| 1 | Title: Functional | diversity of | f brain | networks | supporte | consciousness | and | verbal |
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| T | The: Functional | diversity c | n drain | networks | supports | consciousness | anu | verbar |

- 2 intelligence.
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24 Abstract

25 How are the myriad stimuli arriving at our senses transformed into conscious thought? 26 To address this question, in a series of studies, we asked whether a common mechanism 27 underlies loss of information processing in unconscious states across different conditions, 28 which could shed light on the brain mechanisms of conscious cognition. With a novel 29 approach, we brought together for the first time, data from the same paradigm—a highly 30 engaging auditory-only narrative—in three independent domains: anesthesia-induced 31 unconsciousness, unconsciousness after brain injury, and individual differences in 32 intellectual abilities during conscious cognition. During external stimulation in the 33 unconscious state, the functional differentiation between the auditory and fronto-parietal 34 systems decreased significantly relatively to the conscious state. Conversely, we found 35 that stronger functional differentiation between these systems in response to external 36 stimulation predicted higher intellectual abilities during conscious cognition, in particular 37 higher verbal acuity scores in independent cognitive testing battery. These convergent 38 findings suggest that the responsivity of sensory and higher-order brain systems to 39 external stimulation, especially through the diversification of their functional responses is 40 an essential feature of conscious cognition and verbal intelligence.

42 Introduction

43 Understanding the brain mechanisms of conscious cognition is one of the great frontiers 44 of cognitive neuroscience. A much-researched yet unresolved question is how the myriad 45 sensory inputs arriving at our senses become integrated into meaningful representations 46 that inform cognitive performance and give rise to individual differences in intellectual 47 abilities. In the conscious brain, cognition is thought to arise from iterative interactions 48 among brain regions of graded functional specialization. These include sensory-driven, 49 e.g., auditory and visual, regions on one end of the functional hierarchy, and supramodal 50 regions in frontal and parietal lobes that carry out higher-order cognition, such as 51 executive function, on the other (1-3). However, to fully understand how the interactions 52 of these widespread brain systems give rise to conscious information processing, it is 53 necessary to factor out brain processes that are not intrinsic to consciousness (4). To this 54 end, functional neuroimaging of individuals rendered unconscious under deep anesthesia 55 or after severe brain injury provides a unique window for demarcating unconscious 56 processes, and conversely, shedding light on brain mechanisms that are essential for 57 conscious information processing and cognition in the healthy brain.

58

In a series of studies, we asked whether a common mechanism underlies loss of information processing in unconscious states across different conditions, which could shed light on the brain mechanisms of conscious cognition. To address this question we brought together, for the first time, data from the same paradigm—a highly engaging auditory-only narrative—in three independent domains: anesthesia-induced

- 64 unconsciousness, unconsciousness after brain injury, and individual differences in65 intellectual abilities during conscious cognition.
- 66

| 67 | Despite a growing number of anesthesia studies, it remains unknown how loss of |
|----|---|
| 68 | consciousness affects synthesis of information across sensory and higher-order brain |
| 69 | systems. To date, the majority of functional Magnetic Resonance Imaging (fMRI) studies |
| 70 | of anesthesia have investigated the brain during a task- and stimulus-free condition, |
| 71 | known as the "resting" state, because behavioral responses and eye opening are impaired |
| 72 | by sedation prior to loss of consciousness (5), which render traditional experimental |
| 73 | paradigms that probe complex information processing impossible to implement. |
| 74 | However, because resting state studies do not use sensory stimulation, they cannot shed |
| 75 | light on how the synthesis of external information breaks down from loss of |
| 76 | consciousness. Several studies have used simple psychophysical stimuli and, therefore, |
| 77 | have limited their investigation to well-circumscribed responses in sensory-specific |
| 78 | cortex (6). In the auditory domain, studies have used simple auditory stimuli to |
| 79 | investigate the limits of auditory processing during anesthetic-induced sedation. |
| 80 | Following light anesthesia with sevoflurane, activation to auditory word stimuli relative |
| 81 | to silence was preserved in bilateral superior temporal gyri, right thalamus, bilateral |
| 82 | parietal, left frontal, and right occipital cortices (7). Parallel results have been found with |
| 83 | both propofol and the short-acting barbiturate thiopental, suggesting that basic auditory |
| 84 | processing remains intact during reduced or absent conscious awareness (6, 8-10). |
| 85 | |

| 86 | By contrast, light anesthesia impairs more complex auditory processing (11-12). For |
|-----|--|
| 87 | example, one study (13) showed that the characteristic bilateral temporal-lobe responses |
| 88 | to auditorily presented sentences were preserved during propofol- induced sedation, |
| 89 | whereas 'comprehension-related' activity in inferior frontal and posterior temporal |
| 90 | regions to ambiguous versus non-ambiguous sentences was abolished. However, this |
| 91 | study did not achieve the unconscious state due to low anesthetic doses. Thus, to date, no |
| 92 | anesthetic study has directly investigated how the loss of consciousness affects the |
| 93 | processing of a complex, real-world narrative across sensory-driven and higher-order |
| 94 | brain systems. |
| 95 | |
| 96 | Another group of individuals-patients who lose consciousness after severe brain |
| 97 | injury—stand to shed light on the brain mechanism affected by loss of consciousness. |
| 98 | Following serious brain injury, a proportion of patients manifest disorders of |
| 99 | consciousness (DoC) and exhibit very limited responsivity to commands administered at |
| 100 | the bedside by the clinical staff. If entirely behaviorally non-responsive, they are thought |
| 101 | to lack consciousness—be in a vegetative state (VS) (14)— or, if they have reproducible |
| 102 | but inconsistent willful responses, to be in a minimal conscious state (MCS) (15). The |
| 103 | clinical, behavioral assessment of behaviorally non-responsive patients is particularly |
| 104 | difficult and can result in high misdiagnosis rate (41%) (16). Studies show that, despite |
| 105 | the apparent absence of external signs of consciousness, a significant minority of patients |
| 106 | (~19%) (17-19), thought to be in a VS, can demonstrate conscious awareness by willful |
| 107 | modulation of their brain activity (20-26), a phenomenon captured by the recently |
| 108 | proposed term 'cognitive motor dissociation' (CMD) (27). In the present study, to |

