

1 **Young Infants Process Prediction Errors at the Theta Rhythm**

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22 **Abstract**

23 Examining how young infants respond to unexpected events, is key to our understanding of
24 their emerging concepts about the world around them. Infants reliably show increased
25 attention towards unexpected (i.e., unpredicted) events, which allows them to refine predictive
26 models about their environment. Yet, the neural processing of prediction errors in the infant
27 brain is not well understood. Here, we presented 9-month-olds ($N = 36$) a series of physical
28 and social events with unexpected versus expected outcomes, while recording their
29 electroencephalogram. We found a pronounced 4 – 5 Hz theta response for the processing of
30 unexpected (in contrast to expected) events, for a prolonged time window (2 s) and across all
31 scalp-recorded electrodes. These findings constitute critical evidence that the theta rhythm is
32 involved in the processing of prediction errors from very early in human brain development,
33 supporting infants' refinement of basic concepts about the physical and social environment.

34 From early on, human infants develop basic concepts about their physical and social
35 environment (Spelke and Kinzler, 2007). This includes a basic understanding of numbers
36 (Wynn, 1992), the properties of objects (Baillargeon et al., 1985; Spelke et al., 1992), and
37 others' actions (Gergely et al., 2002; Reid et al., 2009).

38 Our understanding of infants' early concepts of their environment is based on violation
39 of expectation (VOE) paradigms. In VOE paradigms infants are shown unexpected events,
40 which violate their basic concepts, in contrast to expected events. For example, infants are
41 shown a change in the number of objects behind an occluder (Wynn, 1992), a ball falling
42 through a table (Spelke et al., 1992), or an unusual human action (Reid et al., 2009). These
43 unexpected events (in contrast to expected events) commonly increase infants' attention,
44 indicated by longer looking times, and motivate infants to learn about their environment,
45 indexed by an increased exploration and hypothesis testing of objects that behaved
46 unexpectedly (Stahl and Feigenson, 2015).

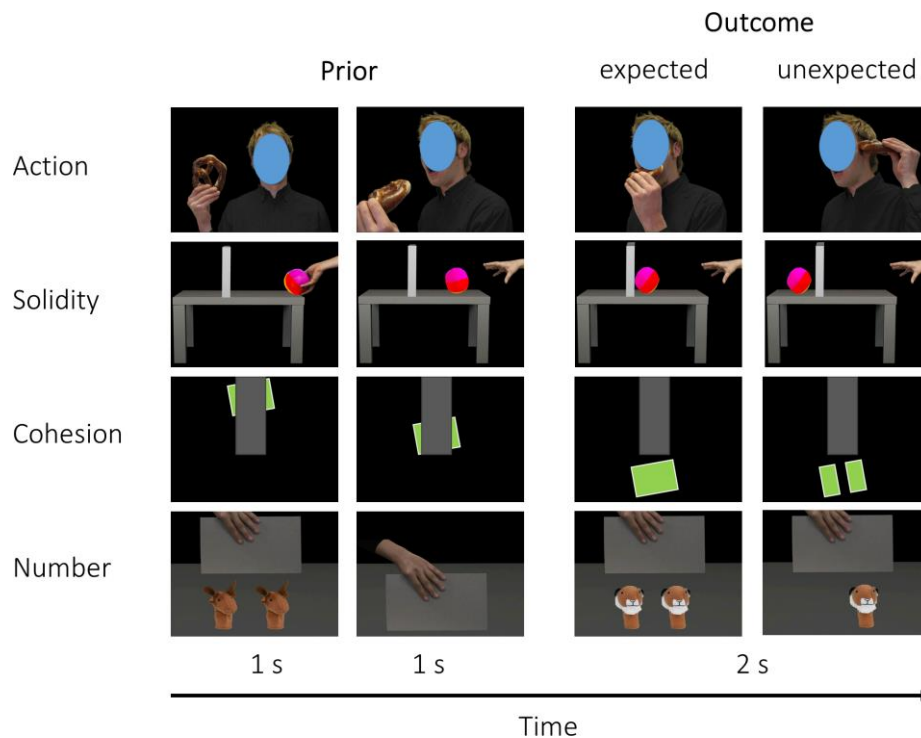
47 Recently, infants' enhanced attention for unexpected events and their subsequently
48 piqued curiosity and exploration behavior in VOE paradigms (Stahl and Feigenson, 2015),
49 have been interpreted in light of a predictive processing perspective on infants' brain
50 development and learning (Köster et al., 2020). By this token, events that violate basic
51 expectations elicit a prediction error and require infants to refine their specific predictions
52 about this physical and social event. In the present study, we applied our understanding of
53 infants' basic concepts, as assessed in VOE paradigms, to test the neural brain dynamics
54 involved in prediction error processing in the infant brain.

