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1 **TITLE:**

2 Animal Models of Depression – Chronic Despair Model (CDM)

3

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25 **SUMMARY:**

26 The chronic despair mouse model (CDM) of depression consists of repetitive forced swim  
27 sessions and another delayed swim phase as a read-out. It represents a suitable model for  
28 induction of a chronic depressive-like state stable for at least 4 weeks, amendable to evaluate  
29 subchronic and acute treatment interventions.

30

31 **ABSTRACT:**

32 Major depressive disorder is one of the most prevalent forms of mental illnesses and causes  
33 tremendous individual suffering and socioeconomic burden. Despite its importance, current  
34 pharmacological treatment is limited, and novel treatment options are urgently needed. One  
35 key factor in the search for potential new drugs is evaluating their anti-depressive potency in  
36 appropriate animal models. The classical Porsolt forced swim test was used for this purpose for  
37 decades to induce and assess a depressive-like state. It consists of two short periods of forced  
38 swimming: the first to induce a depressed state and the second on the following day to  
39 evaluate the antidepressant effect of the agent given in between the two swim sessions. This  
40 model might be suitable as a screening tool for potential antidepressant agents but ignores the  
41 delayed onset of action of many antidepressants. The CDM was recently established and  
42 represented a modification of the classical test with notable differences. Mice are forced to  
43 swim for 5 consecutive days, following the idea that in humans, depression is induced by  
44 chronic rather than by acute stress. In a resting period of several days (1–3 weeks), animals

45 develop sustained behavioral despair. The standard read-out method is the measurement of  
46 immobility time in an additional delayed swim session, but several alternative methods are  
47 proposed to get a broader view of the mood status of the animal. Multiple analysis tools can be  
48 used targeting behavioral, molecular, and electrophysiological changes. The depressed  
49 phenotype is stable for at least 4 weeks, providing a time window for rapid but also subchronic  
50 antidepressant treatment strategies. Furthermore, alterations in the development of a  
51 depressive-like state can be addressed using this approach. CDM, therefore, represents a useful  
52 tool to better understand depression and to develop novel treatment interventions.

53

#### 54 **INTRODUCTION:**

55 Affective disorders, such as major depressive disorder, are among the most frequent and  
56 challenging mental illnesses and are associated with high individual suffering<sup>1</sup>, an increase of  
57 suicide risk<sup>2</sup>, and cause a considerable socioeconomic burden<sup>3</sup> for society. Despite its impact,  
58 treatment options are limited, and there is an urgent need for the development of novel  
59 antidepressive interventions, especially due to the innovation crisis in psychopharmacology  
60 over the last decades. In order to understand the pathophysiology of depression and test  
61 potential new agents, rational and valid animal models are urgently needed<sup>4</sup>. For almost half a  
62 century, the classical forced swim test (FST), originally described by Porsolt<sup>5</sup>, was used as  
63 induction and read-out for screening of potential novel antidepressants. It consists of a forced  
64 swim period for 5–15 min on day 1, subsequent one-time drug application, and evaluation of  
65 the portion mice spend immobile in water in another swim period on the following day. The  
66 immobility time was considered to represent a missing natural escape behavior and was  
67 thought to correlate with the degree of a depression-like state in the mice<sup>5</sup>.

68

69 The classical FST has been heavily criticized, not only in the scientific community<sup>6–8</sup> but also in  
70 public media<sup>8</sup>. Most controversies around the FST are due to the short induction and treatment  
71 periods of only 1 day in the classical paradigm. It was argued that FST represents rather an  
72 acute trauma model than a state comparable to human depression. Moreover, the Porsolt test  
73 might be suitable as a screening tool for potential antidepressive agents, but it ignores the  
74 delayed onset of action of many antidepressants.

75

76 The chronic despair model (CDM)<sup>9–15</sup>, which is derived from the original FST, represents a more  
77 appropriate animal model for depression. In CDM, repeated swim stress over 5 consecutive  
78 days avoids acute traumatic effects. By failing to escape from a repeated and ongoing stressful  
79 situation, mice are thought to develop a state of helplessness, surrender, and ultimately  
80 despair. This paradigm is more comparable to current psychological theories for the  
81 development of depression in humans than a single acute trauma, which is commonly  
82 experienced at the onset of a posttraumatic stress disorder. The resulting depression-like state  
83 in CDM is stable for up to 4 weeks<sup>9</sup> and therefore opens the possibility for longer treatment  
84 periods, which are better comparable to clinical conditions, where antidepressants usually need  
85 2–4 weeks to show a benefit<sup>16</sup>.

86

87 The evaluation of the depressive-like state should then be multidimensional. The measurement  
88 of immobility time, such as in the classical FST, is useful, but should not be used as the only

89 outcome parameter. Various methods, which are described below, should be able to map  
90 different dimensions of a depressive state in line with symptoms usually found in depressed  
91 humans. Suitable read-out assessments could include escape behavior (immobility time<sup>9,10,17</sup>),  
92 tail suspension test (TST)<sup>9</sup>, anhedonia (classical sucrose preference test (SPT)<sup>18</sup>), motivation-  
93 oriented behavior (nose-poke sucrose preference test (NPSPT)<sup>10</sup>), expectation/exploration-  
94 behavior (response to ambiguous signal<sup>19</sup>; Y-maze test<sup>9</sup>), electrophysiology (measurements of  
95 long-term plasticity (long-term potentiation, LTP; long-term depression, LTD)<sup>20</sup>), molecular  
96 assessments (activation patterns of immediate early genes (IEGs); further stress patterns<sup>21</sup>).

