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Evidence for a hierarchy of predictions and prediction errors in human cortex

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According to hierarchical predictive coding models, the cortex constantly generates predictions of incoming stimuli at multiple levels of processing. Responses to auditory mismatches and omissions are interpreted as reflecting the prediction error when these predictions are violated. An alternative interpretation, however, is that neurons passively adapt to repeated stimuli. We separated these alternative interpretations by designing a hierarchical auditory novelty paradigm and recording human EEG and magnetoencephalographic (MEG) responses to mismatching or omitted stimuli. In the crucial condition, participants listened to frequent series of four identical tones followed by a fifth different tone, which generates a mismatch response. Because this response itself is frequent and expected, the hierarchical predictive coding hypothesis suggests that it should be cancelled out by a higher-order prediction. Three consequences ensue. First, the mismatch response should be larger when it is unexpected than when it is expected. Second, a perfectly monotonic sequence of five identical tones should now elicit a higher-order novelty response. Third, omitting the fifth tone should reveal the brain's hierarchical predictions. The rationale here is that, when a deviant tone is expected, its omission represents a violation of two expectations: a local prediction of a tone plus a hierarchically higher expectation of its deviancy. Thus, such an omission should induce a greater prediction error than when a standard tone is expected. Simultaneous EEG-magnetoencephalographic recordings verify those predictions and thus strongly support the predictive coding hypothesis. Higher-order predictions appear to be generated in multiple areas of frontal and associative cortices.

mismatch negativity | P300 component

According to the predictive coding hypothesis, the architecture of the cortex implements a top-down prediction algorithm that constantly anticipates incoming sensory stimuli. Each cortical area houses an internal model of the environment, which is generated by compiling the statistical regularities that govern past inputs. This model is used to generate top-down predictions that are compared with novel incoming inputs. Only the difference, called the “prediction error,” is transmitted to higher cortical stages, where it can be used to adjust the internal model. Importantly, this process can be organized hierarchically (1–4), so that the prediction error arising from a given area in turn serves as the input to the next area. The outcome is an active system that constantly updates models of its environment at multiple hierarchically organized levels.

Although considerable evidence supporting predictive coding has been provided at the perceptual level (e.g., 5–10), here we specifically set out to test the notion of a hierarchy of predictions, using a variant of the classical auditory violation paradigm (11).

When a rare sound is introduced within a sequence of repeated frequent sounds, it elicits a novelty response in the event-related potential, which has been termed the “mismatch negativity” (MMN) (12). This response is interpreted, within the predictive

coding framework, as reflecting the violation of a prediction: The MMN would directly reflect the cortical prediction error signal (4–6, 13). This interpretation is supported by sophisticated modeling studies which suggest that the MMN can be accounted for only by postulating a top-down predictive contribution (5–8). However, an alternative interpretation exists, whereby the MMN would reflect solely a passive, bottom-up process of adaptation to the repeated stimuli (14, 15). According to this interpretation, the repeated stimulus, by constantly stimulating the same afferent pathways, leads to synaptic adaptation and therefore to reduced activation. The rare stimulus, by contrast, activates fresh afferents that have not been adapted, resulting in a distinctly larger response. Thus, mismatch responses could reflect adaptation rather than predictive coding.

How could adaptation and predictive models be distinguished? An interesting variant of the mismatch paradigms consists of omitting the expected stimulus, rather than replacing it with another stimulus. It is a rather remarkable fact that the auditory cortex generates extensive responses locked to the absence of a predictable sound. This omission response can be detected by a variety of methods, including event-related potentials (ERPs) (16), magnetoencephalography (MEG) (17), and intracranial recordings (18). Omission responses fit quite naturally within the predictive coding framework: If stimulus-evoked brain activity indexes the difference between a sensory signal and its top-down prediction, then, when the sensory signal is omitted, the evoked activity should reflect the pure prediction signal within the same cortical area (8, 19, 20). Omission responses seem more difficult to explain within the adaptation framework. They might reflect the automatic rebound of a cortical oscillator entrained by the rhythm of the past stimuli (14), but this hypothesis meets difficulties in explaining why omission responses are still present in nonrhythmic paradigms, for instance when the second tone of a pair is omitted (8, 18–20).

