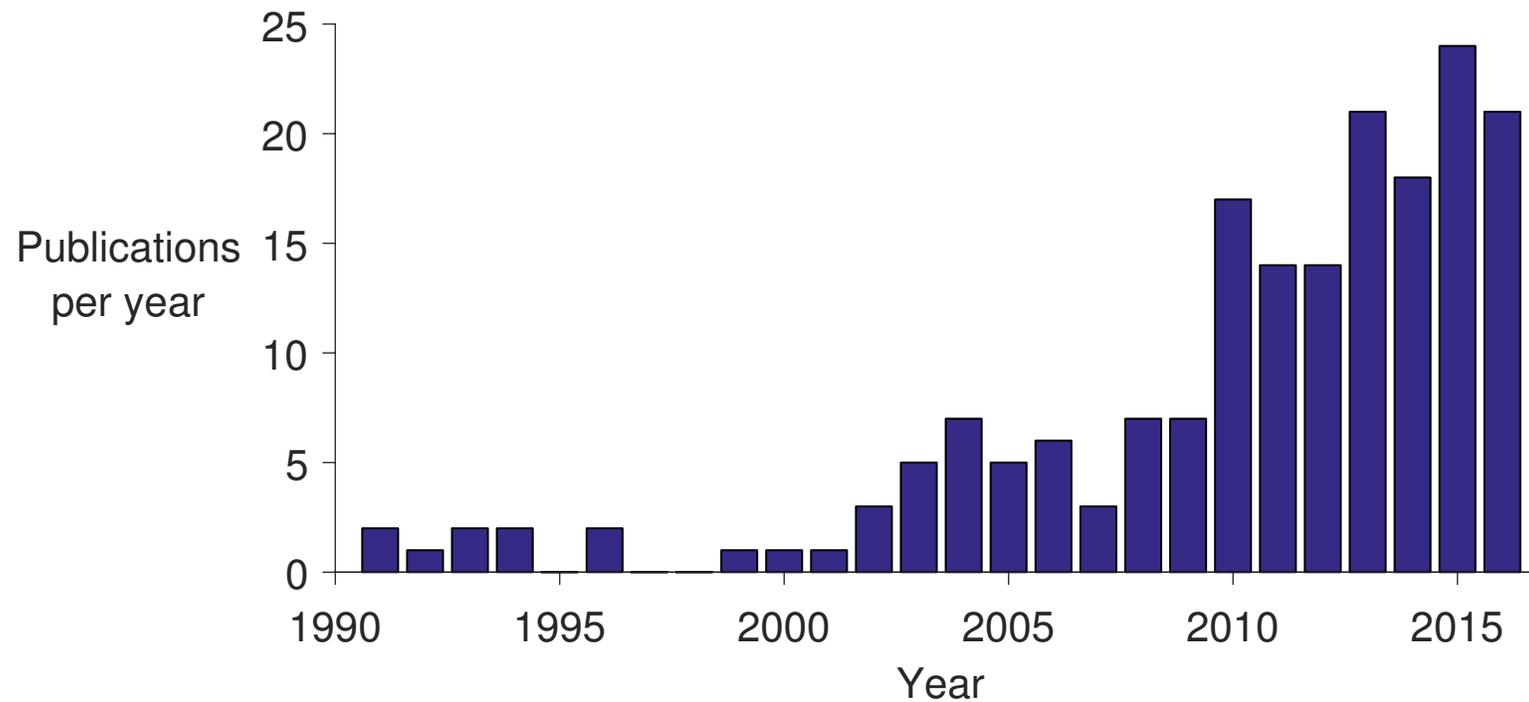
Physiological Basis



Literature



RR algorithms described in
> 196 publications



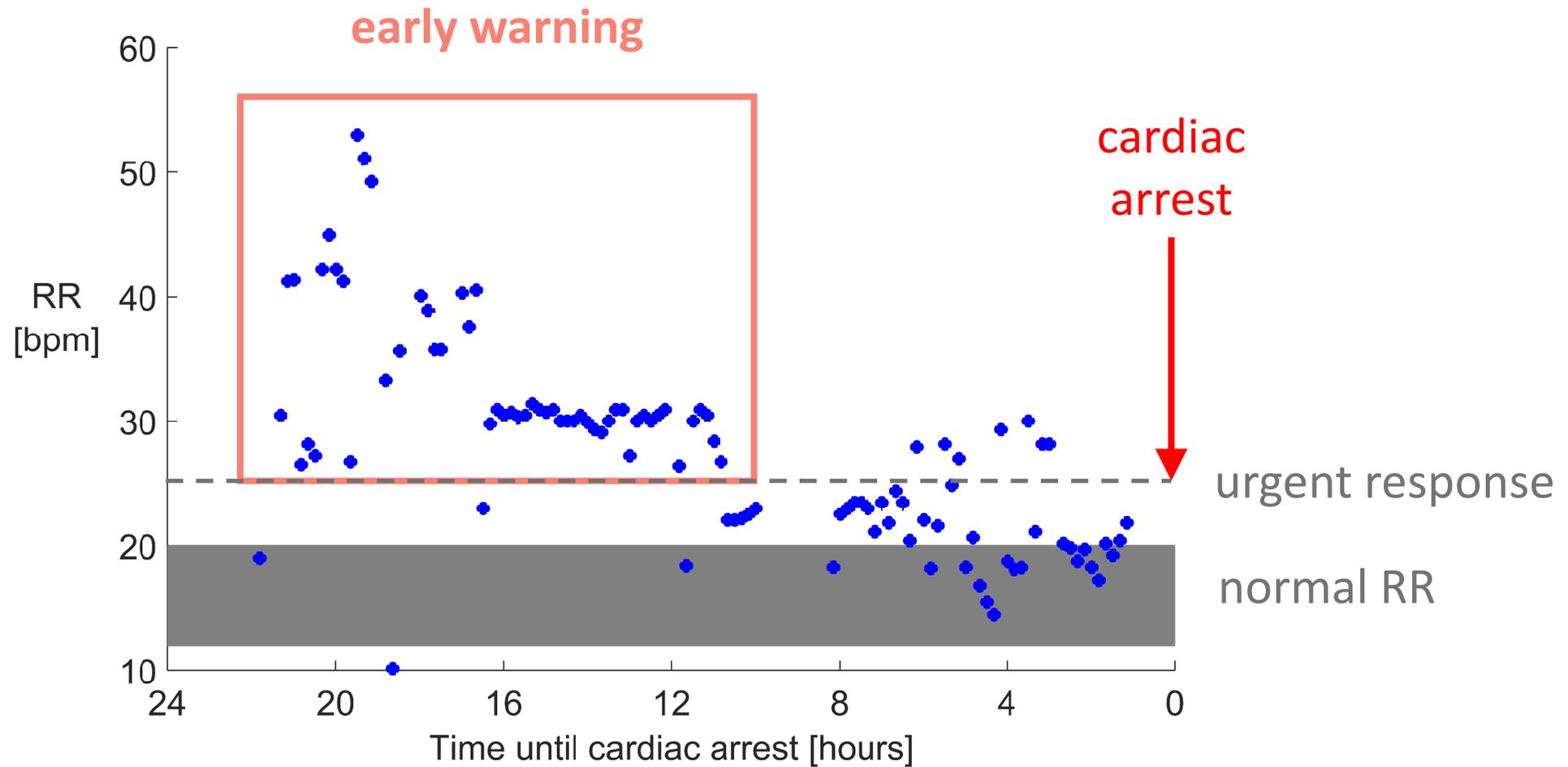
Further details at DOI: [10.1109/RBME.2017.2763681](https://doi.org/10.1109/RBME.2017.2763681) , Section 2

Outline

- Background
 - *Case Study 1: Elevated RR prior to cardiac arrest*
- RR algorithms
 - *Case Study 2: Unobtrusive RR monitoring*
- Performance assessment
 - *Case Study 3: Predicting adverse events*
- Implementation
- Conclusion

Case Study 1

ECG-derived RRs every 10 mins on hospital ward



Outline

- Background
 - *Case Study 1: Elevated RR prior to cardiac arrest*
- **RR algorithms**
 - *Case Study 2: Unobtrusive RR monitoring*
- Performance assessment
 - *Case Study 3: Predicting adverse events*
- Implementation
- Conclusion

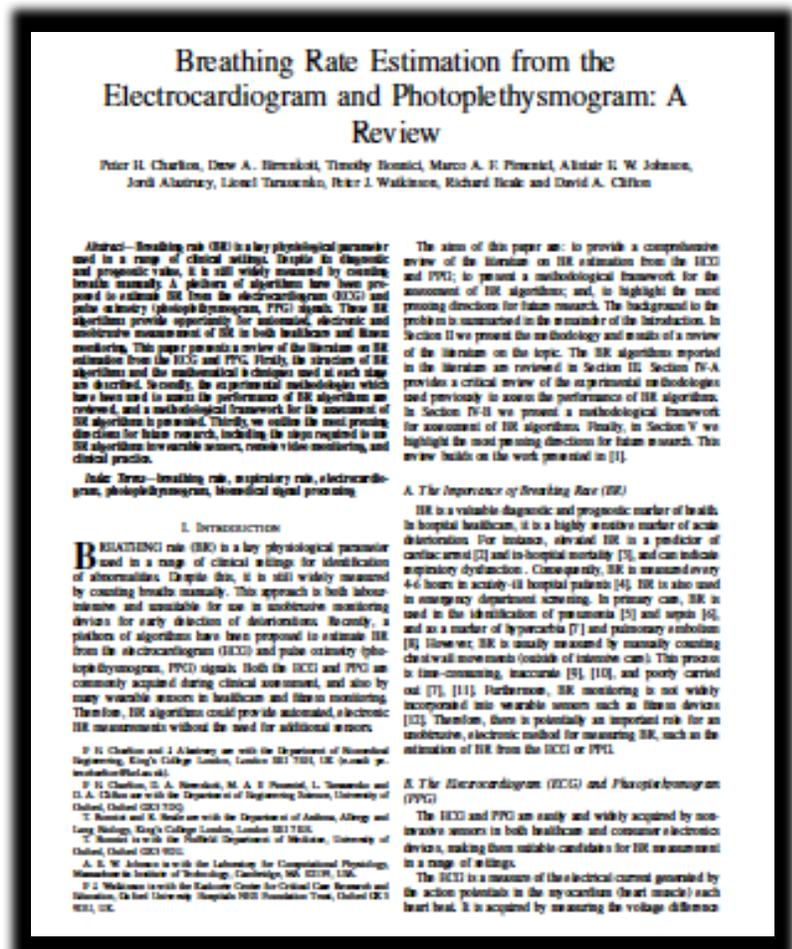
Implementation

Charlton P.H. *et al.*

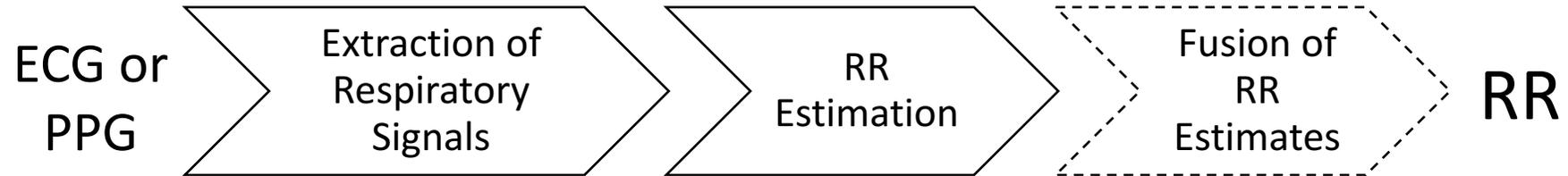
Breathing rate estimation from the electrocardiogram and photoplethysmogram: a review,

IEEE Reviews in Biomedical Engineering, In Press, 2017.

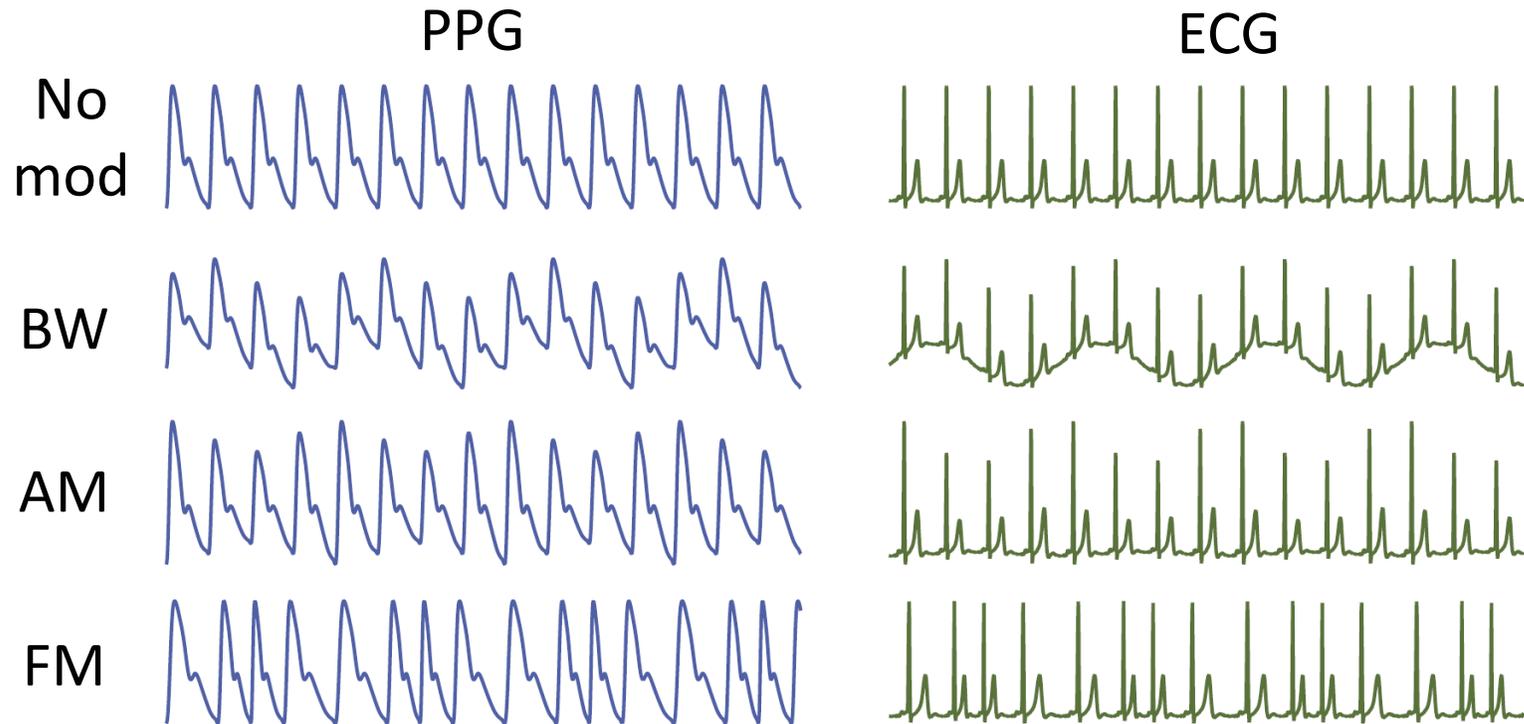
DOI: [10.1109/RBME.2017.2763681](https://doi.org/10.1109/RBME.2017.2763681) . [CC BY 3.0 Licence](https://creativecommons.org/licenses/by/3.0/)