97  
98 Theoretically, a repeated swim test can be used to induce a depressed state without any  
99 assessment of immobility time. However, it is strongly recommended to provide at least a  
100 proof-of-concept experimental series with immobility times. Additionally, CDM represents a  
101 suitable model to assess the development of a depressive-like state by measuring immobility  
102 time during the induction phase. Specific mouse strains or mice treated before swimming can  
103 be evaluated with respect to resilience or vulnerability to stress and the induction of behavioral  
104 despair.

## 105 **PROTOCOL:**

106  
107  
108 All experiments were performed in agreement with European guidelines (EU 2010/63) and in  
109 accordance with the German animal protection law (TierSchG), FELASA  
110 ([www.felasa.eu/guidelines.php](http://www.felasa.eu/guidelines.php)), the national animal welfare body GV-SOLAS ([www.gv-solas.de/index.html](http://www.gv-solas.de/index.html)) guide for the care and use of laboratory animals, and were approved by  
111 the animal welfare committee of the University of Freiburg and by the Comité d’Ethique en  
112 Matière d’Experimentation Animale de Strasbourg (CREMEAS, CEEA35), as well as local  
113 authorities. Both sexes of C57Bl6N wild-type mice aged 10–14 weeks (70–98 post-natal days,  
114 PND) were used for wild-type (WT) indicated experiments. As a stress-resilient line, the  
115 transgenic mouse line with enhanced expression of adenosine A<sub>1</sub> receptors under the forebrain  
116 neuronal CaMKII promoter was used<sup>9,15</sup>. After the experiments, mice were sacrificed by cervical  
117 dislocation.  
118

### 119 **1. Preparation**

120 1.1. Obtain an animal research license, including thorough experimental planning.

121  
122 1.2. Arrival: On arrival, raise the animals in the animal facility to perform the CDM. If the  
123 animals are bought from an external supplier, allow them at least 2 weeks to adapt to the new  
124 environment.  
125  
126

127 1.3. Housing: To house the animals, ensure that the cages are not occupied with the  
128 maximum number of animals to avoid additional stress. Guarantee that housing conditions are  
129 in line with international recommendations of mouse housing (for further information, see<sup>22</sup>)  
130 and constantly maintain them at all times.  
131  
132

133 NOTE: The most important standard housing conditions include individually ventilated cages  
134 with 25–120 air changes per hour, 12 h light-dark cycle, temperature as stable as possible (at  
135 least constant between 20–24 °C), humidity as stable as possible (at least between 45%–65%),  
136 gnawing material and shelter present, no individual housing.

137

138 1.4. Time point: Perform all experiments at the same time of the day.

139

140 NOTE: No direct assessment has been made to verify the influence of the daytime on CDM, but  
141 most behavioral tests evaluating depressive-like states show variations depending on the time  
142 of the day<sup>23–25</sup>, and it is highly probable that daytime also influences CDM.

143

144 1.5. Nesting material: Reduce the nesting material to a minimum. Ensure there are no  
145 running wheels, etc., present in the cage.

146

147 NOTE: Enriched environment prevents the induction of a depressed state.

148

149 1.6. Group composition: Allow the animals to remain in the same group throughout the  
150 whole experiment. Group the female mice together even from different litters; group the male  
151 mice together with littermate male animals. Due to upcoming aggressiveness, especially of  
152 males, biting and barbering may become a problem, therefore give special emphasis to the  
153 group composition. Avoid single housing as deprivation is a major additional stressor.

154

155 1.7. Animals: Use different mouse strains, even though specific differences have been  
156 observed<sup>9,10</sup>. A frequently used mouse strain is C57Bl6N. Label mice in order to perform paired  
157 statistical analysis (see step 3.2.4).

158

159 1.8. Animal sex: Equally use both male and female mice.

160

161 1.9. Animal age: Ensure that the animals are at least 10 weeks (70 PND) old. Do not use  
162 younger animals due to the exhaustion caused by swimming.

163

164 1.10. Equipment: Use a transparent glass cylinder/beaker with a capacity of at least 2 L, a  
165 diameter of 24–26 cm, and a minimum height of 30 cm. Further requirements include a  
166 thermometer to check the water temperature, paper towels, red light heating lamp/heating  
167 mat or comparable source of heating, timer, stopwatch, quiet surroundings. Videotape the  
168 swim sessions for offline analysis and documentation. Ensure that the date and the time are  
169 continuously visible on the tape/file, together with an identification code number for the  
170 individual animal. Store the files for later analysis and further reference. Film from the side of  
171 the glass cylinder, not from above, to facilitate analysis.

172

## 173 **2. Induction phase**

174

175 2.1. Before starting

176

177 2.1.1. Visually observe the animals for abnormalities, including signs of biting or barbering.  
178 Exclude the whole cage from the experimental series if an animal shows any minimal injuries.  
179 Ensure that a veterinarian is available at any time as injuries will worsen during the experiment  
180 and will prevent continuation as mice become more aggressive under the influence of stress.

181  
182 2.1.2. Obtain the bodyweight for each animal before starting the experiment. Ensure that the  
183 weight loss often observed does not exceed 20% of the initial body weight. Exclude animals  
184 with a weight loss of over 20% and immediately euthanize them due to the assumed high  
185 suffering.

186  
187 2.1.3. Fill up a beaker or cylinder with water at room temperature (22–23 °C) to a height of at  
188 least 20 cm from the bottom, leaving a minimum of 10 cm between the water surface and the  
189 upper border of the vessel.

190  
191 2.2. Performance

192  
193 2.2.1. Gently transfer the animals into the water. During the swim phase, keep the animal  
194 under continuous observation to prevent drowning. Observe from a position where the animal  
195 cannot see the experimenter (for instance, video observation from a room next door).

