Cognitive control of behavior and hippocampal information processing without medial prefrontal cortex

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Abstract

Cognitive control tasks require using one class of information while ignoring competing classes of information. The central role of the medial prefrontal cortex (mPFC) in cognitive control is well established in the primate literature, and largely accepted in the rodent literature because mPFC damage causes deficits in tasks that may require cognitive control, as inferred, typically from the task design. In prior work, we used an active place avoidance task where a rat or mouse on a rotating arena is required to avoid the stationary task-relevant locations of a mild shock and ignore the rotating task-irrelevant locations of those shocks. The task is impaired by hippocampal manipulations, and the discharge of hippocampal place cell populations judiciously alternates between representing stationary locations near the shock zone and rotating locations far from the shock zone, demonstrating cognitive control concurrently in behavior and the hippocampal representation of spatial information. Here we test whether rat mPFC lesion impairs the active place avoidance task to evaluate two competing hypotheses, a "central-computation" hypothesis that the mPFC is essential for the computations required for cognitive control and an alternative "local-computation" hypothesis that other brain areas can perform the computations required for cognitive control, independent of mPFC. Ibotenic acid lesion of the mPFC was effective, damaging the cingulate, prelimbic and infralimbic cortices. The lesion also altered the normal coordination of metabolic activity across remaining structures. The lesion did not impair learning to avoid the initial location of shock or long-term place avoidance memory, but impaired avoidance after the shock was relocated. The lesion also did not impair the alternation between task-relevant and task-irrelevant hippocampal representations of place information. These findings support

55   the local-computation hypothesis that computations required for cognitive control can

56   occur locally in brain networks independently of the mPFC.

Introduction

Cognitive control is a psychological construct that refers to a set of processes that allow information processing and purposeful behavior to vary and adjust according to the demands of a subject's current goals. Without cognitive control, information processing and behavior would be rigid and inflexible when task demands and goals change [1]. Because cognitive control is not limited to any one task or task domain, and because it engages various processes that include forms of attention, memory processes, behavioral inhibition and the like, it has been a challenge to establish the neuronal basis of cognitive control. What would the neuronal network activity look like in a part of the brain that was implementing cognitive control? From our perspective, until we connect neuronal network function to cognitive control, the construct's value will be limited for understanding brain function and treating the diverse types of dysfunction that manifest as impaired cognitive control. Towards this goal, it has been important to identify regions of the brain that might be crucial for cognitive control. This has largely been approached by investigating brain function while subjects perform tasks designed to require cognitive control because performance depends on the ability to judiciously use task-relevant information while ignoring salient concurrent information that is currently irrelevant for the task.

Studies of human brain function identified subdivisions of the prefrontal cortex (PFC) that are engaged by tasks that are thought to require cognitive control, such as the Wisconsin Card Sort and Stroop tasks. As noted above, it is important to identify the neuronal network activity that the construct of cognitive control assumes must be operating. Recordings of neuronal activity from the PFC of non-human primates as they perform tasks that are thought to require cognitive control has been a particularly important development towards the identification of such neural network activity. Indeed, the consensus view is that PFC is crucial for cognitive control such that PFC activity is central to the underlying computations that operate through prefrontal interactions with

diverse brain areas during cognitive control tasks [2-4]. An influential theory states: "We assume

that the PFC serves a specific function in cognitive control: the active maintenance of patterns of

activity that represent goals and the means to achieve them. They provide bias signals throughout

much of the rest of the brain, affecting not only visual processes but also other sensory modalities,

as well as systems responsible for response execution, memory retrieval, emotional evaluation,

etc. The aggregate effect of these bias signals is to guide the flow of neural activity along

pathways that establish the proper mappings between inputs, internal states, and outputs needed

to perform a given task. This is especially important whenever stimuli are ambiguous (i.e. they

activate more than one input representation), or when multiple responses are possible and the

task-appropriate response must compete with stronger alternatives. From this perspective, the

constellation of PFC biases—which resolves competition, guides activity along appropriate

pathways, and establishes the mappings needed to perform the task—can be viewed as the

neural implementation of attentional templates, rules, or goals, depending on the target of their

biasing influence." [2, page 171]

Like biased competition, in which winner-take-all network representations compete to explain

selective visual attention [5-9] the theory is especially valuable and powerful because it predicts

what neuronal signals should look like when cognitive control is operating. This enables

experimentalists to operationally identify cognitive control using neuronal network behavior so

that hypotheses can be rigorously evaluated. Accordingly, cognitive control would be at work

when there is sustained neuronal network representations of task-relevant information that

suppresses or gates representations of salient task-irrelevant information in accord with

purposeful judicious behavior. This is not to say that the control signal itself would have this

property, although a so-called "transmissive" type of control signal would include task-relevant

context and stimulus information, whereas a "modulatory" type of control signal would only carry

the control signal that biases expression of the task-relevant context and stimulus information [10,

11].

The hippocampal role in the cognitive control of spatial and mnemonic information has been

investigated using an active place avoidance task [12]. The task conditions rodents to avoid the

location of a mild shock and uses continuous rotation of the behavioral arena to dissociate the

environment into two spatial frames, one defined by the rotating arena and the other defined by

the stationary room [13]. Avoiding shock at a stationary room location requires using the task-

relevant spatial information and ignoring spatial information from the other, task-irrelevant arena

frame. Dorsal hippocampus dysfunction impairs this avoidance without impairing the place

avoidance when the two frames are not dissociated by stopping the rotation or attenuating the

arena cues with shallow water [14-17]. During active place avoidance task variants that require

cognitive control, place cell discharge in hippocampus subfields, and head-direction cell discharge

in the medial entorhinal cortical input to hippocampus demonstrate cognitive control of spatial

representations; neural ensemble activity alternates between representing room and arena

locations depending on the subject's proximity to the frame-specific location of shock [12, 13, 18-

20].

A standard "central-computation" hypothesis centralizes the computations that are necessary for

cognitive control to the PFC and predicts that lesion of the PFC will impair active place avoidance

[21, 22]. Recent work indicating that the hippocampus [18] and sensory thalamus [23] are also

necessary for cognitive control can be reconciled with the central-computation hypothesis by

assuming there are necessary interactions between modality-specific information processing in

hippocampus or thalamus and the primary, control-specialized processing in the PFC [22, 24, 25].