| 109 | circumvent the limitations of behavioral testing and ensure that patients categorized as |
|-----|--|
| 110 | unconscious showed no willful brain responses, each patient underwent an fMRI-based |
| 111 | assessment with a previously established command-following protocol for detecting |
| 112 | covert awareness (22, 28). Similarly to the deep anesthesia context, experimental |
| 113 | paradigms that probe the processing of complex external information have, until recently, |
| 114 | not been implemented in DoC patients (29-32). Although, the disrupted brain mechanism |
| 115 | in patients who are genuinely unconscious has been studied in the resting state paradigm |
| 116 | (33-39), this, by default, cannot help to elucidate fully the mechanisms underlying loss of |
| 117 | information processing in severely brain-injured unconscious patients. |
| 118 | |
| 119 | The inherent limitations in testing unconscious individuals and the absence of identical |
| 120 | sensory stimulation paradigms in anesthesia and severe brain injury investigations has |
| 121 | hindered understanding of common mechanisms underlying loss of information |
| 122 | processing across these conditions. To address this knowledge gap, in two different |
| 123 | studies, we used the same paradigm and a novel approach (30) for measuring complex |
| 124 | information processing in unconsciousness from deep anesthesia and severe brain injury, |
| 125 | as participants freely listened to richly evocative stimulation in the form of a plot-driven |
| 126 | narrative—a brief (5 minute) auditory-only excerpt from the kidnapping scene in the |
| 127 | movie 'Taken'. This approach circumvents traditional limitations by requiring neither |
| 128 | behavioral response nor eye opening, and, importantly, elicits both sensory and fronto- |
| 129 | parietal brain responses that are known to support high-order cognition, such as executive |
| 130 | function (40-47). By their very nature, engaging narratives are designed to give listeners |
| 131 | a common conscious experience driven, in part, by the recruitment of similar executive |

| 132 | processes, as each listener continuously integrates their observations, analyses and |
|-----|--|
| 133 | predictions, while filtering out any distractions, leading to an ongoing involvement in the |
| 134 | story's plot. We have previously shown (30-32) that when different individuals freely |
| 135 | listen to the same narrative, stereotyped changes of brain activity across these frontal and |
| 136 | parietal cortical regions are observed, which reflect a robust and similar recruitment of |
| 137 | executive function across different individuals. Thus, this paradigm is particularly suited |
| 138 | for investigating the extent of information processing in behaviorally non-responsive |
| 139 | individuals in unconscious states. |
| 140 | |
| 141 | Conversely, we asked whether the principles of information processing revealed by the |
| 142 | anesthesia and severe brain-injury studies could predict conscious cognitive performance, |
| 143 | an independent domain that relies on continuously efficient processing of external |

144 information. Understanding individual differences in intellectual abilities is profoundly

145 important as it may, in the future, help facilitate their enhancement, yet the underlying

brain mechanisms remain poorly understood. Previous studies have suggested that

147 functional connectivity within the fronto-parietal network during executive or cognitive

- tasks is related to individual differences in intelligence (40). This approach has been
- 149 useful in identifying functionally segregated neural correlates of intelligence, i.e., the
- 150 fronto-parietal network, but it does not reflect the role of sensory-driven networks or of
- 151 their interactions with higher-order systems.

152

153 In the first study, we asked how information processing across the auditory and fronto-

154 parietal systems during the story was affected by loss of consciousness in deep anesthesia

| 155 | in healthy participants (N=16). In the second study, we tested whether the insights |
|-----|--|
| 156 | gleaned from the anesthesia study could generalize to loss of consciousness after severe |
| 157 | brain injury, in a group of patients (N=11) with disorders of consciousness that |
| 158 | underwent fMRI scanning during the same audio story as healthy participants from study |
| 159 | one. In the third study, we investigated how the cognitive performance of the individuals |
| 160 | from the anesthesia study (N=14) independently-measured with a cognitive battery weeks |
| 161 | after the sedation study related to their synthesis of complex sensory information between |
| 162 | auditory and fronto-parietal systems during the audio-story task. |
| 163 | |
| 164 | Results |
| 165 | Information processing under deep anesthesia |
| 166 | To measure information processing during the story, we adopted a previously established |
| 167 | method using the same audio story (30), where we showed that the extent of stimulus- |
| 168 | driven cross-subject correlation provided a measure of regional stimulus-driven |
| 169 | information processing (Figure 1A–C). In the wakeful condition of the anesthesia study, |
| 170 | we observed widespread and significant (p<0.05; FWE cor) cross-subject correlation |
| 171 | between healthy participants within sensory-driven (primary and association) auditory |
| 172 | cortex, as well as higher-order frontal and parietal regions (Figure 1D), consistent with |
| 173 | Naci et al. (2017) (30). By contrast, in deep anesthesia, the significant (p<0.05; FWE cor) |
| 174 | cross-subject correlation was limited to the auditory cortex, with the exception of two |
| 175 | small clusters in left prefrontal and right parietal cortex (Figure 1E), suggesting that the |
| 176 | processing of sensory information was preserved in the sensory, but almost entirely |
| 177 | abolished in fronto-parietal regions. |

198

- 179 Figure 1. Brain-wide inter-subject correlation of neural activity during the audio story180
- 181 Subsequently, we investigated the impaired brain mechanism underlying loss of 182 information processing in these higher-order regions. Current theories of consciousness 183 (48-50), such as the Integrated Information Theory (IIT), propose that conscious 184 cognition relies on the brain's capacity to efficiently integrate information across 185 different specialized systems (48), suggesting that both interconnectedness and functional 186 differentiation of brain systems are important for information processing. However, 187 different putative mechanisms are consistent our results, including reduced/abolished 188 connectivity among distinct brain systems (49) and loss of functional differentiation (48) 189 (i.e., homogeneous connectivity across them). To directly investigate the underlying 190 mechanism, we distinguished four possible impairment patterns consonant with theories 191 of consciousness that could explain impaired information processing in deep anesthesia: 192 1) a loss of long-range connectivity between auditory and fronto-parietal networks 193 (Figure 2A); 2) a loss of connectivity between areas within each network, e.g., between 194 frontal and parietal regions (Figure 2B); (3) a combination of 1 and 2 (Figure 2C); and, 195 (4) a loss of differentiation between auditory and fronto-parietal networks (Figure 2D). 196 197 Figure 2. Candidate patterns of connectivity perturbations by deep propofol anesthesia

