

1 TITLE:

2 **Stimulus-driven brain rhythms within the alpha band: The attentional-modulation conundrum**

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4 ABBREVIATED TITLE: Reversed attentional modulation of alpha and SSRs

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15

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21

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23 **ABSTRACT**

24 Two largely independent research lines use rhythmic sensory stimulation to study visual processing.  
25 Despite the use of strikingly similar experimental paradigms, they differ crucially in their notion of  
26 the stimulus-driven periodic brain responses: One regards them mostly as synchronised (entrained)  
27 intrinsic brain rhythms; the other assumes they are predominantly evoked responses (classically  
28 termed steady-state responses, or SSRs) that add to the ongoing brain activity. This conceptual  
29 difference can produce contradictory predictions about, and interpretations of, experimental  
30 outcomes. The effect of spatial attention on brain rhythms in the alpha-band (8 – 13 Hz) is one such  
31 instance: alpha-range SSRs have typically been found to *increase* in power when participants focus  
32 their spatial attention on laterally presented stimuli, in line with a gain control of the visual evoked  
33 response. In nearly identical experiments, retinotopic *decreases* in entrained alpha-band power have  
34 been reported, in line with the inhibitory function of intrinsic alpha. Here we reconcile these  
35 contradictory findings by showing that they result from a small but far-reaching difference between  
36 two common approaches to EEG spectral decomposition. In a new analysis of previously published  
37 EEG data, recorded during bilateral rhythmic visual stimulation, we find the typical SSR gain effect  
38 when emphasising stimulus-locked neural activity and the typical retinotopic alpha suppression when  
39 focusing on ongoing rhythms. These opposite but parallel effects suggest that spatial attention may  
40 bias the neural processing of dynamic visual stimulation via two complementary neural mechanisms.

41 **SIGNIFICANCE STATEMENT**

42 Attending to a visual stimulus strengthens its representation in visual cortex and leads to a  
43 retinotopic suppression of spontaneous alpha rhythms. To further investigate this process,  
44 researchers often attempt to phase-lock, or entrain, alpha through rhythmic visual stimulation under  
45 the assumption that this entrained alpha retains the characteristics of spontaneous alpha. Instead,  
46 we show that the part of the brain response that is phase-locked to the visual stimulation *increased*  
47 with attention (in line with steady-state evoked potentials), while the typical suppression was only  
48 present in non-stimulus-locked alpha activity. The opposite signs of these effects suggest that  
49 attentional modulation of dynamic visual stimulation relies on two parallel cortical mechanisms –  
50 retinotopic alpha suppression and increased temporal tracking.

51

## 52 INTRODUCTION

53 Cortical visual processing has long been studied using rhythmic sensory stimulation (Adrian and  
54 Matthews, 1934; Walter et al., 1946; Regan, 1966). This type of stimulation drives continuous brain  
55 responses termed steady-state responses (SSRs) that reflect the temporal periodicities in the  
56 stimulation precisely. SSRs allow tracking of individual stimuli in multi-element displays (Vialatte et  
57 al., 2010; Norcia et al., 2015). Further, they readily indicate cognitive biases of cortical visual  
58 processing, such as the selective allocation of attention (Morgan et al., 1996; Keitel et al., 2013;  
59 Stormer et al., 2014).

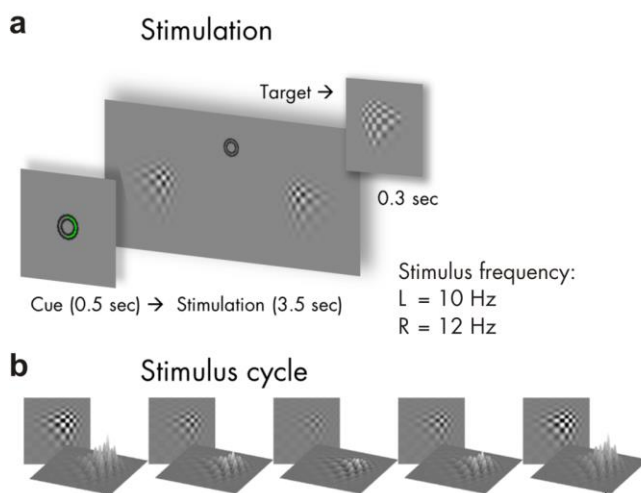
60 Although SSRs can be driven using a wide range of frequencies (Herrmann, 2001), stimulation at  
61 alpha band frequencies (8 – 13 Hz) has stirred particular interest. Alpha rhythms dominate brain  
62 activity in occipital visual cortices (Groppe et al., 2013; Keitel and Gross, 2016) and influence  
63 perception (Benwell et al., 2017a; Benwell et al., 2017b; Iemi et al., 2017; Samaha et al., 2017).  
64 Researchers have therefore used alpha-rhythmic visual stimulation in attempts to align the phase of  
65 – or *entrain* – intrinsic alpha rhythms and consequently provided evidence for visual alpha  
66 entrainment (Mathewson et al., 2012; Zauner et al., 2012; Spaak et al., 2014; Gulbinaite et al.,  
67 2017b). These findings suggest that at least part of the SSR driven by alpha-band stimulation should  
68 be attributed to entrained alpha generators (Notbohm et al., 2016).

69 Some issues remain with such an account (Capilla et al., 2011; Keitel et al., 2014). For instance,  
70 experiments have consistently reported SSR power increases when probing effects of spatial  
71 selective attention on SSRs driven by lateralised hemifield stimuli (Müller et al., 1998), also when  
72 using alpha-band frequencies (Kim et al., 2007; Kashiwase et al., 2012; Keitel et al., 2013). However,  
73 recent studies that used similar paradigms, but treated alpha-frequency SSRs as phase-entrained  
74 alpha rhythms in line with an earlier study using rhythmic transcranial magnetic stimulation (Herring  
75 et al., 2015), reported the opposite effect (Gulbinaite et al., 2017a; Kizuk and Mathewson, 2017).  
76 Oscillatory brain activity showed attentional modulations characteristic of the intrinsic alpha rhythm  
77 during stimulation: Alpha power decreased over the hemisphere contralateral to the attended  
78 position, an effect known to be part of a retinotopic alpha power lateralisation during selective  
79 spatial attention (Worden et al., 2000; Kelly et al., 2006; Thut et al., 2006; Rihs et al., 2007; Capilla et  
80 al., 2012). Briefly put, studies analysing SSRs show a power *increase*, whereas studies analysing  
81 “entrained alpha” show a power *decrease* with attention.