55 Infants' neural processing of unexpected events has been investigated in terms of time-
56 locked neural responses (i.e., event-related potentials; ERPs) in the scalp-recorded
57 electroencephalogram (EEG). This research has centered around the negative central (NC), a
58 negative component that emerges around 400-600 ms after stimulus onset at central recording
59 sites, and which has been associated with attention processes (for a review, see Reynolds,

60 2015). A first study looked at the spectral properties of the NC component in the ERP and
61 linked this component to a broad increase in the 1 – 10 Hz frequency range in infants and
62 adults (Berger et al., 2006). Interestingly, unexpected events have been associated with an
63 increased NC (Kayhan et al., 2019; Langeloh et al., 2020; Reynolds and Richards, 2005;
64 Webb et al., 2005) as well as a reduced NC (Kaduk et al., 2016; Reid et al., 2009), when
65 contrasted to the brain activity elicited by expected events. Consequently, the mechanisms
66 reflected in the NC, involved in the processing of unexpected versus expected events, are not
67 entirely understood.

68 In a recent study, infants' neural oscillatory dynamics were rhythmically entrained at 4
69 Hz or 6 Hz, and the presentation of unexpected events led to a specific increase in the
70 entrained 4 Hz but not in the 6 Hz activity (Köster et al., 2019). Critically, 4 Hz oscillatory
71 activity corresponds to the neural theta rhythm, a frequency which plays an essential role in
72 prediction error processing in adults (Cavanagh and Frank, 2014) as well as learning
73 processes in adults (Friese et al., 2013; Köster et al., 2018), children (Köster et al., 2017), and
74 infants (Begus et al., 2015; Begus and Bonawitz, 2020). However, it has not been investigated
75 how the ongoing oscillatory activity (i.e., not entrained or tightly locked to the stimulus onset)
76 responds to unexpected events in the infant brain and, specifically, whether the ongoing theta
77 rhythm marks infants' processing of prediction errors.

78 Here, we tested infants' neural processing of prediction errors, by presenting them a
79 series of different physical and social events with expected versus unexpected outcomes for
80 various domains, from physics about objects to numbers and actions (see Figure 1), while
81 recording their EEG. Based on previous ERP studies in infants, we expected a differential NC
82 response (400 – 600 ms, at central electrodes) for expected versus unexpected events.
83 Furthermore, because of its pivotal role in prediction error processing in adults, we expected
84 higher 4 Hz theta activity for unexpected versus expected events.



85

86 **Figure 1.** Examples for the violation of expectation events presented to the participants.

87 Infants saw the events of four domains of basic knowledge (action, solidity, cohesion, and
88 number). In each trial, the first two pictures initiated an event (prior; for 1 s each) and the
89 third picture showed the outcome (for 2 s), which could be expected or unexpected. (Faces are
90 obscured for the upload to bioRxiv.)

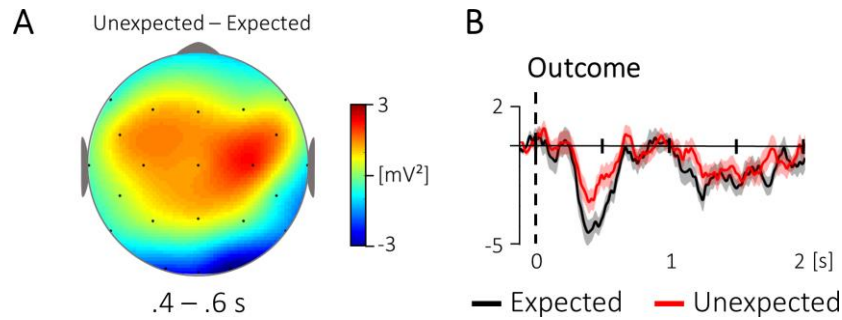
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Results

93 Infants' event-related responses upon the onset of the outcome picture revealed a clear
94 NC component between 400 – 600 ms over central electrodes. The NC was more pronounced
95 for expected in contrast to unexpected events, $t(35) = -2.62, p = .013$ (Figure 2).