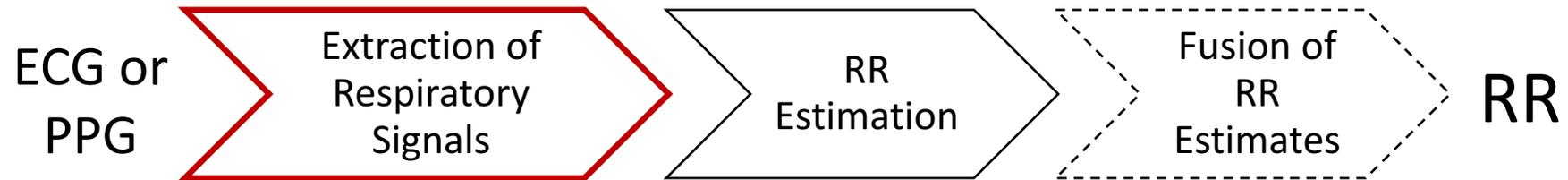
Structure of Algorithms



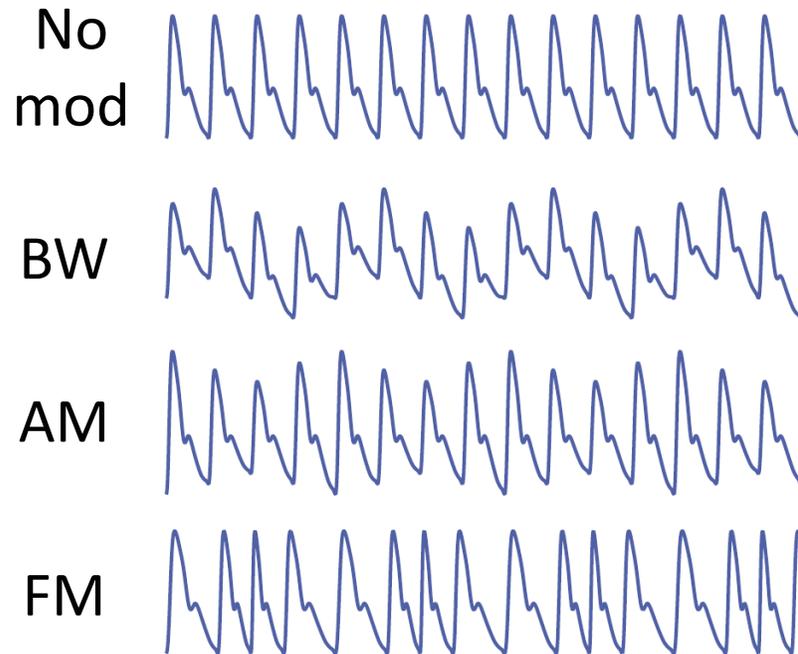
Structure of Algorithms



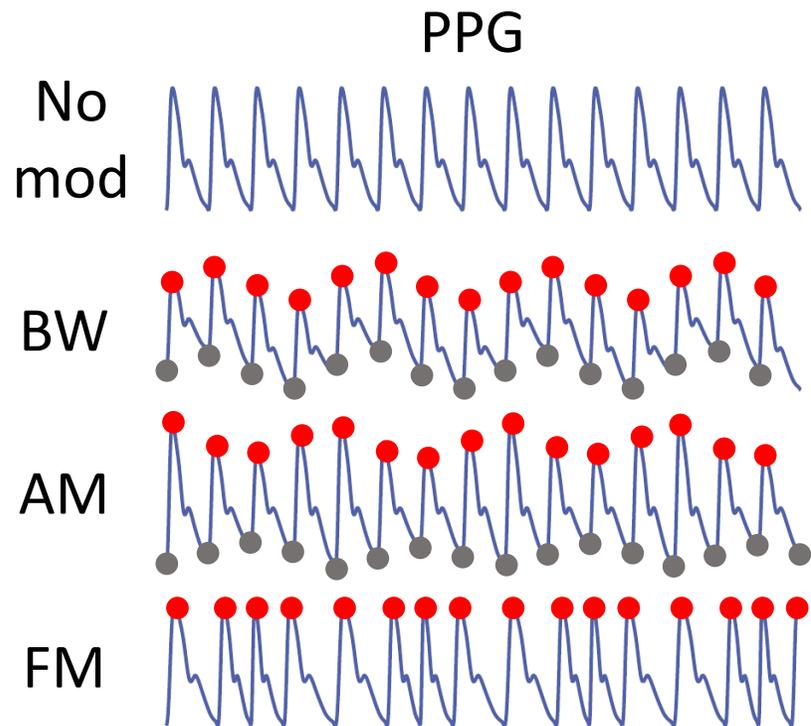
Structure of Algorithms



PPG

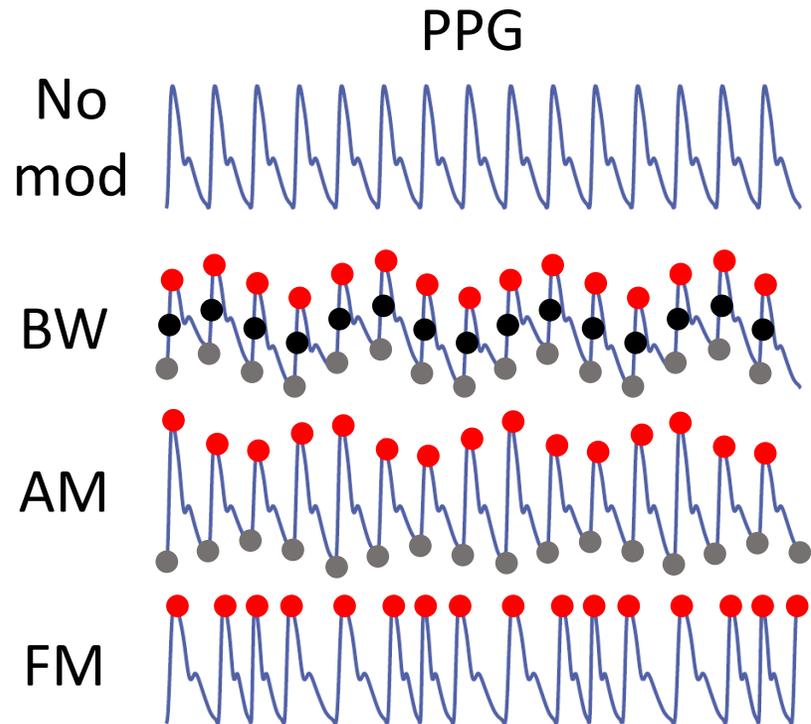


Structure of Algorithms



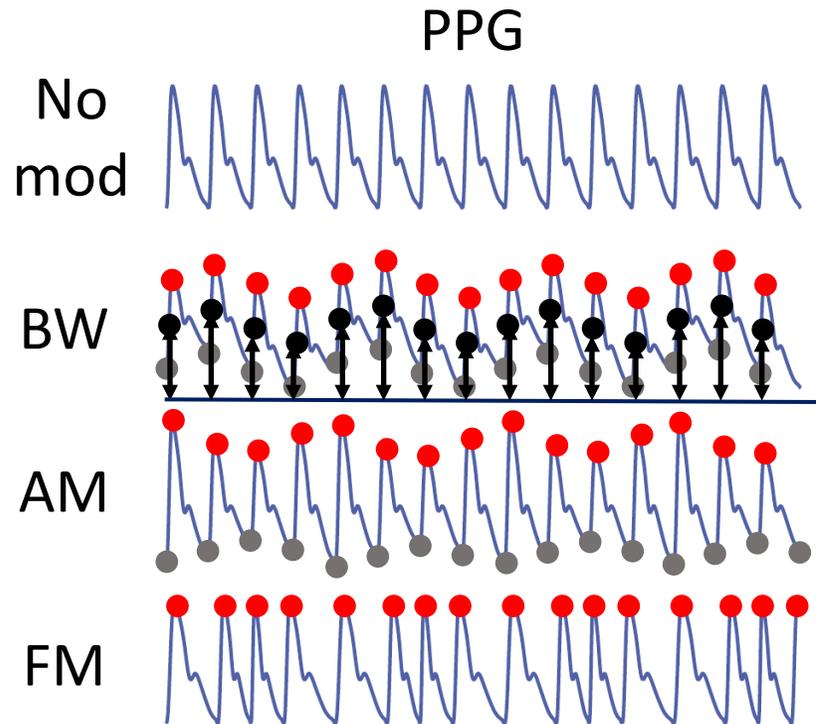
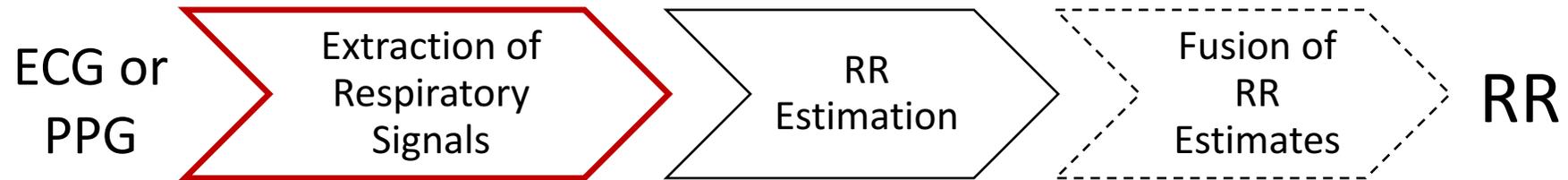
Identify fiducial points

Structure of Algorithms



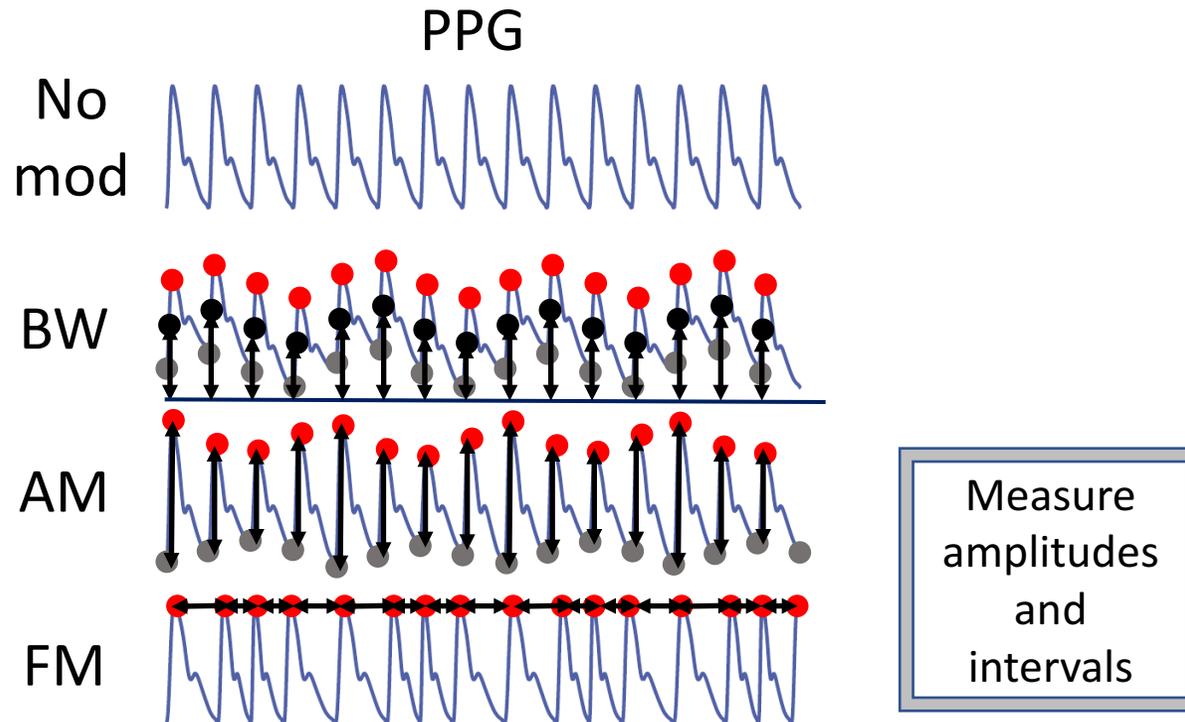
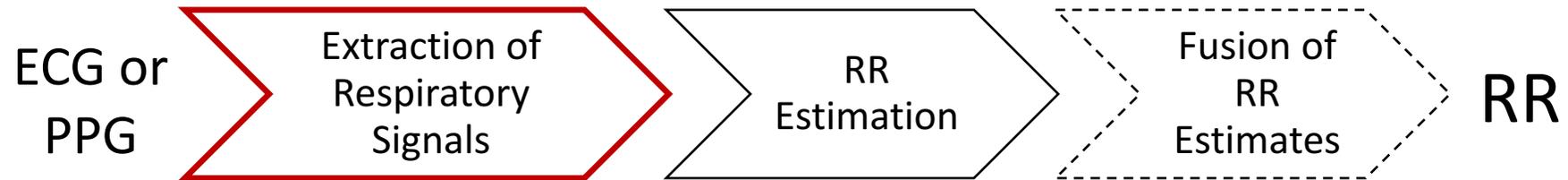
Find baseline

Structure of Algorithms

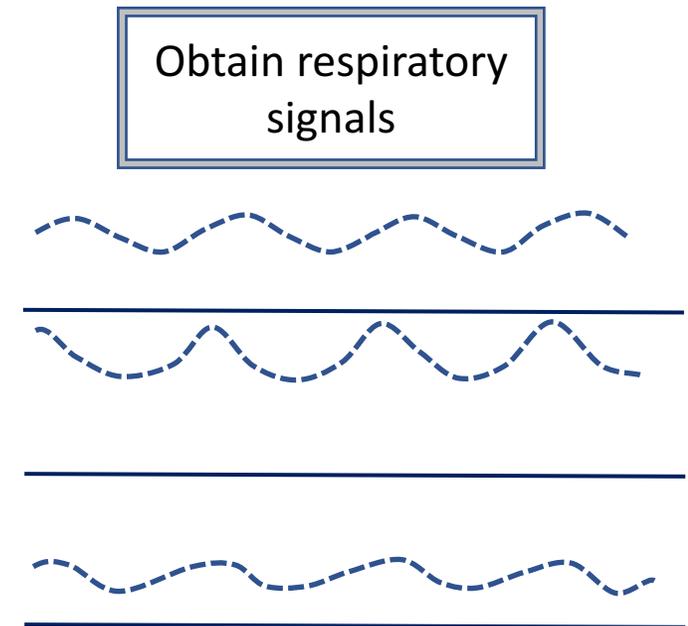
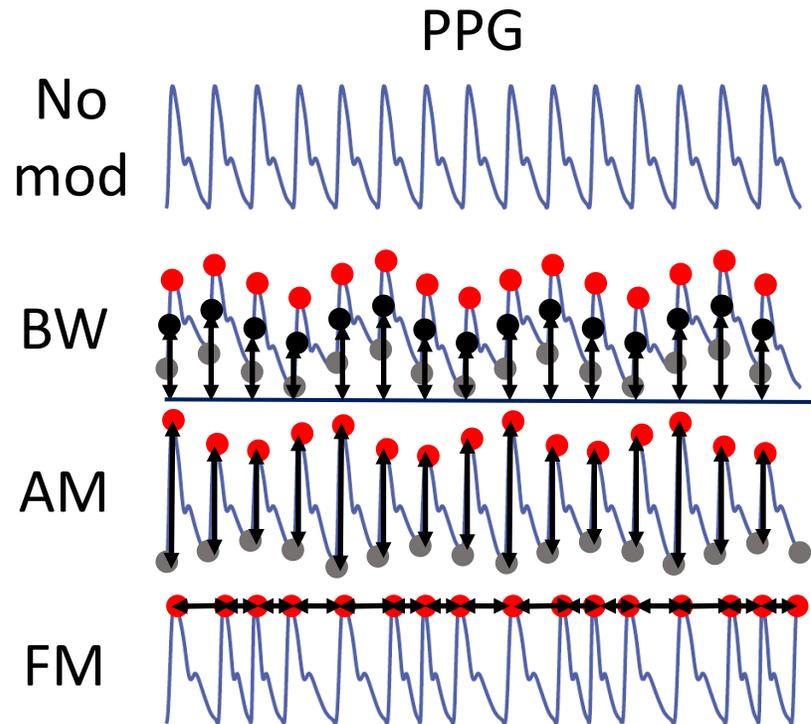


Find baseline

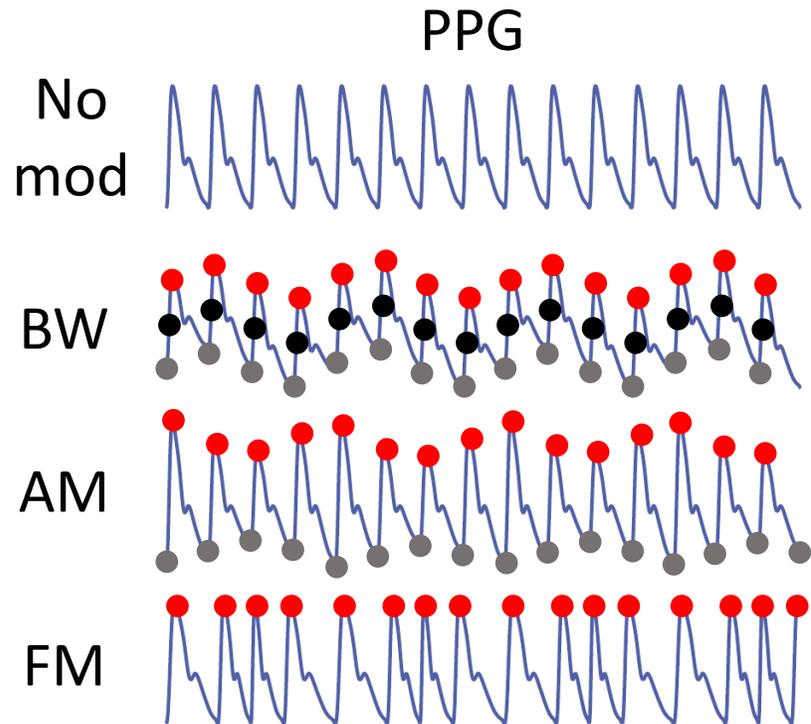
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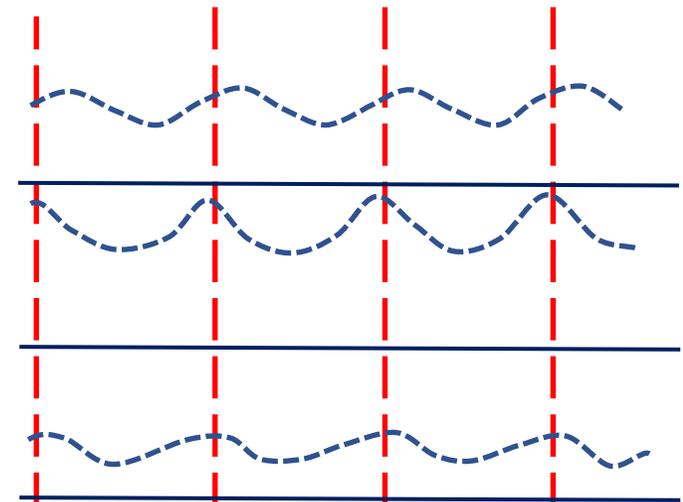
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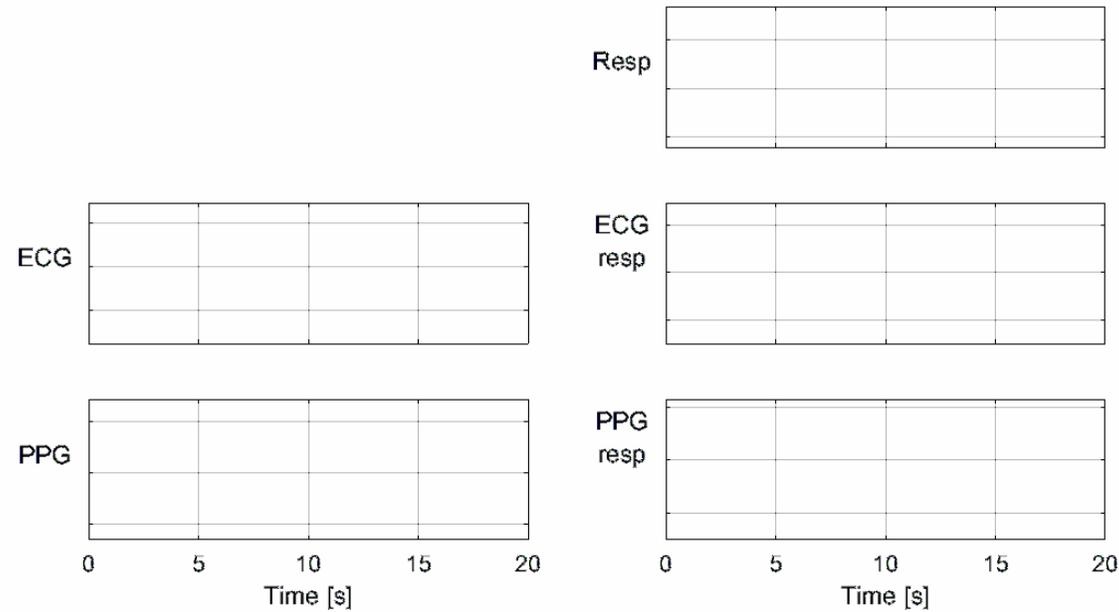
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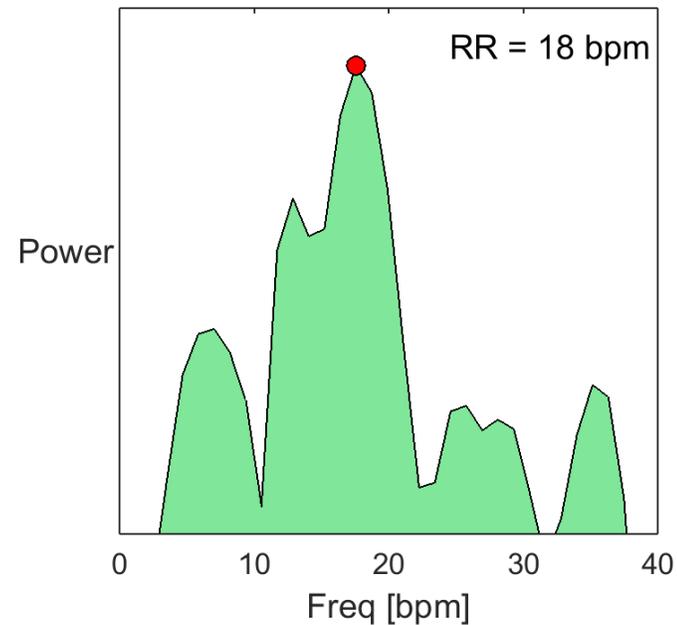
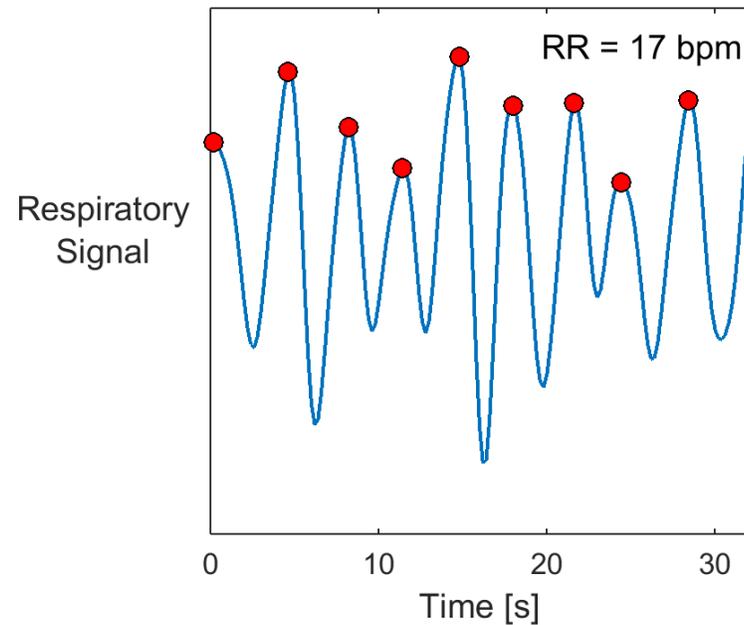
breaths



