Dissociable influences of reward and punishment on adaptive cognitive control

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Abstract

To invest effort into any cognitive task, people must be sufficiently motivated. Whereas

prior research has focused primarily on how the cognitive control required to complete

these tasks is motivated by the potential rewards for success, it is also known that

control investment can be equally motivated by the potential negative consequence for

failure. Previous theoretical and experimental work has yet to examine how positive and

negative incentives differentially influence the manner and intensity with which people

allocate control. Here, we develop and test a normative model of control allocation

under conditions of varying positive and negative performance incentives. Our model

predicts, and our empirical findings confirm, that rewards for success and punishment

for failure should differentially influence adjustments to the evidence accumulation rate

versus response threshold, respectively. This dissociation further enabled us to infer

how motivated a given person was by the consequences of success versus failure.

Author Summary

From the school to the workplace, whether someone achieves their goals is determined

largely by the mental effort they invest in their tasks. Recent work has demonstrated

both why and how people adjust the amount of effort they invest in response to

variability in the rewards expected for achieving that goal. However, in the real world,

we are motivated both by the positive outcomes our efforts can achieve (e.g., praise)

and the negative outcomes they can avoid (e.g., rejection), and these two types of

incentives can motivate adjustments not only in the amount of effort we invest but also

the *types* of effort we invest (e.g., whether to prioritize performing the task *efficiently* or

cautiously). Using a combination of computational modeling and a novel task that

measures voluntary effort allocation under varying incentive conditions, we show that

people should and do engage dissociable forms of mental effort in response to positive

versus negative incentives. With increasing rewards for achieving their goal, they

prioritize efficient performance, whereas with increasing penalties for failure they

prioritize performing cautious performance. We further show that these dissociable

strategies enable us to infer how motivated a given person was based on the positive

consequences of success relative to the negative consequences of failure.

Introduction

People must regularly decide how much mental effort to invest in a task, and for how long. When doing so, they weigh the costs of exerting this effort against the potential benefits that would accrue as a result [1,2]. These benefits include not only the positive consequences of success (e.g., money or praise) but also the negative consequences of failure (e.g., criticism or rejection). Prior work suggests that people likely vary in the extent they are motivated by the prospect of achieving a positive outcome versus avoiding a negative outcome [3,4]. For example, some students study diligently to earn praise from their parents while others do so to avoid embarrassment. The overall salience of these incentives will determine when and how a given person decides to invest mental effort (i.e., engage relevant cognitive control processes [5], including when they choose to disengage from effortful tasks [6,7]). However, while a great deal is known about how people adjust cognitive control in response to varying levels of potential reward [5,8,9], much less is known about how they similarly adjust to varying levels of potential punishment, nor the types of control allocation strategies that are most adaptive under these two incentive conditions.

Previous research has examined how control allocation varies as a function of the reward for performing well on a task, such that participants generally perform better when offered a greater reward [10–14]. For instance, when earning rewards during a cognitive control task (e.g., Stroop) is contingent on both speed and accuracy, participants are faster and/or more accurate as potential rewards increase [11,15–17]. While studies have examined how motivation to avoid negative outcomes influence

cognitive control [18–22], a challenge of interpreting these mixed behavioral patterns is

that participants deploy a variety of behavioral strategies as potential punishments

increase [22,23]. Past work has demonstrated that these strategies, such as increased

task processing (e.g., attentional focus) or adjusting decision thresholds, can be linked

to different forms of control adjustment (e.g., prioritizing speed versus accuracy; [24–

27]). However, it remains unknown whether participants selectively deploy different

forms of control adjustments when incentivized under distinct incentive regimes (i.e., to

avoid poor performance versus achieve good performance).

Recent theoretical work helps to frame predictions regarding when and how people

might vary their control allocation in response to different forms of incentives [1]. For

instance, normative accounts of physical effort allocation have proposed that animals

and humans vary the intensity of their effort (e.g., motor vigor) to maximize their net

reward per unit time (reward rate [28–31]). We have recently extended this framework

to describe how people determine the appropriate allocation of *cognitive control* in a

given situation. Specifically, we have suggested that people select the amount and

type(s) of cognitive control that maximize the overall rate of expected rewards, while

minimizing expected effort costs. The difference between these two quantities, referred

to as the Expected Value of Control (EVC), indexes the extent to which the benefits of

control outweigh its costs [1,2,32] (see also [33]).

The EVC model has been successful at accounting for how people vary the intensity of

a particular type of control (e.g., attention to a target stimulus/feature) to achieve greater

rewards [34,35]. However, limitations in existing data have prevented EVC from

addressing how the *type* of control being allocated should depend on the type of

incentive being varied. One limitation, noted above, is the dearth of research on how

people adjust control to positive versus negative incentives. A second potential

limitation is that most existing studies examine how performance varies over a fixed set

of trials (e.g., 200 total trials completed over the course of an experiment). The maximal

expected reward is determined by the number of trials in the task, which could limit the

underlying drive to maximize reward rate. A stronger test of reward rate maximization,

and one that is arguably more analogous to real-world effort allocation, would allow

participants to perform as much or as little of the task as they like over a fixed duration

[36], to tighten the link between reward rate and overall expected reward.