196  
197 2.2.2. Set a chronometer at the beginning of the experiment. Take the animals out of the  
198 water after 10 min by simply grabbing their tails. Gently dry them with a paper towel and put  
199 them either under a heating light or on a heating mat.

200  
201 2.2.3. Evaluate only one animal at a time. Ensure that animals cannot see each other (for  
202 example, separate the housing cage from the experimental set-up by a room-divider).

203  
204 2.2.4. Perform the forced swim session for 10 min each day for 5 consecutive days.

205  
206 2.3. Finishing

207  
208 2.3.1. Transfer the animals back to their home cages after five swim sessions and allow them  
209 to rest for at least 2 days. Start specific treatment interventions subsequently.

210  
211 **3. Evaluation of an anti-depressive treatment**

212  
213 3.1. Time course

214  
215 3.1.1. Assess the acute and subchronic treatments with the CDM. Depending on the scientific  
216 question, adapt the resting period between the induction phase and the read-out.

217  
218 3.1.2. To evaluate the acute and rapid-acting potency of ketamine, choose a short resting  
219 period (a few days) after the induction phase of CDM. Apply the treatment (i.e., intraperitoneal  
220 injection), and then perform the evaluation (additional swim session or different evaluation

221 method) shortly afterward.

222

223 3.1.3. To evaluate the effects of a subchronic treatment, increase the treatment period up to 4  
224 weeks (there is no data available for longer treatment periods). For example, give the oral  
225 treatment with imipramine to the animals during 4 weeks after the induction phase and  
226 evaluate thereafter.

227

228 3.1.4. Start to evaluate the depressed state right after the end of the treatment period, e.g.,  
229 the following day. Always choose an identical time period for control and experimental  
230 conditions.

231

232 3.2. Immobility time

233

234 3.2.1. Proof-of-concept

235

236 3.2.1.1. To use immobility time as a read-out method, evaluate each day of the induction  
237 phase and the test day to provide a proof-of-concept (see **Figure 1**). For further experimental  
238 series, reduce the assessments to day 1, day 5, and the test day (see **Figure 1C**).

239

240 3.2.1.2. Videotape each experiment. Allow two trained observers who are blinded to the  
241 experimental conditions to perform the analysis independently. Video analysis enables the  
242 experimenter to observe the behavior from a different room, therefore minimizing the  
243 interference with the test (for example, see the video file in the **supplementary material**).

244

245 3.2.2. Conditions: Observe and identify the three different behavioral conditions during the  
246 swim test: struggling, swimming, and immobility. Most researchers focus on immobility; a  
247 further differentiation between struggling and swimming is rarely useful and dramatically  
248 increases the complexity and duration of the analysis.

249

250 3.2.2.1. Struggling: The animal actively tries to escape from the threatening situation.  
251 This involves pawing the side of the cylinder with the head oriented toward the wall and  
252 movements of all limbs. The water surface is typically slightly turbulent.

253

254 3.2.2.2. Swimming: The animal moves at least both hind paws and travels a distance  
255 throughout the water. It actively searches for a way out but does not try to overcome the glass  
256 wall of the vessel. Swimming does not involve lifting the paws above the water surface, and the  
257 body is usually oriented parallel to the walls of the cylinder. In this condition, animals  
258 frequently turn around or move in circles.

259

260 3.2.2.3. Immobility: The animal keeps still, in a freezing-like position, and does not move  
261 at all or only moves the tail, or the forepaws to keep its head above the water surface. No  
262 distance is actively traveled except for passive floating, and no directed movement of the front  
263 paws is observed.

264

265 3.2.3. Tracking

266

267 3.2.3.1. Perform the assessment using offline video recordings. Use blinded ratings by  
268 two independent and experienced examiners and calculate averages between the two ratings.

269

270 3.2.3.2. Repeat the ratings if the results of the two raters differ above a previously  
271 determined range. Continuously observe the mice as the different conditions frequently change  
272 between struggling, swimming, and immobility.

273

274 3.2.3.3. Use a stopwatch to measure the total time spent in a focused stage (usually  
275 immobility) over the 10 min the mouse stays in the water. Consider a short latency of about a  
276 second before changing the ongoing time measurement (e.g., if an animal remains for 20 s in  
277 immobility and only moves once for less than a second and returns to immobility for another 10  
278 s, the total immobility time is 30 s).

279

280 3.2.4. Statistics: Due to the relatively high inter-individual standard deviation (probably caused  
281 by a transfer of hierarchy-depending behavior from the cage to the swim test), mark or label  
282 the animals to perform paired (instead of unpaired) parametric tests afterward. Evaluate the  
283 normality distribution and, depending on the specific question, perform analysis of variance  
284 (ANOVA) with post-hoc *t*-tests or paired *t*-tests to compare the different groups. Perform the  
285 analysis using absolute values of immobility time (s) or as normalized values.

286

287 3.2.4.1. Absolute values: Give mean values of the immobility time from day 1 to day 5  
288 and for the test day  $\pm$  SEM (see **Figure 1A**). Compare the averaged values for day 1 and day 5,  
289 preferably using a paired *t*-test to validate the induction of a depressed state. If there is a  
290 significant difference between day 1 and 5, compare the mean values of day 5 to the averaged  
291 results of the test day. Ensure that a typical group size in one experiment is between 6 and 10  
292 animals and expect significant differences between baseline and post-induction immobility  
293 times in wild-type animals. Comparing different groups with an unpaired *t*-test is difficult if  
294 absolute values are used because of baseline differences; therefore, use normalized values.