Alternatively, the role of non-PFC brain structures in cognitive control could be explained by a

"local-computation" hypothesis; the computations needed for cognitive control can be performed

locally in neural networks specialized for the particular information upon which the task depends

and on which cognitive control operates. The local-computation hypothesis predicts that PFC

lesion can spare cognitive control. We tested these mutually exclusive hypotheses by making

medial prefrontal cortex (mPFC) lesions in rats and evaluating their behavior and hippocampal

physiology during active place avoidance (Fig. 1A). We reasoned that if the central-computation

hypothesis was valid, active place avoidance behavior would be impaired by mPFC lesion along

with discoordination of the alternating dynamics between concurrent hippocampal network

representations of task-relevant room-frame and task-irrelevant arena-frame locations of the

rotating arena. Alternatively, if the local-computation hypothesis was valid, then mPFC lesions

would spare the active place avoidance behavior and the hippocampal place representation

dynamics. We used cytochrome oxidase, a metabolic marker of baseline neuronal activity, to

confirm the mPFC lesions were effective and that there are non-local network consequences

despite the local lesion. We first evaluated cytochrome oxidase activity in regions known to be

associated with performance in the active place avoidance task, or regions with known

connectivity to the mPFC. We then evaluated covariance of activity amongst the regions in an

effort to detect network consequences of the lesion.

Results

mPFC lesion does not impair cognitive control in the active place avoidance task

Ibotenic acid, but not vehicle, targeted to mPFC caused lesions that included the cingulate cortex,

prelimbic and infralimbic areas (Fig. 1B; S2). To assess the effect of mPFC lesion on behavior,

we first examined locomotion during the pretraining sessions (Fig. 1C). There is no effect of lesion

on the total distance walked across the session (Fig.1D; $F_{1,16} = 0.04$, p = 0. 85, $\eta^2 = 0.002$). There

is a main effect of trial ($F_{1,16} = 15.31$, p = 0.001, $\eta^2 = 0.09$) but there is no effect of the group x trial

interaction ($F_{1,16} = 0.14$, p =0.71, $\eta^2 = 10^{-3}$). Similarly, locomotion does not differ between the

groups or across trials, nor is there a significant group x trial interaction during Initial Training on

days 2-3 (df = 3.17/50.77) or during Conflict Training on days 4-5 (df = 4.97/79.58; $F's \leqslant 1.96$, p

$\geqslant 0.09$, $\eta^2 \leqslant 0.03$).

We then examined the acquisition of active place avoidance memory during Initial Training using

the time to first enter the shock zone, the clearest estimate of between-trial memory. Both groups

learn to increase the latency to first enter the shock zone (Fig. 1E). There is no effect of group

($F_{1,16}$ = 0.1, p = 0.76, η^2 = 0.001) but clear effects of day ($F_{1,16}$ = 69.61, p = 10^{-7}, η^2 = 0.17) and

trial ($F_{5.33,\ 85.33}$ = 12.15, p = 10^{-9}, η^2 = 0.12). There are also no significant interactions (group x day:

$F_{1,16}$ = 0.94; p = 0.35, η^2 = 10^{-3}; group x trial: $F_{5.33,\ 85.33}$ = 1.83, p = 0.11, η^2 = 0.02; day x trial: $F_{4.78,}$

$_{76.43}$ = 1.93, p = 0.10, η^2 = 0.03); group x day x trial: $F_{4.78,\ 76.43}$ = 0.26, p = 0.93, η^2 = 10^{-3}). Neither

was there a difference in avoidance learning between the groups measured by the number of

entrances into the shock zone (Fig. 1F). The effect of group is not significant ($F_{1,16}$ = 0.002, p =

0.96, η^2 = 10^{-5}) but the effects of day ($F_{1,16}$ = 26.34, p = 10^{-3}, η^2 = 0.19) and trials ($F_{3.22,\ 51.50}$ = 36.76,

p = 10^{-8}, η^2 = 0.1) are significant. There are no significant interactions (group x day: $F_{1,16}$ = 0.003,

p = 0.96, η^2 = 10^{-5}; group x trial: $F_{3.22,\ 11.50}$= 0.74, p = 0.54, η^2= 10^{-3} ; group x day x trial: $F_{4.05,\ 64.81}$ =

0.35, p = 0.74, η^2 = 10^{-3}). But the interaction between day and trial is significant (day x trial: $F_{2.26,}$

$_{36.08}$= 13.75, p = 10^{-5}, η^2 = 0.11). The two groups are also indistinguishable on Day 4 during which

Retention of 24-h memory is assessed by their times to first enter the shock zone (t_{16}= 1.01, p =

0.3, d = 0.49) and the number of entrances (t_{16}= 0.95, p = 0.4, d = 0.002).

To increase the cognitive challenge, we were motivated by evidence that mPFC manipulation can

affect cognitive flexibility as assessed by reversal learning tasks [26, 27]. Accordingly, we trained

the rats to avoid the shock zone after relocating it 180° to assess the impact of mPFC lesion on

cognitive flexibility with the additional challenge to distinguish between the current and previously

learned location of shock, under the cognitive control challenge [28]. Both groups learn the conflict

task variant, measured by the number of entrances. There is no effect of group ($F_{1,16}$ = 0.21, p =

0.65, η^2 = 10^{-3}), but the effects of day ($F_{1,16}$ = 8.99, p = 0.01, η^2 = 0.05), and trials ($F_{1.89,\ 30.12}$ =

18.55, p = 10^{-9}, η^2 = 0.28) are significant. The group interactions are not significant (group x day:

$F_{1,16}$ = 0.55, p = 0.47, η^2 = 10^{-3}; group x trial: $F_{1.88, 30.12}$ = 1.38, p = 0.27, η^2 = 0.02; day x trial: $F_{2.30,}$