199 The global effect of anesthesia on brain networks' connectivity

200 Initially, we investigated how deep propofol anesthesia perturbed the patterns of global 201 connectivity. During the audio story, a two-way ANOVA with factors connectivity type 202 (within, between) and state (wakeful, deep anesthesia) showed that connectivity across 203 networks increased significantly (main effect of state: F(16)=8.57; p=0.01) (Figure 3A-204 B) in deep anesthesia relative to wakefulness. Connectivity *between* increased more than 205 within networks (interaction effect, state x connectivity type: F(15)=5.58; p<0.05) (Figure 206 3E), driven by a significant increase in the *between* network connectivity (t(15)=3.82,207 p<0.005) and no overall change in the *within* connectivity (see SI for complete results; 208 Figure S3, S4). By contrast, during the resting state, deep anesthesia showed the opposite 209 effect on between and within network connectivity, with a larger impact on the *within* 210 relative to *between* network connectivity (interaction effect, state x connectivity type: 211 F(15)=5.4; p<0.05) (Figure 3C–D). Connectivity within was significantly reduced, but no 212 changes were observed in deep anesthesia in the *between* network connectivity (see SI for 213 complete results).

214

A direct comparison between the audio story and resting state confirmed that anesthesia affected connectivity in the two conditions in opposite directions. A two-way ANOVA with factors condition (audio story, resting state) and state (wakeful, deep anesthesia) showed a condition x state interaction [F(15)=7.01; p<0.05] that was driven by an overall connectivity reduction during the resting state and connectivity increase during the audio story in deep anesthesia. The effects were the same when functional differentiation was measured as the ratio of *between-* to *within-*network connectivity.

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| 223 | These suggest that, when the brain is at rest, reduced connectivity within brain networks |
|------------|--|
| 224 | rather than loss of functional differentiation between them, characterizes the unconscious |
| 225 | state. By contrast, when the brain is exposed to complex naturalistic stimuli from the |
| 226 | environment, reduced functional differentiation between brain networks leads to loss of |
| 227 | information processing in the unconscious state. However, these results must be |
| 228 | interpreted with caution, in light of the consistent block order in deep sedation. |
| 229 | |
| 230 | Figure 3. Global within- and between-network connectivity perturbations by deep |
| 231 | propofol anesthesia |
| 232 | |
| 233 | The effect of anesthesia on auditory and fronto-parietal networks' connectivity |
| 234 | Next, we asked specifically whether reduced functional differentiation between the |
| 235 | auditory and fronto-parietal networks drove the loss of information processing in the |
| 236 | fronto-parietal regions during the story. Consistent with effects at the whole-brain level, |
| 237 | we found a significant increase in the AUD–DAN and AUD–ECN connectivity |
| | we found a significant increase in the AOD–DAN and AOD–DCN connectivity |
| 238 | [t(15)=2.6, p<0.05; t(15)=4.98, p<0.0005, respectively] (Figure 4A–D), or a significant |
| 238 239 | |
| | [t(15)=2.6, p<0.05; t(15)= 4.98, p<0.0005, respectively] (Figure 4A–D), or a significant |
| 239 | [t(15)=2.6, p<0.05; t(15)=4.98, p<0.0005, respectively] (Figure 4A–D), or a significant reduction of the functional differentiation between the AUD and DAN, ECN in deep |
| 239 240 | [t(15)=2.6, p<0.05; t(15)=4.98, p<0.0005, respectively] (Figure 4A–D), or a significant reduction of the functional differentiation between the AUD and DAN, ECN in deep anesthesia relative to wakefulness. By contrast, in the resting state, connectivity between |

| 244 | suggested that the functional differentiation between the auditory and fronto-parietal |
|-----|---|
| 245 | networks underlies conscious processing of complex auditory information. |
| 246 | |
| 247 | Figure 4. Perturbations of auditory and fronto-parietal connectivity by deep propofol |
| 248 | anesthesia in the audio story condition |
| 249 | |
| 250 | To test specifically whether functional differentiation in the conscious state would be |
| 251 | driven by the complex features of the audio story, including it's narrative, rather than |
| 252 | merely the presence of external stimulation, we compared the AUD–DAN and AUD– |
| 253 | ECN pairwise connectivity in wakeful individuals during the audio story with those in the |
| 254 | two baseline conditions, a scrambled version of the story that retained the sensory |
| 255 | features but was devoid of the narrative, and the resting state. During the intact audio |
| 256 | story, functional connectivity between the AUD and DAN, ECN was significantly lower |
| 257 | than in the scrambled story [AUD–DAN: t(14)=-11.2, p<0.0001; AUD–ECN: t(14)=- |
| 258 | 10.62, p<0.0001], and than in the resting state [AUD–DAN: t(14)=-7.3, p<0.0001; AUD– |
| 259 | ECN: t(14)=-2.7, p<0.05] (Figure 5A–H). These results suggested that the processing of |
| 260 | the high-order features of story, including its narrative, drove functional differentiation |
| 261 | between the auditory and fronto-parietal networks in wakeful individuals. |
| 262 | |
| 263 | Figure 5. Functional connectivity between the auditory and fronto-parietal networks in |
| 264 | healthy wakeful individuals, during the audio story and baseline conditions |

266 The effect of severe brain injury on the auditory and fronto-parietal networks'

267 connectivity

268 Results from both conscious and unconscious conditions in the previous study suggested

- that functional differentiation between the auditory and fronto-parietal networks
- 270 underlined conscious processing of complex auditory information. In the next study, we
- 271 further tested this claim in severe brain-injury, which served as an independent
- 272 manipulation of consciousness.
- 273

274 The structural profiles and full behavioral description of the convenience sample of brain-

injured patients (N=11) are shown in Figure S1, Table S2, S3. Patients who showed

willful brain responses in the independent command-following assessment (22, 28) were

277 considered covertly aware and labeled DoC+ (N=6), and those who showed no signs of

278 conscious awareness were labeled as DoC- (N=5) (Figure 6), for subsequent analyses.