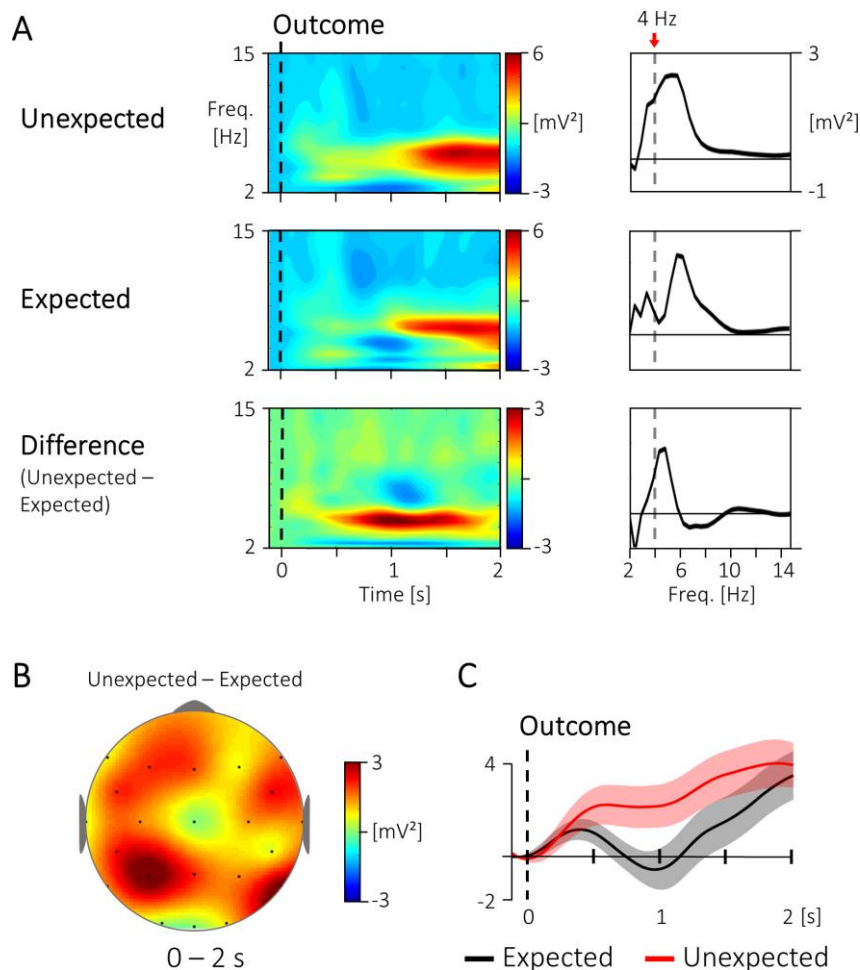
96 Furthermore, across all scalp recorded electrodes and the whole 0 – 2000 s time
97 window, we observed an increase in neural oscillatory activity in the 4 – 6 Hz range for
98 unexpected events and an increase at 6 Hz for expected events (Figure 3), $t(35) = 4.77, p$
99 $< .001$, and, $t(35) = 4.01, p < .001$, with regard to the baseline. This resulted in higher 4 – 5
100 Hz activity for unexpected compared to expected events across all scalp-recorded electrodes
101 and throughout the whole 0 – 2000 s time-window, $t(35) = -2.33, p = .025$.



102

103 **Figure 2.** The topography and time course of the NC for the outcome pictures. (A) The
104 difference between unexpected and expected events for 400 – 600 ms, in contrast to a -100 –
105 0 ms baseline. (B) The corresponding time course at central electrodes (Cz, C3, C4), with a
106 significant difference between 400 – 600 ms, $p = .013$.

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108

109 **Figure 3.** The grand mean spectral characteristics for unexpected versus expected events for
110 the outcome picture. (A) The left panels show the time-frequency response across all scalp-
111 recorded electrodes for unexpected and expected events and the difference (unexpected –

112 expected), with regard to a -100 – 0 ms baseline. The right panels show the frequency
113 response between 2 and 15 Hz, averaged over time. The dotted line highlights the activity at 4
114 Hz, which was expected to increase for unexpected events (Köster et al., 2019). (B) The
115 topography shows the unexpected - expected difference in 4 – 5 Hz activity across the whole
116 time window of analysis (0 – 2000 ms, baseline: -100 – 0 ms). (C) The corresponding time
117 course for the 4 – 5 Hz response across all scalp-electrodes and the whole 0 – 2000 ms time
118 window shows a significant difference between unexpected versus expected events, $p = .025$.