$_{36.87}$ = 2.13, p = 0.11, η^2 = 0.02, group x day x trial: $F_{2.30, 36.87}$ = 1.16, p = 0.33, η^2 = 10^{-3}). Also, the

time to enter the new shock zone, which was low in both groups, consistent with poor between-

day memory for the novel location of shock (Fig. 1, Days 4-5 Conflict Training). There is no effect

of group ($F_{1,16}$ = 0.21, p = 0.65, η^2 = 10^{-3}), but the effects of day ($F_{1,16}$ = 20.46, p = 0.01, η^2 = 0.04),

and trials ($F_{1.89, 30.12}$ = 11.52, p = 10^{-}, η^2 = 0.13) are significant. The group interactions are not

significant (group x day: $F_{1,16}$ = 0.03, p = 0.86, η^2 = 10^{-3}; group x trial: $F_{1.88, 30.12}$ = 0.78, p = 0.54,

η^2 = 0.01; group x day x trial: $F_{2.30, 36.87}$ = 0.47, p = 0.76, η^2 = 10^{-2}). Also, the interaction between

day and trial is not significant (day x trial: $F_{2.30, 36.87}$ = 1.29, p = 0.28 η^2 = 0.02). We more closely

examined conflict learning by analyzing the initial experience of the new shock zone location when

the rats are first confronted with the change in the location of shock. We compared the number of

entrances during the first 5 minutes on the first trial of each day to estimate savings, measured

as each animal's difference in performance) during initial training (Fig. 1F left inset) and during

conflict training (Fig. 1F middle inset). During initial training, both sham (paired t_7 = 4.5, p = 0.003,

d = 1.2) and lesion (paired t_9 = 4.7, p = 0.001, d = 1.5) rats improved. During conflict training,

sham rats improved across the pair of first conflict trials of each day (Fig. 1F middle inset; paired

t_7 = 3.8, p = 0.006, d = 1.4) but not lesion rats (paired t_9 = 0.87, p = 0.4, d = 0.27). Indeed, while

all sham rats improved across the first two conflict trials of each day only 6/10 lesion rats improved

(test of proportions z = 2.3, p = 0.03). We also quantified the improvement for each subject during

conflict as a savings index (Fig. 1F right inset). The sham rats improved, avoiding more than the

lesion rats in the first 5 minutes of the second conflict day compared to the first conflict day (t_{16} =

2.4, one-tailed p = 0.03, d = 0.85). This difference on the second day of conflict training was

observed despite equivalent performance across eight trials on the first day. We therefore find no

evidence that mPFC lesion causes a deficit in active place avoidance learning to avoid the initial

location of shock, nor do we observe a deficit in memory retention up to 24-h for the initial shock

location, both of which require cognitive control. However, the lesion is sufficient to impair conflict

learning after a 24-h delay.

Figure 1. mPFC lesion does not impair initial active place avoidance learning, but impairs

cognitive flexibility in the conflict task variant (A) Workflow to assess the impact of mPFC or

sham lesions on spatial cognitive control. (**B**) Assessment and impact of the mPFC lesion in three

representative subjects (light grey (intermediate with dorsal anterior lesion), dark grey

(intermediate with ventral anterior lesion – includes medial orbital cortex), and purple (largest

lesion)). The smallest lesion spanned A-P 3.24-2.52. PrL (prelimbic), IL (infralimbic), Cg (cingulate

cortex), M2 (secondary motor cortex). Representative mPFC from a sham and a lesion rat

mPFC lesion alters functional relationships amongst related brain areas

Cytochrome oxidase (CO), a sensitive metabolic marker for neuronal function [29], was used to

evaluate whether lesion effects were restricted to the mPFC. In a subset of rats (lesion n = 8,

sham n = 8), CO activity was evaluated in 14 functionally-related brain regions (Fig. 2A). CO

activity in the central amygdala, but not elsewhere, is altered by the lesion, with activity increased

in lesion rats (Table S1).

Pair-wise interregional correlations of CO activity were evaluated to assess whether extra-mPFC

functional relationships are altered after mPFC lesion. After FDR correction (0.01) 15 of the 91

correlations are significant in the sham sample but only 7 in the lesion sample (Fig. 2B, S3b; test

of proportions: z = 2.26, p = 0.03). The correlations within the ventral hippocampus are preserved

after mPFC lesion, but some correlations are lost within the dorsal hippocampal formation (Fig.

2B). Correlations between the nucleus reuniens and both the dorsal and ventral hippocampus are

also lost after mPFC lesion. Correlations between the basolateral amygdala and nucleus reuniens

and between the basomedial amygdala and ventral hippocampus are lost after mPFC lesion, and

a correlation between dorsal CA1 and the central nucleus of the amygdala appears after mPFC

lesion. These data indicate that the mPFC lesion causes functional changes beyond mPFC.

Figure 2. Cytochrome oxidase analysis demonstrates widespread metabolic

consequences of mPFC lesion. (A) Representative cytochrome oxidase staining and locations

of the optical density readings. Cytochrome oxidase activity was measured in the dysgranular and

granular retrosplenial cortices (RSD and RSG, respectively), the nucleus reuniens (RE), the

central nucleus of the amygdala (CEA), basomedial and basolateral amygdala (BMA, and BLA,

respectively), the dorsal hippocampus CA1, CA2, CA3 and dentate gyrus areas (dCA1, dCA2,

dCA3, dDG, respectively) the ventral hippocampus CA1, CA3 and dentate gyrus areas (vCA1,

vCA3, vDG, respectively) and the dorsal subiculum (DS) marked as colored circle areas. **(B)**

Interarea covariations of CO activity by graph theory analysis. Each line indicates a significant

correlation (p < 0.05) between the two brain regions ("nodes") it connects; only the red lines

survived False Discovery Rate (FDR < 0.01) correction. Sham: n = 8; Lesion: n = 8.