279 Similarly to conscious individuals (Figure 5), we expected DoC+ patient group to show a

280 heightened differentiation/down-regulation of the AUD and DAN, ECN pairwise

281 connectivity during the audio story relative to resting state baseline connectivity. By

282 contrast, we did not expect a down-regulation of the connectivity between these networks

- 283 during the audio story in DoC- patient group.
- 284

285 The DoC+ group showed a significant down-regulation of the auditory and fronto-

286 parietal networks connectivity in the audio story relative to the resting state [AUD–DAN

287 : t(5)=-1.9, p=0.05; AUD-ECN: t(5)=-3.6, p<0.5] (Figure 7A-H, E-L), and was

significantly different from the DoC- (N=5) group, who did not show this effect (Figure

| 289 | 7C–J, E–L) [AUD–DAN: t(8)=-3.6, p<0.01; AUD–ECN: t(9)=-3.4, p<0.01]. The |
|-----|--|
| 290 | predicted effect pattern was also observed for individual patients, with 5/6 DoC+ patients |
| 291 | showing a down-regulation of the connectivity between AUD and DAN, ECN (Figure |
| 292 | 7F, L). The effect in the DoC+ group was consistent with the effect observed in healthy |
| 293 | conscious individuals (Figure 5). By contrast, the DoC- group showed significantly |
| 294 | enhanced AUD–DAN connectivity during the audio story relative to resting state |
| 295 | [t(4)=4.48; p<0.05] (Figure 7E). This was consistent with the up-regulation of the AUD– |
| 296 | DAN connectivity observed in the anesthesia-induced unconscious state in the previous |
| 297 | study. |
| 298 | |
| 299 | Figure 6. Summary of DoC patients' clinical and fMRI assessment data |
| 300 | |
| 301 | Figure 7. Modulation of auditory to fronto-parietal connectivity by meaningful |
| 302 | stimulation in DoC patients |
| 303 | |
| 304 | Network connectivity and individual differences in conscious cognition |
| 305 | Taken together, the results from the two previous two studies suggested that heightened |
| 306 | differentiation between the auditory and fronto-parietal networks supports conscious |
| 307 | processing of complex auditory information, and more broadly, conscious cognition. In |
| 308 | the third study, we further tested this claim directly, by asking whether it predicted |
| 309 | individual differences in cognitive performance. We assessed the cognitive performance |
| 310 | of a participant subset (14/16) from the anesthesia study, who came back to the |
| 311 | laboratory weeks later, with a battery comprising 12 cognitive tests (51) that measured |
| | |

| 312 | short-term memory, reasoning, and verbal acuity (SI, Table S4). Based on converging |
|-----|---|
| 313 | results from studies 1 and 2, we expected stronger differentiation between the auditory |
| 314 | and fronto-parietal networks during the audio story to predict stronger cognitive |
| 315 | performance, or, a negative relationship between the AUD and DAN, ECN connectivity |
| 316 | and the independently measured cognitive performance in the same individuals. |
| 317 | |
| 318 | The individuals' AUD–DAN connectivity during the audio story was significantly |
| 319 | negatively correlated (r = -0.66; p<0.05) with their cognitive performance in the verbal |
| 320 | acuity (Figure 8 A–B) component of the battery, which accounted for the variance of |
| 321 | tasks that used verbal stimuli (i.e., digit span, verbal reasoning, color-word remapping; |
| 322 | Supporting Information). The AUD–DAN connectivity did not predict performance in |
| 323 | the other two components, and the AUD-ECN connectivity did not predict performance |
| 324 | in any of the three (Figure 8A, C). Pairwise connectivity between these networks in the |
| 325 | resting state did not predict cognitive performance in any of the domains (Figure 8A). |
| 326 | Further, we found no relationship between the connectivity of the AUD and default mode |
| 327 | network (DMN), included as a control high-order network, and cognitive performance. |
| 328 | |
| 329 | In summary, the results of the third study converged with the other two, and suggested |
| 330 | that the extent to which the functional responses of the auditory and fronto-parietal |
| 331 | networks to complex auditory stimuli dissociated from one another predicted independent |
| 332 | cognitive performance in the verbal domain, and thus, may be a determining factor in |
| 333 | individual differences in verbal acuity. |
| | |

- 335 Figure 8. The relationship between network connectivity during the audio story and
- 336 independently-measured cognitive performance.
- 337
- 338

339 Discussion

- 340 In a series of studies, we asked whether a common mechanism underlies loss of
- 341 information processing in unconscious states across different conditions, which could
- 342 shed light on the brain mechanisms of conscious cognition. To this end, for the first time,
- 343 we brought together two very disparate conditions where consciousness is lost—deep
- 344 anesthesia and severe brain injury—to investigate the modulation of functional
- 345 connectivity between the auditory and fronto-parietal networks by identical complex
- 346 stimulation in identical paradigms. Subsequently, we tested whether findings from these
- 347 studies predicted individual differences in intellectual abilities during conscious
- 348 information processing.
- 349

350 Common mechanism for loss of information processing in unconsciousness during

351 anesthesia and after severe brain injury

352 We use a novel approach (30-32), to measure external information processing in response

353 to richly evocative stimulation portraying real-world events, during deep anesthesia and

- 354 severe brain injury. In the anesthesia study, we found that the processing of the story
- 355 information was preserved in auditory cortex, but almost entirely abolished in fronto-
- 356 parietal regions. Deep anesthesia led to a significant reduction in the functional
- 357 differentiation of several networks across the brain, and specifically, between the