82 Both neural responses originate from visual cortices contralateral to the hemifield position of the  
83 driving stimuli (Keitel et al., 2013; Spaak et al., 2014). Assuming a single underlying neural process,  
84 opposite attention effects therefore seemingly contradict each other. However, results in support of

85 alpha entrainment differed in how exactly responses to the periodic stimulation were quantified.  
86 Effects consistent with SSR modulation resulted from spectral decompositions performed on trial-  
87 averaged EEG waveforms. This approach tunes the resulting power estimate to the part of the neural  
88 response that is sufficiently time-locked to the stimulation (Tallon-Baudry et al., 1996; Delorme and  
89 Makeig, 2004). Effects consistent with alpha entrainment instead typically result from averages of  
90 single-trial spectral transforms, thus emphasising intrinsic non-phase-locked activity (Tallon-Baudry  
91 et al., 1998; Herrmann et al., 2004). Both approaches have been applied before to compare stimulus-  
92 evoked and induced brain rhythms in the gamma frequency range (~40 Hz; Tallon-Baudry et al.,  
93 1998; Picton et al., 2003). Here we focussed on contrasting the attentional modulation of alpha  
94 during- and SSRs driven by an alpha-rhythmic stimulation.

95 We therefore compared the outcome of both approaches in a new analysis of previously reported  
96 EEG data (Keitel et al., 2017b). Participants viewed two lateralised stimuli, both flickering at alpha  
97 band frequencies (10 and 12 Hz). They were cued to focus on one of the two and perform a target  
98 detection task at the attended position. We quantified spectral power estimates according to both  
99 approaches described above from the same EEG data. Should the outcome depend on the approach  
100 taken, we expected to find the typical alpha power lateralisation (contralateral < ipsilateral) when  
101 averaging single-trial power spectra. In power spectra of trial-averaged EEG instead we expected the  
102 typical SSR power gain modulation in the opposite direction (contralateral > ipsilateral). Crucially,  
103 such an outcome would warrant a re-evaluation of stimulus-driven brain rhythms in the alpha range  
104 and intrinsic alpha as a unitary phenomenon (alpha entrainment).



105

106

107 **Figure 1** Stimulus schematics and trial time course. (a) shows the exemplary time course of one trial  
108 with a cue displayed for 0.5 sec (here: Attend Right), followed by the bilateral visual stimulation for  
109 3.5 sec. Left (L) stimulus contrast fluctuated with a rate of 10 Hz and Right (R) stimulus contrast at 12  
110 Hz. Targets that participants were instructed to respond to were slightly altered versions of the

111 stimuli (see inset) that were displayed occasionally for 0.3 sec. **(b)** Rhythmic visual stimulation was  
112 achieved by a frame-by-frame adjustment of global stimulus contrast (through local luminance  
113 changes) as exemplified here in one representative cycle.  
114

## 115 **METHODS**

### 116 **Participants**

117 For the present report, we re-analysed EEG data of 17 volunteers recorded in an earlier study (Keitel  
118 et al., 2017a). Participants (13 women; median age = 22 yrs, range = 19 – 32 yrs) declared normal or  
119 corrected-to-normal vision and no history of neurological diseases or injury. All procedures were  
120 approved by the ethics committee of the College of Science & Engineering at the University of  
121 Glasgow (application no. 300140020) and adhered to the guidelines for the treatment of human  
122 subjects in the Declaration of Helsinki. Volunteers received monetary compensation of £6/h. They  
123 gave informed written consent before participating in the experiment. Note that we excluded five  
124 additional datasets on grounds reported in the original study (four showed excessive eye  
125 movements, one underperformed in the task).

### 126 **Stimulation**

127 Participants viewed experimental stimuli on a computer screen (refresh rate = 100 frames per sec) at  
128 a distance of 0.8 m that displayed a grey background (luminance = 6.5 cd/m<sup>2</sup>). Small concentric  
129 circles in the centre of the screen served as a fixation point (*Figure 1*). Two blurry checkerboard  
130 patches (horizontal/vertical diameter = 4° of visual angle) were positioned at an eccentricity of 4.4°  
131 from central fixation, one each in the lower left and lower right visual quadrants. Both patches  
132 changed contrast rhythmically during trials: Stimulus contrast against the background was modulated  
133 by varying patch peak luminance between 7.5 cd/m<sup>2</sup> (minimum) and 29.1 cd/m<sup>2</sup> (maximum).

134 On each screen refresh, peak luminance changed incrementally to approach temporally smooth  
135 contrast modulations as opposed to a simple on-off flicker (Andersen and Muller, 2015). Further  
136 details of the stimulation can be found in Keitel et al. (2017a). The contrast modulation followed a  
137 10-Hz periodicity for the left and a 12-Hz periodicity for the right stimulus. Note that the experiment  
138 featured further conditions displaying quasi-rhythmic contrast modulations in different frequency  
139 bands. Corresponding results can be found in the original report and will not be considered in the  
140 present analysis.

### 141 **Procedure and Task**

142 Participants performed the experiment in an acoustically dampened and electromagnetically  
143 shielded chamber. In total, they were presented with 576 experimental trials, subdivided into 8

144 blocks with durations of ~5 min each. Between blocks, participants took self-paced breaks. Prior to  
145 the experiment, participants practiced the behavioural task (see below) for at least one block. After  
146 each block they received feedback regarding their accuracy and response speed. The experiment was  
147 comprised of 8 conditions (= 72 trials each) resulting from a manipulation of the two factors  
148 attended position (left vs. right patch) and stimulation frequency (one rhythmic and three quasi-  
149 rhythmic conditions) in a fully balanced design. Trials of different conditions were presented in  
150 pseudo-random order. As stated above, the present study focussed on the two conditions featuring  
151 fully rhythmic stimuli. Corresponding trials ( $N = 144$ ) were thus selected a posteriori from the full  
152 design.

153 Single trials began with cueing participants to attend to the left or right stimulus for 0.5 sec, followed  
154 by presentation of the dynamically contrast-modulating patches for 3.5 sec (*Figure 1*). After patch  
155 offset, an idle period of 0.7 sec allowed participants to blink before the next trial started.

156 To control whether participants maintained a focus of spatial attention, they were instructed to  
157 respond to occasional brief “flashes” (0.3 sec) of the cued stimulus (= targets) while ignoring similar  
158 events in the other stimulus (= distracters). Targets and distracters occurred in one third of all trials  
159 and up to 2 times in one trial with a minimum interval of 0.8 sec between subsequent onsets.

160 Detection was reported as speeded responses to flashes (recorded as space bar presses on a  
161 standard key board).