In the current study, we developed a novel paradigm in which participants perform

consecutive trials of a control-demanding task (the Stroop task) over a fixed time

interval. We examined how the amount and type(s) of control allocated to this task

varied under different incentive types (reward vs. punishment) and different magnitudes

of those incentives (small vs. large). Across two experiments, participants demonstrated

distinct patterns of task performance in the two incentive conditions: faster responses

for increasing rewards, slower but more accurate responses for increasing punishment.

We show that these patterns are consistent with normative predictions of a control

allocation model that maximizes reward rate while minimizing effort costs. The model

predicts that rewards versus punishments favor divergent control strategies: higher

reward promotes faster information processing to maximize (correct) response rate,

whereas higher punishment promotes greater caution to minimize potential errors.

Within the framework of a drift diffusion model (DDM), our normative model predicts that

participants will respond to increases in reward level by both increasing their evidence

accumulation rate (drift rate) and lowering their response threshold, whereas they will

respond to increases in punishment level by primarily increasing their threshold. Model

fits to behavioral data across both studies confirmed these predictions.

Our model's ability to make divergent predictions about the influence of incentives on

the *joint* allocation of two forms of control (i.e., across drift rate and threshold) enabled

us to make further inferences based on each participant's unique behavioral profile.

Specifically, by estimating how these DDM parameters varied together across

conditions, we were able to infer how sensitive that participant might have been to

reward and punishment to generate the pattern of behavior that they did. Collectively,

this work demonstrates a compelling novel method for inferring variability in how people

evaluate costs and benefits when deciding when and how much to allocate cognitive

control.

Figure 1. Interval-Based Incentivized Cognitive Control Task. At the start of each interval, a visual cue indicates the amount of reward (monetary gain) for correct responses and the penalty amount (monetary loss) for incorrect responses within that interval. Participants can complete as many Stroop trials as they want within that interval. The cumulative reward over a given interval is tracked at the bottom of the screen. Correct responses increase this value, while incorrect responses decrease this value. At the end of each interval, participants are told how much they earned. The upper right inset shows the cues across the four conditions.

Results

Participants (N=32) performed a task in which they were given fixed time intervals (between 8 and 12 seconds long) to perform as many trials as they wanted of a cognitively demanding task (Stroop task; Figure 1). They received monetary reward for

each correct response within a given interval, and incurred a monetary loss (penalty) for

each incorrect response. The magnitude of reward and penalty ($0.01 or $0.10) were

independently varied across intervals, and were cued prior to the start of each interval.

Behavioral Performance

We found that when participants were expecting a larger reward for each correct

response, they completed more trials correctly in a given interval compared to when

they were expecting smaller rewards ($F_{(1,31)}$=28.72, p<0.001; Figure 2A, Table 1).

Variability in punishment magnitude appeared to have the opposite influence on

behavior. When participants were expecting a larger punishment for each incorrect

response, they completed fewer correct trials in a given interval than when they were

expecting smaller punishments ($F_{(1,31)}$=23.11, p<0.001; Figure 2B). We also observed a

trending interaction between reward and punishment ($F_{(1,29)}$=3.77, p=0.062) whereby

the reward-related improvements in interval-level performance were enhanced in high-

punishment compared to low-punishment intervals.

Figure 2. Effects of reward and punishment on overall task performance. A) With increasing expected reward, participants completed more correct responses per second within a given interval (**left**), which reflect faster responding on correct trials (**top right**) without any change in overall accuracy (**bottom right**). **B)** With increasing expected punishment, participants instead completed fewer trials per second over an interval, reflecting slower and more accurate responses. Error bars reflect 95% CI. n.s.: p>0.05; ***: p<0.001

145 **Table 1.** Mixed Model Results for Correct Responses per Second

146 *: $p<0.05$, **: $p<0.01$, ***: $p<0.001$

	Correct Responses Per Second		
Predictors	*Estimates*	*S.E.*	*P-Value*
Age	-0.036	0.031	0.238
Female - Male	0.075	0.032	**0.020***
High Penalty - Low Penalty	-0.026	0.005	**<0.001*** **
High Reward - Low Reward	0.038	0.007	**<0.001*** **
Average Congruence	-0.015	0.005	**0.001** **
Reward $\times$ Penalty	-0.009	0.005	0.052
Number of Subjects	32		
Observations	2469		
Marginal R^2 / Conditional R^2	0.093 / 0.551		

When separately examining how incentives influenced speed and accuracy, we found

an intriguing dissociation that helped account for the inverse effects of reward and

punishment on the number of correct responses per second. We found that larger

potential rewards induced responses that were faster ($F_{(1,28)}$=31.83, $p<0.001$) but not

more or less accurate ($Chisq_{(1)}$=0.26, p=0.612; Figure 2A, Table 2). By contrast, larger

potential punishment induced responses that were slower ($F_{(1,30)}$=35.28, $p<0.001$) but

also more accurate ($Chisq_{(1)}$=26.73, $p<0.001$; Figure 2B). These results control for trial-

to-trial differences in congruence, which, as expected, revealed faster ($F_{(1,31)}$=115.28,

$p<0.001$) and more accurate ($Chisq_{(1)}$=4.13, p=0.042) responses for congruent stimuli

compared to incongruent stimuli. Although there were no significant two-way

interactions between incentives and congruency on performance, we observed a

significant three-way interaction between reward, penalty, and congruence

($Chisq_{(1)}$=6.24, p=0.013) specific to accuracy. Together, these data suggest that

participants applied distinct strategies for engaging cognitive control across reward and

punishment incentives.