295

296 3.2.4.2. Relative/Normalized values: Compare the different treatment effects by  
297 normalization to the individual result on day 5, and then express the values as a percentage of  
298 day 5 (see **Figure 1B**).

299

300 3.2.5. Control experiments

301

302 NOTE: The swimming performance might be correlated with locomotion. Substances that cause  
303 a hyper-locomotion could induce false-positive results (namely, a decrease of immobility time);  
304 as well as sedative agents could artificially increase immobility time.

305

306 3.2.5.1. Evaluate the changes in locomotion for unknown substances before performing  
307 the swim analysis. Use Open Field Test (OFT) in a separate group of animals for at least 10 min.

308



309 3.2.5.2. Choose the same observation time (10 min) in the OFT as in the CDM to detect  
310 unspecific hyper-locomotive effects of the tested compound that might influence CDM read-  
311 out via measurement of immobility-time with high validity.

312

313 3.2.5.3. In case of significant hyper-locomotive effects, do not evaluate the swim session  
314 to assess the anti-depressive potency but use different read-out methods (for instance, sucrose  
315 preference, tail suspension test, etc.).

316

#### 317 **4. Evaluation of the development of a depressive-like state**

318

319 4.1. To evaluate the development of a depressive disorder, assess each day of the induction  
320 phase to measure the immobility-time.

321

322 NOTE: In this case, a minor increase of immobility-time between each day describes resilience,  
323 whereas a stronger and earlier increase compared to untreated or wild-type animals represents  
324 an enhanced vulnerability to stress-induced despair. By treating mice before the swimming  
325 event, the preventive intervention or transgenic mouse lines could be assessed concerning the  
326 development of behavioral despair.

327

#### 328 **REPRESENTATIVE RESULTS:**

329 In the first swim session of the induction phase of CDM, mice usually show a mean immobility  
330 time between 190 s and 230 s, which constantly rises with every additional swim session  
331 (**Figure 1A**). This increase is more pronounced in the first 3 days and reaches a plateau-like  
332 phase during the last 2–3 days. The immobility-time measured on day 5 remains stable over up  
333 to 4 weeks, indicating stable behavioral despair. The antidepressant potency of an intervention  
334 can be evaluated by treating the animal between the last day of the induction phase and the  
335 test day. Note that the absolute scoring time during the swim sessions is quite subjective and  
336 depends on the experimenter, age, sex, and the mouse-line used. However, the relative  
337 difference between the sessions is fairly stable with only small interrater differences.

338

339 In **Figure 1**, several representative treatments are shown. Imipramine, sleep deprivation, and  
340 ketamine significantly reduced the immobility-time, while sleep deprivation combined with a  
341 recovery sleep did not show a significant change of the depressive-like phenotype. These  
342 results are concordant with an anti-depressive potency of the applied treatments and similar to  
343 effects observed in human patients. The treatment involved ingestion of imipramine 20  
344 mg/kg/day for 3 weeks via drinking water, 3 mg/kg of ketamine by a single intraperitoneal  
345 injection 24 h before testing, and sleep deprivation for 6 h before testing.

346

347 Depending on the research question, various representations may be displayed. A  
348 representation of absolute values can give a real data overview and allows a good evaluation of  
349 the induction phase and of a single treatment (**Figure 1A,D**). However, the differences of  
350 various treatments cannot be directly compared; hence each treatment group has different  
351 mean values of immobility-time on day 5. Therefore, it is recommended to use the  
352 representation of normalized mean values in this case (**Figure 1B**). A reduced representation

353 may be chosen due to space limitations (**Figure 1C**). Note that it is mandatory to show at least  
354 the results of day 1, day 5, and the test day.

355  
356 [Place **Figure 1** here]

357  
358 In case of an unchanged immobility time during all the 5 days (**Figure 2**), the applied stress was  
359 not able to change the behavior relevantly, and no treatment effects can be evaluated; animals  
360 need to be sacrificed and must not be used further.

361  
362 [Place **Figure 2** here]

363  
364 Further read-out methods must be used to describe a broader view of the behavioral despair of  
365 the animals. A variety of behavioral tests, electrophysiological measurements, and molecular  
366 assessments of stress-induced changes are available. Exemplary results for Tail Suspension Test  
367 (TST), with CDM, imipramine and ketamine treatment, Nose-poke-Sucrose Preference Test  
368 (NPSPT), and assessment of long-term potentiation using the patch-clamp technique are given  
369 in **Figure 3**. These results encourage using the CDM induction phase as a general tool for the  
370 induction of behavioral despair. For further details of the used techniques (TST, NPSPT, LTP-  
371 assessment) see<sup>9,10,17,20</sup>.

372  
373 [Place **Figure 3** here]

374  
375 **FIGURE AND TABLE LEGENDS:**

376  
377 **Figure 1: Successful results in absolute and normalized values. (A)** Successful induction of a  
378 depressed-like state in 30 mice can be observed. Each dot represents the immobility time of a  
379 single animal on a specific day and bars represent the mean values of the tested animals.  
380 Immobility time is represented for each day of the induction phase (day 1 to day 5) and for the  
381 test day (after the dotted line) with or without treatment. Note that in this sample, a significant  
382 increase can be observed between day 1 and day 2. In some cases, significance levels are first  
383 achieved between day 1 and day 3. For the continuation of the experiment, a statistically  
384 significant increase between day 1 and day 5 is mandatory. Note the typical ceiling effect  
385 (increase between days 1, 2, and 3, compared to the difference between days 4 and 5).  
386 Between day 5 and the test days, animals were housed for 4 weeks in their home cages, either  
387 without further treatment (CDM) or treated with imipramine (Imip.); sleep deprivation (SD);  
388 sleep deprivation and recovery sleep (RS), and ketamine (Ket). **(B)** Exemplary time course of the  
389 performance of individual animals are given for each day. **(C)** Normalized representation of the  
390 same results already shown in **Figure 1A**. The immobility time of each animal and day was  
391 normalized to its corresponding immobility time on day 5 and expressed in percentage. Post-  
392 treatment values of different groups can be better displayed and compared using this  
393 approach. **(D)** Representation of normalized values for day 1, day 5, and the test day (CDM).  
394 After a successful proof of concept study, evaluation time points may be reduced to day one,  
395 day five and the test day. These time points are needed because a significant increase between  
396 day 1 and day 5 is necessary to demonstrate a successful induction, and day 5 needs to be