## 162 **Behavioural data recording and analyses**

163 Flash detections were considered a ‘hit’ when a response occurred from 0.2 to 1 sec after target  
164 onset. Delays between target onsets and responses were considered reaction times (RT). Statistical  
165 comparisons of mean accuracies (proportion of correct responses to the total number of targets and  
166 distracters) and median RTs between experimental conditions were conducted and reported in  
167 (2017a). In the present study, we did not consider the behavioural data further. Note that the  
168 original statistical analysis found that task performance in Attend-Left and Attend-Right conditions  
169 was comparable.

## 170 **Electrophysiological data recording**

171 EEG was recorded from 128 scalp electrodes and digitally sampled at a rate of 512 Hz using a BioSemi  
172 ActiveTwo system (BioSemi, Amsterdam, Netherlands). Scalp electrodes were mounted in an elastic  
173 cap and positioned according to an extended 10-20-system (Oostenveld and Praamstra, 2001).

174 Lateral eye movements were monitored with a bipolar outer canthus montage (horizontal electro-

175 oculogram). Vertical eye movements and blinks were monitored with a bipolar montage of  
176 electrodes positioned below and above the right eye (vertical electro-oculogram).

### 177 **Electrophysiological data pre-processing**

178 From continuous data, we extracted epochs of 5 s, starting 1 s before patch onset using the MATLAB  
179 toolbox EEGLAB (Delorme and Makeig, 2004). In further pre-processing, we excluded epochs that  
180 corresponded to trials containing transient targets and distracters (24 per condition) as well as  
181 epochs with horizontal and vertical eye movements exceeding 20  $\mu\text{V}$  ( $\sim 2^\circ$  of visual angle) or  
182 containing blinks. For treating additional artefacts, such as single noisy electrodes, we applied the  
183 ‘fully automated statistical thresholding for EEG artefact rejection’ (FASTER; Nolan et al., 2010). This  
184 procedure corrected or discarded epochs with residual artefacts based on statistical parameters of  
185 the data. Artefact correction employed a spherical-spline-based channel interpolation. Epochs with  
186 more than 12 artefact-contaminated electrodes were excluded from analysis.

187 From 48 available epochs per condition, we discarded a median of 14 epochs for the Attend-Left  
188 conditions and 15 epochs for the Attend-Right conditions per participant with a between-subject  
189 range of 6 to 28 (Attend-Left) and 8 to 31 epochs (Attend-Right). Within-subject variation of number  
190 of epochs per condition remained small with a median difference of 3 trials (maximum difference = 9  
191 for one participant).

192 Subsequent analyses were carried out in Fieldtrip (Oostenveld et al., 2011) in combination with  
193 custom-written routines. We extracted segments of 3 s starting 0.5 s after patch onset from pre-  
194 processed artefact-free epochs (5 s). Data prior to stimulation onset (1 s), only serving to identify eye  
195 movements shortly before and during cue presentation, were omitted. To attenuate the influence of  
196 stimulus-onset evoked activity on EEG spectral decomposition, the initial 0.5 s of stimulation were  
197 excluded. Lastly, because stimulation ceased after 3.5 s, we also discarded the final 0.5 s of original  
198 epochs.

### 199 **Electrophysiological data analyses – spectral decomposition**

200 Artefact-free 3-sec epochs were converted to scalp current densities (SCDs), a reference-free  
201 measure of brain electrical activity (Ferree, 2006; Kayser and Tenke, 2015), by means of the spherical  
202 spline method (Perrin et al., 1987) as implemented in Fieldtrip (function *ft\_scalpcurrentdensity*,  
203 method ‘spline’,  $\lambda = 10^{-4}$ ). Detrended (i.e. mean and linear trend removed) SCD time series  
204 were then Tukey-tapered and subjected to Fourier transforms while employing zero-padding in order  
205 to achieve a frequency-resolution of 0.25 Hz. Crucially, from resulting complex Fourier spectra we  
206 calculated two sets of aggregate power spectra with slightly different approaches. First, we

207 calculated power spectra as the average of squared absolute values of complex Fourier spectra ( $Z$ ) as  
208 follows:

$$209 \quad onPOW(f) = \frac{1}{n} \sum_{i=1}^n |Z_i(f)|^2 \quad [1]$$

210 where *onPOW* is the classical power estimate for ongoing (intrinsic) oscillatory activity for frequency  
211  $f$  and  $n$  is the number of trials. Secondly, we additionally calculated the squared absolute value of the  
212 averaged complex Fourier spectra according to:

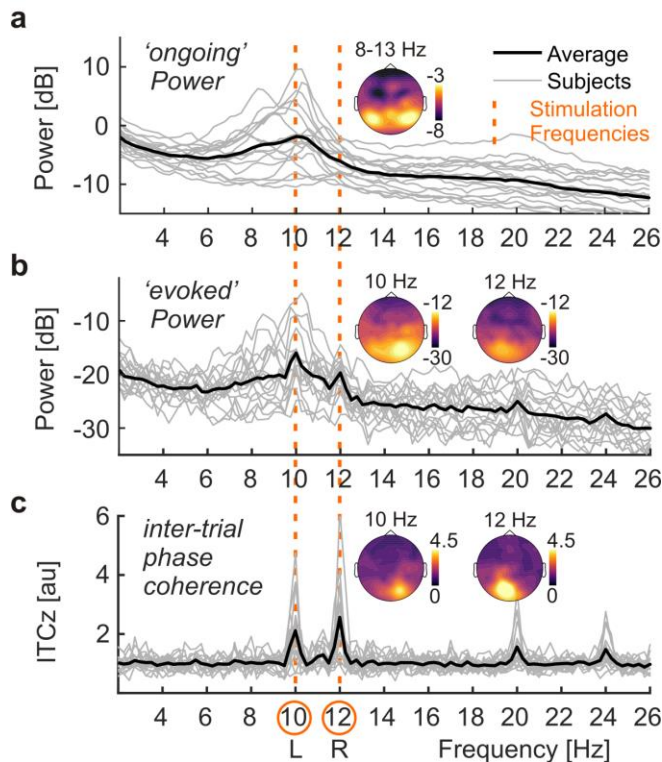
$$213 \quad evoPOW(f) = \left| \frac{1}{n} \sum_{i=1}^n Z_i(f) \right|^2 \quad [2]$$

214 The formula yields *evoPOW*, or evoked power, an estimate that is identical with the frequency-  
215 tagging standard approach of averaging per-trial EEG time series before spectral decomposition. This  
216 step is usually performed to retain only the truly phase-locked response to the stimulus (Tallon-  
217 Baudry et al., 1996). Note that both formulas only differ in the order in which weighted sums and  
218 absolute values are computed. Also note that formula [2] is highly similar to the calculation of inter-  
219 trial phase coherence (ITC), a popular measure of phase locking (Cohen, 2014; Gross, 2014; van  
220 Diepen and Mazaheri, 2018). ITC calculation additionally includes a trial-by-trial amplitude  
221 normalisation. To complement our analysis we thus quantified ITC according to:

$$222 \quad ITC(f) = \left| \frac{1}{n} \sum_{i=1}^n \frac{Z_i(f)}{|Z_i(f)|} \right| \quad [3]$$

223 For further analyses, power spectra were normalised by converting them to decibel scale, i.e. taking  
224 the decadic logarithm, then multiplying by 10 (hereafter termed log power spectra). ITC was  
225 converted to ITCz to reduce the bias introduced by differences in trial numbers between conditions  
226 (Bonnefond and Jensen, 2012; Samaha et al., 2015).