358 auditory and fronto-parietal networks, during the story condition. These results suggested 359 that anesthesia impaired the processing of complex external information in fronto-parietal 360 regions by eroding their functional differentiation from sensory (e.g., auditory) systems, 361 and not by impairing connections between or within them. Propofol was used here as a 362 common anesthetic agent, and future studies that employ the same paradigm across 363 different agents will help elucidate whether specific agents vary in their effect on 364 connectivity during complex stimulation. Our results are consistent with previous 365 findings from resting state studies, suggesting that anesthesia reduces the repertoire of 366 discriminable brain states (52-53), and that during loss of consciousness global synchrony 367 impairs information processing by leading to a breakdown of causal interactions between 368 brain areas (54-56). Further, they are consistent with resting state studies using sleep-369 induced altered states of consciousness, which show that hyper-synchrony perturbs the 370 feed-forward propagation of auditory information (57), as well as feedback projections 371 (58), and more broadly, the stable patterns of causal interactions in response to external 372 stimulation across the brain (59). While these previous resting state studies suggest that 373 global synchrony breaks down causal interactions, the investigation of causal cortico-374 cortical interactions was outside the scope of this work. We did not find an effect of deep 375 sedation on thalamo-cortical connectivity in any of the five brain networks (SI), and 376 while outside of our scope here, a potential causal role of thalamic inputs to cortico-377 cortical connectivity in deep sedation remains to be investigated further. 378

Our findings from the resting state condition in deep anesthesia manipulation agree witha previously reported reduction of brain connectivity in deep propofol anesthesia during

| 381 | the resting state (49, 54, 60), in particular with a reduction of connectivity within the |
|-----|---|
| 382 | default-mode 60-62; but, see 53, 63), and the executive control networks (60, 64). |
| 383 | Although consistency with previous studies suggests otherwise, we note that differences |
| 384 | between the story and resting state conditions in deep sedation must be interpreted with |
| 385 | caution, in light of the consistent block order. Nevertheless, the results from the sensory |
| 386 | stimulation condition reveal a different mechanism underlying the loss of external |
| 387 | information processing than suggested by resting state studies. First, in the audio-story |
| 388 | condition, the connectivity within networks was affected by sedation in the opposite |
| 389 | direction to the resting state. Second, in the resting state condition, we observed no effect |
| 390 | of deep anesthesia on connectivity between distinct networks, which, by contrast, |
| 391 | increased significantly during the auditory stimulation condition suggesting loss of |
| 392 | functional differentiation across the cortex. Another type of stimulation- transcranial |
| 393 | magnetic stimulation 3TMS)—has previously been used to directly perturb the cortex in |
| 394 | unconscious states and demonstrate that responses across the cortex become |
| 395 | undifferentiated from one another (55, 65). In summary, these results suggest that deep |
| 396 | anesthesia affects the brain differently when it is exposed to complex external stimulation |
| 397 | relative to rest, with the stimulus-evoked feed-forward processing cascade being echoed |
| 398 | undifferentiated throughout the brain, thus overcoming the inhibitory effect of propofol |
| 399 | on neural connectivity that has been reported in resting state studies (66). |
| 400 | |
| 401 | Similarly to deeply anesthetized unconscious individuals, severely brain-injured patients |

402 who were not consciously aware during the study showed significantly reduced

403 differentiation between the auditory and fronto-parietal networks during the story relative

404 to their resting baseline. Conversely, similarly to healthy wakeful individuals, severely 405 brain-injured patients who were covertly aware showed the opposite effect: significantly 406 enhanced differentiation between the auditory and fronto-parietal networks during the 407 story relative to their resting baseline. The modulation of the sensory to higher-order 408 networks' relationship by meaningful environmental stimuli in severely brain-damaged 409 (albeit conscious), patients suggests this is a fundamental feature of conscious processing 410 that is resilient to substantial metabolic dysfunction following brain injury (67). We 411 caution that our results do not suggest that each DoC+ patient understood the story 412 similarly as healthy individuals. Brain-injured patients fluctuate vastly in arousal and, 413 thus, even if individual DoC+ patients discussed here retained functional brain 414 architecture to support covert conscious awareness, the absence of a sensory baseline and 415 individual-level statistics, render it impossible to ascertain the extent of understanding in 416 individual patients. 417

418 Previous studies that have compared anesthetized and unconscious brain-injured patients 419 have highlighted that, similarly to the effect of common anesthetic agents including 420 propofol (60, 68), brain dysfunction in this population is prevalent within the fronto-421 parietal network (69-70). They have indicated preserved sensory processing (e.g., 422 responses to noxious stimulation, auditory or speech perception) in the absence of higher-423 order components (e.g., neural evidence of pain perception, language comprehension) 424 (5), and suggested that disconnection between sensory and fronto-parietal systems is 425 common to both populations. By contrast, our findings suggest that, when the brain is 426 exposed to complex external information, these systems do not disconnect from one

| 427 | another in these unconscious states, as previously suggested by aforementioned resting |
|-----|--|
| 428 | state studies. Rather, our findings demonstrate that the erosion of functional |
| 429 | differentiation among these systems underlies impaired information processing when |
| 430 | consciousness is lost. |
| 431 | |
| 432 | Although loss of consciousness is common to both deeply anesthetized and some severe |
| 433 | brain-injured patients, these two populations differ greatly. In the former no structural |
| 434 | changes occur, and the functional brain response is altered pharmacologically. In the |
| 435 | latter, an array of structural damage, greatly varying across patients, is present and affects |
| 436 | altered brain responses, leading to complete functional loss in some domains and |
| 437 | potential functional re-organization and preservation in others. Given the large |
| 438 | differences between these two, the similarity of the functional response to previously |
| 439 | validated targeted stimulation (30) across these populations provides strong evidence for |
| 440 | a common mechanisms underlying loss of information processing in the unconscious |
| 441 | state. These results are consistent with current theories of consciousness, which suggest |
| 442 | that it requires both differentiation and integration of information in neural circuits (48, |
| 443 | 54, 71), and elucidate the underlying brain mechanism by showing the critical role of |
| 444 | functional differentiation between sensory and higher-order systems when information |
| 445 | processing is required. |
| 446 | |
| | |