119

120 To get an impression about the consistency of the differences in the central Nc and the
121 4 – 5 Hz activity across knowledge domains, we also plotted the data split by domains (action,
122 solidity, continuity, number). The ERP effect was somewhat consistent across conditions, but
123 the effect was mainly driven by the differences between expected and unexpected events in
124 the action and the number domain (Figure S1). The results were more consistent across
125 domains for the condition difference in the 4 – 5 Hz activity, with a peak in the unexpected –
126 expected difference falling in the 4 – 5 Hz range across all electrodes (Figure S2). We did not
127 test these domain-specific differences statistically due to the low trial numbers within each
128 domain and the main focus of the study being on generalized prediction error processing in
129 the infant brain.

130

Discussion

131 Our results show a clear increase in 4 – 5 Hz power in response to unexpected events,
132 in contrast to expected events. This effect was distributed across all scalp-recorded electrodes
133 and for a prolonged time window of 2 s after the onset of unexpected outcome pictures. Thus,
134 the theta rhythm was substantially increased for the processing of prediction errors in the
135 infant brain. Furthermore, in the ERP response we found a stronger NC for expected events,
136 in contrast to unexpected events, at central electrodes.

137 In the brain of human adults, the theta rhythm has long been associated with the
138 processing of prediction errors (Cavanagh et al., 2010), cognitive conflict (Hanslmayr et al.,
139 2008), and mnemonic control (Friese et al., 2013; Köster et al., 2018). Furthermore, the theta
140 rhythm has been associated with learning processes in children (Köster et al., 2017), and
141 infants (Begus et al., 2015; Begus and Bonawitz, 2020). Our findings highlight that the theta
142 rhythm promotes the processing of novel, unexpected information, in the sense of prediction
143 errors, already in early infancy. This is particularly interesting because the theta rhythm is
144 usually associated with neural processes in prefrontal and medio-temporal structures, which
145 are still immature in the infant brain (Gilmore et al., 2012).

146 Embedding the role of the theta rhythm in a broader theoretical framework, from
147 animal models we know that the theta rhythm promotes predictive processes (i.e., such as the
148 activation of future locations in a labyrinth; O’Keefe and Recce, 1993) and facilitates Hebbian
149 learning (Tort et al., 2009). Based on these findings, the theta rhythm has been described as a
150 neural code for the sequential representation and the integration of novel information into
151 existing concepts (Lisman and Jensen, 2013). We would like to add to this that the theta
152 rhythm may implement a computational mechanism that compresses real time events onto a
153 faster neural time-scale, to advance with cognitive processes ahead of real time and to
154 facilitate the integration of new events into existing networks. This is critical to predict future
155 events and integrate novel events as they happen in real time. While former studies have
156 demonstrated that this computational mechanism may be phylogenetically preserved in the
157 mammalian lineage (Cavanagh and Frank, 2014; Lisman and Jensen, 2013), here we report
158 first evidence that the ongoing theta rhythm supports the processing of unexpected events
159 already from very early in human ontogeny.

160 We also identified differences between unexpected and expected events in the NC, a
161 classical visual ERP component associated with infants’ processing of unexpected events.
162 However, this difference lasted around 200 ms (400 – 600 ms), was specific to central

163 electrodes (Cz, C3, C4), and pointed in the opposite direction than most (Kayhan et al., 2019;
164 Langeloh et al., 2020; Reynolds and Richards, 2005; Webb et al., 2005), though not all
165 (Kaduk et al., 2016; Reid et al., 2009), effects previously reported in the NC (namely, the
166 more common findings of a higher negativity for unexpected events; Kayhan et al., 2019;
167 Reynolds and Richards, 2005; Webb et al., 2005). It is currently not clear, why unexpected
168 events induce enhanced NC amplitudes in some studies, but a decreased NC compared to
169 expected events in others. Because the amplitude of the NC has been associated with the
170 extent of attentional engagement with a visual stimulus (Reynolds, 2015; Reynolds and
171 Richards, 2005), in our study infants' initial orienting response may have been more
172 pronounced for the more familiar and expected outcomes. This is in line with previous studies
173 using partly similar stimuli (in particular the action events; Kaduk et al., 2016; Reid et al.,
174 2009) and with the notion that infants show familiarity preferences (i.e., the preference for
175 events consistent with their experience) when they are still in the process of building stable
176 cognitive representations of their environment (Nordt et al., 2016).