mPFC lesion does not alter cognitive control of hippocampal neural

representations

When the discharge of principal cells of the hippocampus is location-specific to so-called place

fields, the cells are called place cells. Place fields are disrupted by molecular manipulations that

disrupt spatial learning and memory and changes in place cell firing tend to track environmental

changes like geometry and other spatial features that often accompany spatial learning and

memory challenges [review 30]. In contrast, spatial learning and memory tasks that depend

crucially on hippocampus and hippocampal synaptic plasticity, like active place avoidance or task

changes, such as those introduced by the conflict task variant, cannot be assessed by simple

changes in place fields and their quality [12, 13, 19, 31-36]. This is in part because dynamic

cognitive variables, like adjustments of attention and cognitive control, operate during learning

and memory tasks. The dynamics of such internal cognitive variables modulate place cell firing,

creating extra-positional signals [12, 18, 19, 37-39]. The presence of these extra-positional signals

can be detected as momentary discharge deviations from the expectations of firing-field based

spatial discharge [40]. On the timescale of the few seconds it takes to walk across a firing field,

these noise-like deviations can be measured as overdispersion [41, 42]. We can also measure

the momentary positional information in the collective neuronal population discharge dynamics,

which during active place avoidance alternates between encoding locations in the room and

locations in the arena [18, 43]. The hippocampal and entorhinal cortex neuronal populations, each

fluctuate between representing space in these two distinct spatial frames every few seconds [20,

31, 44]. These representational dynamics are purposeful and can be summarized as a spatial

frame ensemble preference (SFEP) that is biased to room-frame locations near the room-defined

shock zone and is biased to arena-frame locations far from the shock zone [12, 13].

In light of these cognitive dynamics in neuronal activity representations of position, and the ability

to decode task information from neuronal population discharge, it is powerful to characterize

cognitive control by investigating neuronal population discharge. Cognitive control requires the

subject to process and use a class of information purposefully, at the expense of other competing

information. Accordingly, we previously demonstrated such a cognitive control signal in the

population dynamics of dorsal hippocampus spatial discharge representations of room and arena

positions as rats and mice navigate on a rotating arena [12, 13, 18, 39]. Consequently, we

examined the SFEP, the representational dynamics of hippocampus CA1 discharge on the

rotating arena during pretraining, as well as retention of the conditioned place avoidance of the

initial and conflicting shock zone locations (Fig. 3A). Note that the physical conditions were

identical in these three trials because the shock was off.

We first examined basic discharge properties of individual CA1 principal cells, which do not differ

between the sham and mPFC lesion groups (Fig 3B, Table S2). Nor does mPFC lesion alter

thalamic firing rates, but it reduces the likelihood of bursting activity (Table S3) complementing

the CO evidence that the mPFC lesion affected activity in areas beyond the lesion sites.

We then examined overdispersion of place cell firing, which is known to be reduced by prefrontal

inactivation [45]. In contrast, overdispersion is expected to increase with cognitive control and

other extra-positional processes that increase discharge non-stationarity [38]. We find that during

pretraining, overdispersion of hippocampal discharge is reduced by a factor of two in lesion

compared to sham rats, consistent with an effective lesion (Fig. 3C left). Might this also indicate

reduced cognitive control in the lesion rats? Remarkably, during conditioned place avoidance the

overdispersion in lesion rats increases to the level observed in sham rats, consistent with the

increased demand for cognitive control (Fig. 3C middle and right). These findings confirm the

effectiveness of the prefrontal lesion and also provide electrophysiological evidence consistent

with intact cognitive control in the lesion rats.

Figure 3. mPFC lesion does not change basic discharge properties, but decreases hippocampus place cell overdispersion only in the absence of the cognitive control challenge. (A) (left) Representative histology with overlaid recording traces from the Neuropixel probe. (right) Recording schedule workflow during the cognitive control task. **(B)** There is no difference between sham and mPFC lesion rats in firing rate (Sham: 3.29 ± 0.27, Lesion: 3.68 ± 0.33, t_{184} = 0.91, p = 0.36) and burst ratio in hippocampal neurons (Sham: 1.53 ± 0.25, Lesion: 2.02 ± 0.28, t_{174} = 1.29, p = 0.19). **(C)** Distribution of standardized place cell discharge (z scores) computed during every 5-second episode in which the rat passed through place cell firing fields in the data set. Different numbers of passes qualified for evaluation during the pretraining (Sham = 2777, Lesion = 3398), retention (Sham = 4039, Lesion = 3366), and conflict (Sham = 1748, Lesion = 2336) recordings. The variance of the histograms characterizes overdispersion, statistically evaluated by their ratio as an F-test (pretraining: $F_{2776,3397}$ = 2.19, p = 5.8x10^{-4}).

We next examined the spatial frame ensemble preference (SFEP), the electrophysiological

signature of cognitive control of place representations, during conditioned place avoidance. CA1

ensemble discharge alternates between preferentially representing room locations and arena

locations (Fig. 4A; runs tests for all recordings were significant; z's $\geq$ 12.3, p's $\leq$ 10^{-33}). During

pretraining, SFEP is equally likely to signal the current room location or alternatively, the current

arena location, in both the sham and lesion rats (Fig. 4A). Importantly, during avoidance of the

initial shock location, SFEP favors the arena frame because the rat avoids the room frame location

of shock (Fig. 4B) and SFEP is room-preferring near the shock zone and arena-preferring far from

the shock zone (Fig. 4C,D), as previously demonstrated [12, 13]. Relocating the shock zone 180°

for conflict training changes SFEP, but only in the lesion group such that it is equally probable to

be room- or arena-preferring, consistent with needing to decide between avoiding the current and

previous shock location throughout the environment (Fig. 4B) [46]. The ability to manipulate SFEP

of hippocampal representational dynamics by the presence and location of shock directly

demonstrates cognitive control at the level of the hippocampus. Despite an influence of mPFC

lesion on cognitive control and the non-stationarity of hippocampal representations of space in

hippocampal discharge, the lesion does not impair cognitive control of place representations in

the place avoidance task.