447 Mechanism for conscious information processing and cognition

448 The third study further confirmed the role of the functional differentiation between the

sensory and higher-order systems in conscious cognition. Individuals who showed higher

450 differentiation between the auditory and dorsal attention network (DAN) in response to 451 the audio story had higher verbal acuity scores than individuals who showed lower 452 differentiation. The story elicited a range of cognitive processes such as the orientation 453 and modulation of attention to the saliency of incoming auditory inputs— a function 454 subserved primarily by the DAN (72) — and language perception and comprehension, 455 which corresponded to those engaged by the verbal acuity tasks of the cognitive battery. 456 The functional relationship between the auditory and executive control network (ECN) 457 was not predictive of cognitive performance, which is likely accounted for by the nature 458 of the stimulus and fMRI paradigm which did not require behavioral response planning 459 or monitoring— a function sub-served primarily by the ECN (73). There was no 460 relationship between the auditory and fronto-parietal connectivity in response to the story 461 and performance in the short-term memory or reasoning components of the cognitive 462 battery, likely due to the story's cognitive demands low loading on these components. 463 We note that the verbal component of the cognitive battery, which comprised 12 tasks, 464 accounted for the majority of variance in a subset of different tasks that used verbal 465 stimuli (digit span, verbal reasoning, color-word remapping; full description in SI). Thus, 466 in capturing a cross-section of processes employed in these different tasks, the verbal 467 component represented a robust example of varied domain-specific processes, which are 468 abstracted away from the demands of particular tasks. Therefore, although these results 469 suggested that the relationship between brain connectivity and intelligence is domain-470 specific, future studies are required to further test the sensory-higher-order networks' 471 relationship and other cognitive domains/processes.

472

473

| 474 | Further, these results agree with a previous proposal that the relationship between brain |
|-----|---|
| 475 | connectivity and intelligence is context specific (74). In contrast to the a-priory predicted |
| 476 | relationship between these networks' connectivity and intelligence during complex |
| 477 | sensory stimulation, we found no relationship between them in the resting state. Notably, |
| 478 | these results were predicted from two different populations where loss of from |
| 479 | information in unconsciousness suggested a common mechanism for information |
| 480 | processing during conscious cognition. Consistent with a recent emerging view in the |
| 481 | field (75), they suggested that individual differences in intellectual abilities rely on the |
| 482 | dynamic reconfigurations of connectivity in response to incoming sensory information, |
| 483 | within a widespread system comprising sensory-specific and extra-modal cortices in |
| 484 | fronto-parietal cortex. |
| 485 | |
| 486 | In summary, findings herein suggest that the dissolution of functional differentiation |
| 487 | is a common basis for loss of information processing across widely different conditions |
| 488 | where consciousness is lost. Conversely, they suggest that the responsivity of sensory and |

489 higher-order brain systems to naturalistic external stimulation, especially through the

490 diversification of their functional responses is an essential feature of conscious cognition

491 and domain-specific intelligence.

493 Material and Methods

494 **Participants**

495 Ethical approval was obtained from the Health Sciences Research Ethics Board and

- 496 Psychology Research Ethics Board of Western University. All experiments were
- 497 performed in accordance with the relevant guidelines and regulations set out by the
- 498 research ethics boards. All healthy volunteers were right-handed, native English speakers,
- and had no history of neurological disorders. The respective substitute decision makers
- 500 gave informed written consent for each patient's participation. They signed informed
- 501 consent before participating and were remunerated for their time. 19 (18–40 years; 13
- males) healthy volunteers, 11 (19-55 years; 5 males) DoC patients, and 14 (18–40 years;
- 503 12 males) healthy volunteers participated in study 1, 2, and 3, respectively. Three
- volunteers (1 male) were excluded from data analyses of study 1, due to headphone
- 505 malfunction or physiological impediments to reaching deep anesthesia in the scanner.
- 506

507 Stimuli and Design

508 In study 1, a plot-driven audio story (5 minutes) was presented in the fMRI scanner to 509 healthy volunteers and they were asked to simply listen with their eyes closed. A resting 510 state scan (8 minutes) was also acquired, during which volunteers were asked to relax 511 with their eyes closed and not fall asleep. A novel re-analysis of data from the scrambled 512 story condition from Naci et al. (2017) (30) (SI) was performed, as a baseline condition 513 with the intact audio story. In study 2, severely brain-injured patients were scanned as 514 they listened to the same audio story as healthy volunteers, and also during the resting 515 state. In study 3, 14/16 of volunteers from the anesthesia study completed a cognitive

516 battery comprising 12 tasks based on classical cognitive psychology paradigms

517 (www.CambridgeBrainSciences.com) (SI). The stimuli and design for each were reported

518 in Hampshire et al. (2012) (51).

519

520 Sedation procedure

521 fMRI data was acquired during the audio story and resting state conditions while

522 participants were awake (non-sedated) and deeply anesthetized with propofol (Ramsay

score 5) (76). Prior to acquiring fMRI data for the wakeful and deeply anesthetized states,

524 3 independent assessors (two anesthesiologists and one anesthesia nurse) evaluated each

525 participant's Ramsay level by communicating with them in person inside the fMRI

526 scanner room, as follows. Awake Non-sedated. Volunteers were fully awake, alert and

527 communicated appropriately. For the wakeful session, they were not scored on the

528 Ramsay sedation scale, which is intended for patients in critical care settings or patients

529 requiring sedation. During the wakeful audio story and resting state conditions,

530 wakefulness was monitored with an infrared camera placed inside the scanner. *Deep*

531 anesthesia. Intravenous propofol was administered with a Baxter AS 50 (Singapore). We

532 used an effect-site/plasma steering algorithm in combination with the computer-

533 controlled infusion pump to achieve step-wise increments in the sedative effect of