227  
228

229 **Figure 2** EEG spectral decomposition. (a) Power spectra collapsed across conditions and all electrode  
 230 positions below the sagittal midline for single subjects (light grey lines) and group averages (strong  
 231 black line). Note the characteristic alpha peaks in the frequency range of 8 – 13 Hz. Inset scalp map  
 232 shows topographical distribution of alpha power on a dB scale based on scalp current densities. (b)  
 233 Same as in a but for ,evoked' power. Distinct peaks are visible at stimulation frequencies 10 & 12 Hz  
 234 (dashed vertical orange lines across plots). Inset scalp maps shows topographical distribution of SSR  
 235 power at 10 & 12 on a dB scale. Note the difference in scale between ongoing power in a and evoked  
 236 power b. (c) Same as in a but for inter-trial phase-locking (ITCz). Inset scalp maps shows  
 237 topographical distribution of SSR ITCz at 10 & 12.

238

### 239 **Alpha power – attentional modulation and lateralisation**

240 Spectra of ongoing power (*onPOW*), pooled over both experimental conditions and all electrodes,  
 241 showed a prominent peak in the alpha frequency range (*Figure 2*). We used mean log ongoing power  
 242 across the range of 8 – 13 Hz to assess intrinsic alpha power modulations by attention. Analysing  
 243 Attend-Right and Attend-Left conditions separately, yielded two alpha power topographies for each  
 244 participant. These were compared by means of cluster-based permutation statistics (Maris and  
 245 Oostenveld, 2007) using  $N = 5000$  random permutations. We clustered data across channel  
 246 neighbourhoods with an average size of 7.9 channels that were determined by triangulated sensor  
 247 proximity (function *ft\_prepare\_neighbours*, method 'triangulation'). The resulting probabilities ( $P$ -  
 248 values) were corrected for two-sided testing. Subtracting left-lateralised (Attend-Left conditions)  
 249 from right-lateralised (Attend-Right) alpha power topographies, we found a right-hemispheric

250 positive and a left-hemispheric negative cluster of electrodes that was due to the retinotopic effects  
251 of spatial attention on alpha power lateralisation (*Figure 3*), similar to an earlier re-analysis of the  
252 other conditions of this experiment (Keitel et al., 2018).

253 Finally, we tested the difference between Attend-Left and Attend-Right conditions, i.e. attention  
254 effects for left- and right-hemispheric clusters separately. To this end we submitted alpha power  
255 differences (contralateral hemifield attended minus ignored) to Bayesian one-sample t-tests against  
256 zero (Rouder et al., 2009). Attention effects were further compared against each other by means of a  
257 Bayesian paired-samples t-test as implemented in JASP (JASP-Team, 2018) with a Cauchy prior scaled  
258 to  $r = 0.5$ , putting more emphasis on smaller effects (Rouder et al., 2012; Schonbrodt and  
259 Wagenmakers, 2017).

260 This procedure allowed us to quantify the evidence in favour of the null vs the alternative hypothesis  
261 ( $H_0$  vs  $H_1$ ). For each test, the corresponding Bayes factor (called  $BF_{10}$ ) showed evidence for  $H_1$   
262 (compared to  $H_0$ ) if it exceeded a value of 3, and no evidence for  $H_1$  if  $BF_{10} < 1$ , with the intervening  
263 range 1 – 3 termed ‘anecdotal evidence’ by convention (Wagenmakers et al., 2011). Inverting  $BF_{10}$ , to  
264 yield a quantity termed  $BF_{01}$ , served to quantify evidence in favour of  $H_0$  on the same scale. For  $BF_{10}$   
265 and  $BF_{01}$  values  $< 1$  were taken as inconclusive evidence for either hypothesis. Note that for the sake  
266 of brevity we report errors in BF estimates only when exceeding 0.001%.

### 267 **SSR power – attentional modulation**

268 Spectra of evoked power, pooled over both experimental conditions and all electrodes, revealed  
269 periodic responses to the two stimuli at the respective stimulation frequencies, 10 and 12 Hz  
270 (*Figure 2*). Therefore, we assessed attention effects for these two spectral SSR representations. Two  
271 separate cluster-based permutation tests, one for each stimulation frequency, contrasted evoked  
272 power topographies between attended and ignored (= other stimulus attended) conditions. Two-  
273 sided tests were performed with the same parameters as for alpha power (see above).

274 Again, we found one electrode cluster carrying systematic attention effects per frequency. As for  
275 alpha, SSR power from these two clusters were subjected to separate Bayesian one-sample t-tests  
276 against zero (one-sided, attended  $>$  ignored) and compared against each other by means of a  
277 Bayesian paired-sample t-test (two-sided).

### 278 **SSR inter-trial phase coherence – attentional modulation**

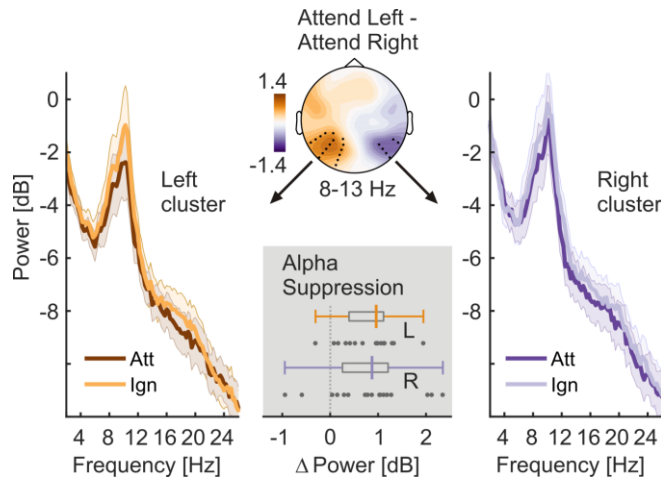
279 We also evaluated a pure measure of neural phase-locking to the stimulation, SSR inter-trial phase  
280 coherence (ITC), because evoked power can be regarded as a hybrid measure depending on both the  
281 amplitude of the underlying rhythmic response and the consistency of its phase across trials. ITC

282 indicates only the latter as SSRs are set to unit amplitude prior to summing across trials (see  
283 formula 3). ITC spectra, pooled over both experimental conditions and all electrodes, showed distinct  
284 neural phase-locking at the respective driving frequencies, 10 and 12 Hz (*Figure 2*). Cluster-based  
285 permutation testing confirmed topographic regions that showed systemic gain effects in ITC.  
286 Subsequently, the same Bayesian inference was applied to data from these clusters as for SSR power.