Table 2. Mixed Model Results for Log-Transformed Reaction Time and Accuracy

166   *: $p<0.05$, **: $p<0.01$, ***: $p<0.001$

	Log-transformed RT			Accuracy		
Predictors	*Estimates*	*S.E.*	*P-Value*	*Odds Ratios*	*S.E.*	*P-Value*
Age	0.014	0.007	0.066	0.941	0.117	0.623
Female - Male	-0.023	0.007	**0.002****	1.234	0.155	0.095
High Penalty - Low Penalty	0.014	0.002	**<0.001*****	1.381	0.082	**<0.001*****
High Reward - Low Reward	-0.012	0.002	**<0.001*****	1.028	0.039	0.464
Trial Congruence (Cong-Incong)	-0.020	0.002	**<0.001*****	1.105	0.050	**0.028***
Reward ✕ Penalty	-0.003	0.001	**0.015***	1.014	0.042	0.729
Penalty ✕ Congruence	0.001	0.001	0.353	1.043	0.038	0.256
Reward ✕ Congruence	-0.001	0.001	0.432	1.044	0.039	0.249
Reward ✕ Penalty ✕ Congruence	0.000	0.001	0.543	1.097	0.041	**0.012***
Number of Subjects	32			32		
Observations	27509			28785		
Marginal R^2 / Conditional R^2	0.056 / 0.255			0.055 / 0.150		

Reward Rate-Optimal Control Allocation: Normative Predictions

To generate predictions about performance on the Stroop task, we parameterized the

tasks as a process of noisy evidence accumulating towards one of two boundaries

(correct vs. error), using the *drift diffusion model* (DDM) [34,37]. We hypothesized that

two of the DDM parameters that determine performance on a given trial are the rate of

evidence accumulation (*drift rate*, v) and the decision threshold (a). As the drift rate

increases, the likelihood of a correct response increases (error rate decreases), and

responses are *faster*. As the threshold increases, responses are also more likely to be

correct but are *slower* (Figure 3A; [31]. As we describe below, a key prediction is that

adjustments in these parameters may underlie divergent strategies for cognitive control

allocation.

Previous theoretical and empirical work has shown that participants can adjust

parameters of this underlying decision process to maximize the rate at which they are

rewarded over the course of an experiment [31,38]. This reward rate (RR) is determined

by a combination of performance metrics (response time and error rate [ER], [31]) and

the incentives for performance (i.e., outcomes for correct vs. incorrect responses):

$$RR = \frac{R \times (1 - ER) - P \times ER}{DT + NDT}$$

Here, the numerator (expected reward) is determined by the likelihood of a correct

response ($1 - ER$), scaled by the reward for a correct response (R), relative to the

likelihood of an error (ER), scaled by the associated punishment (P) [39]. The

denominator (response time) is determined by the time it takes to accumulate evidence

for a decision (decision time [DT]) as well as additional time to process stimuli and

execute a motor response (non-decision time [NDT]).

To correctly respond to a Stroop trial (i.e., name stimulus color), participants need to

recruit cognitive control to overcome the automatic tendency to read the word [40,41].

Building on past work [31,38,39], we can use the reward rate formulation above to

identify how participants should normatively allocate control to maximize the reward rate

(Figure 3B-C). To do so, we make three key assumptions. First, we assume that

participants performing our task choose between adjusting two strategies for increasing

their reward rate: (1) increasing attentional focus on the Stroop stimuli (resulting in

increased drift rate toward the correct response), and (2) increasing their threshold to

require more evidence accumulation before responding. Second, we assume that

participants seek to identify the combination of these two DDM parameters that

maximize reward rate. Third, we assume that increasing the drift rate incurs a nonlinear

cost, which participants seek to minimize. The inclusion of this cost term is motivated by

previous psychological and neuroscientific research [1] and by its sheer necessity for

constraining the model from seeking implausibly high values of drift rate (i.e., as this

cost approaches zero, the reward-rate-maximizing drift rate approaches infinity, as

shown in Figure 3B). While a quadratic cost term was chosen a priori based on previous

work [33,42], follow-up analyses (See Supplementary Results 1) indicated that the

predictions made by this quadratic function are also more consistent with our data than

those for a linear (i.e., absolute) function.

$$RR = \frac{R \times (1 - ER) - P \times ER}{DT + NDT} - E \times v^2$$

217   In this formula, E represents the weight of effort cost. Since the optimal drift rate and

218   threshold are determined by the ratios R/E and P/E, the magnitude of effort costs is

219   held constant ($E = 1$) for the reward rate optimization process, putting reward and

220   punishment into units of effort cost. With this modified form of reward rate, the optimal

221   drift rate is well-constrained (Figure 3C).