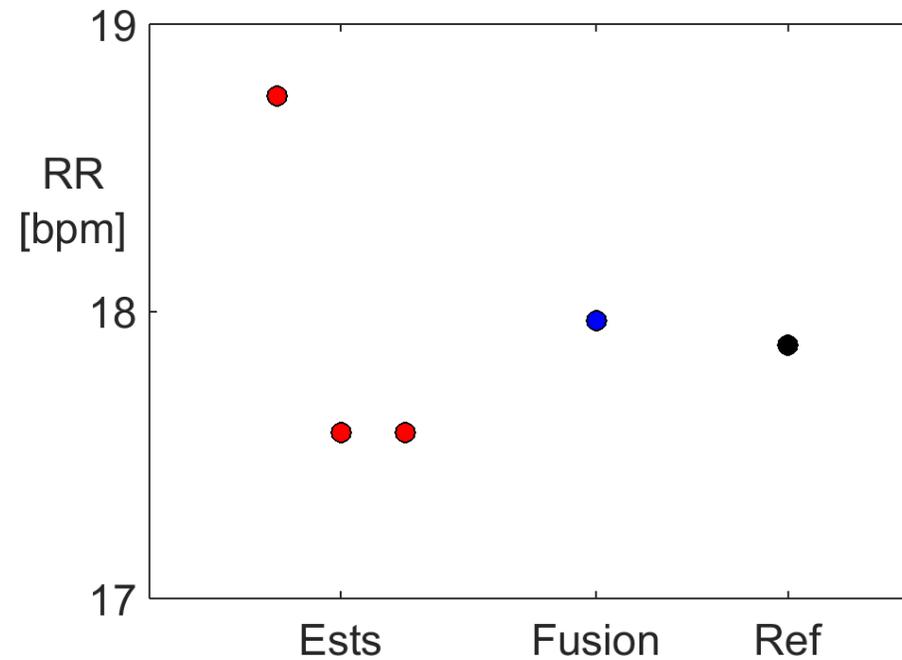
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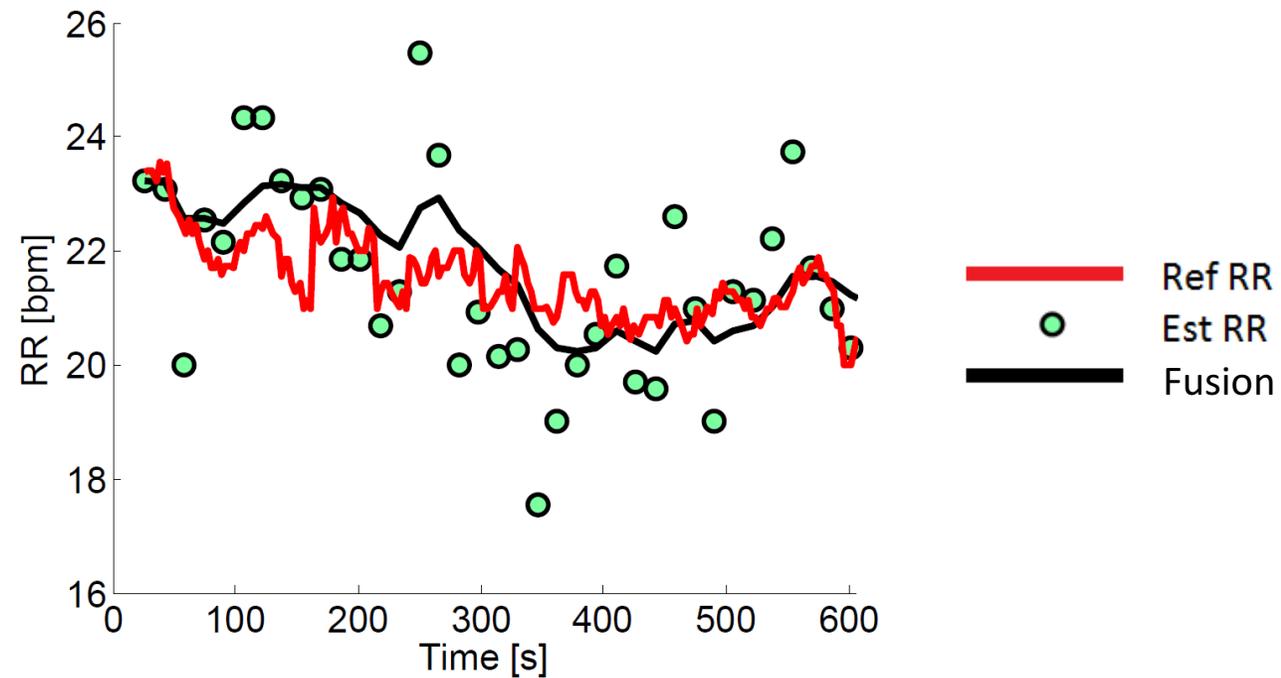
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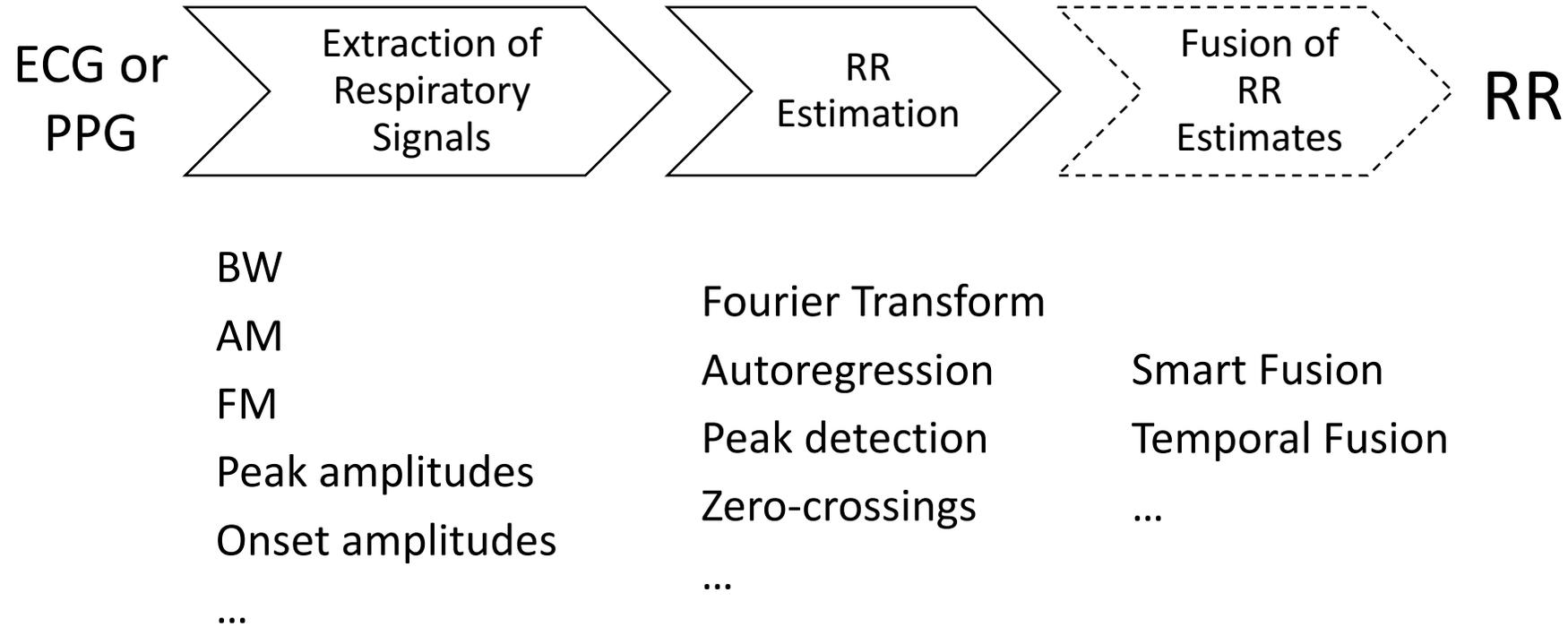
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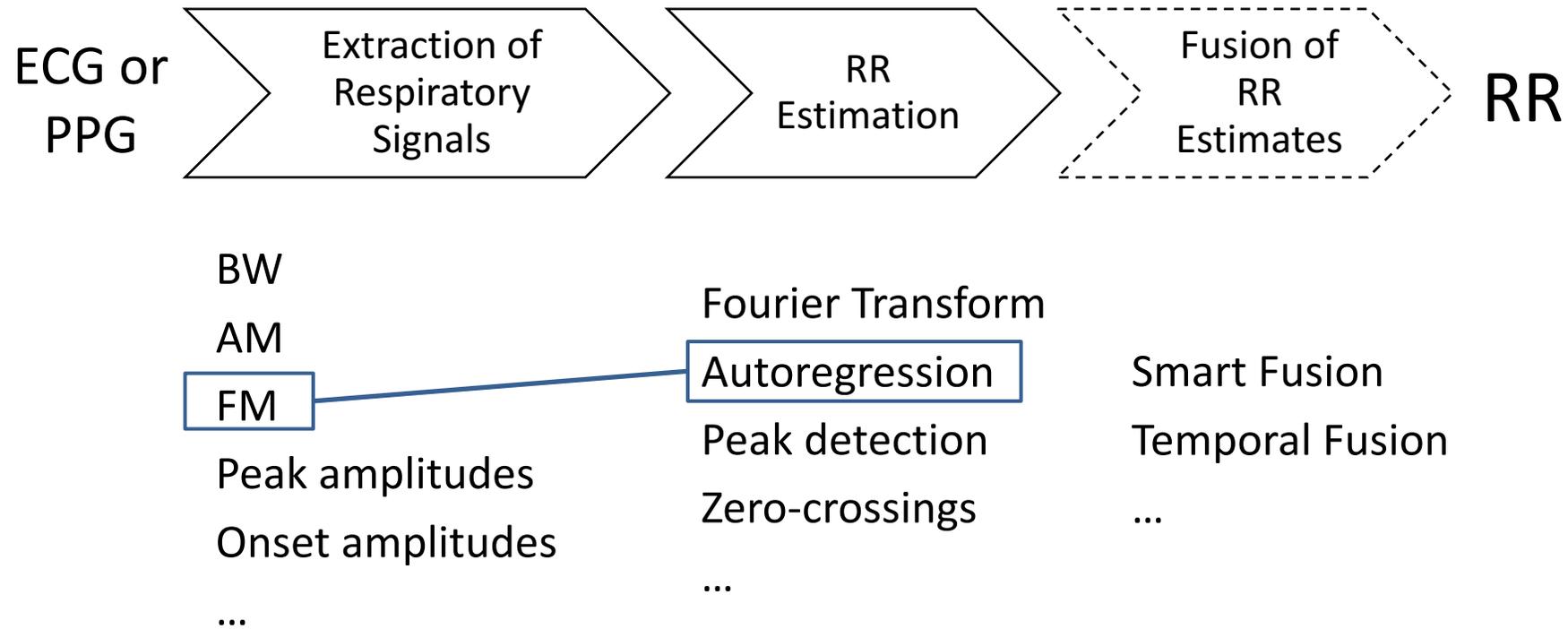
Structure of Algorithms



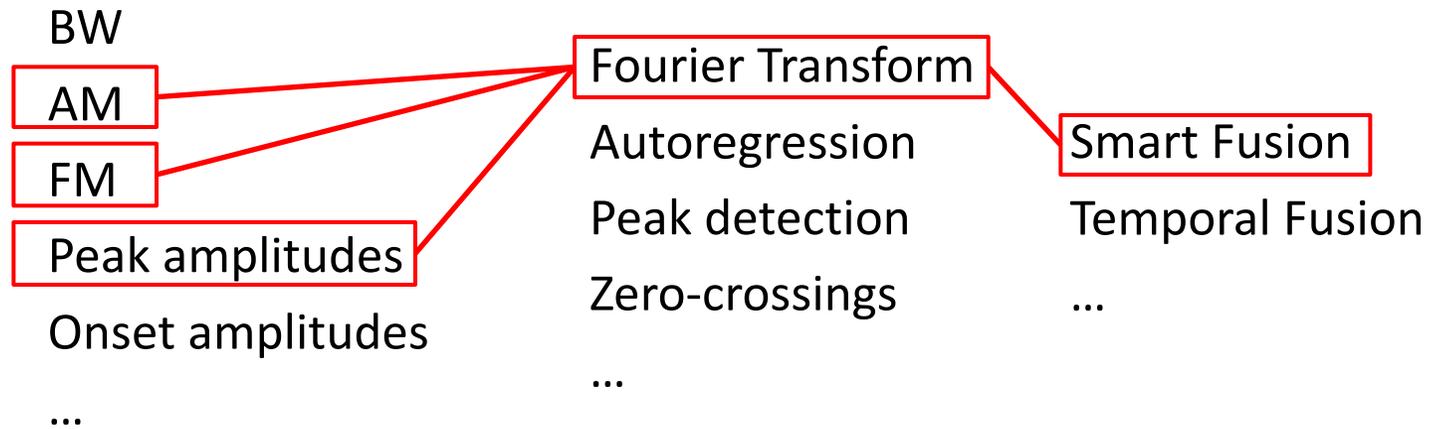
Structure of Algorithms



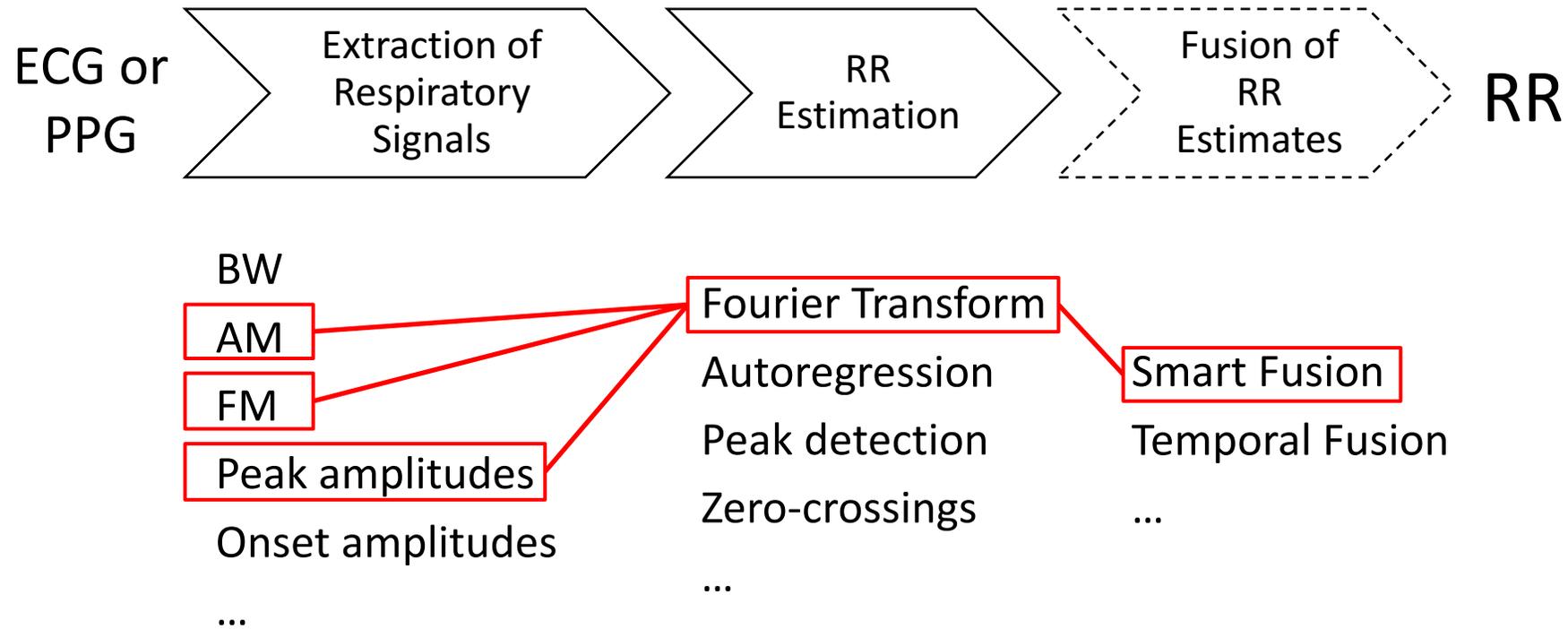
Structure of Algorithms



Structure of Algorithms



Structure of Algorithms



Further details of the structure of algorithms and possible mathematical techniques:

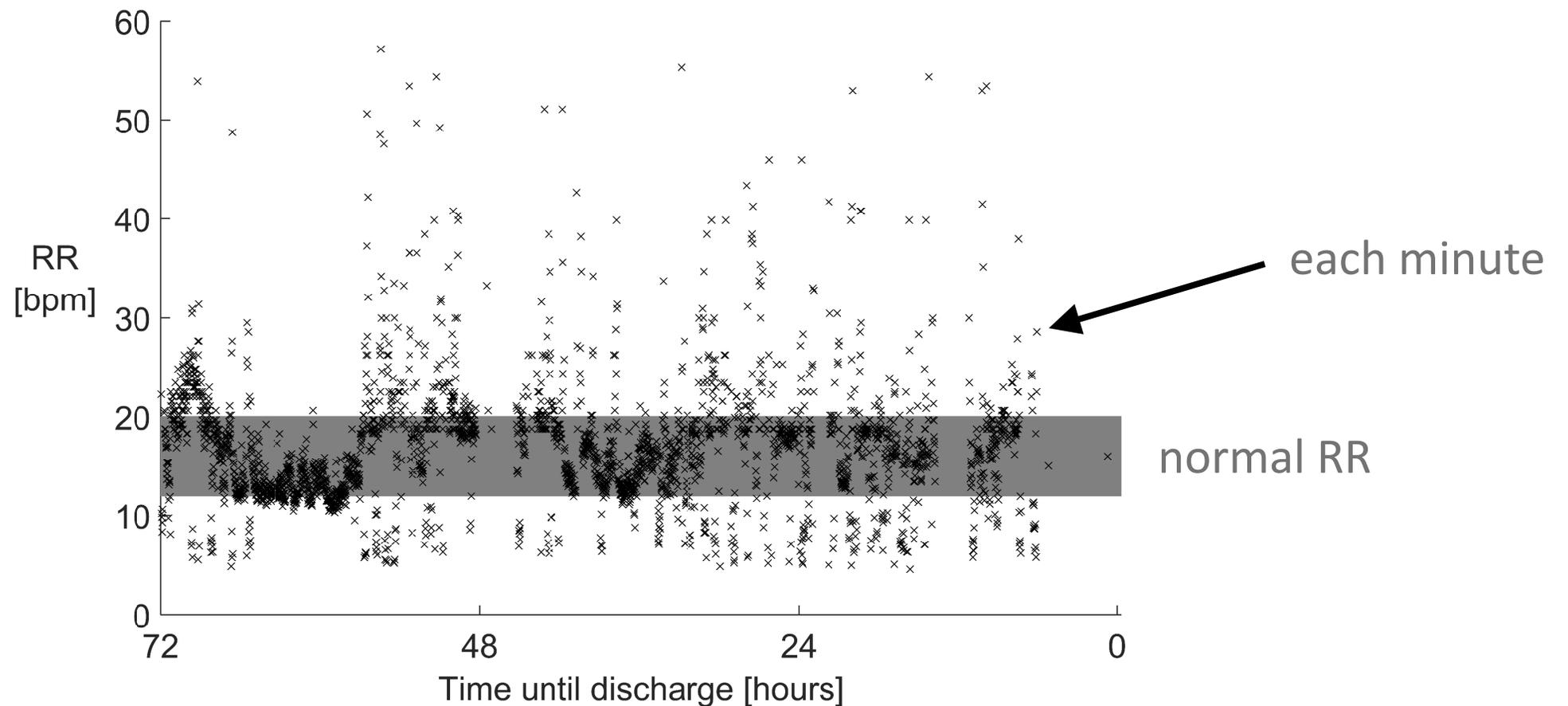
DOI: [10.1109/RBME.2017.2763681](https://doi.org/10.1109/RBME.2017.2763681) , Section 3

Outline

- Background
 - *Case Study 1: Elevated RR prior to cardiac arrest*
- RR algorithms
 - ***Case Study 2: Unobtrusive RR monitoring***
- Performance assessment
 - *Case Study 3: Predicting adverse events*
- Implementation
- Conclusion