### 287 **Correlation of alpha and SSR attention effects**

288 As a consequence of our counter-intuitive finding that SSR attention effects seemed strongest over  
289 occipital regions ipsi-lateral to the driving stimulus (see Results section *SSR power & inter-trial phase*  
290 *locking – attentional modulation* below) we explored a posteriori whether these effects could be  
291 explained by ipsilateral increases in alpha power during focussed attention. We correlated attention  
292 effects on alpha and SSR power using Bayesian inference (rank correlation coefficient Kendall's tau-b  
293 or  $\tau_b$ , beta-prior = 0.75) to test for a positive linear relationship. More specifically, we correlated the  
294 left-hemispheric alpha power suppression (Ignored minus Attended) with the 10-Hz SSR (evoked)  
295 power attention effect (Attended minus Ignored) and the right-hemispheric alpha power suppression  
296 with the 12-Hz SSR power attention effect. We opted for these combinations because the  
297 corresponding effects overlapped topographically (see Results). Along with the correlation coefficient  
298  $\rho$ , we report its 95%-Credible Interval (95%-CrI).

299 We also probed the linear relationship between alpha power and SSR ITC attention effects. Because  
300 ITC gains were not clearly lateralised we collapsed gain effects (Attended minus Ignored) across both  
301 stimulation frequencies and correlated these with a hemisphere-collapsed alpha suppression index.  
302 This index was quantified as the halved sum of left and right-hemispheric suppression effects as  
303 retrieved from significant clusters in the topographical analysis of alpha power differences (Attend  
304 Left minus Attend Right), shown in *Figure 3*. Again, we expected a positive correlation here if alpha  
305 power suppression influenced phase-locking to visual stimulation. For means of comparison, we  
306 repeated this analysis with attention effects on SSR power collapsed across frequencies.



307

308 **Figure 3** Allocation of spatial attention produces retinotopic alpha power modulation. The scalp map  
309 (top, center) depicts alpha power lateralisation (Attend Left – Attend right conditions) on a dB scale.  
310 Black dots indicate left- and right-hemispheric electrode-clusters that showed a consistent difference  
311 in group statistics (two-tailed cluster-based permutation tests). Left and right spectra illustrate alpha  
312 power differences in respective clusters when the contralateral hemifield was attended (Att) versus  
313 ignored (Ign). The bottom grey inset depicts the distribution of individual alpha power suppression  
314 effects (Ignored minus Attended) within left (L) and right (R) hemisphere clusters in the 8 – 13 Hz  
315 band. Boxplots indicate interquartile ranges (boxes) and medians (coloured vertical intersector).  
316 Dots below show individual effects (1 dot = 1 participant).  
317

## 318 RESULTS

### 319 Ongoing alpha power – attentional modulation and lateralisation

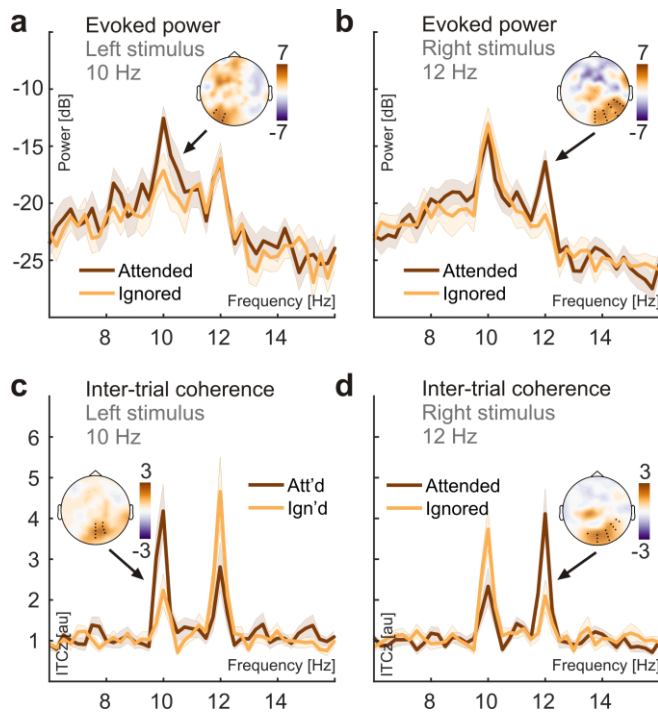
320 The power of the ongoing alpha rhythm lateralised with the allocation of spatial attention to left and  
321 right stimuli. A topographic map of the differences in alpha power between Attend-Left and Attend-  
322 Right conditions shows significant left- and right-hemispheric electrode clusters (*Figure 3*). These  
323 clusters signify retinotopic alpha power modulation when participants attended to left vs right  
324 stimulus positions (right cluster:  $t_{\text{sum}} = -21.454$ ,  $P = 0.026$ ; left cluster:  $t_{\text{sum}} = 81.264$ ,  $P = 0.002$ ). The  
325 differences are further illustrated in power spectra pooled over electrodes of each cluster (*Figure 3*).  
326 As predicted, alpha power at each cluster was lower when participants attended to the contralateral  
327 stimulus. Bayesian inference confirmed the alpha power attention effect for the right ( $M = 0.806$  dB,  
328  $SEM = 0.216$ ;  $BF_{10} = 21.17$ ) and left cluster ( $M = 0.790$  dB,  $SEM = 0.133$ ;  $BF_{10} = 906.36$ ). Both effects  
329 were of comparable magnitude ( $BF_{01} = 4.009 \pm 0.007$ ).