Omission responses therefore might constitute a critical test of the predictive coding framework. Here, we capitalized on omission responses, combined with a hierarchical violation-of-expectation paradigm, to demonstrate that auditory signals are indeed submitted to multiple, hierarchically organized stages of top-down prediction. We used a recently introduced auditory paradigm that can dissociate two types of predictions, based on local probabilities versus global rules (11). In a given block, a frequent sequence of five tones is presented (in 75% of trials), interspersed with rare violations (in 15%) in which the frequency of the fifth tone deviates from the expected, and with rare

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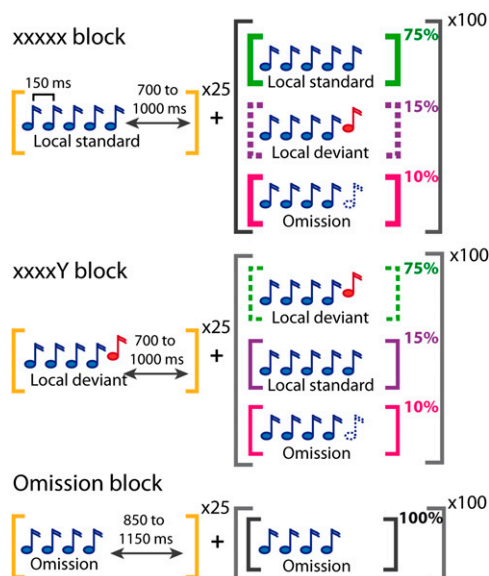


Fig. 1. Experimental design. Three auditory stimuli could be presented: local standards (a series of five identical tones, denoted xxxxx), local deviants (four identical tones followed by a different tone; denoted xxxxY), and omissions (four identical tones; denoted xxxxx). These stimuli were presented in three types of blocks in which one series was presented with a high frequency (initially 100%, then 75%) and the other series were rare. This design thus separated the local deviancy of the fifth sound from the global deviance of the entire sequence and also allowed us to probe whether the omission effect differed when a standard or a deviant tone was expected.

omissions (in 10%) in which the fifth tone is simply omitted (Fig. 1). Crucially, on some blocks the frequent sequence is of the “xxxxY” type, i.e., four identical tones followed by a distinct one. ERP recordings reveal that the fifth, locally deviant tone, although fully expected, still elicits an MMN. However, only the rare violation sequence, which contains the five identical tones “xxxxx”, elicits a distinct and later novelty response, the “late positive complex” or P3b wave (11). In the context of hierarchical predictive coding models, this observation can be interpreted as reflecting a “violation of a violation”: The monotonous “xxxxx” sequence is surprising because it fails to contain the fifth deviant tone, which normally generates an MMN. Hierarchical predictive coding models thus hypothesize two levels of predictions in this situation: A first low-level expectation, based on local transition probabilities, incorrectly predicts a fifth “x” tone after the first four “xxxx,” thus generating an MMN, whereas a second, higher-level expectation, based on the knowledge of the overall “xxxxY” rule, cancels the surprise elicited by the first level.

A simple prediction ensues. When we omit the fifth sound, thus presenting a series of four identical tones “xxxx,” the observed omission response should vary according to the expectation induced by the overall context. On “xxxxY” blocks, where two successive predictions are generated, we should observe a large event-related response to omission, composed of superimposed waves corresponding to the predictions of the “x” tone and of the MMN. On “xxxxx” blocks, however, only the first of these predictions should exist, and therefore the event-related response to omission should be significantly smaller. We tested this hypothesis by recording simultaneous EEG and MEG signals evoked by these stimuli, relative to a low-level control in which the omission of the fifth tone was entirely expected.

Results

We first examined our data for the presence of a local mismatch response evoked by the deviance of the fifth tone. Cluster anal-

ysis, implemented in FieldTrip software, was used to identify clusters of neighboring sensors where a significant difference between local standards and local deviants was seen over several consecutive time points (*Methods*). This analysis was performed separately for EEG sensors, MEG magnetometers (MEGm), and MEG gradiometers (MEGg), using the root mean square of the two orthogonal gradiometers available at each position (Fig. 2). The results revealed an early effect of local deviance, peaking at around 120 ms after the onset of the fifth deviant tone, and which reached corrected significance for each sensor type (EEG: range of first significant window 85–150 ms, $P = 0.002$; MEGg, 80–170 ms, $P < 0.0001$; MEGm, 82–150 ms, $P = 0.02$).