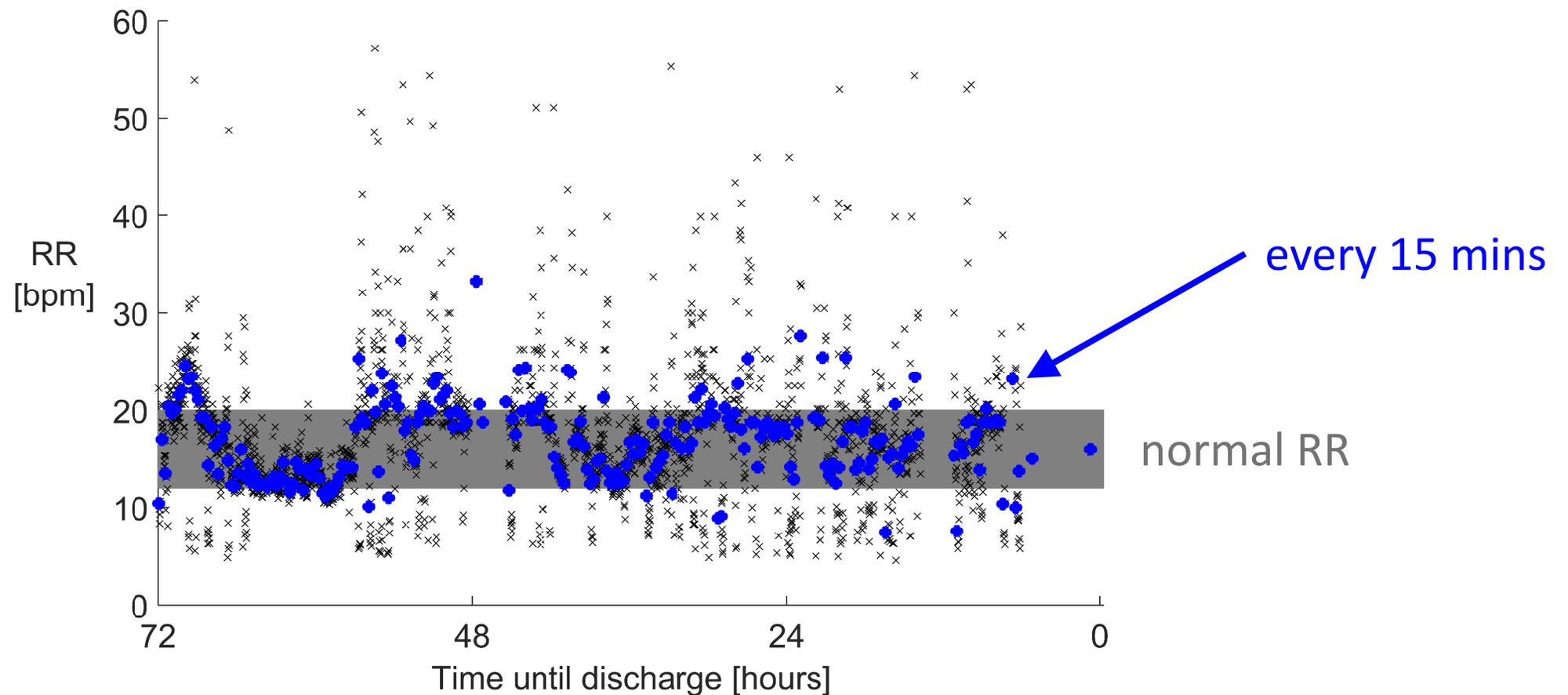
Case Study 2

ECG-derived RRs every minute throughout 3-day stay on hospital ward



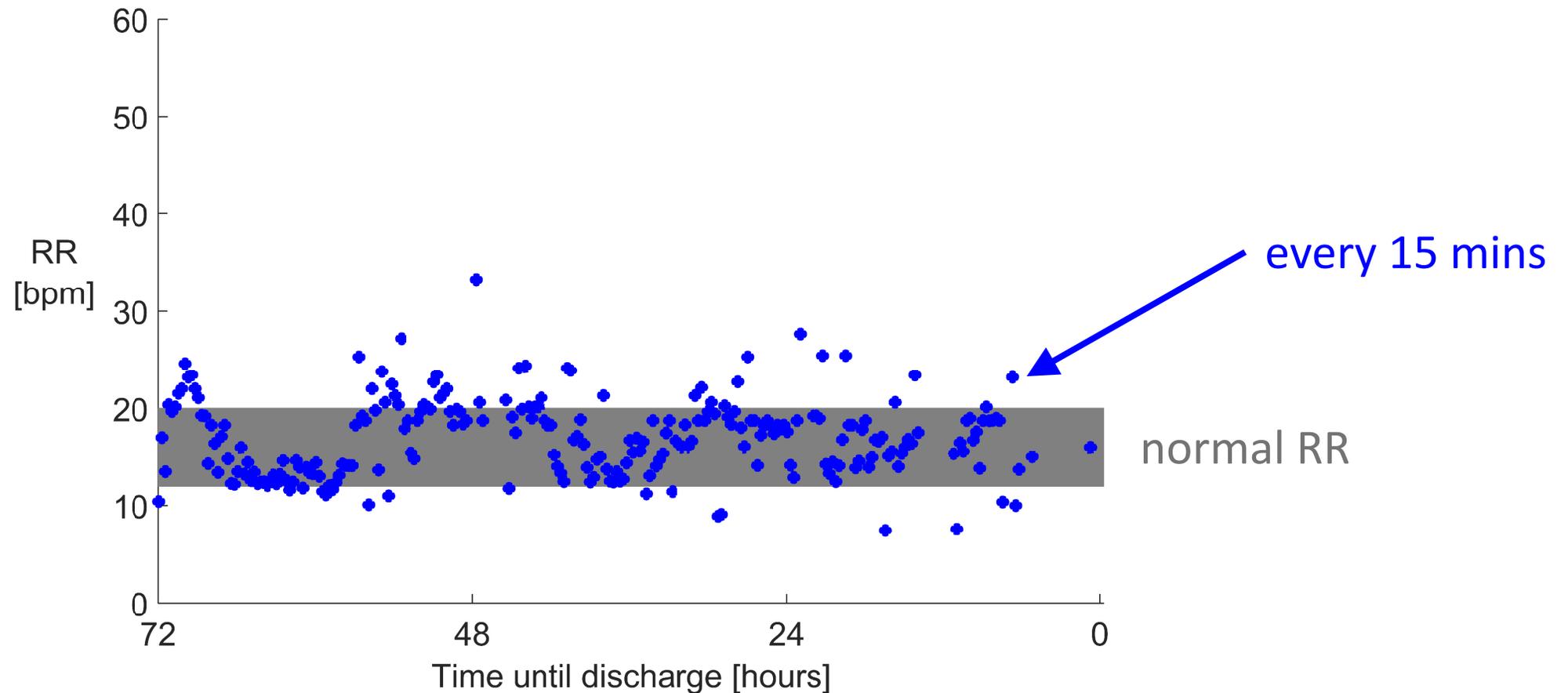
Case Study 2

ECG-derived RRs every 15 mins throughout 3-day stay on hospital ward



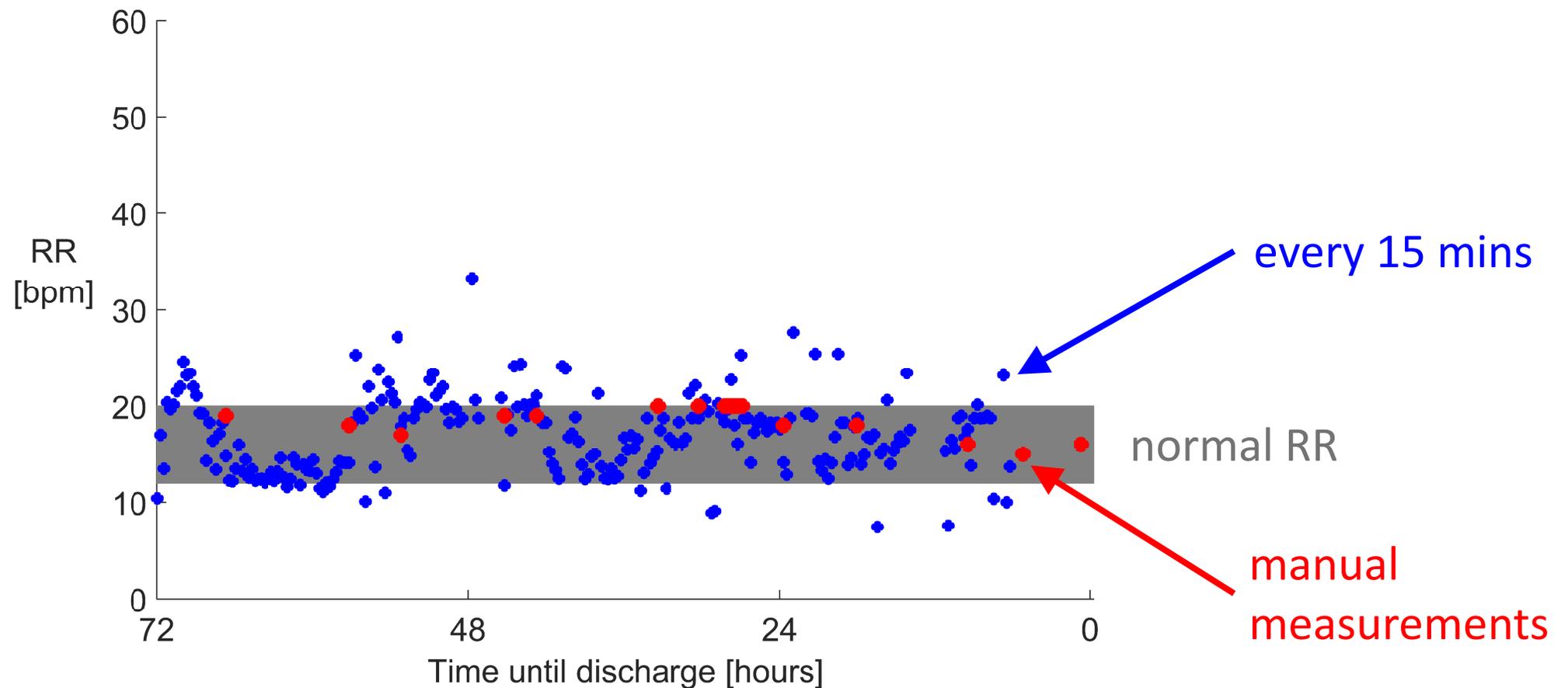
Case Study 2

ECG-derived RRs every 15 mins throughout 3-day stay on hospital ward



Case Study 2

ECG-derived RRs every 15 mins throughout 3-day stay on hospital ward



Outline

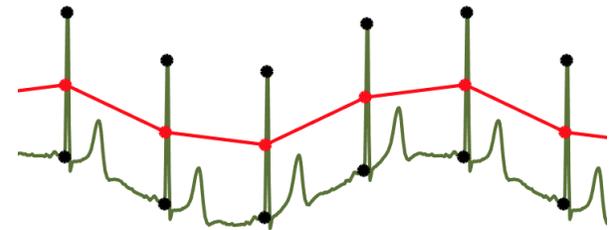
- Background
 - *Case Study 1: Elevated RR prior to cardiac arrest*
- RR algorithms
 - *Case Study 2: Unobtrusive RR monitoring*
- **Performance assessment**
 - *Case Study 3: Predicting adverse events*
- Implementation
- Conclusion

Algorithm Assessments

Difficult to determine which algorithm, if any, is suitable:



RR algorithms described in
> 196 publications



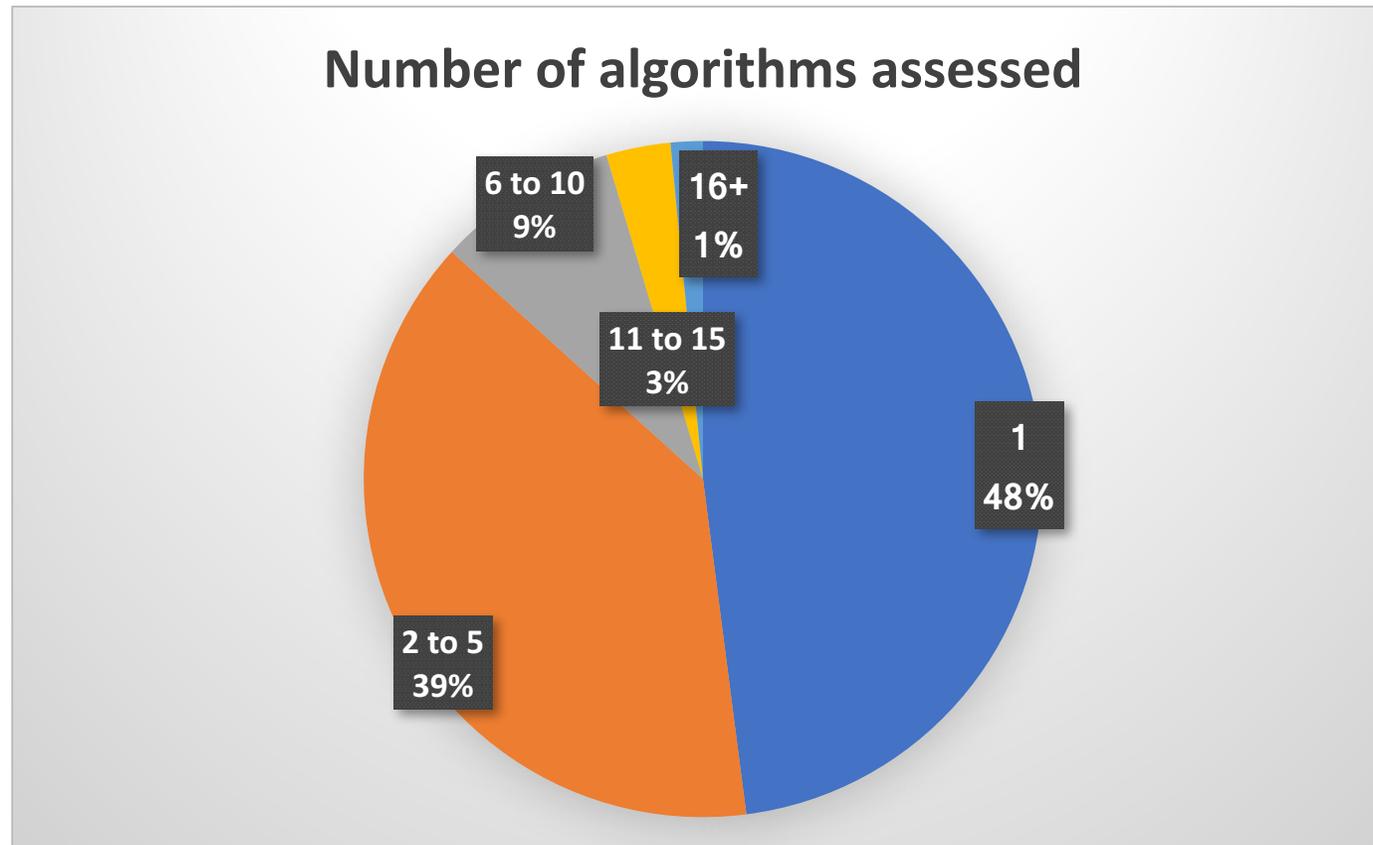
> 100 algorithms



Several potential applications

Previous Algorithm Assessments

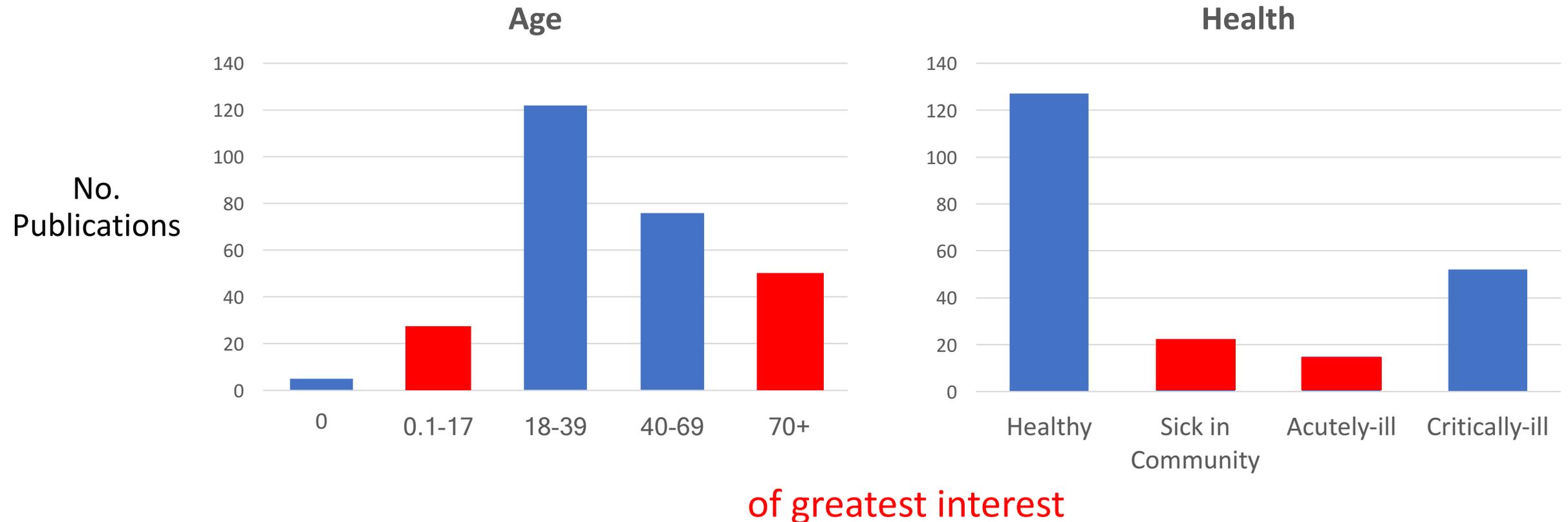
Focused on developing novel algorithms:



(out of 196 publications)

Previous Algorithm Assessments

Primarily used data from young adults, and healthy subjects:



Previous Algorithm Assessments

Many used publicly available datasets:

Dataset	No. subjects	Age	ECG	PPG	Level of Illness
CapnoBase	42	paediatric, adult	✓	✓	surgery, anaesthesia
MIMIC-II	23,180	paediatric, adult	✓	✓	critically-ill
MGH/MF	250	paediatric, adult	✓		critically-ill
MIMIC	72	adult	✓	✓	critically-ill
VORTAL	57	adult	✓	✓	healthy
Fantasia	40	adult	✓		healthy
UCD Sleep Apnea	25	adult	✓		healthy, apnea
CEBS	20	adult	✓		healthy
ECG and Resp	20	adult	✓		healthy
MIT-BIH Polysomnographic	18	adult	✓		healthy, apnea
Apnea-ECG	8	adult	✓	✓	healthy, apnea
Portland State	1	paediatric	✓	✓	critically-ill

Previous Algorithm Assessments

Further details of previous algorithm assessments:

DOI: [10.1109/RBME.2017.2763681](https://doi.org/10.1109/RBME.2017.2763681) , Section 4. A

Example Assessment

Charlton P.H. and Bonnici T. *et al.*

An assessment of algorithms to estimate respiratory rate from the electrocardiogram and photoplethysmogram

Physiological Measurement, 37(4), 2016.

DOI: [10.1088/0967-3334/37/4/610](https://doi.org/10.1088/0967-3334/37/4/610) . [CC BY 3.0 Licence](https://creativecommons.org/licenses/by/3.0/)

An assessment of algorithms to estimate respiratory rate from the electrocardiogram and photoplethysmogram

Peter H Charlton^{1,2,3}, Timothy Bonnici^{1,4,5}, Lionel Tarassenko², David A Clifton², Richard Beale¹ and Peter J Watkinson¹

¹ School of Medicine, King's College London, UK

² Department of Engineering Science, Institute of Biomedical Engineering, University of Oxford, UK

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Published 30 March 2016



Abstract

Over 100 algorithms have been proposed to estimate respiratory rate (RR) from the electrocardiogram (ECG) and photoplethysmogram (PPG). As they have never been compared systematically it is unclear which algorithm performs the best.

Our primary aim was to determine how closely algorithms agreed with a gold standard RR measure when operating under ideal conditions. Secondary aims were: (i) to compare algorithm performance with IP, the clinical standard for continuous respiratory rate measurement in spontaneously breathing patients; (ii) to compare algorithm performance when using ECG and PPG; and (iii) to provide a toolbox of algorithms and data to allow future researchers to conduct reproducible comparisons of algorithms.

Algorithms were divided into three stages: extraction of respiratory signals, estimation of RR, and fusion of estimates. Several interchangeable techniques were implemented for each stage. Algorithms were assembled using all possible combinations of techniques, many of which were novel. After verification on simulated data, algorithms were tested on data from healthy participants. RRs derived from ECG, PPG and IP were compared to

³ Contributed equally to this work.