Figure 4. Sham and mPFC lesion rats do not differ in expressing cognitive control of spatial frame-specific representations of location. (**A**) Individual ensemble examples during the Day 4 retention session, and **(B)** group statistics of spatial frame ensemble preference (SFEP), demonstrating cognitive control in both groups. During retention, SFEP is biased to the arena frame in both the sham ($t_4 = 4.16$, #$p = 0.01$) and lesion rats ($t_4 = 6.62$, #$p = 0.003$). *$p < 0.05$ post-hoc differences. **(C)** Group spatial probability distribution of SFEP for room frame preference during the pretraining, initial, and conflict retention sessions with no shock. **(D)** Summary of average probability of room-preferring SFEP discharge in half the arena near and far from the shock zone during the initial and conflict retention sessions. Two-way Group x Location ANOVA (Sham: n=3, Lesion: n=3) during retention of the initial shock zone location: Group: $F_{1,4} = 0.17$ p = 0.68, $\eta^2 = 10^{-3}$; Location: $F_{1,4} = 54.69$, p = 0.001, $\eta^2 = 0.84$; Group x Location $F_{1,4} = 2.04$, p = 0.2 , $\eta^2 = 10^{-2}$; during retention of the conflict shock zone location: Group: $F_{1,4} = 0.71$ p = 0.45, $\eta^2 = $

379   0.05; Location: $F_{1,4} = 0.42$, p = 0.55, $\eta^2 = 0.056$; Group x Location $F_{1,4} = 0.67$, p = 0.45 , $\eta^2 = 0.08$.

Discussion

Although permanent lesion of the mPFC alters baseline metabolic coupling of mPFC- and

hippocampus-related brain areas (Fig.2, S3), as well as alters hippocampal representational

dynamics during expression of cognitive flexibility in an active place avoidance task (Fig.3), we

find no behavioral or electrophysiological evidence that the lesion impairs cognitive control in the

basic active place avoidance task (Fig.1, 3, 4), despite the lesion being sufficient to cause a

cognitive flexibility deficit when the shock zone was relocated for the conflict training trials (Fig.

1F insets). We observed increased overdispersion in lesion rats but only during pretraining; place

cell tuning was not disturbed, only the discharge reliability was reduced in the absence of the

place task. We also observed reduced bursting in the discharge of the underlying posterior and

lateral posterior thalamus in the lesion group compared to sham (Table S3). Thus, CO imaging

and electrophysiological evidence identify changes in the brain beyond the directly damaged

mPFC area. In particular, the dorsal hippocampus loses the inhibitory input from mPFC [47, 48]

and loses the metabolic correlation with the nucleus reuniens, which is thought to be a relay

between the mPFC and the dorsal hippocampus [49, 50].

We have previously demonstrated cognitive control in the active place avoidance task variant we

used (Fig. 1) because the rats must ignore local rotating place cues to avoid the stationary shock

zone. Even when the arena does not rotate, rats distinctly learn to avoid the location of shock

according to distal visual room cues and local olfactory arena cues, such that the distinct place

memories can be independently manipulated using probe trials [51, 52]. When the arena rotates,

as in the present studies, neural manipulations that impair the place avoidance are no longer

impairing when the irrelevant arena cues are hidden by shallow water [16, 17, 53, 54].

Furthermore, persistent hippocampal neural circuit changes caused by active place avoidance

training are not detected when shallow water hides the irrelevant arena cues to reduce the

cognitive control demand [12, 33, 35]. While these findings unequivocally demonstrate the

salience of relevant stationary room cues to use for avoiding shock and irrelevant arena cues to

ignore during active place avoidance, the most compelling evidence of cognitive control comes

from recording hippocampal ensemble discharge. Hippocampal ensemble discharge purposefully

represents current position using stationary room information when the subject is close to the

stationary shock zone and alternatively represents rotating arena information when the mouse is

far from the stationary shock zone [Fig. 4; 12]. Despite this evidence from task design, behavioral

observations, and direct electrophysiological representational switching as required to directly

demonstrate cognitive control, one might still argue that it is logically possible that the active place

avoidance task does not require cognitive control and this is why the mPFC lesion did not impair

place avoidance of the initial shock zone. We consider such reasoning to be unproductive

because it presumes that only tasks that require an intact mPFC can be cognitive control tasks.

We nonetheless acknowledge that, for some, we have not provided sufficient evidence that the

active place avoidance requires cognitive control.

We assert that the evidence presented here is compelling, and that these findings require

rejecting the central-computation hypothesis, which states that the mPFC is essential for the

neural computations that are necessary for all cognitive control tasks. The present findings do not

rule out a role for mPFC and hippocampal interactions in other cognitive processes [3, 55-58].

For example, mPFC may be crucial for processes that rely on the ventral hippocampus and

perhaps the direct excitatory mPFC-ventral hippocampus and/or the direct mPFC-dorsal

hippocampus excitatory [59] and inhibitory connections [47, 48]. Nonetheless, the present data

favor the local-computation hypothesis because bilateral and unilateral inactivation, as well as

numerous other manipulations of the dorsal hippocampus, impair learning, consolidation, and

retrieval of the conditioned active place avoidance [14-16, 60], and optogenetic silencing of

dentate gyrus impairs conflict learning. Indeed, we directly confirmed that mPFC lesion does not

reduce the goal-directed representational switching of dorsal hippocampus (Fig.4) that is a *sine*

qua non for cognitive control of spatial information [12, 13, 18, 19, 39, 46], despite detecting other

behavioral and electrophysiological effects of the lesion. We emphasize that observed

representational switching is neurobiological evidence of cognitive control; it is not itself cognitive

control, although it could be part of transmissive control. Rather, the observed representational

switching indicates that cognitive control persists after mPFC lesion; indeed, what a control signal

itself should resemble is uncertain, even in primates [10, 11]. It is especially important that mPFC

lesion impaired conflict avoidance of the relocated shock zone even after eight trials during which

both sham and lesion animals learned and performed at a behavioral asymptote (Fig. 1F). We

suggest this identifies a key role for the mPFC in cognitive flexibility, specifically the ability to

judiciously select between different memories of the location of shock, and that this is

demonstrably distinct from judiciously selecting between room- and arena-based classes of

spatial information.