Figure 3. The influence of DDM parameter settings on estimates of reward rate. A)

The expected error rate (ER) and decision time (DT) can be estimated as a function of drift rate and threshold. B-C) Reward rate is traditionally defined as a function of expected error rate, scaled by the value of correct vs. incorrect responses, and the overall response time (the combination of decision time and decision-unrelated processes [31]). The combination of drift rate and threshold settings that maximizes reward rate (black dots) differs depending on whether drift rate is assumed to incur an effort cost or not. Without a cost (B), it is always optimal to maximize drift rate. With a cost (C), drift rate and threshold must both fall within a more constrained set of parameter values. Parameters for (B-C): $R = 5, P = 5, NDT = 0.4s$. (D) As the reward for each correct response increases (from 8 to 20), the optimal joint configuration of drift rate and threshold (black dot) moves primarily in the direction of increasing drift rate. As the penalty for an incorrect response increases (from 5 to 625), this optimal configuration moves in the direction of increasing threshold.

Using this formulation of reward rate (RR), we can generate predictions about the

allocation of cognitive control (the combination of drift rate and threshold) that would be

optimal under different reward and punishment conditions. To do so, we varied reward

and punishment values and, for each pair, identified the pair of drift rate and threshold

that would maximize reward rate. As reward increases, the model suggests that the

optimal strategy is to increase the drift rate. As punishment increases, the optimal

strategy is to increase the threshold (Figure 4A). These findings indicate that the

weights for rewards and punishments jointly modulate the optimal strategy for allocating

cognitive control and that these two types of incentives focus on distinct aspects of the

strategy. Specifically, they predict that people will tend to increase drift rate the more

they value receiving a reward for a correct response. In contrast, people will adjust their

threshold depending on how much they value receiving a reward for a correct response

(decrease threshold) and receiving a punishment for an incorrect response (increase

threshold).

Reward Rate-Optimal Control Allocation: Empirical Evidence

To test whether task performance was consistent with the predictions from our

normative model, we fit behavioral performance on our task (reaction time and

accuracy) with the Hierarchical Drift Diffusion Model (HDDM) package [43]. A

systematic model comparison showed that the best-fitting parameterization of this

model for our task allowed both drift rate and threshold to vary with trial-to-trial

differences in congruency, reward level, and/or penalty level (Figure 4B; also see

Supplementary Results 2). Critically, the parameter estimates from this model were

consistent with predictions of our reward rate-optimal DDM (Figure 4C-E). Consistent

with normative predictions, we found that reward and punishment exhibited dissociable

influences on DDM parameters, such that larger rewards increased drift rate and

decreased threshold, whereas larger punishment promoted a higher threshold. These

findings control for the effect of congruency on DDM parameters (with incongruent trials

being associated with lower drift rate and higher threshold). Taken together, our

empirical findings are consistent with the prediction that participants are optimizing

reward rate, accounting for potential rewards, potential punishments, and effort costs.

Figure 4. Normative and empirically observed estimates of incentive effects on DDM parameters. A) Combinations of drift rate and threshold that optimize (cost-discounted) reward rate, under different values of reward and penalty. **B)** We fit our

behavioral data to different parameterizations of the DDM, with drift rate and/or threshold varying with reward, penalty, and/or congruence levels. The best-fitting model varied both DDM parameters with all three task variables. **C)** Estimated combination of drift rate and threshold for four conditions in the experiment. Error bars reflect s.d. **D-E)** Consistent with predictions based on reward-rate optimization (**D**, cf. panel **A**), we found that larger expected rewards led to increased drift rate, where as larger expected penalties led to increased threshold (**E**, cf. panel **C**). To a lesser extent, we found a decreased threshold with higher expected rewards. Error bars reflect 95% CI. *: $p<0.05$; ***: $p<0.001$. See also Figure S5.

Inferring Individual Differences in Sensitivity to Reward and Punishment

Our findings show that performance varies as a function of expected reward and

punishment, and that these performance changes are consistent with a normative

model according to which participants are maximizing reward and minimizing effort

costs. However, both our model predictions and empirical findings also show that

performance alone is insufficient to determine to what extent a participant was driven by

a given incentive. For instance, faster performance could result from a participant being

more sensitive to rewards, less sensitive to penalties, or both. The same is even true for

estimates of individual model parameters within each of these conditions - our model

predicts that a more reward-sensitive participant will lower their threshold than a less

reward-sensitive participant, but that the same would be true for participants less vs.

more sensitive to penalties. However, a key feature of our normative model is that it

predicts how people will *jointly* configure control over drift rate and threshold based on

their expected reward rate in a given condition, and predicts unique *combinations* of

these DDM parameters under a given level of expected reward and penalty (Figure 4A).

As a result, we can examine how participants move across this two-dimensional space

as their rewards and penalties vary (Figure 5A), in order to make more robust

inferences about the extent to which their performance was driven by each of these

incentives. In other words, we can "reverse-engineer" how sensitive that participant had

been to the rewards and penalties associated with performance on our task.