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0967-3334/16/040610-17\$32.00 © 2016 Institute of Physics and Engineering in Medicine. Printed in the UK

610

Example Assessment

Primary aim:

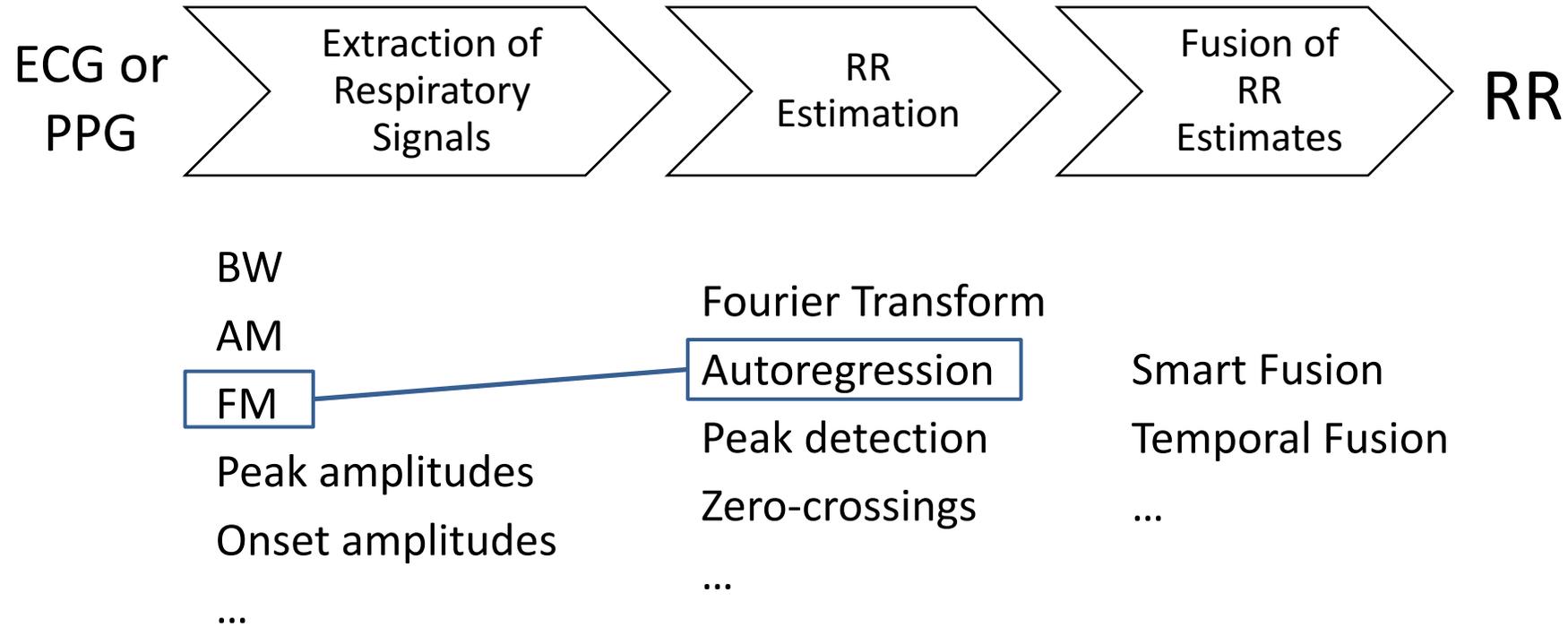
- Determine how closely algorithms agree with a gold standard reference RR under ideal conditions

Secondary aims:

- Compare performance to impedance pneumography
- Compare performance when using ECG or PPG

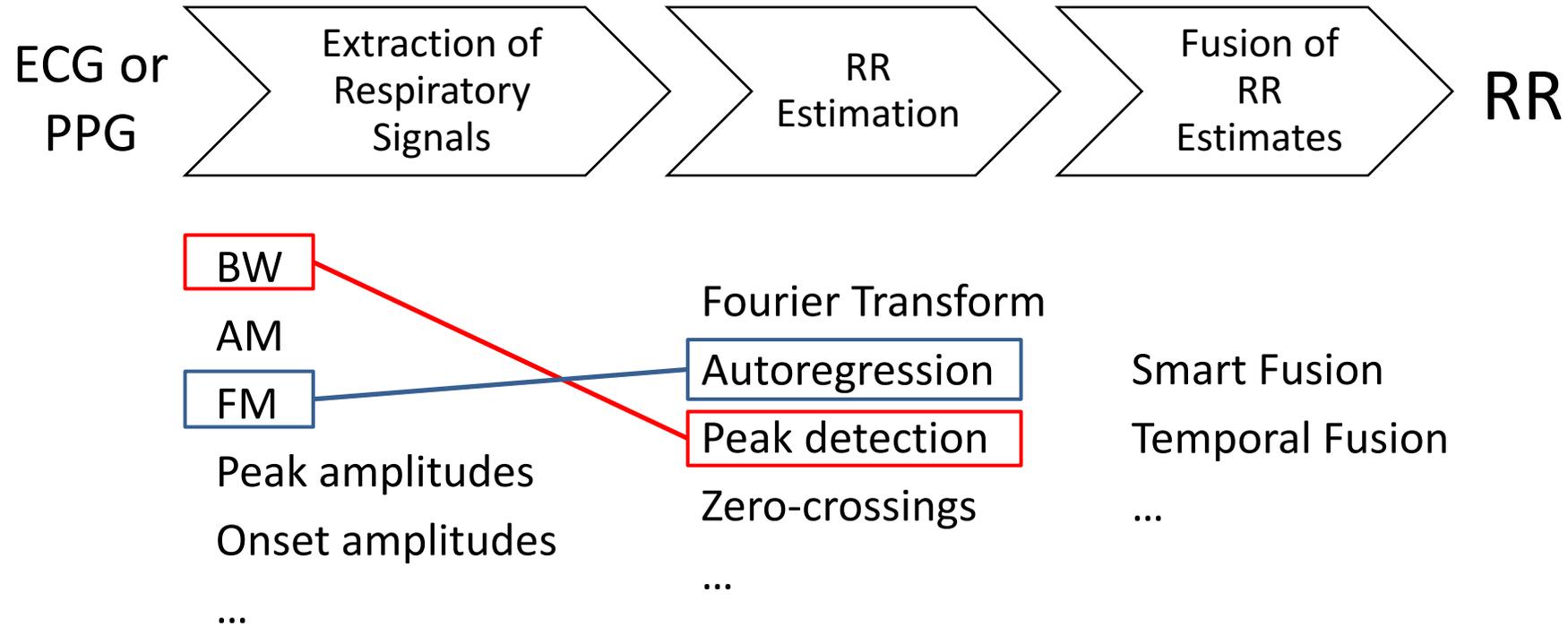
Example Assessment

Implementing RR algorithms:



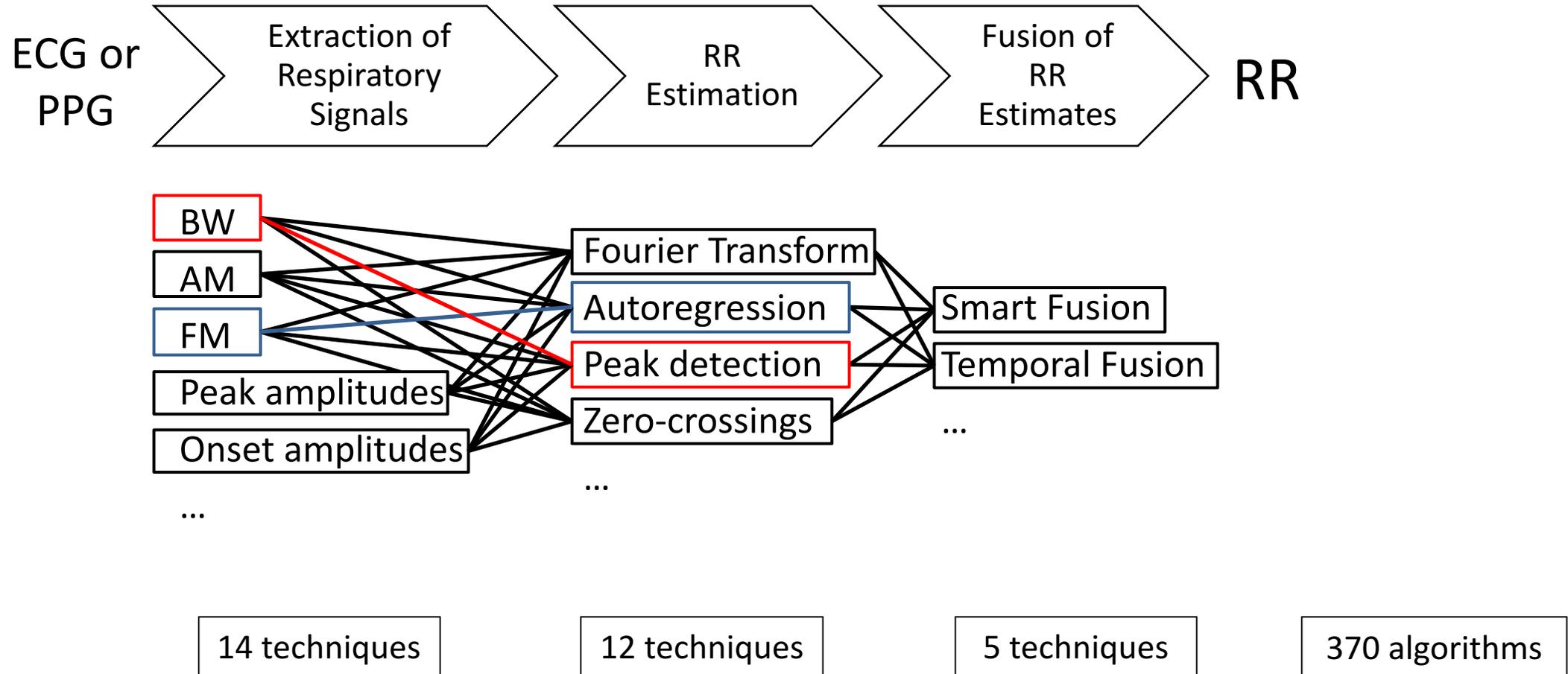
Example Assessment

Implementing RR algorithms:



Example Assessment

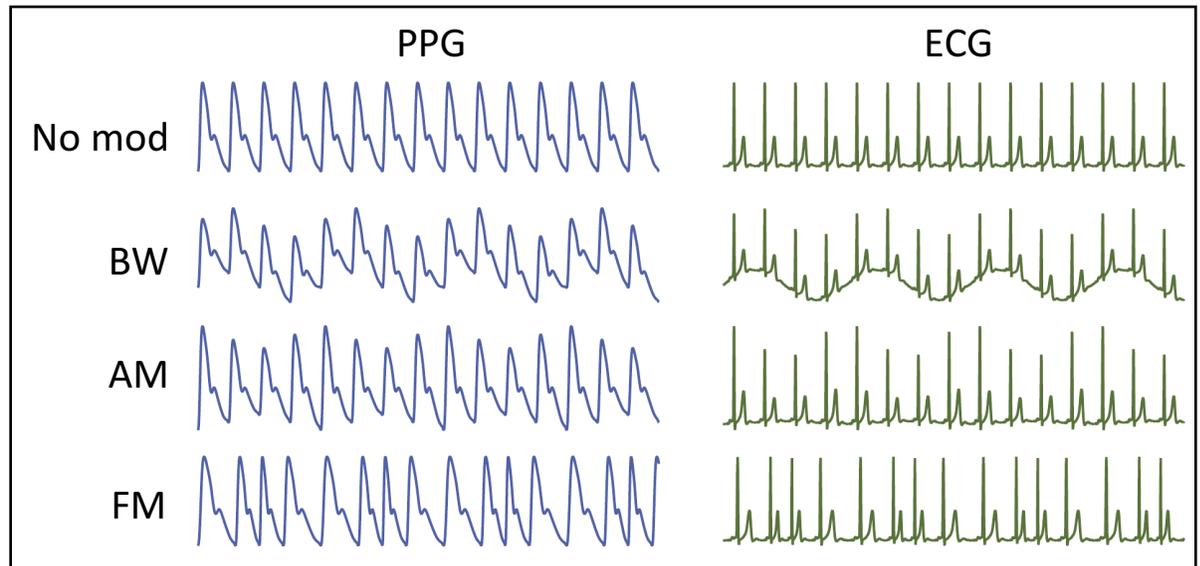
Implementing RR algorithms:



Example Assessment

Verifying algorithm implementations:

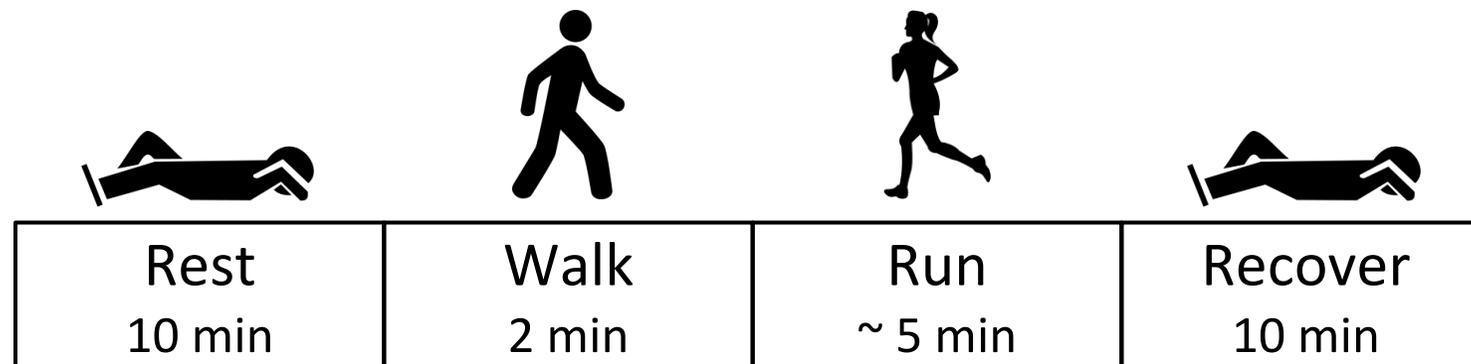
- Simulated data
- RR = 18 bpm, HR = 30:5:200 bpm
- HR = 80 bpm, RR = 4:2:60 bpm
- 314 (85%) of algorithms accurate, two techniques removed



Example Assessment

VORTAL dataset:

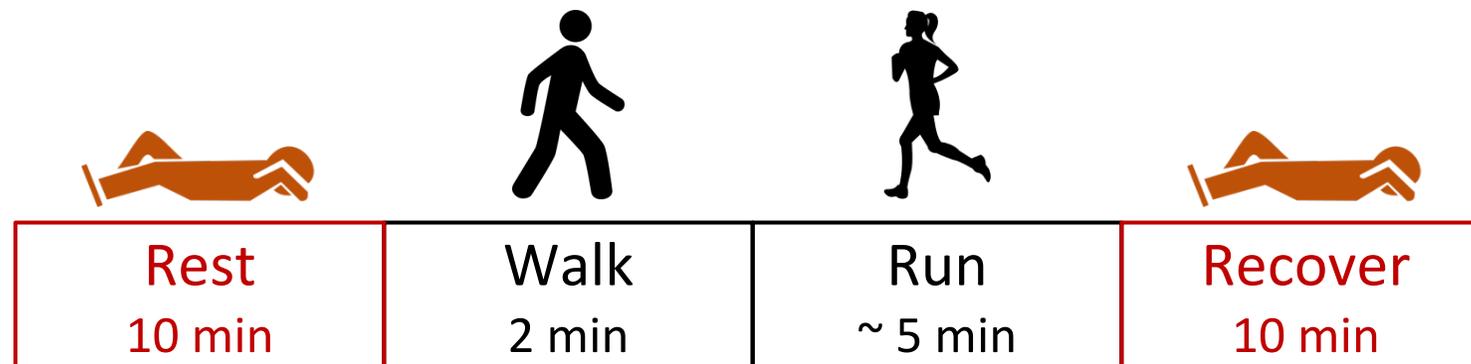
- 39 subjects, aged 18 to 39
- Healthy



Example Assessment

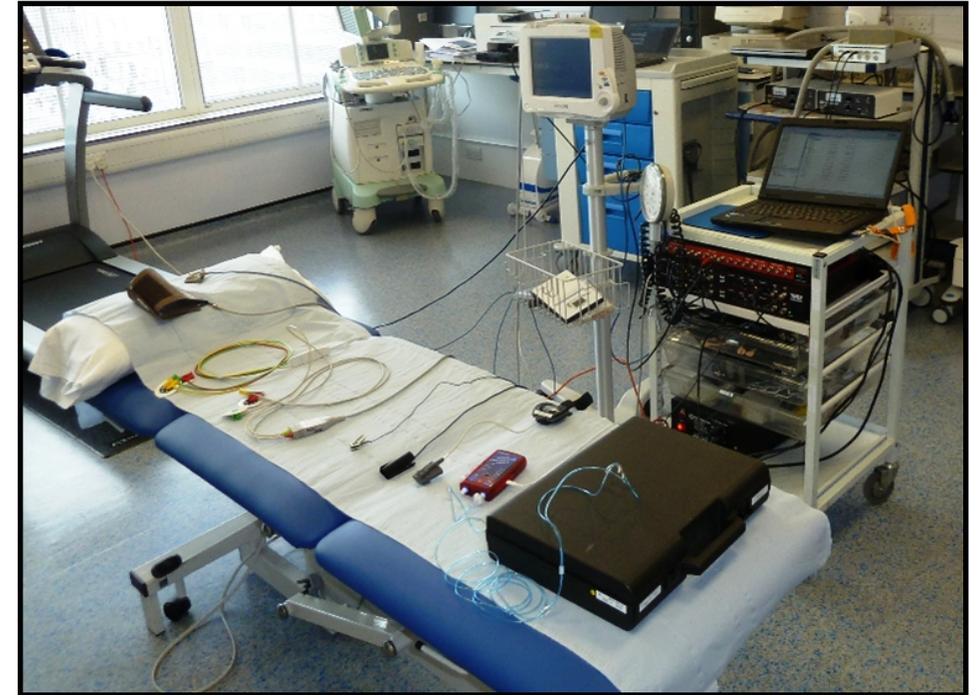
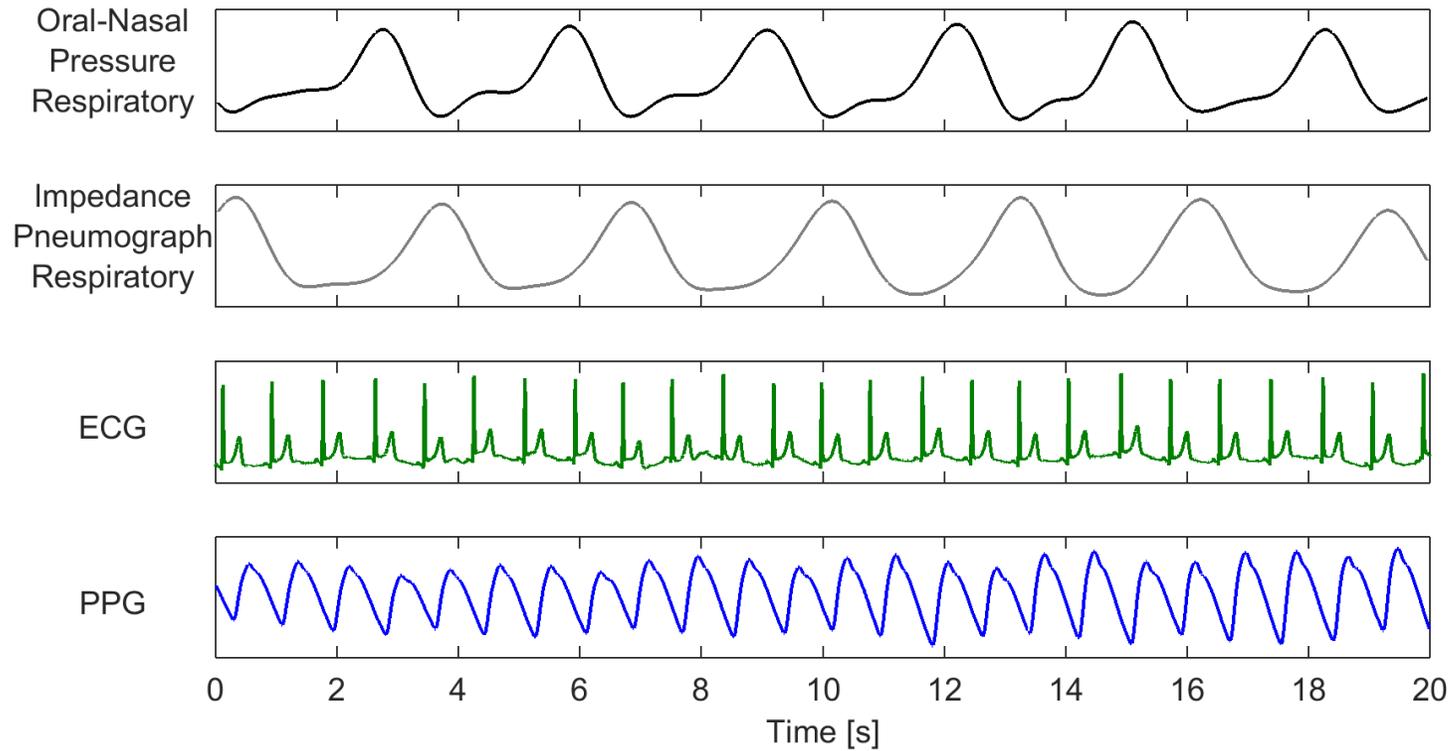
VORTAL dataset:

- 39 subjects, aged 18 to 39
- Healthy



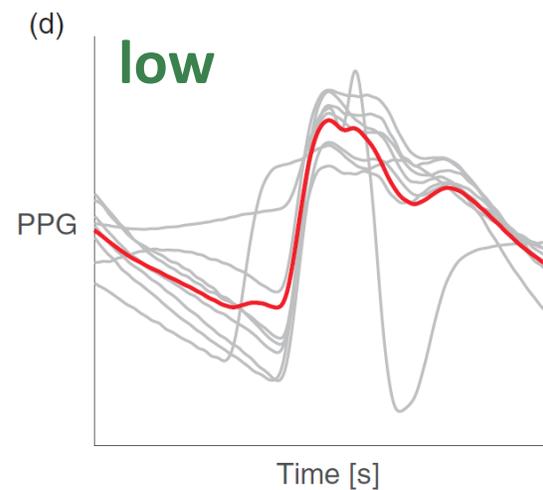
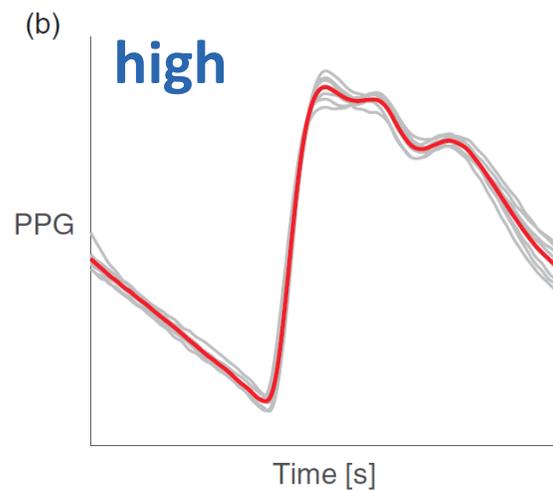
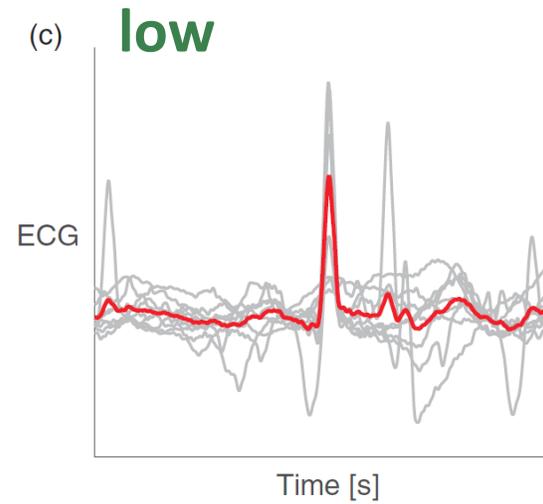
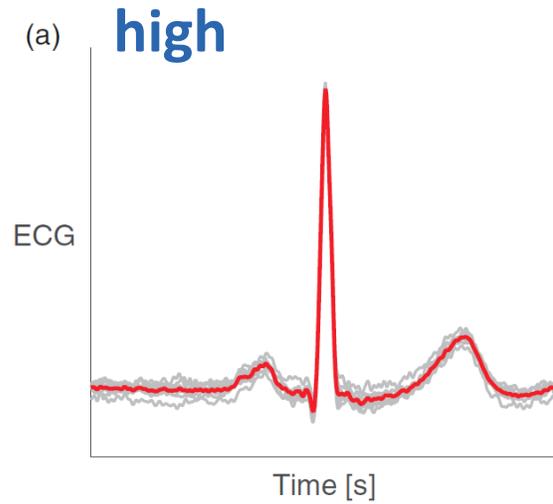
Example Assessment

Signals:



Example Assessment

Signal quality:

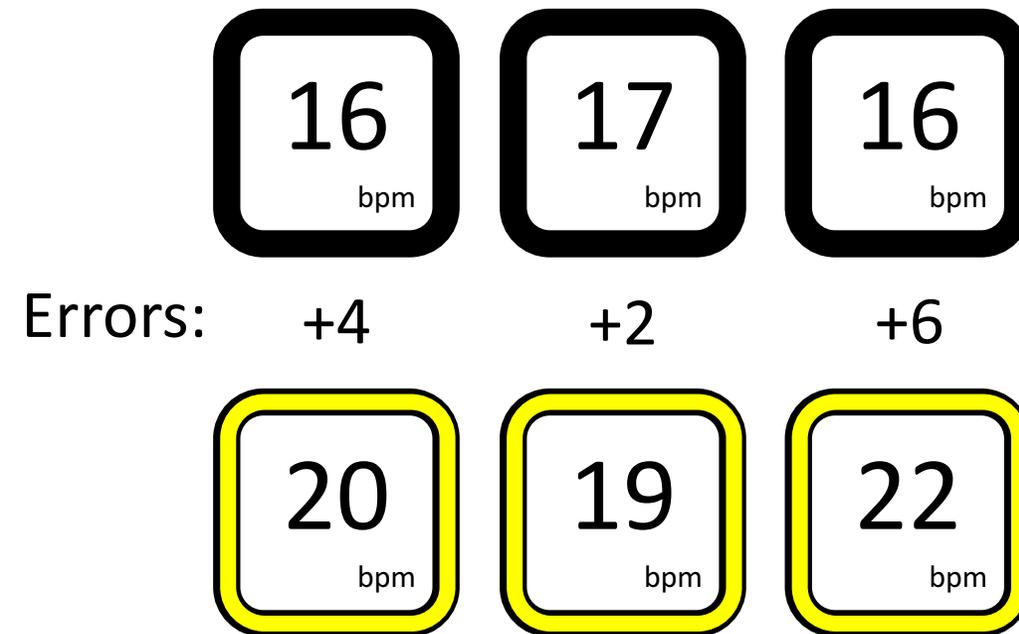
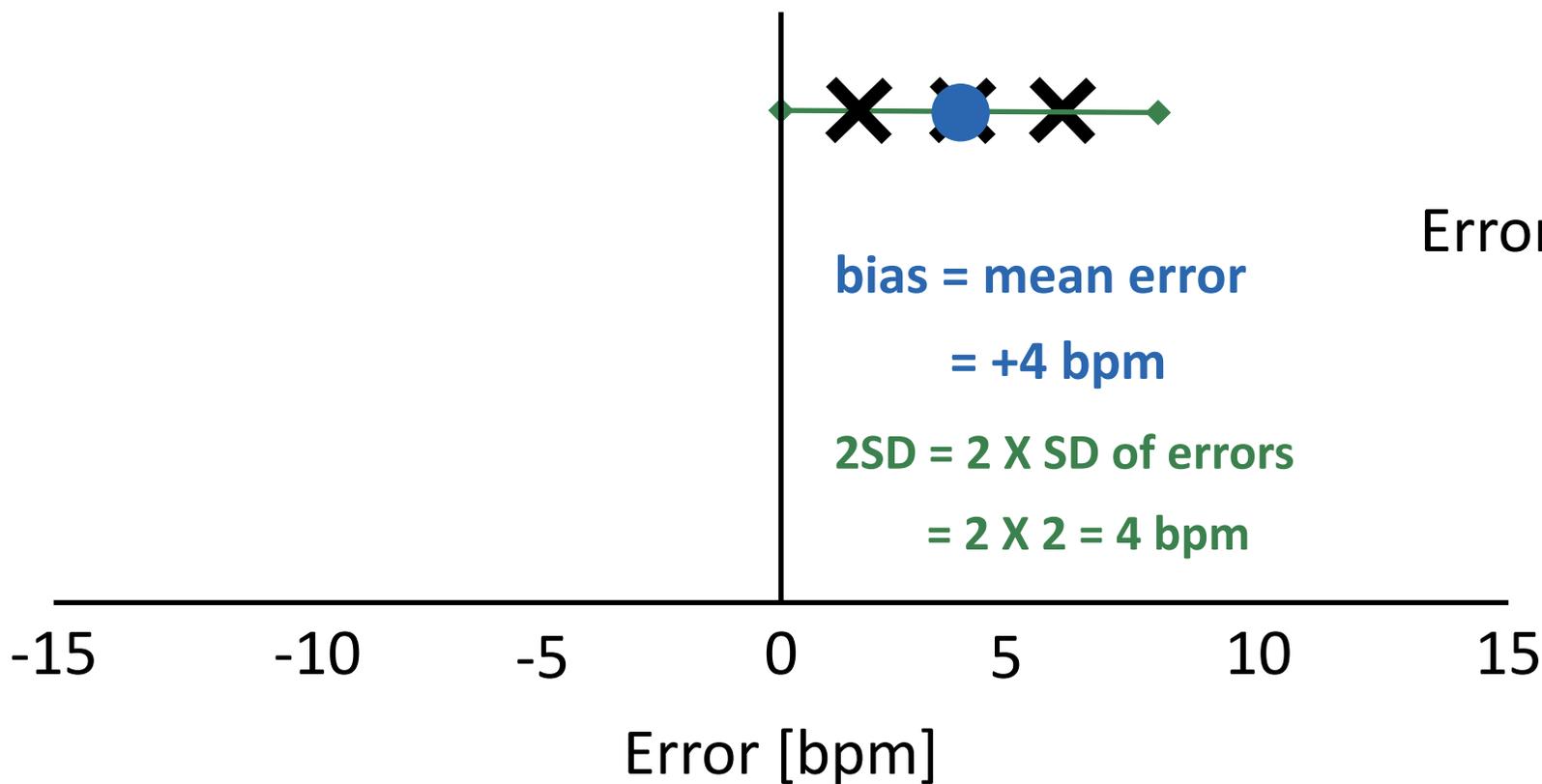


Further details:

DOI: [10.1109/JBHI.2014.2338351](https://doi.org/10.1109/JBHI.2014.2338351)

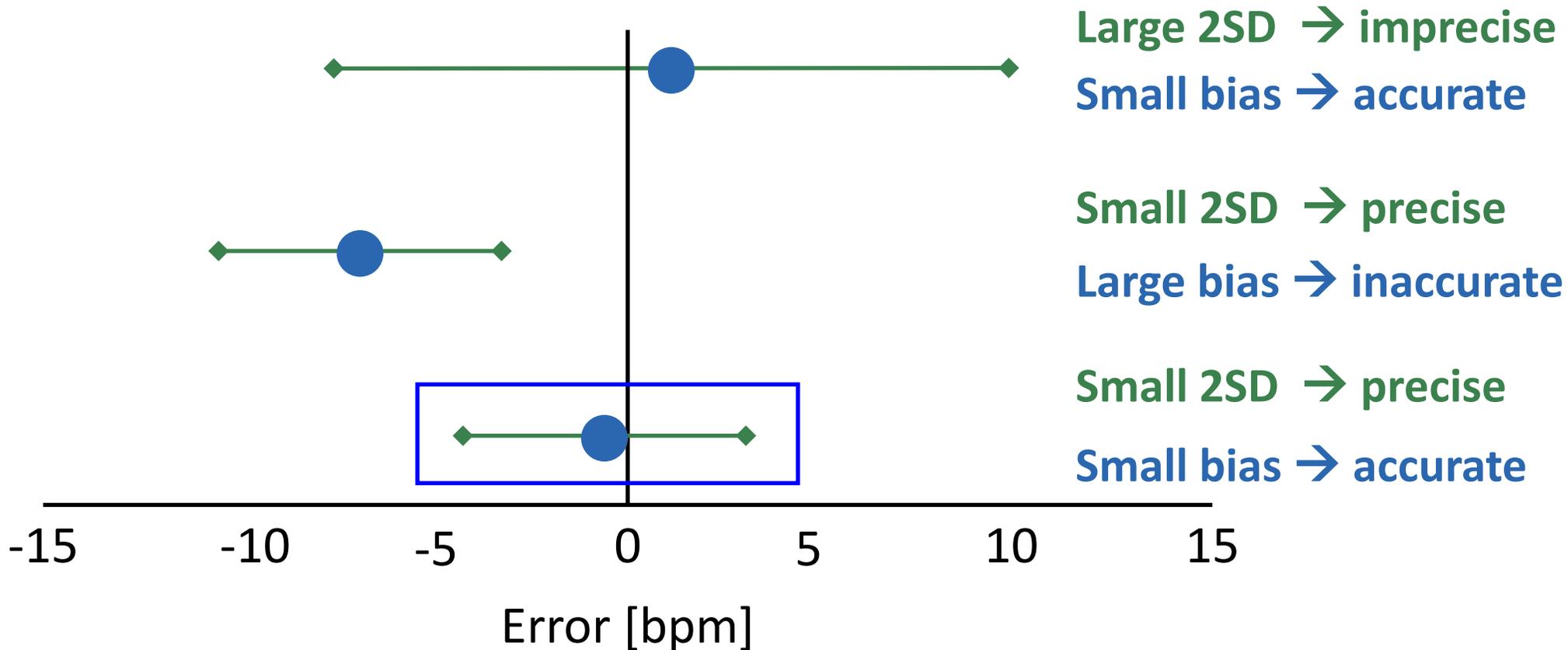
Example Assessment

Statistics: Limits of agreement: **bias**, **2SD** (95% CIs)



Example Assessment

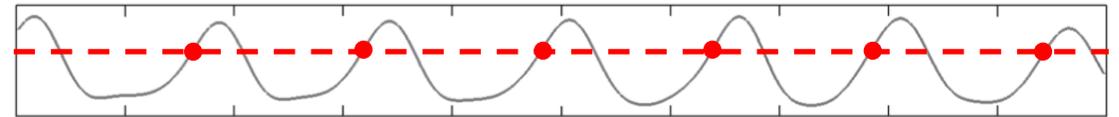
Statistics: Limits of agreement: (i) **bias**, (ii) **2SD** (95% CIs)



Example Assessment

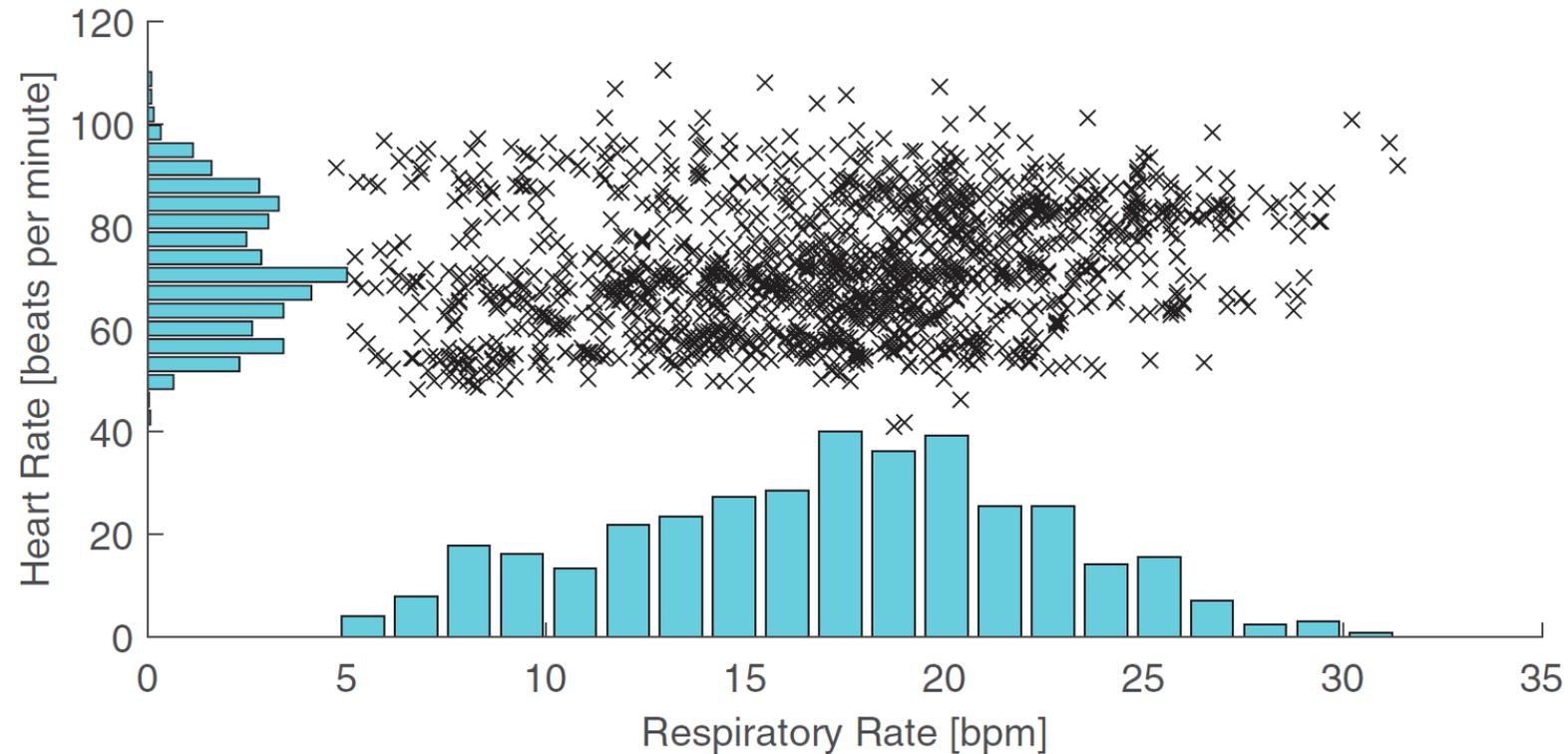
Reference RRs:

- Oral-nasal pressure
- Positive-gradient crossings
- Threshold determined using annotated breaths
- Performance:
 - Bias: 0.0 bpm
 - 2SD: 1.3 bpm



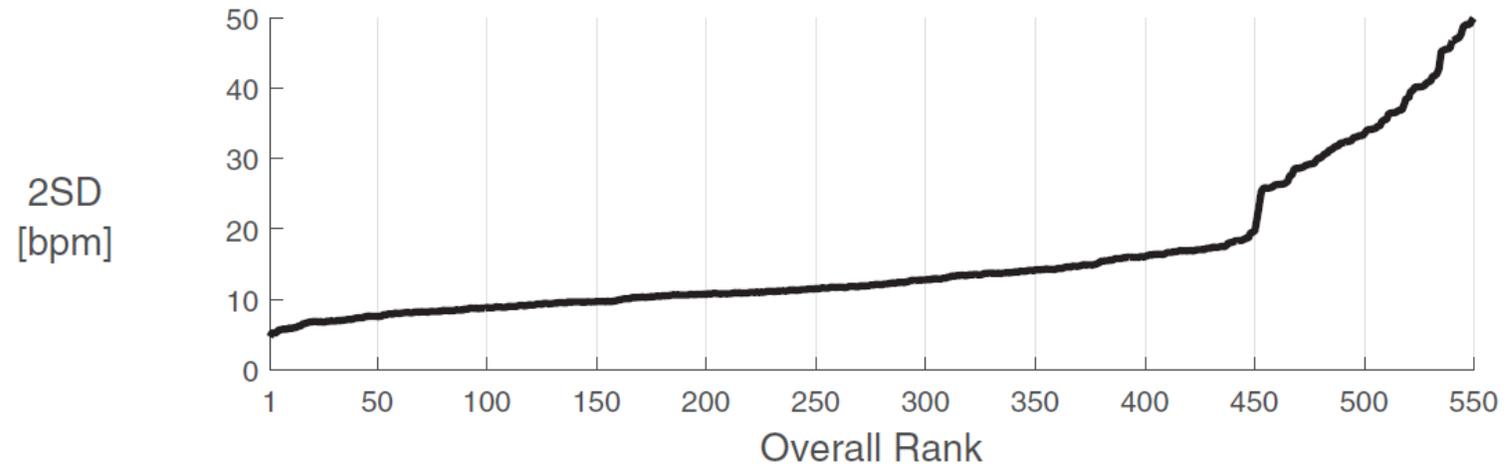
i.e. 95% of errors in reference RRs would be expected to be smaller than 0.0 ± 1.3 bpm