Although muscimol inactivation of mPFC did not impair active place avoidance [61], as observed

in the present study, it is possible that acute manipulations of the mPFC, such as optogenetic,

chemogenetic or other pharmacological inactivation would lead to different results. In which case,

post-lesion reorganization of neural circuits is sufficient to compensate for the loss of the mPFC

functions that support cognitive control as required by the active place avoidance task. However,

this would not change the conclusion to reject the central-computation hypothesis. It is also

possible that the role of the mPFC is best evaluated in tasks that rely on egocentric spatial

information [62], rather than the allocentric spatial information upon which the present active place

avoidance task variant relies, but this possibility would also require rejecting, or at least severely

limiting, the central-computation hypothesis. Finally, we observed impaired performance

characterized by cognitive flexibility in the conflict task variant, demonstrating not only that the

lesion was effective, but a dissociation of the neural substrates needed for different components

of cognitive control, as has been previously reported [63, 64]. The mPFC has a crucial role in

judiciously selecting between distinct memories of the room-frame shock location, which arguably

is a form of memory-guided cognitive control that also depends on hippocampus [13, 46, 65], but

not a form of cognitive control that has been demonstrated in the representational discharge of

hippocampal cells [13].

Taken together, the findings are consistent with the local-computation hypothesis that diverse (but

probably not all) brain circuits can perform the computations needed for cognitive control of the

information and/or behavior for which that circuit is specialized to process.

Materials and Methods

All methods complied with the Public Health and Service Policy on Humane Care and Use of

Laboratory Animals and were approved by NYU's University Animal Welfare Committee under

protocol 12-1383, which follow National Institutes of Health guidelines.

Subjects

Thirty adult, male, Long-Evans rats were purchased from Charles River to arrive at New York

University at approximately 40 days old. The rats were given at least one week to acclimate to

the facility and were housed two per cage on a 12:12 light:dark cycle with free access to food and

water. Fifteen rats were assigned to the lesion group and 14 to the sham group. One animal was

used to confirm the coordinates, by injecting fluorogold (Fluorochrome, Denver, CO, 2.5% w/v in

distilled water) at the same rate and for the same duration as for the lesions. Three of the sham

and three of the mPFC lesions rats were used for the electrophysiology recordings. The behavior

of these rats was not included in the behavioral assessment due to the requirement for extended

training sessions to record neuronal activity.

Behavioral analysis followed by cytochrome oxidase activity: One rat in the lesion group was

excluded because the lesion was inadequate and one had to be removed from the study due to

a skin irritation, resulting in 10 rats in the lesion group. All of these rats underwent behavioral

assessment (lesion n=10), eight of which were stained for cytochrome oxidase. The tissue from

one lesion and one sham rat could not be used for CO because the tissues were lost to thawing

and tissue from one rat from each group was not processed. For the control group, one rat was

excluded from performing behavioral experiments because his lesioned cage mate had a skin

irritation that resulted in a large skin lesion and required euthanasia. Because the abrupt change

to single housing is stressful and can affect cognitive behavior, the control rat was also excluded

from behavioral testing; this control brain was still processed for cytochrome oxidase activity. One

rat was excluded from the behavioral experiments due to equipment malfunction during training,

and one rat had tissue damage during the sham surgery that appeared as a lesion, so this rat

was excluded from the study. Thus, the sham group had eight rats for behavioral assessment and

eight for cytochrome oxidase assessment. Our final group numbers for the behavioral assessment

were therefore sham group n = 8, lesion group n = 10, and our final group numbers for cytochrome

oxidase activity were sham group n = 8 and lesion group n = 8.

Lesion Surgery

Between the ages of 48-56 days, the rat received prefrontal cortex or sham lesion under sodium

pentobarbital (50 mg/kg, i.p.) anesthesia. Bilateral lesion targeted two sites in each hemisphere

at the following stereotaxic coordinates: from Bregma, Site 1: A.P +2.5, ML $\pm$0.6, DV - 5.0, relative

to the skull surface, Site 2: AP +3.5, ML $\pm$ 0.6, DV - 5.2, relative to skull surface. Ibotenic acid

(0.06 M in PBS) was used to create an excitotoxic lesion following published work [66]. A 0.2 μl

volume was injected at each site with a micro-infusion pump at a flow rate 0.2 μL/min through a

stainless-steel cannula (0.25 mm outer diameter); the cannula was left in place for 4 min (for a

total of 5 min per injection site) before being slowly withdrawn. Rats in the sham group underwent

the same surgery procedure, but only PBS was injected. The rats were given one week to recover.

Active place avoidance task

A commercial rotating arena and tracking software (Tracker, Bio-Signal Group, Acton, MA) was

used for the active place avoidance task, which has been described previously [34, 36, 67]. Briefly,

the rats were placed on a stainless steel 82-cm diameter arena that could rotate about its center

at 1 rpm under computer control. The arena was in the center of a 3m x 3m space that was

surrounded by black curtains with a distinctive orienting cue (striped fabric). The arena floor was

made of parallel stainless-steel rods organized into 5 electrical poles. A constant current source

could be triggered by the software to deliver shock that was scrambled across the 5 poles to

ensure it was unlikely that shock could be avoided by a fortuitous posture or by feces shorting the

bars. A 50-cm high transparent PETG wall ensured the rats remined on the arena and allowed

them to see into the room as the arena rotated. The position of the rat in the spatial frame of the

room was tracked 30-times a second at 3.2 mm resolution by analysis of the video image from an

overhead camera. An infrared LED that rotated with the arena was tracked similarly from the video

image, and the rat's arena-frame position on the arena surface was computed relative to the arena

LED [51, 68]. The room-frame and arena-frame position time series along with the delivery of

shock were stored in data files for off-line automated software analysis of end-point measures

(TrackAnalysis, Bio-Signal Group, Acton, MA). Three end-point measures are reported. i) The

distance walked measures how much the rat walked on the arena surface. ii) The time to first

enter the shock zone increased with training; it estimates the between-session active place

avoidance memory by estimating how well the rat can remember the previous room-frame

locations of shock. iii) The number of entrances into the shock zone decreased with training; it

estimates place learning and can decrease due to between-session memory as well as within-

session memory of the locations of shock.