### 330 SSR power & inter-trial phase locking – attentional modulation

331 Crucially, we found the opposite pattern when looking at SSRs, i.e. the exact same data but with a  
332 slightly different focus on oscillatory brain activity that was time-locked to the stimulation (compare  
333 formulas 1 and 2): SSRs showed increased power when the respective driving stimulus was attended

334 versus ignored (*Figure 4*). The power of neural responses evoked by our stimuli (SSRs) was at least  
335 one order of magnitude smaller than ongoing alpha power on average (difference > 10dB, i.e.  
336 between 10 – 100 times). Nevertheless, SSRs could be clearly identified as distinct peaks in (evoked)  
337 power and ITC spectra. Consistent with the retinotopic projection to early visual cortices,  
338 topographical distributions of both measures showed a focal maxima contra-lateral to the respective  
339 stimulus positions that were attended (*Figure 2*). Counter-intuitively though, maximum attention  
340 effects on SSR power did not coincide topographically with sites that showed maximum SSR power  
341 overall (compare scalp maps in *Figure 2 & 4*). Also, due to their rather ipsilateral scalp distributions  
342 (with respect to the attended location), SSR attention effects did not match topographies of  
343 attention-related decreases in ongoing alpha power (compare scalp maps in *Figures 3 & 4*). The 10-  
344 Hz SSR driven by the left-hemifield stimulus showed a left-hemispheric power increase when  
345 attended ( $t_{\text{sum}} = 15.837$ ,  $P = 0.059$ ). Similarly, attention increased the power of the 12-Hz SSR driven  
346 by the right-hemifield stimulus in a right-hemispheric cluster ( $t_{\text{sum}} = 53.282$ ,  $P < 0.001$ ). Bayesian  
347 inference confirmed the attention effect on 10-Hz ( $M = 3.727$  dB,  $SEM = 0.919$ ;  $BF_{10} = 37.05$ ) and 12-  
348 Hz SSR power ( $M = 4.473$  dB,  $SEM = 0.841$ ;  $BF_{10} = 329.75$ ) averaged within clusters. Both effects were  
349 of comparable magnitude ( $BF_{01} = 3.443 \pm 0.005$ ).

350 SSR phase-locking (quantified as ITCz) also increased with attention to the respective stimulus. In  
351 contrast to evoked power, topographical representations of these effects showed greater overlap  
352 with the sites that showed maximum phase-locking in general (*Figure 4*). For both frequencies, ITCz  
353 increased in central occipital clusters (10 Hz:  $t_{\text{sum}} = 41.351$ ,  $P = 0.004$ ; 12 Hz:  $t_{\text{sum}} = 31.116$ ,  $P = 0.012$ ).  
354 Again, Bayesian inference confirmed the attention effect on 10-Hz ( $M = 1.386$  au,  $SEM = 0.297$ ;  
355  $BF_{10} = 105.71$ , one-sided) and 12-Hz ITCz ( $M = 1.824$  au,  $SEM = 0.451$ ;  $BF_{10} = 36.11$ , one-sided).  
356 Evidence for a greater attention effect on 12-Hz than on 10-Hz ITC remained inconclusive  
357 ( $BF_{10} = 0.473$ ).



358

359 **Figure 4** Attention effects on SSR evoked power (evoPow) and SSR inter-trial phase coherence. (a)  
360 SSR evoked power spectra show systematic power differences at the presentation frequency (10 Hz)  
361 of the left stimulus when it was attended (dark red) versus ignored (orange). The inset scalp map  
362 illustrates the topographical situation of attention effects. Power spectra were averaged across  
363 electrodes (black dots in scalp maps) that showed consistent attention effects in group statistics  
364 (two-tailed cluster-based permutation tests) for Attended and Ignored conditions separately. (b)  
365 Same as in a but for the 12-Hz stimulus presented in the right visual hemifield. (c,d) Same as in a,b  
366 but using ITCz as a measure of SSR inter-trial phase coherence.

367

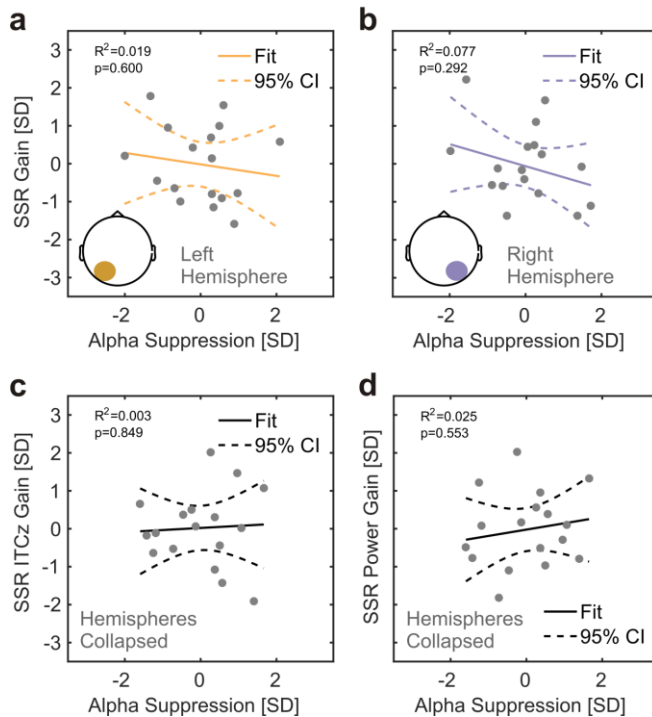
#### 368 **Correlation of alpha and SSR attention effects**

369 Lastly, we tested whether the SSR attention gain effects were mere reflections of the topographically  
370 coinciding ipsilateral ongoing alpha power increase during focussed attention that co-occurred with  
371 the contralateral ongoing alpha-power decrease (Figure 3). Speaking against this account, Bayesian  
372 inference provided moderate evidence against the expected positive correlations between the left-  
373 hemispheric alpha attention effect and the 10-Hz SSR attention effect ( $\tau_b = -0.221$ , 95%-CrI = [0.002  
374 0.269];  $BF_{01} = 5.811$ ) and between the right-hemispheric alpha attention effect and the 12-Hz SSR  
375 attention effect ( $\tau_b = -0.088$ , 95%-CrI = [0.004 0.315];  $BF_{01} = 3.904$ ). These relationships are further  
376 illustrated by corresponding linear fits in Figure 5.

377 Following this analysis, we further explored the relationship between spatially non-overlapping  
378 decreases in alpha-power contralateral to the attended position and the ipsilateral SSR power gain  
379 effects. For the lack of a specific hypothesis about the sign of the correlation in this case, we  
380 quantified the evidence for any relationship (two-sided test). The results remained inconclusive for a



381 correlation between the left-hemispheric alpha attention effect and the right-hemispheric 12-Hz SSR  
 382 attention effect ( $\tau_b = 0.235$ , 95%-CrI = [-0.110 0.487];  $BF_{01} = 1.280$ ) and between the right-  
 383 hemispheric alpha attention effect and the left-hemispheric 10-Hz SSR attention effect ( $\tau_b = 0.103$ ,  
 384 95%-CrI = [-0.218 0.383];  $BF_{01} = 2.400$ ).