Example Assessment

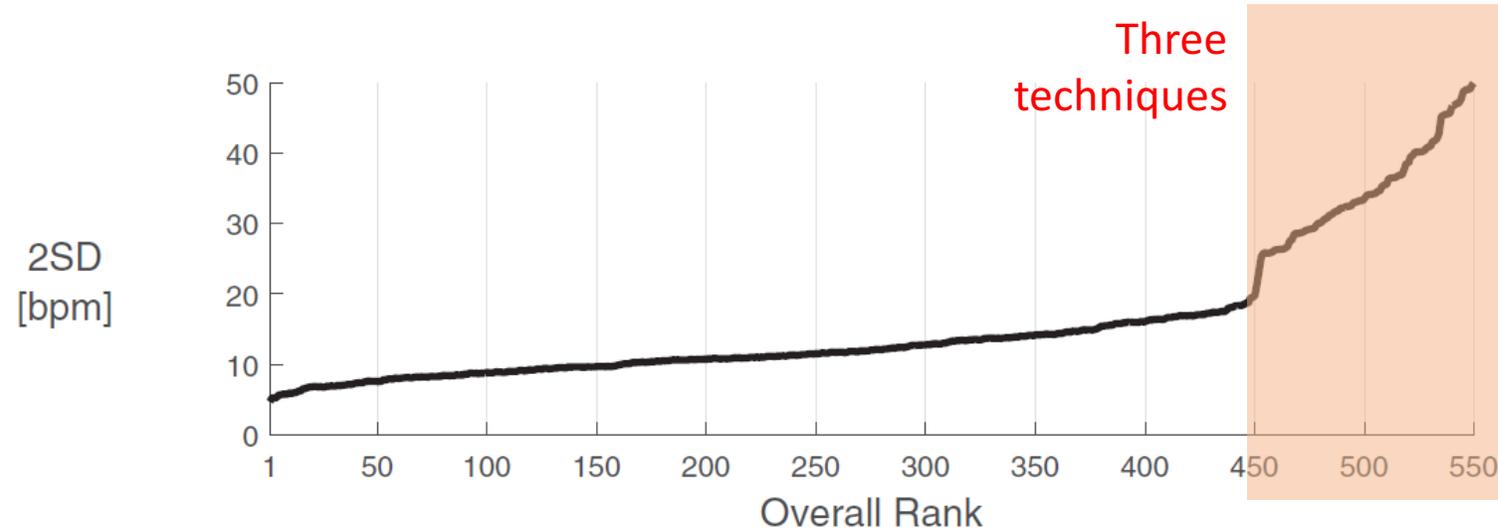


RR: 5-32 bpm
HR: 41 – 111 bpm

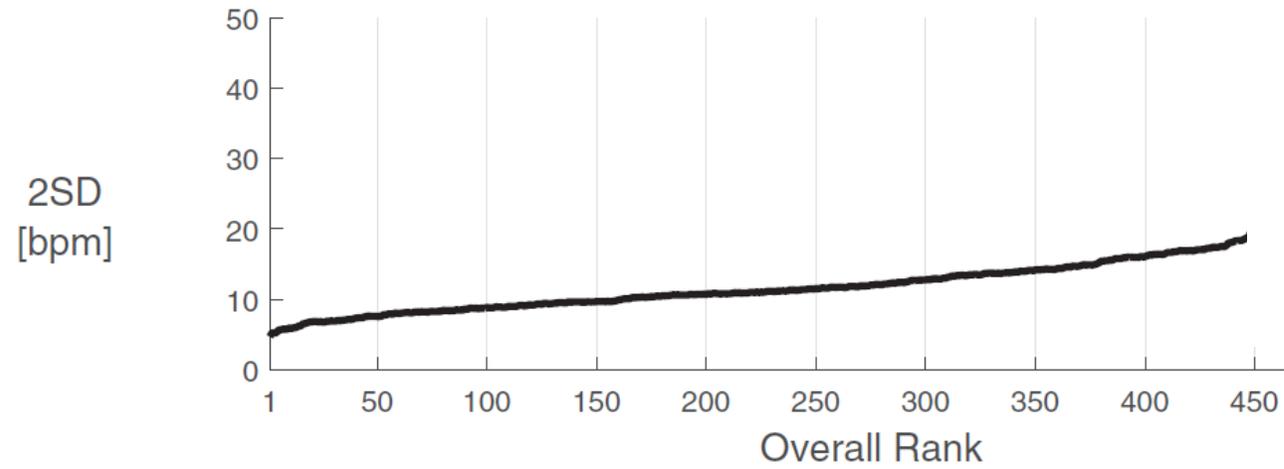
Example Assessment



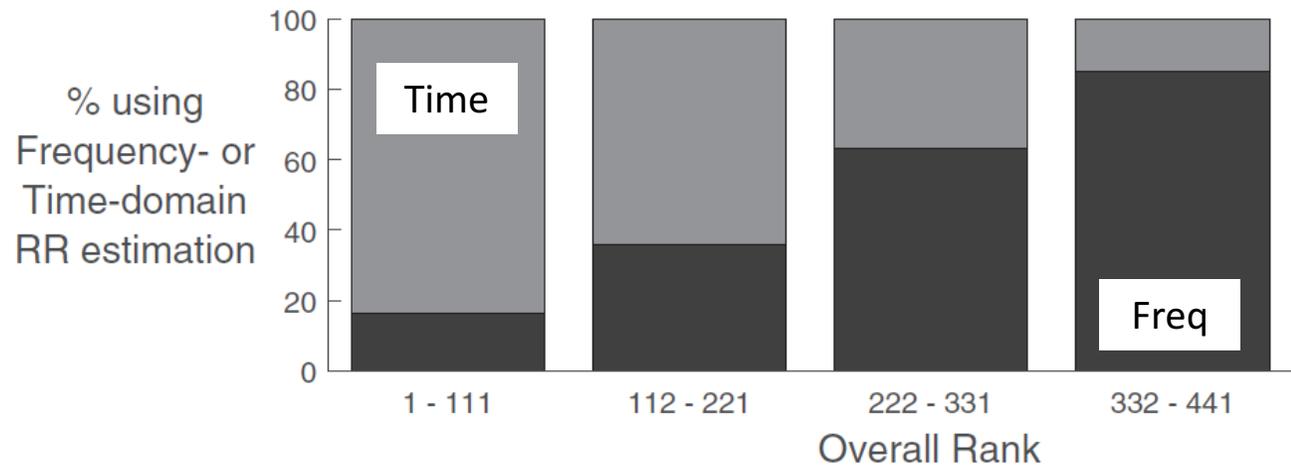
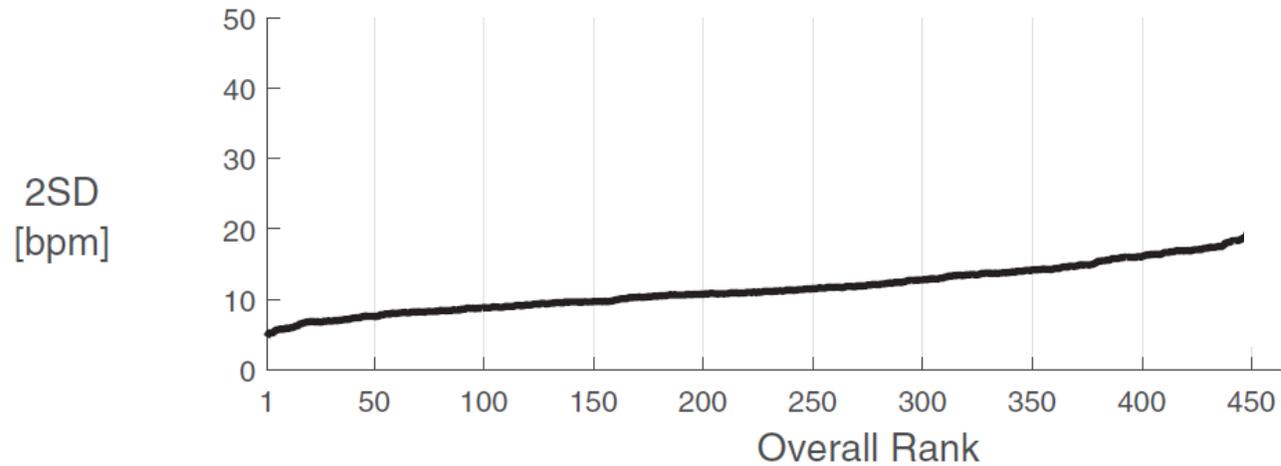
Example Assessment



Example Assessment



Example Assessment



Example Assessment

Signal	Rank	2SD [bpm]	RR Estimation	Modulation Fusion?	Temporal Fusion?
Clinical (IP)	5	5.4			
ECG	1	4.7	Time	✓	
	2	5.2	Time	✓	
	3	5.2	Time	✓	
	4	5.3	Time	✓	
	6	5.6	Time		
PPG	15	6.2	Time	✓	
	17	6.5	Time	✓	
	35	7.0	Time	✓	✓
	46	7.5	Time		✓
	48	7.6	Time		✓

Same Algorithm

Example Assessment

ECG vs PPG:

- 2SD significantly lower when using ECG
- 64% of algorithms more precise on ECG
- Different physiological mechanisms

Example Assessment

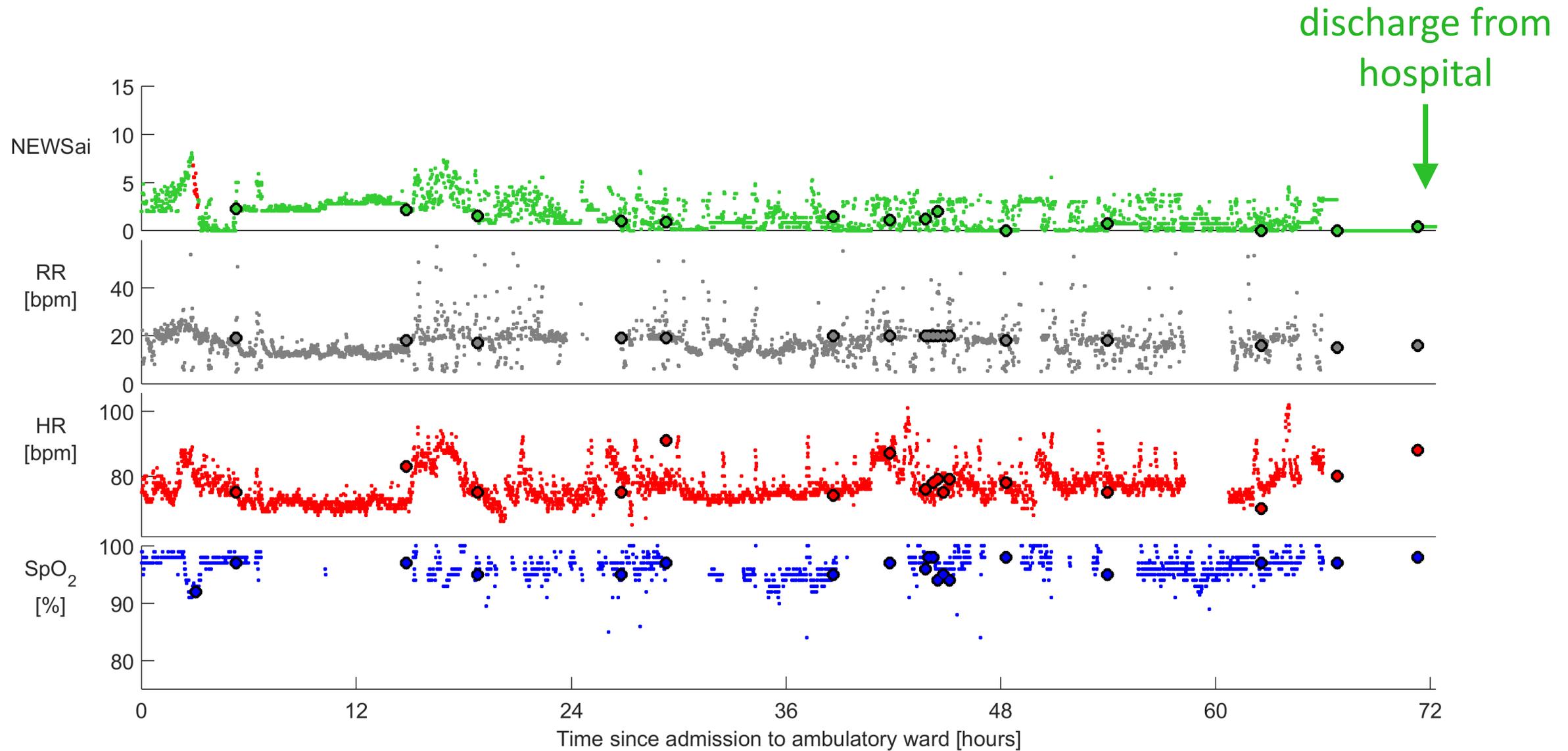
Conclusions:

- 314 algorithms assessed under ideal conditions
- According to these results ...
 - time-domain RR estimation, and
 - fusion of estimates... resulted in superior performance.
- Four ECG-based algorithms comparable to clinical standard
- ECG preferable to PPG

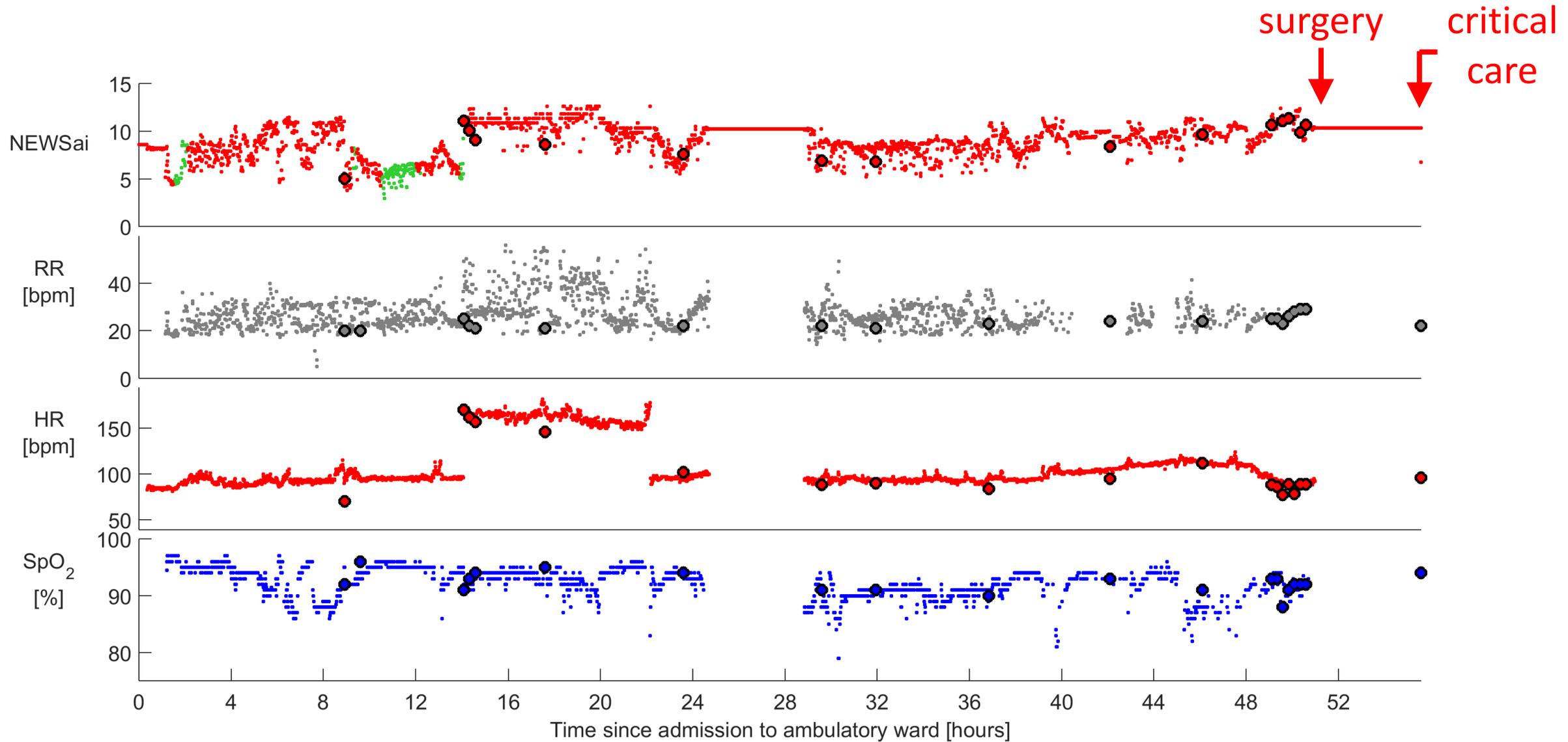
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- Background
 - *Case Study 1: Elevated RR prior to cardiac arrest*
- RR algorithms
 - *Case Study 2: Unobtrusive RR monitoring*
- Performance assessment
 - *Case Study 3: Predicting adverse events*
- Implementation
- Conclusion

Case Study 3



Case Study 3



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Implementation

Charlton P.H. *et al.*

Extraction of respiratory signals from the electrocardiogram and photoplethysmogram: technical and physiological determinants,

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Extraction of respiratory signals from the electrocardiogram and photoplethysmogram: technical and physiological determinants

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Abstract
Objective: Breathing rate (BR) can be estimated by extracting respiratory signals from the electrocardiogram (ECG) or photoplethysmogram (PPG). The extracted respiratory signals may be influenced by several technical and physiological factors. In this study, our aim was to determine how technical and physiological factors influence the quality of respiratory signals.
Approach: Using a variety of techniques 15 respiratory signals were extracted from the ECG, and 11 from PPG signals collected from 57 healthy subjects. The quality of each respiratory signal was assessed by calculating its correlation with a reference oral-nasal pressure respiratory signal using Pearson's correlation coefficient.
Main results: Relevant results informing device design and clinical application were obtained. The results informing device design were: (i) seven out of 11 respiratory signals were of higher quality when extracted from finger PPG compared to ear PPG; (ii) laboratory equipment did not provide higher quality of respiratory signals than a clinical monitor; (iii) the ECG provided higher quality respiratory signals than the PPG; (iv) during

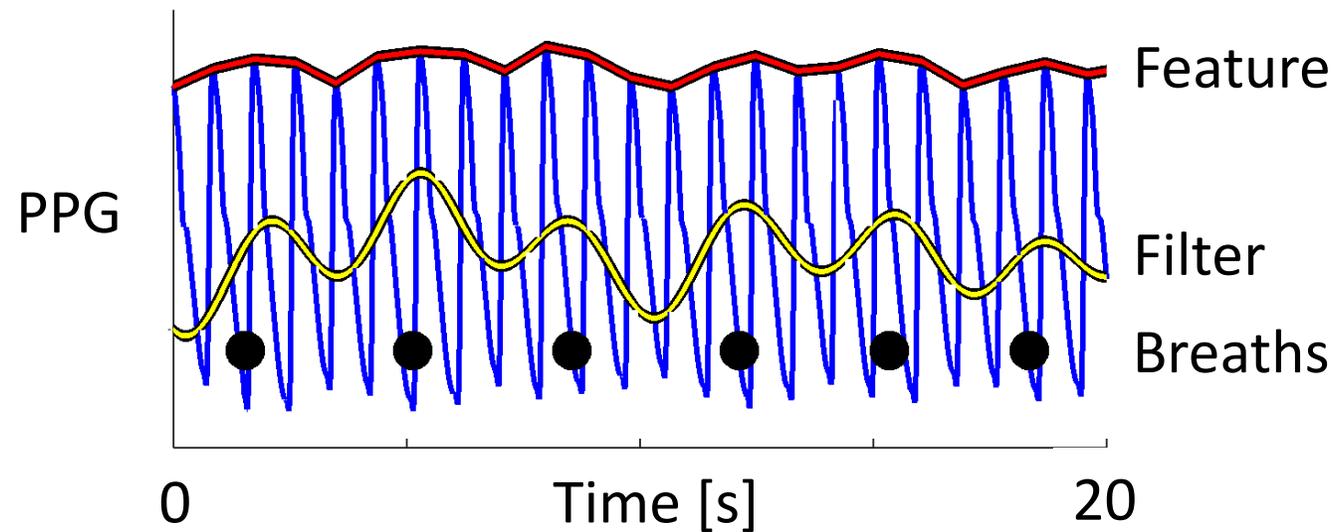


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Implementation

- RR can be estimated from ECG and PPG in young, healthy subjects using laboratory equipment.
- Respiratory modulations must be of sufficient quality
- Several factors may affect quality in clinical setting



Implementation

Aim: Determine the influences of technical and physiological factors on respiratory modulations

Technical	Physiological
PPG measurement site: finger or ear	Age
Signal acquisition equipment: laboratory or clinical	Gender
Input signal: ECG or PPG	Respiratory rate (RR)
Sampling frequency	