Active place avoidance training

After recovery from surgery, the rats were brought to the laboratory in their home cages that were

placed to a rack to the side of the experimental room. The rats were each handled for 5 min per

day for 5 days. Behavioral training consisted of 10-min trials with an intertrial interval of 10 minutes

during which the rat was returned to it's home cage in the experimental room. On the first day of

behavior training, animals had a pretraining session that consisted of two trials during which the

rats were allowed to explore the stationary arena to habituate to the environment. The following

two days, the rats underwent eight training trials per day on the rotating arena, learning to avoid

entering a 60° sector shock zone in which the rats received a mild foot shock (500ms, 60Hz,

0.4mA). This shock zone was defined by the stationary cues in the room and was the same for

all rats. On the fourth day of the behavioral training, the rats had a single trial with the shock on

to test retention of the training. The rats were then trained on days 4 and 5 in a conflict training

session in which the rats received eight trials per day with the shock zone located 180° from the

initial training position. All trials were 10 min with 10 min intertrial intervals. The total distance

walked during the session measured locomotion, the time to first enter the shock zone location

measured avoidance memory, and the number of entrances into the shock zone was used to

measure place learning. Savings in place learning on the conflict trials when the shock zone was

relocated 180° was assessed for each rat by a savings index, which compares the number of

entrances during the first 5 minutes of the first and second day of conflict training, Conflict Trials

1 and 9 respectively. The difference is normalized by the number of entrances on the first conflict

trial and reported as a percentage:

$$Savings\ Index = \frac{\left(Number\ of\ Entrances_{conflict1} - Number\ of\ Entrances_{conflict9}\right)}{Number\ of\ Entrances_{conflict1}} X100$$

Electrophysiology procedures

The following procedures have been previously described in detail [20]. Briefly, rats were

anesthetized (pentobarbital 50 mg/kg) and received mPFC or sham lesions as described above.

The Neuropixel recording system was used [69]. A Neuropixel electrode array was implanted in

the brain to traverse Bregma coordinates AP -3.8 mm, ML 2.5 mm for recording dorsal

hippocampus and the tip targeted DV 9.3 mm, which allowed recording from the underlying

posterior and lateral posterior thalamus. The Neuropixel was stabilized and protected by mounting

it in a custom 3-D printed appliance. The appliance and five bone screws were cemented to the

skull (Unifast, GC America Inc., IL). The rats were allowed at least 1 week to recover before further

manipulation.

The rats received active place avoidance training as described above. In addition, to permit neural

ensemble recordings, after the last pretraining, training, and conflict training sessions, shock was

turned off and the session was extended for 10 - 20 min during which CA1 neural ensemble

discharge was recorded using SpikeGLX. Signals were filtered between 300 Hz and 10 kHz and

sampled at 30 kHz for single unit recording. Because of these extended sessions, the behavior

from these animals was not included in our behavioral assessment.

Electrophysiology data analysis

Single units were automatically sorted using Kilosort 2 [70]. Units were only studied if the

estimated contamination rate was < 20% with spikes from other neurons. This was estimated from

refractory period violations relative to expected. Units with non-characteristic or noisy waveforms

were also excluded. We computed a "burst ratio" to characterize burstiness of discharge as:

number of spikes with ISI ≤ 30 ms divided by number of spikes with 100 ms ≥ ISI ≤ 130 ms.

Hippocampus single units were classified as complex-spike or theta cells as in prior work [18, 71,

72]. Complex-spike cells appear to be pyramidal cells, having long-duration waveforms (> 250

µs), low discharge rate (< 5 AP/s) and a tendency to fire in bursts. Theta cells are likely local

interneurons[73], and had short-duration waveforms (< 250 µs), high discharge rate (> 2 AP/s),

and did not tend to fire in bursts. Only hippocampal units classified as pyramidal cells were studied.

Thalamic units, recorded from the posterior and lateral posterior thalamic nucleus, which lies

directly beneath the hippocampus, fired at high rates and were less likely to discharge in bursts

(Table S3).

The representational dynamics of CA1 discharge alternating between preferentially signaling the

current location in the stationary room or the current location on the rotating arena was

investigated to directly evaluate cognitive control during place avoidance behavior. Spatial-frame-

specific momentary positional information (I_{pos}) is used to estimate the location-specific

information from the activity of a cell during a brief interval (Δt = 133 ms).

$I_{pos}(t) = p_{i|x} log_2 \left(\frac{p_{i|x}}{p_i} \right)$, $p_{i|x}$ is the probability of observing i activity at location x, and p_i

is the overall probability of observing i activity. $I_{pos(room)}$ estimates the information about the current

location x in the room, whereas $I_{pos(arena)}$ separately estimates the information about current

location x on the rotating arena[43]. $I_{pos}(t)$ can be positive or negative, but the absolute value is

large whenever the cell's activity at the current location is distinct or "surprising" compared to the

location-independent probability of observing the same activity. The value $\left| I_{pos}(t) \right|$ is abbreviated

I_{pos}. A unit's spatial-frame preference is estimated at each Δt moment as the difference:

$\Delta I_{pos} = I_{pos(room)} - I_{pos(arena)}$, where positive values indicate a momentary preference for signaling

the room location, and negative values indicate a preference for signaling the arena location.

ΔI_{pos} timeseries were evaluated for significance compared to chance fluctuations around the

mean using the z value from a runs test. The spatial frame ensemble preference (SFEP) at each

Δt was computed as the average ΔI_{pos} over all cells. This ensemble ΔI_{pos} timeseries (assessed

for significance by runs test) was averaged over all times and locations to estimate an overall

SFEP as the proportion of time the ensemble activity was room (or arena) preferring [12, 13]. To

evaluate if SFEP was purposeful, the arena was divided into approximately two halves based on

where individual rats avoided during a retention test with shock off. The "near" half was the largest

sector that includes at least 50% of the recording time and surrounds the least visited 20° sector

of the room frame (within the shock zone). The "far" half is the remaining sector. The probability

of observing room-preferring ΔI_{pos} was computed at each location to make a representational

preference map and the average probability in the near and far halves were compared by

statistical evaluation.

Place cell overdispersion measures discharge non-stationarity by estimating how much neuronal

discharge deviates from what is expected if the discharge only signals position [41]. Increased

overdispersion indicates an extra-positional signal like attention or cognitive control is modulating

discharge up and down in addition to position, whereas decreased overdispersion indicates such

modulation is dampened, possibly to sustained attention [38]. Overdispersion of hippocampal

discharge was computed as previously described [38]. Briefly, The spike and position timeseries

is divided into 5-s episodes and the expected firing (*exp*) is computed assuming an

inhomogeneous Poisson process. The standardized rate is computed as the normalized

difference between the observed (obs) and expected firing: $z = \frac{obs-exp}{\sqrt{exp}}$. Episodes with *exp* = 0

are undefined, and only episodes in which *exp* is greater than the cell's mean firing were analyzed

because this criterion selects episodes during which the rat passes through the central region of

the firing field. The variance of the distribution of z values quantifies overdispersion, which can be

compared between conditions using a F test.