Fig. 2 shows the corresponding topography and time course of a relevant sensor for each block type. In both the xxxxx and xxxxY blocks, the response to local deviance has the topography of a classical mismatch field, with bilateral responses over the left and right temporal regions. The mismatch response was significant and with the same sign in each block (block xxxxx: EEG, 85–180 ms, $P = 0.002$; MEGg, 84–150 ms, $P < 0.0001$; MEGm, 76–130 ms, $P < 0.0001$; block xxxxY: MEGg, 80–140 ms, $P < 0.0001$). This response thus indexes a first local level of auditory novelty detection which is blind to global context. Indeed, in xxxxY blocks, although the deviant “Y” sound could be fully expected, the mismatch response to the final Y tone remained. Nevertheless the MMN amplitude was reduced on xxxxY compared with xxxxx blocks (Fig. 2C; EEG: 134–190 ms, $P = 0.014$; MEGg, 103–700 ms, $P < 0.00001$; MEGm, 95–210 ms, $P = 0.006$).

We then examined the presence of a second-level novelty response, dependent on the frequency of the overall sequence rather than of individual tones. On all sensor types, rare sequences differed from frequent sequences on a later time window than the MMN (EEG, 327–540 ms, $P < 0.00001$; MEGg, 103–600 ms, $P < 0.00001$; MEGm, 275–600 ms, $P < 0.00001$). Note that on xxxxY blocks this higher-order novelty response was elicited by the monotonic but unexpected xxxxx stimulus relative to the frequent xxxxY stimulus, leading to a complete inversion of the classical mismatch response (Fig. 2B). On such trials, a sequence of two successive novelty events, hereafter termed “local” and “global” effects, was thus revealed. In EEG, as previously described, the second, global effect has the classical topography and latency of the P3b component, which differs strongly from the MMN (Fig. 2A and C). Surprisingly, in MEG, these two events have very similar topographies: Both are dominated by bilateral responses over temporal cortices.

The next step was to examine omission responses. The omission effect was computed by recording the brain responses to rare omissions (presentation of only four identical tones instead of five) separately within xxxxx and xxxxY blocks and comparing these responses with the responses to a block where only sequences of four identical tones were presented (expected omissions). The results showed an early effect of unexpected omission peaking around 100 ms after the onset of the omitted tone (i.e., 250 ms after the onset of the fourth tone), with a topography similar to the MMN topography for all sensor types (Fig. 2D and E). The early latency of this peak response to an absent stimulus is consistent with the hypothesis that this response corresponds to an unfulfilled prediction. The omission effect was significant in both block types (xxxxx blocks: significant only for MEGg, 76–200 ms, $P < 0.0001$; xxxxY blocks: EEG, 104–160 ms, $P = 0.022$; MEGg, 150–200 ms, $P < 0.0001$; MEGm, 150–200 ms, $P = 0.002$). In both blocks, the difference between rare versus expected omissions also was significant in a later time window with a topography similar to the above global effect (xxxxx blocks: EEG, 425–440 ms, $P = 0.032$; MEGg, 327–500 ms, $P < 0.0001$; MEGm, 234–500 ms, $P < 0.0001$; xxxxY blocks: MEGg, 134–500 ms, $P < 0.0001$; MEGm, 272–500 ms, $P < 0.0001$). Thus, the omission effect consists of a sequence of early and late responses, the latter coinciding with the P3b-like global