177 To conclude, our findings make a strong case that the theta rhythm is present from
178 very early in ontogeny, associated with the processing of prediction errors and, putatively, the
179 refinement of the emerging concepts of the physical and social environment. This marks an
180 essential step towards a better understanding of the neural oscillatory dynamics that underlie
181 infants' brain development and their emerging models of the world around them.

182 **Materials and Methods**

183 **Participants**

184 The final sample consisted of 36 9-month-old infants (17 girls, $M = 9.7$ months, $SD =$
185 0.5 months). Participants were healthy full-term infants, from Leipzig, Germany. Informed
186 written consent was obtained from each participant's parent before the experiment and the
187 experimental procedure was approved by the local ethics committee. Thirteen additional
188 infants were tested but excluded from the final sample, due to fussiness ($n = 2$) or because
189 fewer than 10 artifact-free trials remained in each condition ($n = 11$). This attrition rate is
190 rather low for visual EEG studies with infants (Stets et al., 2012). We selected this age group,
191 because previous studies indicated VOE responses for the domains tested here by the age of 9
192 months or even earlier (Reid et al., 2009; Spelke et al., 1992; Wynn, 1992).

193 **Stimuli and Procedure**

194 Stimuli were based on four classical VOE paradigms for the core knowledge domains
195 action, number, solidity, and cohesion in four variations each (Figure 1 and Figure S1, for the
196 complete stimulus set). Each sequence consisted of three static images which depicted a
197 scenario with a clearly expectable outcome.

198 In a within-subjects design, each of the 16 sequences was presented two times in each
199 condition (expected or unexpected). This resulted in a total of 64 distinct trials, presented in
200 16 blocks. The order of the core knowledge domains, outcomes and the specific stimulus
201 variations (four in each domain) were counterbalanced between blocks and across infants.

202 Every trial began with an attention grabber (a yellow duck with a sound, 1 s), followed
203 by a black screen (variable duration of .5 – .7 s) and the three stimulus pictures (4 s). The first
204 two pictures showed the initiation of an event or action (0 – 2 s, 1 s each picture), followed by
205 the picture presenting the expected or the unexpected outcome (see Figure 1). Note that the
206 final picture was actually presented for 5s, for a companion study that tested infants' gaze
207 behavior (recorded by an eye-tracker). However, for the present study we included all trials in

208 which infants looked to the screen for at least 2 s of the final picture, coded from video (see
209 below). The stimuli showing the outcome, namely the expected or unexpected outcome were
210 counterbalanced in the case of the cohesion and the number stimuli (i.e., in the cohesion
211 sequences outcome stimuli showed connected or unconnected objects and for number
212 sequences the outcome showed one or two objects) and were matched in terms of luminance
213 and contrast in the case of the action and solidity stimuli (all $ps > .30$). Stimuli were presented
214 via Psychtoolbox (version 0.20170103) in Matlab (version 9.1). The full set of the original
215 stimuli can be downloaded from the supplemental material of (Köster et al., 2019).

216 Infants sat on their parent's lap at a viewing distance of about 60 cm from the stimulus
217 monitor. Sequences were presented at the center of a 17-inch CRT screen at a visual angle of
218 approximately $15.0^\circ \times 15.0^\circ$ for the focal event. We presented all 64 trials, but the session
219 ended earlier when the infant no longer attended to the screen. A video-recording of the infant
220 was used to exclude trials in which infants did not watch the first 4 s of a trial. Gaze behavior
221 was coded offline.

222 **Electroencephalogram (EEG)**

223 **Apparatus.** The EEG was recorded continuously with 30 Ag/AgCl ring electrodes
224 from 30 scalp locations of the 10-20-system in a shielded cabin. Data were recorded with a
225 Twente Medical Systems 32-channel REFA amplifier at a sampling rate of 500 Hz.
226 Horizontal and vertical electrooculograms were recorded bipolarly. The vertex (Cz) served as
227 an online reference. Impedances were controlled at the beginning of the experiment, aiming
228 for impedances below 10 k Ω .