397 compared to the test day to give a statement on treatment efficacy. (E) Comparison of the  
398 immobility time of three different mouse lines: Wildtype (WT) shows a successful induction; an  
399 exemplary resilient-line (RL) shows a significantly decreased depression-like behavior on the  
400 first three days and on the test day. One-way ANOVA with Bonferroni *post hoc* test: \*/#p < 0.05,  
401 \*\*/##p < 0.01, \*\*\*/###p < 0.001, \*\*\*\*/####p < 0.0001. (#indicate difference to mean values of day 1,  
402 \*indicate difference to mean values of day 5 in **Figure 1A,C** and to WT mouse line in **Figure 1E**).  
403 Data are expressed as the means  $\pm$  SEM.

404  
405 **Figure 2: Unsuccessful results.** A representation of an ineffective induction is shown in the  
406 figure. Note that no significant increase in immobility time between day 1 and day 5 occurs.  
407 Therefore, criteria for continuation of the experiment were not achieved, and no further  
408 prolongation is rational (in this case, only male mice were tested, and after retrospective  
409 investigation, it was found that they were not littermates).

410  
411 **Figure 3: Additional results with CDM mice.** (A) An exemplary representation of the effects of  
412 CDM in the Tail Suspension Test. Mice were suspended by their tail, and the time spent  
413 immobile was recorded (for methodological details see<sup>9</sup>). Each dot represents the immobility  
414 time of a single animal, and bars represent the mean values of the tested animals. One-way  
415 ANOVA with Bonferroni *post hoc* test: \*\*\*p < 0.001. Data are expressed as the means  $\pm$  SEM. (B)  
416 Representative results of the recently established nose-pokes sucrose preference test in CDM  
417 mice. In this task, sucrose preference was measured with gradual increasing effort to reach the  
418 sucrose bottle (number of nosepokes) (for methodological details see<sup>10</sup>). Note that sucrose  
419 preference was decreased in CDM and that the difference between CDM and control mice  
420 gradually increases with the effort (mean values of nose pokes on each day indicated as Nspk1-  
421 7) mice had to apply to drink the sweet solution. Two-way ANOVA with Bonferroni *post hoc*  
422 test: \*\*p < 0.01, \*\*\*p < 0.001. Data are expressed as the means  $\pm$  SEM. (C) CDM-dependent  
423 changes in long-term synaptic plasticity are presented as changes of mean values of EPSPs after  
424 the application of an associative LTP induction protocol in hippocampal brain slices of WT mice.  
425 Data were obtained by stimulation of the CA3-CA1 synapse (for details see<sup>17,20</sup>). Unpaired *t*-test,  
426 \*\*p < 0.01, data are expressed as the means  $\pm$  SEM.

## 427 428 **DISCUSSION:**

429 The CDM model represents a relevant and established model for testing the anti-depressive  
430 potency of new interventions and opens an extended time window for molecular or  
431 electrophysiological experiments to elucidate the pathophysiology of depression. Especially  
432 when combined with other tests to assess a depression-like state, CDM has a high face and  
433 concept validity. It combines subchronic stress and acquired helplessness for induction and  
434 produces a long-lasting depressive-like state. It is insensitive to the single application of classical  
435 antidepressants but responds to subchronic application and therefore mimics the situation in  
436 humans. In a time window of 4 weeks, many different antidepressive interventions show  
437 efficacy, ranging from different classes of antidepressants, non-invasive brain stimulation, sleep  
438 deprivation to rapid-acting antidepressants<sup>9-11</sup>. Furthermore, the measurement of immobility  
439 time during the induction phase could be used as a marker of stress resilience or vulnerability,  
440 in case of testing transgenic animals or mice treated before the induction phase. All in all, the

441 CDM is economical in terms of cost, duration, standardization, and reproducibility between  
442 labs. Even though the performance seems fairly simple—“you drop a mouse into a water vessel  
443 and take it out after 10 min”—there are several critical points that must be kept in mind in order  
444 to obtain reasonable and stable results. Most problems are due to insufficient accuracy during  
445 preparation or analysis.

446  
447 A commonly experienced problem is that mice, especially males, do not show a significant  
448 increase in immobility time in the induction phase. In these cases, mice might have been  
449 already stressed before the induction starts; therefore, additional stress during the swim  
450 protocol does not cause a relevant increase of despair. Note that immobility time seems to  
451 have a ceiling effect since the increase between day 1 and 2 is larger than between day 2 and 3,  
452 respectively. After day 3, usually, no further significant increase can be expected. Common  
453 reasons for excessive baseline stress might include recent transportation of the animals or  
454 cohabitation of adolescent/adult male animals, a condition that never occurs in nature.  
455 Therefore, the experimenter should be cautious and always assure that animals are littermates,  
456 that they had enough time to acclimatize to the new surroundings and that there are no signs  
457 of biting or barbering before the experiment starts. Furthermore, the animals must be weighed  
458 each day and weight loss must be controlled to not exceed 20% of the initial body weight. A  
459 greater weight loss is considered critical, due to the fact that repetitive swimming is exhausting  
460 and animals that are not capable of maintaining their body weight suffer too much from this  
461 exhaustion. A critical point here is that animals suffering too much from exhaustion are  
462 probably not able to swim or struggle for 10 min during the test. When immobility times of  
463 those animals are analyzed, they tend to show a false negative outcome due to physical  
464 exhaustion.