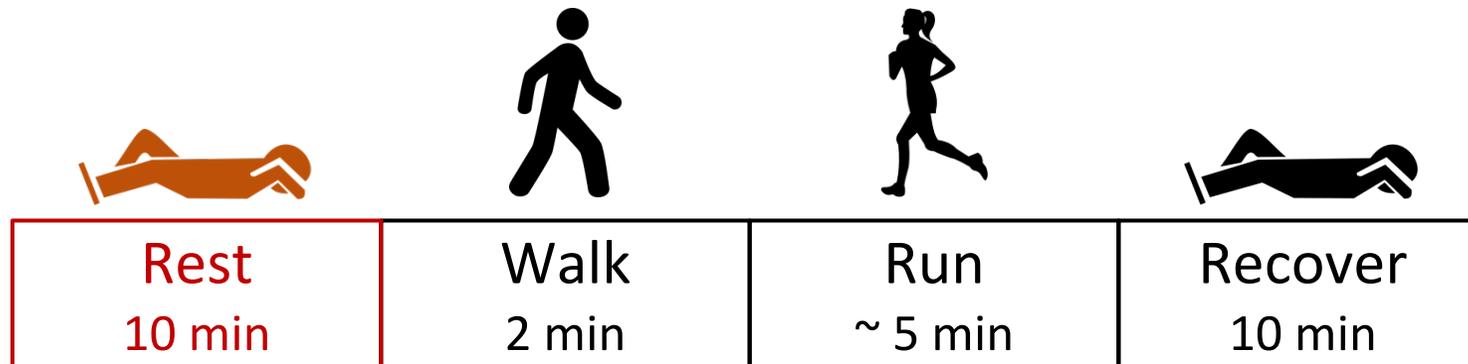
inform device design

determine clinical acceptability

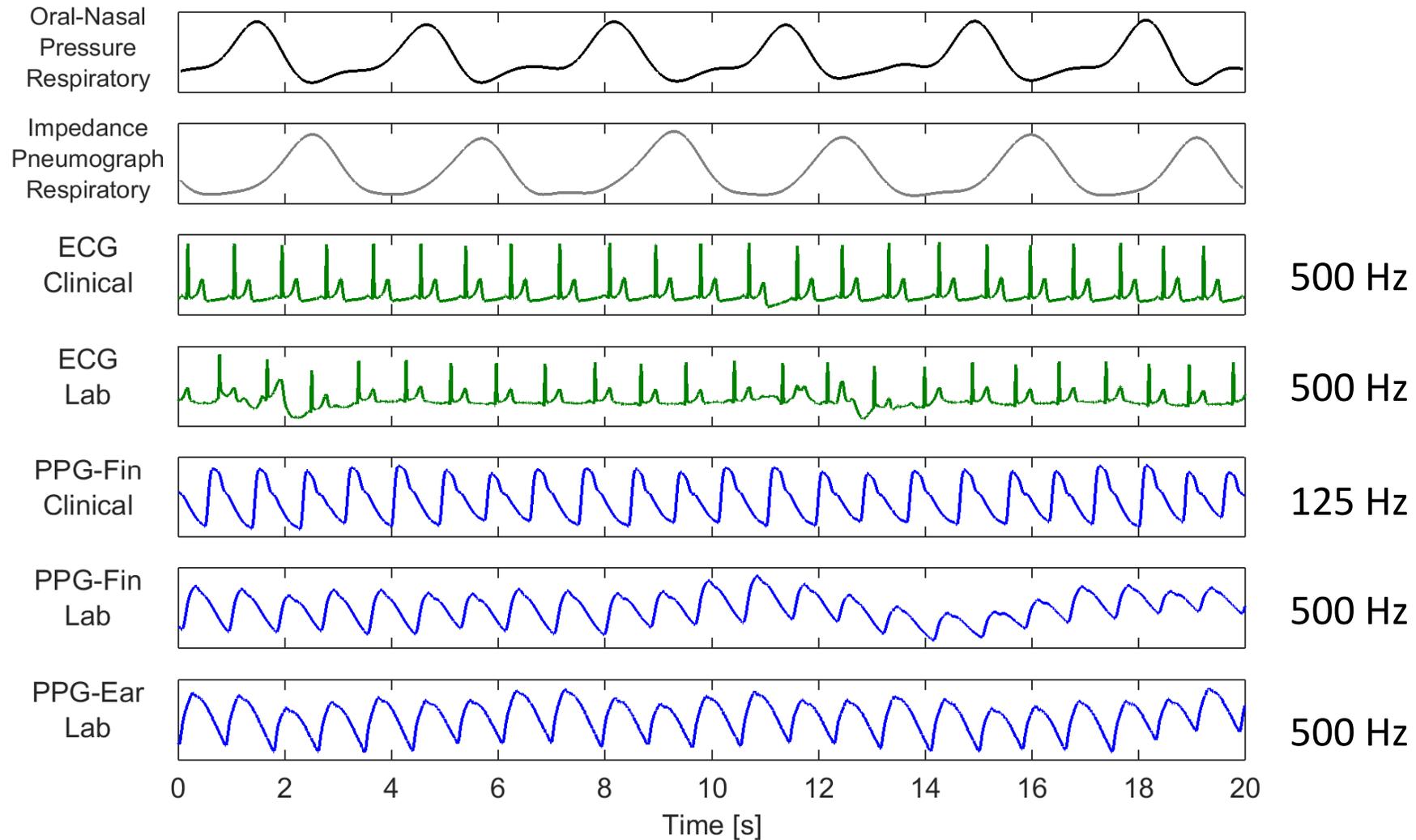
Implementation

VORTAL dataset:

- 41 young subjects aged 18 to 39
- 16 elderly subjects aged > 70
- Healthy



Signals



Signal Processing

- 32 s windows
- Exclude low quality windows using SQIs
- Extract respiratory modulations

Signal Processing

Filter-based	Feature-based
BW: Band-pass filter	BW: mean amplitude of troughs and proceeding peaks
AM: Continuous Wavelet Transform	AM: Difference between amplitudes of troughs and proceeding peaks
FM: Continuous Wavelet Transform	FM: time interval between consecutive peaks
	BW: mean signal value between consecutive troughs
	BW, AM: peak amplitude
	BW, AM: trough amplitude
	FM: QRS duration
	AM, FM: QRS area
	BW: Principal component analysis

Signal Processing

- 32 s windows
- Exclude low quality windows using SQIs
- Extract respiratory modulations
- Modulation quality: correlation with oral-nasal pressure

Signal Processing

- 32 s windows
- Exclude low quality windows using SQIs
- Extract respiratory modulations
- Modulation quality: correlation with oral-nasal pressure
- Statistical tests for differences

Results

Technical:

Finger vs Ear:

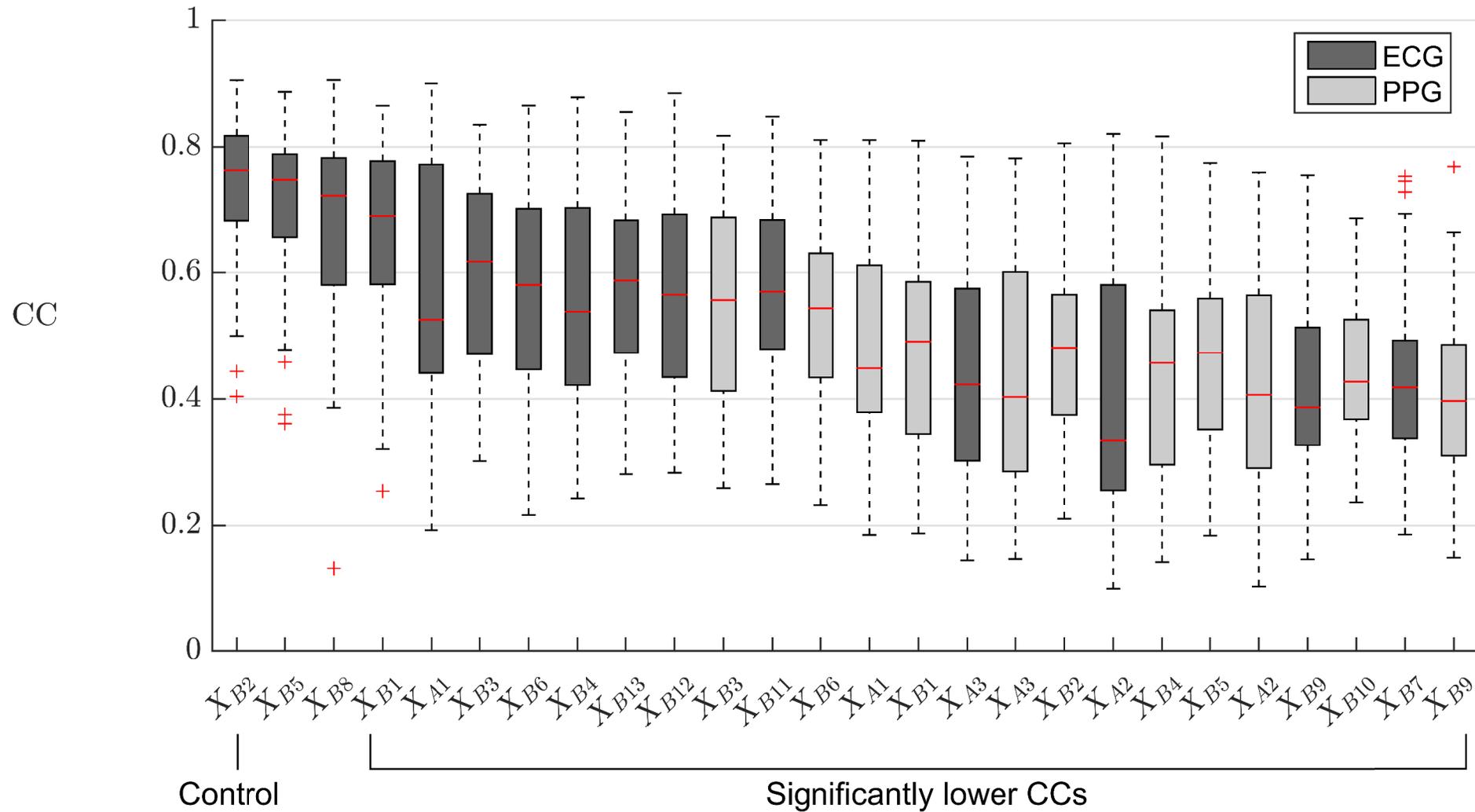
Finger gave higher quality

Clinical vs Lab:

Similar quality

ECG vs PPG:

Results



Results

Technical:

Finger vs Ear:	Finger gave higher quality
Clinical vs Lab:	Similar quality
ECG vs PPG:	ECG
Sampling Freq:	

Results

Technical:

Finger vs Ear:	Finger gave higher quality
Clinical vs Lab:	Similar quality
ECG vs PPG:	ECG
Sampling Freq:	ECG \geq 250 Hz; PPG \geq 16 Hz

Results

Technical:

Finger vs Ear:	Finger gave higher quality
Clinical vs Lab:	Similar quality
ECG vs PPG:	ECG
Sampling Freq:	ECG \geq 250 Hz; PPG \geq 16 Hz

Physiological:

Age:	FM-based PPG of lower quality in elderly
Gender:	Similar quality
Respiratory Rate:	Lower quality at higher RRs

Recommendations

Technical:

Finger vs Ear: Measure PPG at finger rather than ear

Clinical vs Lab: Clinical equipment acceptable

ECG vs PPG: ECG preferable

Sampling Freq: ECG \geq 250 Hz; PPG \geq 16 Hz

Physiological:

Age: Avoid FM-based respiratory signals in elderly

Gender: No differences

Respiratory Rate: Caution when detecting elevated RRs

Conclusion

- Assessed the impact of technical and physiological factors on respiratory modulations extracted from ECG and PPG
- Provided recommendations
- Ready for clinical assessment

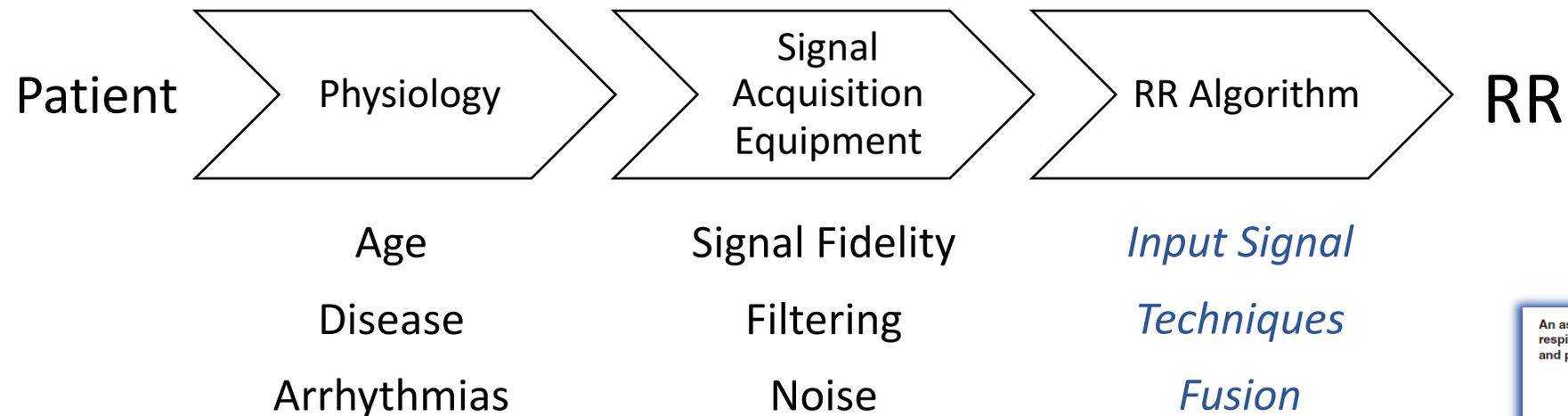
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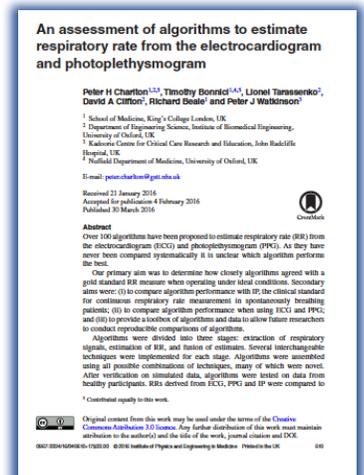
Conclusion

- Brief overview of estimating RR from ECG and PPG
- Case studies of clinical utility in unobtrusive hospital monitoring
- Assessed algorithm performance in ideal conditions
- Assessed impact of technical and physiological factors

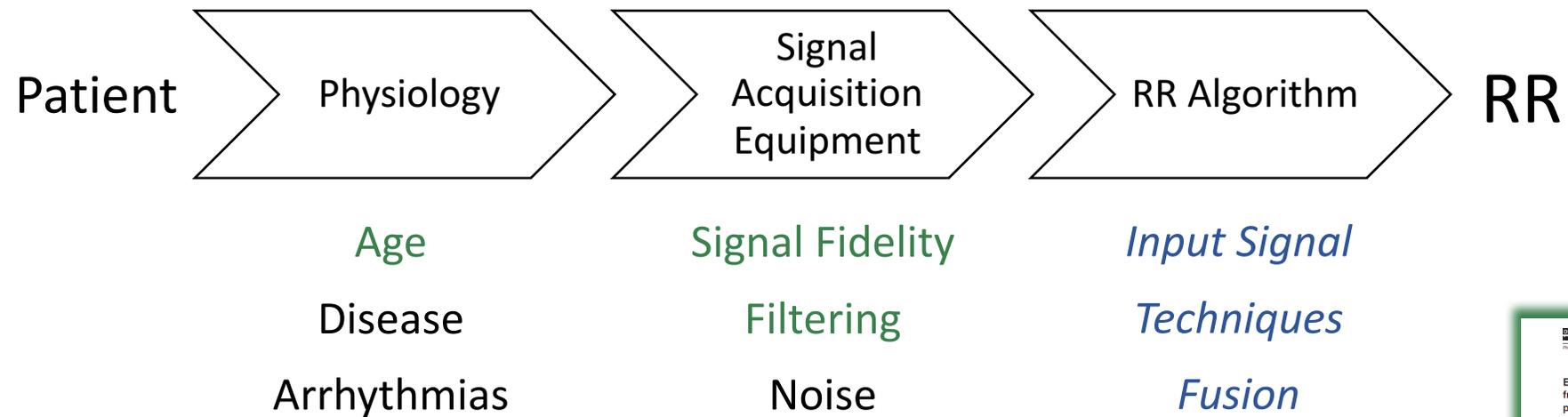
Future Work



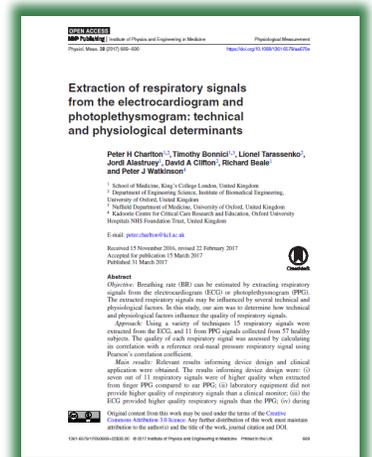
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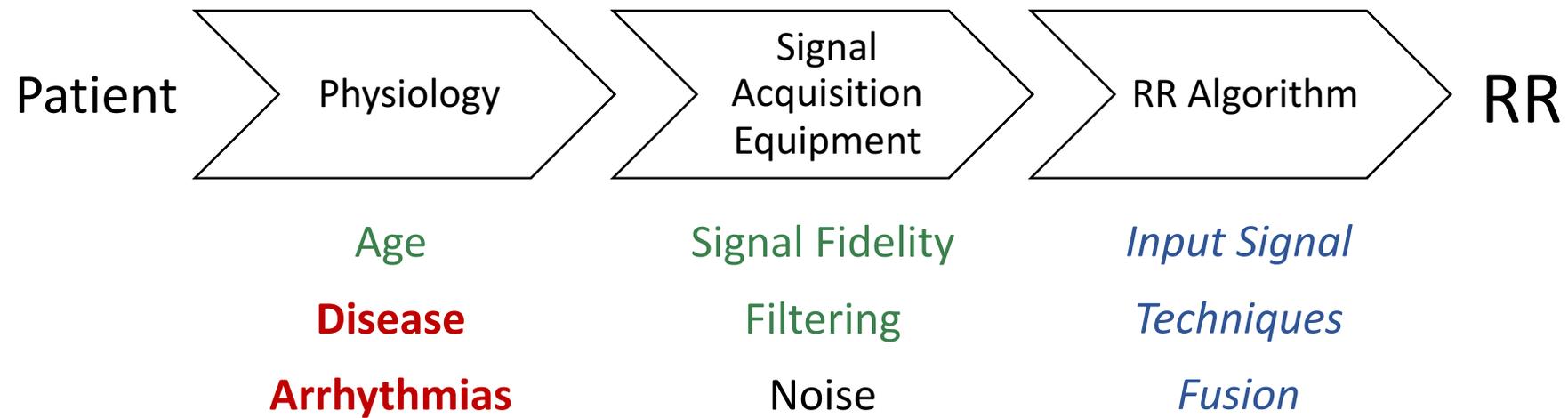
Future Work



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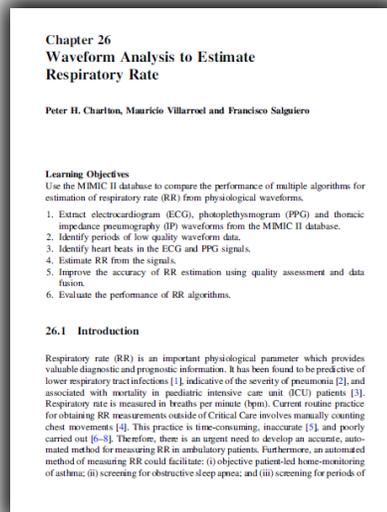


Future Work



Resources

Matlab® Toolbox of algorithms:



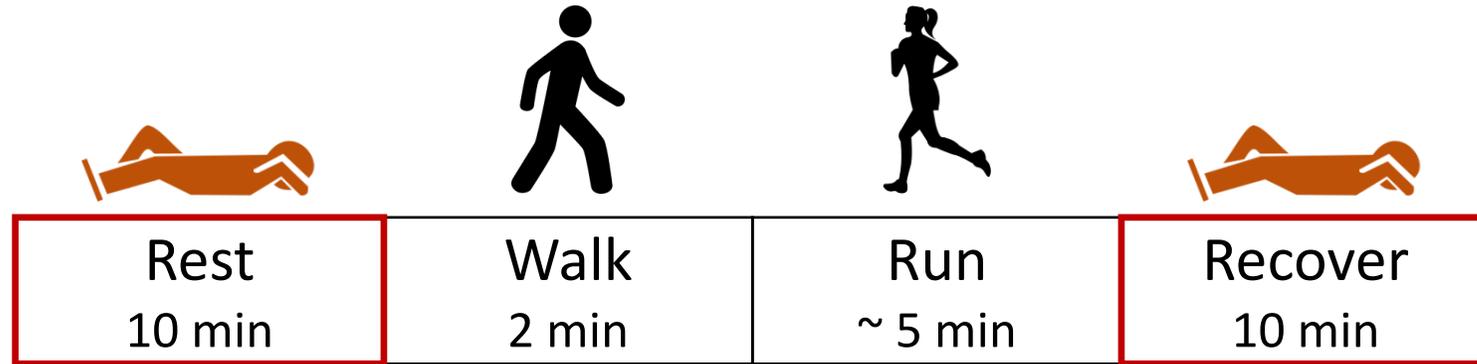
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Resources

Vortal benchmark dataset:



41 Young

16 Elderly

39 Young



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Tutorial on RRest Toolbox

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Implementation

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Literature Review

Charlton P.H. *et al.* **Breathing Rate Estimation from the Electrocardiogram and Photoplethysmogram: A Review**, *IEEE Reviews in Biomedical Engineering*, in press, 2017.

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inc. references to 196 publications describing RR algorithms

This presentation is part of the **Respiratory Rate Estimation Project** at:

<http://peterhcharlton.github.io/RRest/>