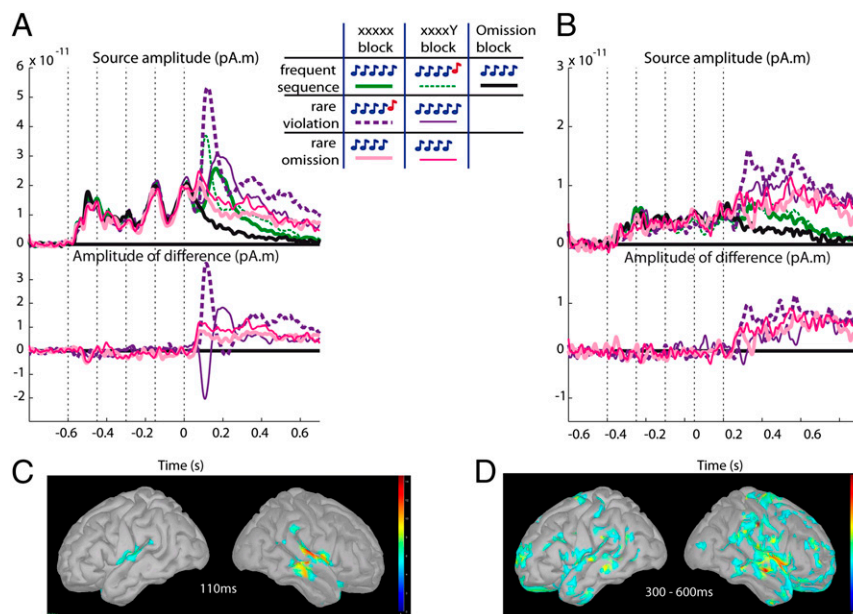


Fig. 3. Source modeling of the effects. The reconstructed signals from the right auditory cortex (A) and right precentral cortex (B) are shown. Upper panels show the signals in each of the seven experimental conditions, and the lower panels show subtractions of each rare sequence (identified by the same color as in the upper plot) minus the frequent sequence of the same block, and of omissions in each block type (same color as in the upper plot) minus the expected omission from the control block. (C and D) The z-score-corrected source reconstruction of the local effect (C) and effect of deviance from global rule (D) on inflated cortex. Local effect (C) is the average effect of deviance from local regularity over both types of blocks at time = 110 ms. Global effect (D) is the average of contrasts between rare and frequent trials, at constant stimulus (rare violation – frequent sequences and rare omissions – expected omissions), averaged over the late period of the trials (300–600 ms). The source in auditory cortex shows a sharp and rapid response to local deviance, followed by a late and sustained response to global deviance. The source in precentral cortex shows only the late sustained response. Both effects are present on omission trials (red/pink curves), with greater initial response to omissions in xxxxY blocks (thin red curve) than in xxxxx blocks (thick pink curve).

temporal region than either the MMN or the basic omission effect. This region was lateralized to the right hemisphere ($x = 53$ mm, $y = -2$ mm, $z = 4$ mm).

Discussion

By recording ERPs and magnetic fields while manipulating and violating the participants' auditory expectations at two distinct levels, we obtained direct evidence that an active, predictive, and hierarchical system underlies the brain's response to auditory stimuli.

First, we replicated the earlier finding of a double dissociation between the early MMN and a later, temporally extended and distributed response (P3b) (11). The MMN was sensitive to local violations of transition probabilities and was essentially blind to higher-order regularities, because it continued to be evoked, at a reduced level, by a fifth deviant tone that could be expected (in the xxxxY blocks). Contrariwise, we observed a late (~300 ms) divergence which reflected solely the deviance of the overall sequence rather than of its individual component tones.

Although MEG and EEG revealed functionally and temporally similar responses, their spatial pattern diverged. The EEG topographies differed strongly for the MMN and P3b stages, but in MEG these two stages showed similar topographies involving mainly temporal sources. This difference in sensitivity to sources between MEG and EEG stresses the interest of combining the two methods (21). Overall, the results suggest an initial stage confined to temporal cortex and a later stage at which this activity is amplified and expands into distributed additional regions, particularly in prefrontal and parietal cortices (11). The weak influence of the latter sources on MEG topography might result from their multiplicity and dispersion.

It is important to note that the previous results by Bekinschtein et al. (11) in a similar paradigm were observed in the context of a counting task where participants counted the rare stimuli.

Thus, the P3b response that they observed with rare compared with frequent stimuli could have arisen from the counting process, which occurred with global deviant stimuli but not with frequent stimuli. By contrast, in the present trials the participants were instructed only to attend to the stimuli, not to count them. Thus, our results show that the counting task is not necessary and that the late P3b response reflects, at least in part, the response of a higher-order novelty-sensitive system.

Our findings refine earlier results by showing that the local and global effects are not fully independent (11) but interact in an early time window. Specifically, the local mismatch response was significantly smaller in xxxxY blocks than in xxxxx blocks. There are at least two interpretations of this effect. First, the effect could be caused solely by a difference in transition probabilities. Indeed, MMN amplitude decreases when the probability of the deviant increases; in the blocks where the xxxxY sequence is frequent, the transition probability $x \rightarrow Y$ is necessarily higher relative to xxxxx blocks. However, this effect also is fully consistent with the hierarchical predictive coding hypothesis, which predicts that on xxxxY blocks a second-level prediction can be used to cancel out partially the first-order error novelty response to the expected deviant sound Y.

Although the theoretical implications of this early modulation of the initial mismatch response are ambiguous, the complete inversion of the mismatch signals observed in a later time window argues strongly for a hierarchical process. Indeed, on xxxxY blocks, the xxxxx stimulus becomes the rare stimulus and elicits a P3b-like brain response. The fact that a stimulus that consists solely of a repetition of five identical tones (xxxxx) can elicit a novelty signal if the participants expected a different sequence is in itself highly suggestive that the brain operates as a multilevel predictive system sensitive to prediction errors.