465  
466 Another problematic circumstance that sometimes occurs, especially when longer treatment  
467 periods are required, is a spontaneous decrease of immobility time in the test evaluation. After  
468 4 weeks, immobility time usually decreases compared to assessments performed 2 days after  
469 the end of the induction period (N.B. this corresponds, although with a different time scale, to  
470 the situation in humans where depressed episodes are usually self-limiting). To minimize this  
471 pitfall, it should be guaranteed that no unnecessary nesting material is applied to the animal's  
472 home cage, which can be regarded as an effective antidepressive intervention (enriched  
473 environment). Furthermore, an increase in group size might help to decrease variance. If  
474 necessary, an additional swim session may be added as a modification of the standard protocol  
475 described above. For instance, an increase from five to seven swim sessions on 7 consecutive  
476 days could be performed and should result in a more stable depressed state of the animals. It is  
477 not recommended to further increase the duration of the individual swim session to avoid  
478 excessive exhaustion.

479  
480 There is no agreement within the scientific community about the most sensible time frame to  
481 be analyzed. While some groups consider all 10 min important<sup>9,10</sup>, others argue that the  
482 behavior within the first few minutes represent an acute stress situation and analyze only the  
483 last 4 min or 6 min<sup>18</sup>. The latter assumption is mainly derived from the common practice in the  
484 evaluation process of the classical FST. Experimental evidence addressing the question of the

485 most rational time frame to be analyzed in CDM is missing. Various high-ranked publications  
486 used the analysis of the whole 10 min in CDM<sup>9,10</sup>.

487  
488 Despite increasing numbers of commercially available software for automated video analysis,  
489 no set-up has demonstrated sufficient accuracy to replace a trained observer. Most software  
490 rely on tracking of locomotion of mice in the water and requires a camera position from above.  
491 Assessments by skilled humans have the advantage that not only locomotion but also assumed  
492 intention of more complex movements can be assessed, including the intensity of paw  
493 movements. For instance, mice frequently move by turning around their body or by subtle tail  
494 movements to keep their head above the water, which software usually tracks as swimming.  
495 Another example is the movement directed toward the glass wall of the vessel, including  
496 frequent nose poked from a short distance. Despite the clear intention to escape by vertical  
497 movements, the software frequently tracks immobility due to little locomotion. However,  
498 accurate and reliable assessments remain difficult and time-consuming. It is recommended to  
499 train a rater by an experienced experimenter and prepare joint assessments of sample videos  
500 by the two independent raters to discuss common definitions and ambiguities. Moreover, the  
501 first results of a laboratory with the CDM should be compared to previously published results  
502 from other groups.

503  
504 Researchers using the CDM might frequently experience the notion that increased immobility is  
505 a rather intelligent end energy-saving learned reaction of mice to an inescapable but temporary  
506 stressful situation. In our opinion, this overrates the cognitive flexibility of mice; however, it  
507 emphasizes the necessity for further assessments of a depressed state independent of  
508 immobility time. It can further be argued that other well-established animal models of  
509 depression as the Chronic Mild Stress test, produce similar outcomes; and that a depressed  
510 state or strong stressors impede, not increase learning both in humans and in animals<sup>17,20,26–30</sup>.

511  
512 The burden of the animals is usually rated as high to extreme in animal research applications.  
513 Experimental series should be thoroughly planned to minimize the number of animals, and  
514 animals should be treated with care and respect before and after the swim sessions. However,  
515 in some countries, it might not be possible to obtain an animal research license for the CDM.  
516 The CDM allows the assessment of anti-depressive efficacy of a wide range of interventions and  
517 the induction of a relatively stable depressed state. The heterogeneity and complexity of major  
518 depressive disorder in humans cannot be replicated in any animal model. Most animal models  
519 of depression are based on stress-induced/trauma-like experience in mice, which is not  
520 necessarily the case in humans, where childhood deprivation, complex learning history and/or  
521 sociocultural risk factors also seem to be important. Mouse models of depression should  
522 therefore be recognized as what they are: a simplified model for a highly complex disorder.  
523 However, if performed adequately and if multiple read-out methods are used, the CDM is a  
524 suitable tool in the search for novel insights and targets in depression research.