To accomplish this, we used inverse reward-rate optimization to infer the individualized

subjective weights of reward and punishment across the four task conditions based on

participants' estimated DDM parameters. For each task condition, we first estimated the

drift rate (v) and threshold (a) for each individual. We then calculated the partial

derivatives of reward rate (RR) with respect to these condition-specific estimates of v

and a. By setting these derivatives to 0 (i.e., optimizing the reward-rate equation), we

can calculate the sensitivity to reward and punishment ($\hat{R}$ and $\hat{P}$) that make the

estimated DDM parameters the optimal strategy (Figure 5C). This workflow can be

summarized as follows:

$$DDM \rightarrow (\hat{v}, \hat{a}) \rightarrow \begin{cases} \frac{\partial RR(\hat{v},\hat{a},R,P)}{\partial \hat{v}} = 0 \\ \frac{\partial RR(\hat{v},\hat{a},R,P)}{\partial \hat{a}} = 0 \end{cases} \rightarrow (\hat{R}, \hat{P})$$

To validate this approach, we simulated DDM parameters under different combinations

of reward and penalty sensitivities (R and P), and tested whether we could recover the

ground-truth parameters based on simulated data. We were able to successfully

recover both of these parameters (Supporting Information 5; correlation between

simulated and recovered values: $r = 0.99$ for R, and $r = 0.93$ for P), confirming that our

estimation approach can be effective at inferring individual's subjective valuation of

reward and punishment when determining cognitive control adjustments.

A repeated-measures ANOVA on our estimates of R and P (log-transformed) revealed a

main effect of incentive magnitude ($F_{(1,251)}$=12.64, p=4.5e-4), with larger $\hat{R}$ on high-

reward intervals ($t_{(31)}$=4.9, p=3.2e-5) and larger $\hat{P}$ on high-punishment intervals

($t_{(31)}$=4.72, p=4.8e-5). We also observed a main effect of valence, such that estimates of

$\hat{P}$ were higher than estimates of $\hat{R}$ ($F_{(1,251)}$=603.70, p<2e-16). The ANOVA also revealed

a significant interaction between valence and magnitude ($F_{(1,251)}$=7.47, p=0.007; see

Figure 5D), such that $\hat{P}$ estimates differed more across punishment levels than $\hat{R}$

estimates differed across reward levels. These asymmetric effects of rewards and

punishment on reward rate are consistent with research on loss aversion [44] and error

aversion [45].

Figure 5. Inference of sensitivity to reward and penalty based on DDM estimates and reward rate optimization model. A) Estimated group-level reward-rate optimal combinations of drift rate and threshold for the four conditions in the experiment. Error bars reflect s.d. **B)** To infer the sensitivity to reward and penalty for a given individual, we invert this reward-rate optimization procedure, estimating the set of reward and penalty weights (R and P) that best accounts for that person's pattern of behavior in a given condition. **C-D)** The resulting estimates of sensitivity to reward and penalty recapitulate our experimental manipulation, with higher sensitivity to reward in the high vs. low reward condition, and higher sensitivity to penalty for the high vs. low penalty condition. Panel **C** shows summary statistics across individual participants. Panel **D** shows a summary of individual-level contrasts between sensitivity to high vs. low reward and penalty. Error bars reflect s.e.m. ****:** p<0.01; *****:** p<0.001. Parameter recovery validates subjective weight estimates (see Figure S7).

 Replication and extension of Study 1 findings in an independent sample

To verify the robustness of our observed dissociation between reward effects on drift

rate and penalty effects on threshold, we recruited a separate group of participants

(N=65) to perform our task. To further investigate whether these effects generalize

beyond two levels of reward and penalty, we also included an intermediate level of

reward and penalty between the two extremes previously tested. The magnitude of

reward and punishment in each interval was therefore selected independently from

three possible levels: 1 cent (Low), 5 cents (Medium) and 10 cents (High). The selected

reward and punishment are then combined into a cue indicating these incentive levels.

This second study replicated the dissociable behavioral patterns observed in Study 1.

Consistent with the previous study, we found that participants were faster ($F_{(2,64)}$=13.91,

p<0.001) but similarly accurate ($Chisq_{(2)}$=2.23, p=0.317) with higher levels of reward,

resulting in an overall higher number of correct responses per second as expected

reward increased ($F_{(2,70)}$=12.28, p<0.001; Figure 7A). Also consistent with Study 1,

participants were slower ($F_{(2,63)}$=8.49, p<0.001) but more accurate ($Chisq_{(2)}$=15.21,

p<0.001) with higher levels of punishment, resulting in fewer correct responses per

second ($F_{(2,64)}$=4.30, p=0.018; Figure 7B). Response rates under Medium levels of

reward and penalty were intermediate to response rates under Low and High levels of

those respective variables.