534 propofol. The infusion pump was manually adjusted to achieve desired levels of sedation,

535 guided by targeted concentrations of propofol, as predicted by the TIVA Trainer (the

536 European Society for Intravenous Aneaesthesia, eurosiva.eu) pharmacokinetic simulation

537 program. The pharmacokinetic model provided target-controlled infusion by adjusting

538 infusion rates of propofol over time to achieve and maintain the target blood

539 concentrations as specified by the Marsh 3 (77) compartment algorithm for each 540 participant, as incorporated in the TIVA Trainer software. Propofol infusion commenced 541 with a target effect-site concentration of $0.6 \,\mu g/ml$ and oxygen was titrated to maintain 542 SpO2 above 96%. If Ramsay level was lower than 5, the concentration was slowly 543 increased by increments of $0.3 \,\mu g/ml$ with repeated assessments of responsiveness 544 between increments to obtain a Ramsay score of 5. Once participants stopped responding 545 to verbal commands, were unable to engage in conversation, and were rousable only to 546 physical stimulation they were considered to be at Ramsay level 5. The mean estimated 547 effect-site propofol concentration was 2.48 (1.82- 3.14) µg/ml, and the mean estimated 548 plasma propofol concentration was 2.68 (1.92- 3.44) µg/ml. Mean total mass of propofol 549 administered was 486.58 (373.30- 599.86) mg. The variability of these concentrations 550 and doses is typical for studies of the pharmacokinetics and pharmacodynamics of 551 propofol (SI). For both sessions, prior to the scanning, volunteers were asked to perform 552 a basic verbal recall memory test and a computerized (4 minute) auditory target detection 553 task (SI), which further assessed each individual's wakefulness/deep anesthesia level 554 independently of the anesthesia team. Scanning commenced only once the agreement 555 among the 3 anesthesia assessors on the Ramsey level 5 was consistent with the lack of 556 response in both verbal and computerized behavioral tests.

557

558 Scanning took place in a research not hospital setting, thus, breathing in the deeply

anesthetized individuals could not be protected by intubation and was kept under

560 spontaneous individual control. Therefore, although individuals were monitored closely

561 by two anesthesiologists, airway security was at risk during scanning and time inside the

| 562 | scanner was kept at the minimum to ensure return to normal breathing. Thus, safety |
|-----|--|
| 563 | concerns for the deeply anesthetized individuals dictated that the novel condition of the |
| 564 | naturalistic audio story be presented first. The baseline condition of the resting state was |
| 565 | considered of secondary importance, as it has been reported previously in deep sedation |
| 566 | condition of clinical studies. Therefore, this condition was acquired after the story |
| 567 | condition across participants. However, the mean estimated effect-site propofol |
| 568 | concentration and the mean estimated plasma propofol concentrations were kept stable by |
| 569 | the pharmacokinetic model delivered via the TIVA Trainer infusion pump throughout the |
| 570 | deep sedation session, and the lack of significant differences in the frame-wise movement |
| 571 | parameters (assessed according to Power et al. (2012))(78) between the story and the |
| 572 | resting state conditions further suggested no difference in the level of sedation between |
| 573 | the two conditions. For similar safety reasons, data on the meaningless baseline |
| 574 | (scrambled version of the audio story) that was designed to clarify processing |
| 575 | mechanisms in wakeful individuals, was not collected in deeply anesthetized individuals. |
| 576 | Throughout the deep sedation scanning session, the participant's behavioral profile was |
| 577 | monitored inside the scanner room by the anesthesia nurse and one of the |
| 578 | anesthesiologists and outside from the scanner control room, with an infrared camera that |
| 579 | displayed the participant's face. No movement, fluctuations of sedation, or any other state |
| 580 | change, was observed during the deep sedation scanning for any of the participants |
| 581 | included in the study. |
| 582 | |

Patients

| 584 | The severely brain-injured patients were selected based on their clinical diagnoses (i.e., |
|-----|---|
| 585 | VS/MCS/LIS, at the time of fMRI data acquisition) to form a convenience sample of the |
| 586 | disorders of consciousness (DoC) population. No previous fMRI data was available for |
| 587 | any of the patients at the time of scanning. Prior to commencing the scanning sessions, all |
| 588 | VS/MCS patients were tested behaviorally at their bedside (outside of the scanner) with |
| 589 | the Comma Recovery Scale-Revised (CRS-R) (79). At the bedside behavioral testing, six |
| 590 | patients met the recognized criteria for the vegetative state (VS), four for the minimally |
| 591 | conscious state (MCS), and one for the locked-in syndrome (LIS) (full description of |
| 592 | behavioral scores in Table S3). LIS describes an individual who, as a result of acute |
| 593 | injury to the brain stem, has (almost) entirely lost the ability to produce motor actions, |
| 594 | apart for small, but reproducible eye movements that confirm the presence of |
| 595 | consciousness (80). The patients' demographic and clinical data are summarized in Table |
| 596 | S2, S3, and the structural, functional MRI assessment data in Figures 6, S1, S5, S6. |
| 597 | |
| 598 | Inside the scanner, each patient underwent a previously established fMRI-based protocol |
| 599 | for assessing auditory perception and detecting covert awareness (22, 28) (Figure 6, |
| 600 | Figure S5), in the same visit as the audio story scan to help establish the genuine status of |
| 601 | consciousness. Prior to assessing command-following, we assessed auditory perception to |
| 602 | ensure that it could not have been a limiting factor to producing willful brain responses. |
| 603 | Patients had complex underlying medical states, including head flexion and overall |
| 604 | muscle rigidity, tracheal tubes for assisted feeding and suctioning, etc., and the highly |
| 605 | physically constraining scanning environment compromised their comfort. Some could |

| 606 | not lie flat for long | periods, others | s needed frequent | suctioning, a | and other still became |
|-----|-----------------------|-----------------|-------------------|---------------|------------------------|
| | | | | | |

agitated after an initial brief period in the scanner. Therefore, to limit patient discomfort,

time in the scanner was kept at a minimum and data on the meaningless baseline

609 (scrambled version of the audio story) was not collected.