525  
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532

533 **DISCLOSURES:**

534 All the authors declare no conflicts of interest.

535

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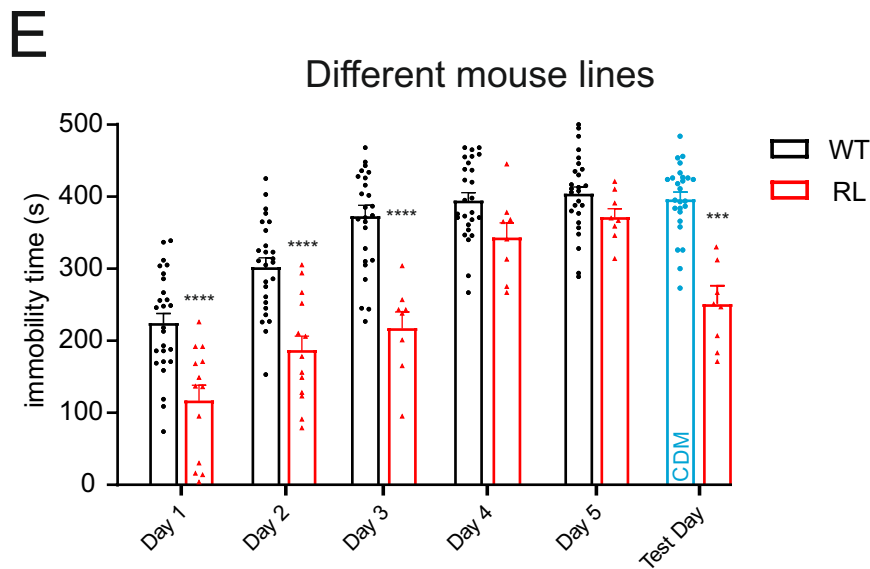
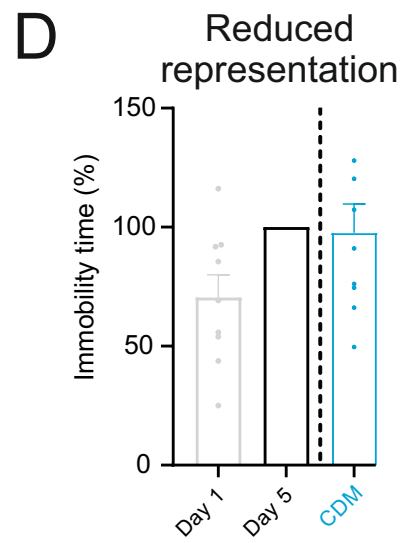
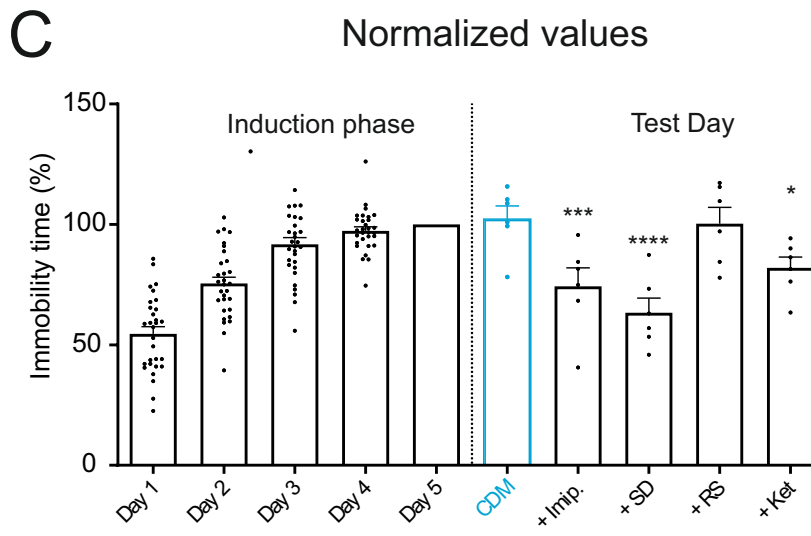
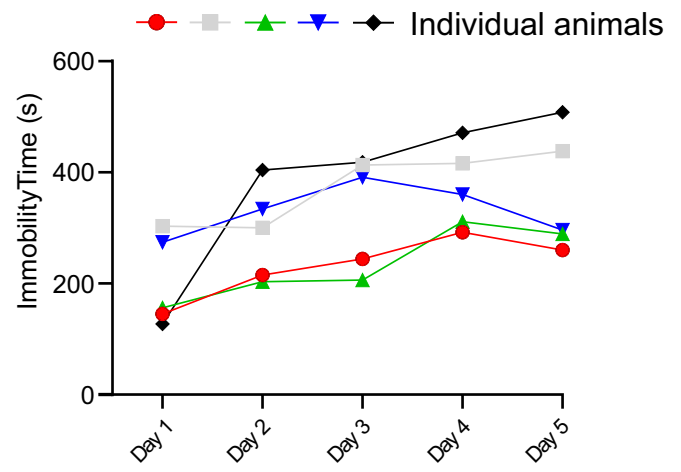
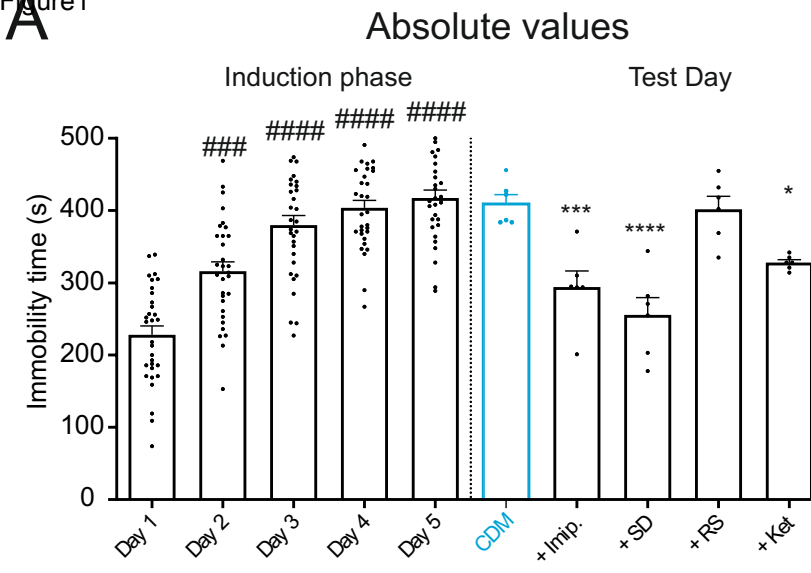
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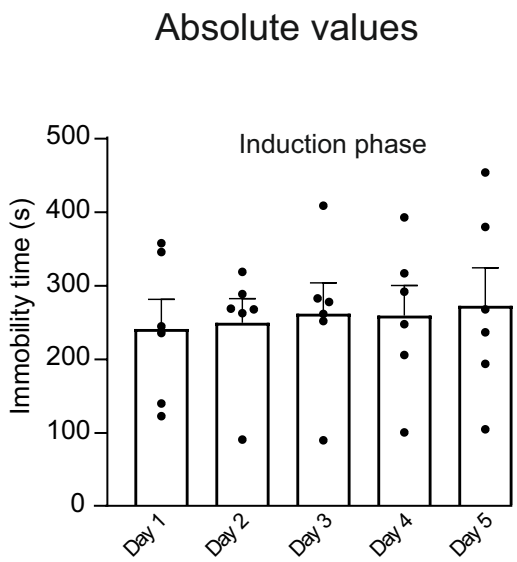
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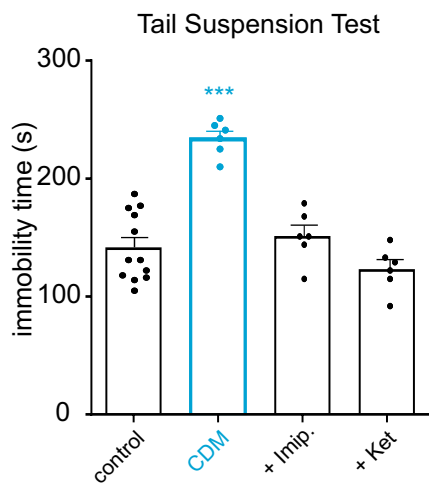
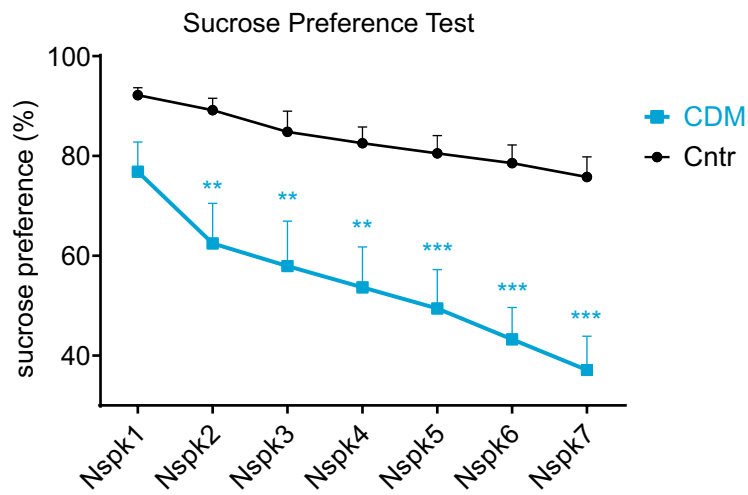
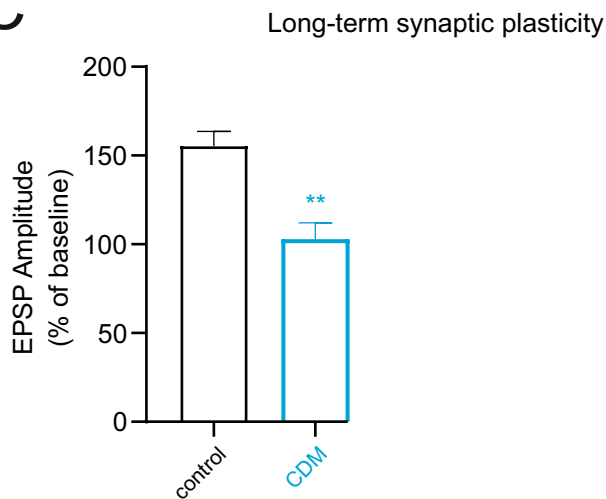
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611