Figure 6. Effects of reward and punishment on overall task performance (A,B) and parameters of drift diffusion model (C) in Study 2. A) With increasing expected reward, participants completed more correct responses per second within a given interval (**Left**), which reflect faster responding on correct trials (**top right**) without any change in overall accuracy (**bottom right**). **B)** With increasing expected punishment, participants instead completed fewer trials per second over an interval, reflecting slower and more accurate responses. **C)** Drift rate increases with higher expected reward while threshold increases with higher expected punishment. Error bars reflect 95% CI. n.s.: p>0.05; *: p<0.05; **: p<0.01; ***: p<0.001.

When fitting Study 2 data with our best-fitting model from Study 1, we replicate the

normatively predicted dissociation observed in that study. Reward exerted a significant

positive influence on drift rate (*p*<0.001) and negative influence on threshold (*p*=0.013).

Penalty exerted a significant positive influence on threshold (*p*=0.008) but not drift rate

(*p*=0.47). These findings are consistent with the predictions from the reward rate

optimization model.

Discussion

Discussion

We investigated divergent influences of reward versus punishment on cognitive control

allocation, and the normative basis for these incentive-related control adjustments.

Participants performed a self-paced cognitive control task that offered the promise of

monetary rewards for correct responses and penalized monetary losses for errors. We

found that higher potential rewards led to faster but equally accurate responding

(resulting in increased monetary earnings), whereas higher potential punishment led to

more accurate but slower responding (thus earning less reward but avoiding

punishment). We showed that these dissociable patterns of incentive-related

performance could be accounted for by two distinct strategies (adjustment of the

strength of attention vs. response threshold), which are differentially optimal (i.e.,

reward rate maximizing) in response to these two types of incentives.

Our findings build on past research on reward rate maximization that has shown that

people flexibly recruit cognitive control to maximize their subjective reward per unit time

[30,31,35]. Our current experiments build on this research in several important ways.

First, we apply this reward rate optimization model to performance in a self-paced

variant of a cognitive control task. Second, we model and experimentally manipulate the

incentive value for a correct versus incorrect response. Third, we incorporate the well-

known cost of cognitive effort [1,46] into the reward rate optimization model (see below).

Finally, we used our model to perform reverse inference on our data, identifying the

subjective weights of incentives that gave rise to performance on a given trial.

We showed that adjustments of threshold and drift rate can vary as a function of task

incentives, which then drive adaptive adjustments in cognitive control. Notably,

achieving this result required us to build in the assumption that increases in drift rate

incur a cost, an assumption that is grounded in past research on mental effort [1,33]. In

the absence of this cost, our reward rate model predicts that individuals should maintain

a maximal drift rate across incentive conditions, which is inconsistent with our findings.

However, while we have ruled out the possibility that drift rate is costless, the precise

form of its cost function remains an open question. Follow-up simulations show that our

assumed quadratic cost function -- which was motivated by previous research into

cognitive effort discounting [47,48] -- offers a smoother objective function than linear or

exponential alternatives (Figure S3), but all three of these cost functions make

qualitatively similar predictions for our current task. We have also left open the question

of whether and how a cost function applies to increases in response threshold. While

there is reason to believe that threshold adjustments may incur analogous effort costs to

attentional adjustments, in part given the control allocation mechanisms they share

[2,32,34,49–51], threshold adjustments already carry an inherent cost in the form of a

speed-accuracy tradeoff. It therefore wasn't strictly necessary to incorporate an

additional effort cost for threshold in the current simulations (Figure S4), though it is

possible such a cost would provide additional explanatory power under a different task

design. Future work should investigate potential differences in these cost functions

across these and other common control signals.

While our modified reward rate optimization model was able to accurately characterize

how reward and punishment incentives influenced cognitive control allocation in our

task, a critical next step will be to examine the degree to which these findings

generalize to other tasks and incentive schemes, and to refine the model accordingly.

For instance, in addition to testing the form that different control cost functions take,

future work can clarify how people discount time when optimizing this reward function.

Our model assumes that people discount time in a multiplicative fashion (i.e., as the

denominator for reward), which is a standard assumption in models of reward rate

optimization [31,38]. However, we cannot rule out an alternative possibility that they are

instead discounting time additively, as is assumed by models that treat time as an

opportunity cost of effort [35,52], because these models are likely to make similar

predictions with respect to drift and threshold optimization in our current study.

Identifying and testing tasks that differentiate between these predictions holds value for

bridging these two lines of research in the service of better understanding effort

allocation.

Another open question is whether people weigh the incentives for a correct response

differently depending on whether these incentives are positive or negative. In our study,

correct responses were only associated with potential rewards (positive reinforcement),

but a key prediction of our model is that people should adjust their control configuration

similarly (i.e., increase drift rate, lower threshold) when correct responses instead avoid

a negative outcome (negative reinforcement), though perhaps to different degrees. Our

approach thus offers promise for disentangling the roles of incentive valence (positive

vs. negative) and incentive type (reinforcement vs. punishment) in motivated control

[53].