Tissue processing and histochemistry

<u>Verification of lesion coordinates</u>

Immediately following surgery to inject fluorogold, the rat was transcardially perfused with 0.9%

saline and 10% formalin, and the brain extracted and postfixed in 10% formalin for 24h at 4°C.

The brain was then cryoprotected in 30% sucrose (w/v in 1x phosphate buffered saline) and stored

at 4°C until cut on a cryostat (40 μm). The sections were mounted onto gelatin coated slides and

scanned using an Olympus VS120 microscope (fluorescence, 10x). The slides were then placed

in e-pure water (2 times, 1 min each) before being dehydrated (50, 70, 80, 95, 100, 100% ethanol,

1 min each) and defatted in 50:50 chloroform ethanol for 20 min. The slides were then rehydrated

(100, 100, 90, 80, 70, 50% ethanol, 1 min each) before being Nissl stained with Cresyl violet (1

min), rinsed in e-pure water, and dehydrated (50% ethanol, 1 min, 70% ethanol until the white

matter was white, 95% ethanol with acetic acid until desired intensity, 100, 100% ethanol, 2 min

each). The tissues were then cleared in xylenes (3 times, 5 min each) before being coverslipped.

The slides were then scanned again (light microscope, 10x). Images were manipulated using

Adobe Photoshop CS6 to perform auto-contrast on each image and to remove background from

the images. The fluorescent images were then all thresholded in a single operation to remove the

background and the result was superimposed on the corresponding Nissl-stained sections using

Adobe Illustrator.

<u>Cytochrome oxidase activity and Nissl staining</u>

On the day following the completion of behavior training, the rats were anesthetized with

isoflurane, immediately decapitated, and the brains were extracted. The brains were rapidly

frozen in isopentane on dry ice and stored at -80 °C. Sets of brains consisting of two to four

animals per group were cut simultaneously on a cryostat (40 μm), and sorted into the three series,

one of which was Nissl stained and one used for cytochrome oxidase histochemistry. The series

used for Nissl staining was stored at room temperature and the other two series stored at -80°C

until processed for cytochrome oxidase histochemistry. To control for variability across batches

of histochemical staining, 20, 40, 60 and 80 μm sections of fresh rat brain tissue homogenate

(prepared as in [74]) were included. Cytochrome oxidase staining was performed according to

[75]. Stained slides were scanned with an Olympus VS 120 light microscope (2 x) and the optical

densities measured from captured images. Images were converted to 8-bit gray scale using

ImageJ [76] and optical densities read from the standard slides and 14 brain regions (Figure 1).

These brain regions included the dysgranular and granular retrosplenial cortices (RSD and RSG,

respectively), the nucleus reuniens (RE), the central nucleus of the amygdala (CEA), basomedial

and basolateral amgydala (BMA, and BLA, respectively), the dorsal hippocampal CA1, CA2, CA3

and dentate gyrus areas (dCA1, dCA2, dCA3, dDG, respectively) the ventral hippocampal CA1,

CA3 and dentate gyrus areas (vCA1,vCA3, vDG, respectively) and the dorsal subiculum (DS).

The optical densities were measured using ImageJ (NIH) and cytochrome oxidase activity was

normalized as in [67]. Optical densities were measured while blind to the group identity. Three to

six optical density readings were taken for each brain region, from both hemispheres and

averaged for each individual subject.

To confirm the lesion site, one series of sections was stained with Cresyl violet. The slides were

placed in the e-pure water (2 times, 1 min each) and dehydrated in a series of ethanol baths (50,

70, 80, 90, 100, 100%, 1 min each) prior to clearing the fats in a 1:1 mixture of ethanol:chloroform

for 20 min. The slides were then rehydrated (100, 100, 90, 80, 70, 50% ethanol, 1 min each),

rinsed in e-pure water, and placed in the Cresyl violet for 10 min. The slides were again

dehydrated and cleared in xylenes (3 times, 5 min each) before being coverslipped. Images were

captured with an Olympus VS120 light microscope at 10x. Contours of the lesion area were drawn

using Adobe Illustrator in a layer overlaid on the tissue images. The images were matched to the

appropriate section of the Paxinos and Watson rat brain atlas [77]. The filled contours were

converted to a .tiff file for quantification of the lesion area (pixels) using ImageJ (see Fig. S2).

Rats with verified bilateral lesions that spanned at least 3 sections were included in the data

analysis; one rat was excluded from analysis because the lesion was only evident in one

hemisphere.

Statistical analysis

Cytochrome oxidase activity: Group averages of the optical densities were calculated for each

brain regions and expressed as mean $\pm$ SEM relative cytochrome oxidase activity/ μm of tissue.

Interregional metabolic covariation was examined by calculating Pearson correlations between

each brain region. The statistical significance of interregional cytochrome oxidase activity

correlations was determined by a 0.01 False Discovery Rate. To determine if the interregional

correlations were significantly different between groups, we transformed the r value of the

correlation to Fisher's z-scores. Significant correlations ($p < 0.05$) were used to generate graph

theoretical networks using the Brain Connectivity Toolbox in MATLAB

(https://sites.google.com/site/bctnet/).

Behavior and electrophysiology: Place avoidance task performance and SFEP electrophysiology

measures were compared using multivariate analysis of variance. Repeated measure analyses

were performed using the Greenhouse-Geisser correction. One-factor group comparisons were

performed by t test. Pairs of binomial proportions were compared by a test for proportions (z).

Runs tests were used to evaluate the likelihood of observing the ensemble ΔI_{pos} timeseries by

chance. Statistical significance was set at 0.05 for all comparisons. Test statistics, degrees of

freedom and effect sizes are provided, in addition to exact p values. These values were computed

using SPSS Statistics 28 and Microsoft Excel.

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