385  
 386 **Figure 5** Relationships between attention effects on alpha power and SSRs. (a) Individual 10-Hz (left  
 387 stimulus) SSR evoked power gain (Attended minus Ignored; z-scored, y-axis) as a function of alpha  
 388 suppression (Ignored minus Attended; z-scored, x axis) in overlapping left-hemispheric parieto-  
 389 occipital electrode clusters. Grey dots represent participants. Coloured lines depict a straight line fit  
 390 and its confidence interval (dashed lines). Goodness of fit of the linear model provided as  $R^2$  along  
 391 with corresponding P-Value. As confirmed by additional tests, both attention effects do not show a  
 392 positive linear relationship that would be expected if the ipsilateral SSR power gain effect was a  
 393 consequence of the ipsilateral alpha suppression. (b) Same as in a, but for the 12 Hz SSR driven by  
 394 the right stimulus in overlapping right-hemispheric parieto-occipital electrode clusters. (c,d) Similar  
 395 to a but for attention-related gain effects on SSR ITCz (z-scored, y-axis) in c and gain effects on SSR  
 396 evoked power, both collapsed across electrode clusters showing 10- and 12-Hz SSR attention effects.  
 397 Alpha suppression was collapsed across left- and right-hemispheric electrode clusters (see Figure 3).  
 398

399 Finally, we repeated this analysis for attention effects on inter-trial phase coherence (ITC). Because  
 400 SSR ITC attention effects did not show a clear topographical lateralisation (Figure 4), they were  
 401 collapsed across driving frequencies (10 & 12 Hz). Again, findings were inconclusive when looking  
 402 into the correlation between these aggregate SSR ITC gain effects and a hemisphere-collapsed alpha  
 403 suppression index ( $\tau_b = -0.059$ , 95%-CrI = [-0.349 0.251];  $BF_{01} = 2.653$ ). Correlating collapsed attention

404 effects of SSR evoked power with the same pooled alpha suppression index yielded identical results  
405 regarding the rank correlation (also see linear fits in *Figure 5*).

## 406 **DISCUSSION**

407 We found that two common spectral measures of alpha-band EEG during alpha-rhythmic visual  
408 stimulation reflect effects of spatial attention with opposite signs. In the following we discuss how  
409 this finding supports the notion of two complementary neural mechanisms governing the cortical  
410 processing of dynamic visual input.

### 411 **Analysis approach determines sign of attentional modulation**

412 When focussing on the spectral representation of EEG ongoing power, we observed the prototypical  
413 broad peak in the alpha frequency range (8 – 13 Hz; *Figure 2*). Moreover, alpha power decreased  
414 over the hemisphere contralateral to the attended stimulus position, indicating a functional  
415 disinhibition of cortical areas representing task-relevant regions of the visual field (Worden et al.,  
416 2000; Kelly et al., 2006; Thut et al., 2006). Concurrently, alpha power increased over the ipsilateral  
417 hemisphere, actively suppressing irrelevant and possibly distracting input (Rihs et al., 2007; Capilla et  
418 al., 2012).

419 A second approach focussed on the SSRs, i.e. strictly stimulus-locked rhythmic EEG components. As  
420 in classical frequency-tagging studies, we found spectrally distinct SSRs at the stimulation frequencies  
421 (here 10 and 12 Hz). These two concurrent rhythmic brain responses thus precisely reflected the  
422 temporal dynamics of the visual stimulation. Notably, SSR evoked power was between one to two  
423 orders of magnitude (10 – 100 times) lower than ongoing-alpha power. Smaller evoked power also  
424 explained why SSRs remained invisible in spectra of ongoing activity. They were likely masked by the  
425 broad alpha peak (*Figure 2*; Covic et al., 2017). Note that this is a result of the relatively low-intensity  
426 stimulation used here. Stimulation of higher intensity can evoke SSRs that are readily visible in power  
427 spectra of ongoing activity (Gulbinaite et al. 2017).

428 Crucially, we examined SSRs for effects of focused spatial attention. Visual cortical regions  
429 contralateral to the respective driving stimuli showed maximum SSR evoked power. We would  
430 expect to observe a decrease in SSR evoked power with attention (Gulbinaite et al., 2017a; Kizuk and  
431 Mathewson, 2017) under the assumption that SSRs are frequency-specific neural signatures of a local  
432 entrainment of intrinsic alpha generators (Spaak et al., 2014; Notbohm et al., 2016) and exhibit  
433 similar functional characteristics. Instead, we found that SSR evoked power increased in line with  
434 earlier reports (Kim et al., 2007; Kashiwase et al., 2012; Keitel et al., 2013).



435 Note that the attentional gain effects on SSR evoked power did not coincide topographically with  
436 scalp locations of maximum SSR power, or with scalp locations of the attention-related power  
437 decrease in ongoing alpha oscillations. Instead, they were most pronounced over hemispheres  
438 ipsilateral to the position of the respective driving stimuli. A control analysis (*Figure 5*) showed that  
439 this effect was unrelated to the simultaneously occurring ipsilateral alpha power increase (*Figure 3*).  
440 We have described the apparent counter-intuitive lateralisation of this effect before (Keitel et al.,  
441 2017a) when comparing scalp distributions by means of Attended-minus-Unattended contrasts  
442 (Keitel et al., 2017a) Expecting attention effects to emerge at sites of maximum SSR power in that  
443 case entails the implicit assumption that attention only acts as a local response gain mechanism.  
444 Alternatively, neural representations of attended stimuli could access higher order visual processing  
445 (Lithari et al., 2016) and a gain in spatial extent could then produce seemingly ipsilateral effects when  
446 evaluating topographical differences as observed here (*Figure 4*). Considering that SSR inter-trial  
447 phase coherence showed yet another topographical distribution for gain effects (*Figure 4*), and that  
448 EEG only has a limited spatial resolution, this warrants a dedicated analysis of underlying cortical  
449 sources generating these attention effects in further neuroimaging studies.

#### 450 **Opposite but co-occurring attention effects suggest interplay of distinct attention-related** 451 **processes**

452 Our analysis compared attention effects between “ongoing” spectral power within the alpha  
453 frequency band and a quantity termed SSR “evoked power” that is commonly used in frequency  
454 tagging research (Colon et al., 2012; Porcu et al., 2013; Stormer et al., 2014; Walter et al., 2016;  
455 Martinovic and Andersen, 2018). This term is somewhat misleading because it conflates a power  
456 estimate with the consistency of the phase of the SSR across trials of the experiment. Inter-trial  
457 phase consistency (ITC) is closely related to evoked power but involves an extra normalisation term  
458 that abolishes (or at least greatly attenuates) the power contribution<sup>1</sup> (Cohen, 2014; Gross, 2014)  
459 and has been used to quantify SSRs before (Ruhnau et al., 2016).