Having established the existence of a hierarchy of at least two novelty systems, we used sound omissions to provide a stronger

were synthesized. The tones were 50 ms long, with 7-ms rise and fall times. Series of four or five such tones were presented via headphones with an intensity of 70 dB and a 150-ms stimulus onset asynchrony. The series could comprise five identical tones (local standard, denoted xxxxx), four identical tones and a fifth different tone (local deviant, denoted xxxxy), or only four identical tones (omission, denoted xxxx). Series were presented in semi-randomized blocks of ~3-min duration, separated by silences of variable duration (700–1,000 ms), during which one series was designated as frequent and the other as rare (Fig. 1). Each block started with 25 frequent series of sounds to establish the global regularity (global rule). Of the next 100 occurrences, 75% were the frequent series, 15% the rare series, and 10% the omission series. A separate block contained 125 presentations of the omission sequence (expected omissions). Each participant received a total of 14 blocks of 125 trials each (three replications of the four rules xxxxy and xxxxx with either $x = A$ and $Y = B$, or $x = B$ and $Y = A$, plus two xxxx omission blocks with $x = A$ for one and $x = B$ for the other). All stimuli were presented using E prime v1.2 (Psychology Software Tools).

Simultaneous EEE-MEG Recordings. Measurements were carried out with the Elekta Neuromag NeuroSpin system (Elekta Neuromag Oy), which comprises 204 planar gradiometers and 102 magnetometers in a helmet-shaped array. The built-in EEG system (64 electrodes) was used to record EEG and MEG simultaneously. An electrode on the tip of the nose was used as EEG reference. ECG and electrooculogram (EOG) (horizontal and vertical) were recorded simultaneously as auxiliary channels. MEG, EEG, and auxiliary channels were low-pass filtered at 330 Hz, high-pass filtered at 0.1 Hz, and sampled at 1 KHz. The head position with respect to the sensor array was determined by four head-position indicator coils attached to the scalp. The locations of the coils and EEG electrode positions were digitized with respect to three anatomical landmarks (nasion and preauricular points) with a 3D digitizer (Polhemus Isotrak system). Then, head position with respect to the device origin was acquired before each block. Subjects were asked to keep their eyes open, to avoid eyes movements by fixating a cross, and were constantly reminded to pay attention to the auditory stimuli. At the end of the recording, a questionnaire assessed which regularities and violation types had been detected. All subjects reported detecting both rare sound series and omissions.

Data Analysis. Signal space separation correction, head movement compensation, and bad channels correction were applied using the MaxFilter Software (Elekta Neuromag). Principal components analysis was used to remove EKG and EOG artifacts. With Fieldtrip software (<http://fieldtrip>.

fcdonders.nl/), trials were epoched from 200 ms before to 1,300 ms after the onset of the first sound, low-pass filtered at 40 Hz, and baseline corrected using the first 200 ms of the epoch. After visual rejection of artifacts, the trials were averaged per condition and per subject. The latitudinal and longitudinal gradiometers were combined by computing the mean square root of the signals at each sensor position.

Cluster-based statistics were performed using Fieldtrip software. Statistics were computed between 50 and 250 ms for mismatch and omission effects, between 50 and 700 ms for the global effect, and between 50 and 500 ms after the onset of the omitted sound for late omission effect. The threshold was fixed to $P = 0.05$, corrected for the size of the search space (time and sensors). We report only the most significant clusters for each sensor type.

Source Reconstruction. Anatomical T1-weighted MRIs were obtained for each participant after the MEG experiment with a 3-T Siemens MRI scanner, with a resolution of $1 \times 1 \times 1.1$ mm. Head-position indicators and the digitized head shape were used for the coregistration of the anatomical images with the MEG signals. Gray and white matter then was segmented using BrainVisa/Anatomist software package (<http://brainvisa.info/>). The scalp and cortical surfaces were reconstructed for each subject using BrainStorm software (<http://neuroimage.usc.edu/brainstorm/>). Models of the cortex and of the head were used to estimate the current-source density distribution over the cortical surface. The forward model was computed using an overlapping-spheres analytical model. The inverse model was constrained to a minimum-norm solution (weighted minimum-norm current estimate, wMNE). Sources were reconstructed at each time point. For each subject, the sources were then projected to a standard anatomical template (MNI). Contrasts between conditions were normalized using z-score normalization.

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