More generally, it will be important to test whether similar drift and threshold

adjustments occur across other cognitive control tasks that carry a similar structure to

this one, and to extend our optimization approach to tasks that require different forms

of multivariate control configuration, such as distributing attention across multiple

stimuli or features [54,55]. Broadening the applications of this approach to a wider array

of control signals will also provide a critical step towards understanding how people

distribute their cognitive effort across a multitude of tasks in real-world settings. Along

these lines, a simplifying assumption of our current approach was that people assume

reward rate is constant within a given task environment. While this assumption was

reasonable given the parameters of our task (i.e., where incentives were explicitly cued

and pseudorandomized), a crucial next step will be to examine how people dynamically

reconfigure control as they learn from feedback that the expected rewards and

penalties in their environment are changing. Research has shown that people

dynamically adjust their response threshold in both decision-making tasks [56] and

cognitive control tasks [30,57] as they learn to expect greater rewards. It remains to be

tested how these cognitive control adjustments are distributed across both threshold

and drift rate with changes in both reward and punishment, as well as with individual-

specific [58,59] and context-specific [60] differences in learning from these positive and

negative outcomes.

Interestingly, research into how people learn differentially from positive versus negative

outcomes is that these learned values also differentially influence a person's

confidence on a given task, with negative feedback resulting in lower confidence in

one's performance on both perceptual and value-based choice tasks [61,62] Given the

connections that have been separately drawn between confidence and adjustments of

response threshold [63,64], these findings converge with our own observations of

increasing threshold in the face of higher expected punishment. Thus, an important

direction for future work will be to examine how metacognitive experiences associated

with our task vary with experienced incentives and potentially serve to moderate

subsequent control adjustments.

Finally, our combined theoretical and empirical approach enabled us to quantify

individual differences in how participants subjectively valued expected rewards and

punishments based solely on their task performance. We found that people weighed

punishments more heavily than rewards, despite the equivalent currency (i.e., amounts

of monetary gain vs. loss). This finding is consistent with past work on loss aversion [44]

and motivation to avoid failure [45,65], and more generally, with the findings that distinct

neural circuits are specialized for processing appetitive versus aversive outcomes

[66,67]. While our approach to estimating these individual differences is exploratory and

requires further validation across different tasks and incentive schemes (such as those

noted above), we believe that it holds promise for understanding how people vary in

their motivation to succeed and/or avoid failure in daily life [21,68–72]. Not only can this

method help to infer these sensitivity parameters for a given individual implicitly (i.e.,

based on task performance rather than self-report), it can also provide valuable insight

into the cognitive and computational mechanisms that underpin adaptive control

adjustments, and when and how they become maladaptive (e.g., for individuals with

anxiety, depression, or schizophrenia) [73–78].

Materials and Methods

Participants

Study 1

We collected 36 participants online through Amazon's Mechanical Turk. We limited the

sample to participants located within the United States, but did not put any other

restrictions on demographics (e.g., race). Participants gave informed written consent

and received cash ($3 to $6, depending on their performance and task contingencies)

for participation. The study was approved by Brown University's Institutional Review

Board.

4 participants were excluded for either not understanding the task properly (based on

their responses to quiz questions after the instructions) or having mean accuracy below

60% and mean reaction times outside of 3 standard deviations of the mean reaction

time of all the participants. The remaining 32 participants (Gender: 31% Female; Age:

35±10 years) were included in all of our analyses.

Study 2

We collected 71 participants online through Amazon's Mechanical Turk. Participants

gave informed written consent and received cash ($3 to $6, depending on their

performance and task contingencies) for participation. The study was approved by

Brown University's Institutional Review Board.

6 participants were excluded for either not understanding the task properly (based on

their responses to quiz questions after the instructions) or having mean accuracy below

60% and mean reaction times outside of 3 standard deviations of the mean reaction

time of all the participants. The remaining 65 participants (Gender: 45% Female; Age:

38±9 years) were included in all of our analyses.

Incentivized Cognitive Control Task

Study 1

We designed a new task to investigate cognitive control allocation in a self-paced

environment (Figure 1). During this task, participants are given fixed time intervals (e.g.,

10 seconds) to perform a cognitively demanding task (Stroop task), in which they have

to name the ink color of a color word. There were four possible ink colors (red, yellow,

green and blue) across four possible color words ('RED', 'YELLOW', 'GREEN', 'BLUE').

Participants were instructed to press the key corresponding to the ink color of each

stimulus. The ink color could be congruent (e.g., BLUE) or incongruent (e.g., BLUE)

with the meaning of the word. Responding to incongruent stimuli has been shown to

require an override of their more automatic tendency to respond based on the word

meaning. The overall ratio of congruent versus incongruent trials was 1:1. Participants

could perform as many Stroop trials as they wanted and were able during each interval,

with a new trial appearing immediately after each response. Due to this self-paced

design, the proportion of congruent trials could vary slightly across intervals. To

discourage participants from developing a trial-counting strategy (e.g., aiming to

complete 10 responses per interval), the duration of intervals varied across the session

(i.e., ranging from 8 to 12 seconds).

Participants were instructed that they would be rewarded for correct responses and

penalized for incorrect responses. At the start of each interval, a visual cue indicated the

level of reward and punishment associated with their responses in the subsequent

interval. We varied reward for correct responses (+1 cent or +10 cents) and punishment

for incorrect responses (-1 cent or -10 cents) within each subject, which leads to four

distinct conditions (Figure 1). Each participant performed 20 intervals per condition.