**A****B****C**



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**Table of Materials**

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Rebuttal letter:

**Editorial comments:**

**1. Lines 183-188/251-269/286-292: The Protocol should contain only action items that direct the reader to do something. Please move the discussion about the protocol to the Discussion.**

Lines 183-188 and 286-292 were moved to discussion.

Lines 251-269: From our point of view these lines are not discussion. A detailed knowledge about the different tracking states (struggling/swimming/immobility) is crucial to perform the test correctly. It is absolutely necessary to correctly track and tracking forms part of the protocol. This is not interpretation/analysis but part of data acquisition.

**2. Line 433: The line mentions the term “NP” in Figure 3. There are no such indications in the figure. Please check and clarify. Also, please indicate the relevant statistical details in the figure.**

Recommended changes were made.

**3. Please ensure that the highlighted steps form a cohesive narrative with a logical flow from one highlighted step to the next. Please highlight complete sentences (not parts of sentences). Please ensure that the highlighted part of the step includes at least one action that is written in the imperative tense.**

Recommended changes were made.

**4. Figure 1B: Please revise the Y-axis title to “Immobility Time (s)” instead of “Immobility Time (sec)” to keep it consistent with the other graphs of the panel.**

Recommended changes were made.

**5. Please revise the table of the essential supplies, reagents, and equipment. The table should include the name, company, and catalog number of all relevant materials in separate columns in an xls/xlsx file. Please sort the Materials Table alphabetically by the name of the material.**

Digital scale and personal computer were included in the list and camera details adapted.