229 **Preprocessing.** EEG data were preprocessed and analyzed in MATLAB (Version
230 R2017b). EEG signals were band-pass filtered from 0.2 Hz to 110 Hz and segmented into
231 epochs from -1.5 to 3 s, around to the onset of the outcome picture. Trials in which infants did
232 not watch the complete 4 s sequence (2 s during the initiation of the event and 2 s of the
233 outcome picture) were excluded from the analyses. Furthermore, noisy trials were identified

234 visually and discarded (approx. 10 % of all trials) and up to three noisy electrodes were
235 interpolated based on spherical information. Eye-blinks and muscle artifacts were detected
236 using an independent component procedure (ICA) and removed after visual inspection. To
237 avoid any bias in the ICA removal, the ICAs were determined and removed across the whole
238 data set, including all experimental conditions (both frequencies, both outcome conditions, all
239 stimulus categories). Prior to the analyses, the EEG was re-referenced to the average of the
240 scalp electrodes (Fz, F3, F4, F7, F8, FC5, FC6, Cz, C3, C4, T7, T8, CP5, CP6, Pz, P3, P4, P7,
241 P8, Oz, O1, O2). Infants with a minimum of 10 artifact-free trials in each condition were
242 included in the statistical analyses. Twenty-two to 52 trials ($M = 32.2$, $SD = 7.3$) remained for
243 the infants in the final sample, with no significant differences in the number of trials between
244 conditions (expected, unexpected), $t(35) = 0.63$ $p = .530$. We also plotted the data split by
245 conditions, on subsamples with at least one trial for both the expected and the unexpected
246 outcome condition. The respective size of subsamples and number of trials were action: $n =$
247 35 , $M = 10.3$, $SD = 3.2$, solidity: $n = 35$, $M = 6.9$, $SD = 2.7$, cohesion: $n = 32$, $M = 6.1$, $SD =$
248 3.6 , and number: $n = 36$, $M = 8.5$, $SD = 3.0$.

249 **ERP Analysis.** For the analyses of event-related potentials (ERPs), we averaged the
250 neural activity, separately for the trials of both conditions (expected, unexpected). We focused
251 on the NC as a classical component associated with infants' processing of expected versus
252 unexpected events (Reynolds, 2015). Specifically, we averaged the ERPs across central
253 electrodes (Cz, C3, C4), and between 400 – 600 ms, with regard to a -100 – 0 ms baseline.
254 The ERP power was averaged for each participant and condition and the power between
255 expected and unexpected trials was then contrasted by means of a dependent t -test. We band-
256 pass filtered the ERPs from 0.2 – 30 Hz for displaying purposes.

257 **Spectral Analysis.** To obtain the trial-wise spectral activity elicited by the outcome
258 pictures we subjected each trial to a complex Morlet's wavelets analysis (Morlet parameter m
259 $= 7$, at a resolution of 0.5 Hz). We then averaged the spectral power across trials, separately

260 for conditions (expected, unexpected). We focused on the frequencies from 2 to 15 Hz across
261 the whole analyzed time window 0 – 2000 ms, with regard to a -100 – 0 ms baseline, to make
262 the results directly comparable to the ERP analysis in this and former studies. We did not
263 analyze higher frequencies due to muscle and ocular artifacts in the infant EEG (e.g., Köster,
264 2016).

265 Because this was the first study to look at the trial-wise neural oscillatory response to a
266 series of unexpected versus expected events (i.e., not tightly locked to the stimulus onset; cf.
267 Berger et al., 2006), in a first step, we looked at the grand mean spectral activity, separated by
268 conditions (unexpected, expected), and the difference between both conditions (unexpected -
269 expected). Conservatively, we analyzed the neural oscillatory activity averaged across the
270 whole time-range of the outcome stimulus (0 – 2000 ms) and all scalp electrodes (Fz, F3, F4,
271 F7, F8, FC5, FC6, Cz, C3, C4, T7, T8, CP5, CP6, Pz, P3, P4, P7, P8, Oz, O1, O2). While our
272 initial proposal was to look at the difference in the 4 Hz theta rhythm between conditions
273 (Köster et al., 2019), we found the strongest difference between 4 – 5 Hz (see lower panel of
274 Figure 3). Therefore, and because this is the first study of this kind, we analyzed this
275 frequency range.

276

277 **Conflict of interest:** There are no conflicts of interest.

278

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281

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