During the interval, participants could complete as many Stroop trials as they would like.

Below each Stroop stimulus, a tracker indicated the cumulative amount of monetary

reward within that interval. After each interval, participants were informed how much

they earned. To ensure that each interval was evaluated independently, participants

were informed (veridically) that 8 out of the 80 intervals in the main task were randomly

selected and the total money earned in these selected intervals would be part of their

final payment. The experiment was implemented within the PsiTurk framework [79].

Before the main task, participants performed several practice sessions. First, they

practiced the mapping between keyboard keys and colors (80 trials). Then they

completed practice for the Stroop task (60 trials). Participants then practiced the Stroop

task in the self-paced setting (4 intervals). In a final practice block, participants were

introduced to the visual cues and practiced the self-paced intervals with these visual

cues (12 intervals).

Study 2

The task in Study 2 has a similar structure compared to Study 1. The major difference

between tasks was that the magnitude of reward and penalty was selected from three

possible levels (1 cent, 5 cents and 10 cents) instead of binary levels in Study 1, such

that there exist 9 distinct conditions in the experiment (3 levels of reward by 3 levels of

punishment, Figure 6). Same with Study 1, the condition was cued prior to the start of

each interval.

Analyses

Study 1

With this paradigm, we can analyze performance at the level of a given interval and at

the level of responses to individual Stroop stimuli within that interval. We analyzed

participants' interval-level performance by fitting a linear mixed model (lme4 package in

R; [80] to estimate the correct responses per second as a function of contrast-coded

reward and punishment levels (High Reward = 1, Low Reward = -1, High Punishment

=1, Low Punishment = -1) as well as their interaction. The models controlled for age,

gender, and proportion of congruent stimuli, and using models with maximally specified

random effects [81].

$Correct/second \sim age + gender + reward * penalty + mean\,congruence$

To understand how the incentive effects on overall performance are composed of the

influences on speed and accuracy, we separately fit linear mixed models to trial-wise

reaction time (correct responses only) and accuracy, controlling for the stimuli

congruency. We performed analysis of variance on the fitted mixed models to test the

overall effects of reward and punishment.

$log(RT\ for\ correct\ response)\ \sim age\ +\ gender\ +reward\ *\ penalty\ *\ congruence$

$Accuracy\ \sim logit(age\ +\ gender\ +reward\ *\ penalty\ *\ congruence)$

We parameterized participants' responses in the task as a process of noisy evidence

accumulating towards one of two boundaries (correct vs. error) using the Drift Diffusion

Model (DDM). The DDM is a mechanistic model of decision-making that decomposes

choices into a set of constituent processes (e.g., evidence accumulation and response

thresholding), allowing precise measurement of how different components of the choice

process (e.g., RT and accuracy) are simultaneously optimized [37]. We performed

hierarchical fitting of DDM parameters using the HDDM package [43]. In the DDM

model, the drift rate and threshold depend on trial type (congruent or incongruent),

reward level and/or penalty level. The selection of predictors for drift rate and threshold

is based on the model comparison using DIC. We fixed the starting point at the mid-

point between the two boundaries as there was no prior bias toward a specific response

in the task. The non-decision time was fitted as a free parameter.

We characterized the optimal allocation of cognitive control as the maximization of the

reward rate [31] with modification for effort cost. Based on qualitative comparisons

between predictions of different cost functions (Figures S3-S4), we chose to express

these cost functions as a quadratic function of drift rate and to assume no cost on

increases in threshold, but note that alternate formats of each of these cost functions

yield qualitatively similar predictions for all of our key findings (see Supporting

Information 2). With the effort-discounted reward rate, we make predictions about the

influences of incentives on control allocation by numerically identifying the optimal drift

rate and threshold under varying reward and punishment. To validate our normative

prediction, we fit accuracies and RTs across the different task conditions with a DDM

[43], which allowed us to derive estimates of how a participant's drift rate and threshold

varied across different levels of reward and punishment. We performed model

comparison based on deviance information criterion (DIC; lower is better) to identify the

best model for the behavioral data. Based on the assumption that participants' cognitive

control allocation optimizes the reward rate, we inferred participants' subjective weights

of reward and punishment from the estimated drift rate and threshold.

Study 2

We performed linear mixed model analysis on the participants' interval-level

performance with reward and punishment levels coded with sliding-difference contrast

so that the two contrasts represent the difference between two consecutive reward or

punishment levels (Medium - Low, High - Medium). We separately fit linear mixed

models to trial-wise reaction time (correct responses only) and accuracy, controlling for

the stimuli congruency.

We fit participants' responses with the DDM using three-level polynomial contrast

coding to obtain the linear and nonlinear patterns of incentive effects on DDM

parameters. The coefficients in these contrasts were then transformed back to the DDM

parameters under each condition.

All human data are available on OSF at link https://osf.io/24ud5/.

All code written in support of this publication is publicly available at

https://github.com/Jasonleng/RewardPenaltyPaper.

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Competing Interests

The authors have no competing interests to declare.

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