460 The effects of attention on SSR evoked power and ITC are typically interchangeable (Covic et al.,  
461 2017; Keitel et al., 2017a). In fact, increased ITC, or phase synchronisation, has been considered the  
462 primary effect of attention on stimulus-driven periodic brain responses (Kim et al., 2007; Kranczioch,  
463 2017). Looking at spectral power and ITC separately, as two distinct aspects of rhythmic brain

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<sup>1</sup> In a noisy, finite signal such as the typical second(s)-long EEG epoch, there will always be a positive relationship between the power and inter-trial phase consistency at any frequency as is shown by the greater than zero noise floor in our ITC spectra (*Figure 4*). Also note that ITC only measures SSRs meaningfully if the neurophysiological signal contains a periodic component at the stimulation frequency.

464 activity, therefore resolves the attentional modulation conundrum: Seemingly opposing attention-  
465 related effects likely index different but parallel influences on cortical processing of rhythmic visual  
466 input. To avoid confusion, we therefore suggest opting for ITC (or related measures, e.g. the cosine  
467 similarity index (Chou and Hsu, 2018)) instead of “evoked power” to evaluate SSRs.

468 Incorporating our findings into an account that regards SSRs primarily as stimulus-driven entrainment  
469 of intrinsic alpha rhythms would require demonstrating how a decrease in alpha-band power (i.e. the  
470 contralateral alpha suppression) can co-occur with increased SSR phase synchronisation.

471 Alternatively, stimulus-locked (“evoked”) and intrinsic alpha rhythms could be considered distinct  
472 processes (Freunberger et al., 2009; Sauseng, 2012). Consequentially, alpha range SSRs could  
473 predominantly reflect an early cortical mechanism for the tracking of fluctuations in stimulus-specific  
474 visual input per se (Keitel et al., 2017a) without the need to assume entrainment (Capilla et al., 2011;  
475 Keitel et al., 2014).

476 The underlying neural mechanism might similarly work for a range of rhythmic and quasi-rhythmic  
477 stimuli owing to the fact that visual cortex comprises a manifold of different feature detectors that  
478 closely mirror changes along the dimensions of colour, luminance, contrast, spatial frequency and  
479 more (Buracas et al., 1998; Blaser et al., 2000; Martinovic and Andersen, 2018). Most importantly, for  
480 (quasi-)rhythmic sensory input, attention to the driving stimulus may increase neural phase-locking  
481 to the stimulus to allow for enhanced tracking of its dynamics, i.e. increased fidelity. This effect has  
482 been observed for quasi-rhythmic low-frequency visual speech signals (Crosse et al., 2015; Park et al.,  
483 2016; Hauswald et al., 2018) and task-irrelevant visual stimuli at attended vs ignored spatial locations  
484 (Keitel et al., 2017a).

485 Concurrent retinotopic biasing of visual processing through alpha suppression and stronger neural  
486 phase-locking to attended stimuli could therefore be regarded as complimentary mechanisms. Both  
487 could act to facilitate the processing of behaviourally relevant visual input in parallel. In this context,  
488 SSRs would constitute a special case and easy-to-quantify periodic signature of early visual cortices  
489 tracking stimulus dynamics over time. Intrinsic alpha suppression instead may gate the access of  
490 sensory information to superordinate visual processing stages (Jensen and Mazaheri, 2010; Zumer et  
491 al., 2014) and enhanced ipsilateral alpha power may additionally attenuate irrelevant and possibly  
492 distracting stimuli at ignored locations (Capilla et al., 2012).

493 A neuronal implementation may work like this: During rest or inattention, occipital neuronal  
494 populations synchronise with a strong internal, thalamo-cortical pacemaker (alpha). During attentive  
495 processing of sensory input, retinotopic alpha suppression releases specific neuronal sub-populations  
496 from an internal reign and allows them to track the stimulus dynamics at attended locations. A

497 related mechanism has been observed in the striatum, where local field potentials are dominated by  
498 synchronous oscillatory activity across large areas (Courtemanche et al., 2003). However, during task  
499 performance focal neuronal populations were found to disengage from this global synchronicity in a  
500 consistent and task-specific manner. At the level of EEG/MEG recordings, such a mechanism could  
501 lead to task-related decrease of oscillatory power but increase of coherence or ITC, as observed in  
502 the current study and previously in the sensorimotor system (Gross et al., 2005; Schoffelen et al.,  
503 2005; Schoffelen et al., 2011).

504 Whereas such an account challenges the occurrence of strictly stimulus-driven alpha entrainment, it  
505 may still allow alpha to exert temporally precise top-down influences during predictable and  
506 behaviourally relevant rhythmic stimulation – a process that itself could be subject to entrainment  
507 (Thut et al., 2011; Nobre et al., 2012; Haegens and Zion Golumbic, 2018; Zoefel et al., 2018).

## 508 **Conclusion**

509 Our findings reconcile seemingly contradictory findings regarding spatial attention effects on alpha-  
510 rhythmic activity, assumed to be entrained by periodic visual stimulation, and SSRs. Focusing on  
511 spectral power or phase consistency of the EEG during visual stimulation yielded reversed attention  
512 effects in the same dataset. Our findings encourage a careful and consistent choice of measures of  
513 ongoing brain dynamics (here power) or measures of stimulus-related activity (here ITC), that should  
514 be critically informed by the experimental question, when studying the effects of visuo-spatial  
515 selective attention on the cortical processing of dynamic (quasi-) rhythmic visual stimulation. Again,  
516 we emphasise that both common data analysis approaches taken here can be equally valid and  
517 legitimate, yet they likely represent distinct neural phenomena. These can occur simultaneously, as  
518 in our case, and may index distinct cortical processes that work in concert to facilitate the processing  
519 of visual stimulation at attended locations.

520

## 521 **Competing interests**

522 The authors declare no competing interests.

523

## 524 **Author contributions**

525 CK designed research, performed research, analysed data and wrote the article. JG designed research  
526 analysed data and wrote the article. AK, CSYB, CD and GT designed research and wrote the article.

527

528 **Data accessibility**

529 EEG data, pre-processed in Fieldtrip format, that underlie all analyses reported here and a  
530 corresponding MATLAB analysis script are available on the Open Science Framework, [osf.io/apsyf](https://osf.io/apsyf)  
531 (Keitel et al., 2017b).

532  
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