610

611 fMRI Acquisition and Analysis

612 Healthy individuals. Functional images were acquired on a 3 Tesla Siemens Tim Trio

613 system, with a 32-channel head coil. Standard preprocessing procedures and data

analyses were performed with SPM8 and the AA pipeline software (81). In the

615 processing pipeline, a temporal high-pass filter with a cut-off of 1/128 Hz was applied

and movement was accounted for by regressing out the 6 motion parameters (x, y, z, roll,

617 pitch, yaw). Additionally, frame-wise movement parameters according to Power et al.

618 (2012) (78) were computed. Prior to analyses, the first five scans of each session were

discarded to achieve T1 equilibrium and to allow participants to adjust to the noise of the

620 scanner. To avoid the formation of artificial anti-correlations, a confounding effect

621 previously reported by Murphy and others (82-83), we performed no global signal

622 regression. Group-level correlational analyses explored, for each voxel, the inter-subject

623 correlation in brain activity, by measuring the correlation of each subject's time-course

624 with the mean time-course of all other subjects. Significant clusters/voxels survived the

625 p<0.05 threshold, corrected for multiple comparisons with the family wise error (FWE).

626 Functional connectivity (FC) was measured by computing via Pearson correlation the

627 similarity of the fMRI time-courses of regions of interest (ROI)—based on well-

628 established landmark ROIs from the resting state literature (84) (Table S1)—within and

629 between different networks (85) (SI). As this measure of connectivity reflected the degree 630 of similarity between the networks' functional time-courses, an increase/up-regulation of 631 connectivity indicated more similar time-courses between networks, and thus a loss of 632 functional differentiation. Thus, 'differentiation' in this context is measured as the 633 inverse of the Pearson correlation value and must not be confused with measures used in 634 other approaches (48). We note that Pearson correlation is a simple FC measure that, 635 while advantageous for its minimal assumptions regarding the true nature of brain 636 interactions and breath of its use in the neuroscientific literature, does not directly imply 637 causal relations between neural regions. However, it is an adequate measure of FC for our 638 purposes, because the time-course and spatial extent of the auditory and fronto-parietal 639 networks encompassed a vast swath of the hierarchical processing cascade and, thus, 640 many regions of cause-effect space were triggered by the stimulus. Their FC, as 641 measured through Pearson correlation, reflected their interactions over the several 642 minutes and the resulting computations on the information content of the auditory inputs. 643 Future studies will also investigate the connectivity between these regions by using direct 644 measures of causal relationships (86-87). T-tests used to explore effects of interest 645 between functional connectivity and cognitive performance were Bonferroni corrected 646 for multiple comparisons.

647

Severely brain-injured patients. Patient scanning was performed using the same 3 Tesla
Siemens Tim Trio system, 32-channel head coil, and data acquisition parameters as for
the healthy participants. The same data preprocessing and analyses procedures as for
healthy participants were applied to patient data. The patients' spontaneous arousal

652 during the audio story condition was monitored with an infrared camera placed inside the 653 scanner. One patient (P7) fell asleep in the scanner for the entirely of the session and 654 thus, showed no neuroimaging evidence of awareness despite an MCS diagnosis. The 655 extent of information processing in individual patients (Figure S6) was investigated with 656 a novel technique developed by Naci and colleagues (30, 32). This approach did not 657 involve normalization to a healthy template, nor did it constrain the patient's expected 658 brain activity based on the localization of the effect in healthy controls. Instead, the time-659 course of brain activity in healthy controls served to build a strong prediction for the 660 temporal evolution of brain activity in the patients. The precise location of a patient's 661 brain activity was expected to deviate from that of the healthy controls'. Not only is this 662 naturally the case for individual healthy participants, but also, importantly, it is to be 663 expected in brain-injured patients as a result of structural and concomitant functional re-664 organization of the brain. Nevertheless, a spatial heuristic based on the controls' data 665 informed the interpretation of the patients' results, helping to infer the nature of the 666 underlying residual brain function. In summary, drawing comparisons in the temporal 667 domain enabled direct relation of the healthy controls' activation to that of brain-injured 668 patients, while avoiding stringent spatial constraints on the patients' functional anatomy 669 (Figure S6). By contrast, for the analysis of functional connectivity based on a set of 670 network nodes pre-defined in the healthy literature in the MNI standard neurological 671 space, each patient's brain was normalized to the healthy template. We reasoned that any 672 damage within the regions of interest in each patient's brain would add noise to the brain 673 activity measurement and reduce the power to detect an effect. Therefore, any results in 674 brain injured patients, that aligned with a-priory hypotheses based on the anesthesia study

- 675 were highly unlikely given the heterogeneous structural preservation and would present a
- 676 conservative estimate of the underlying effect.

677 Author Contributions

- 678 Conceptualization, L.N.; Methodology, L.N., A.H., R.C.; Recruitment, E.H., A.M., M.A.,
- 679 L.G.; Data Acquisition, L.N., E.H., A.M., M.A, S.N., M.A., C.H.; Formal Analyses, L.N.,
- 680 A.H., E.H. R.C.; Writing, L.N.; Supervision, A.M.O.; Funding and resource acquisition,
- 681 M.A., C.H., A.M.O.

682

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689

690 **Conflict of Interest**

- 691 The authors declare no conflict of interest.
- 692

693 Data Availability Statement

The datasets generated during and/or analysed during the current study are available from

the corresponding author on reasonable request.

696

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918 Figures and Legends

919

920 Figure 1. Brain-wide inter-subject correlation of neural activity during the audio

921 story. (A) The audio story elicited significant (p<0.05; FWE cor) inter-subject correlation

922 across the brain, including frontal and parietal cortex, thought to support executive

923 function. (B) The baseline elicited significant (p<0.05; FWE cor) inter-subject correlation

924 within primary and association auditory cortex. A small cluster was also observed in right

925 inferior prefrontal cortex. None was observed in dorsal prefrontal and parietal cortex. (C)

926 The audio story elicited significantly (p<0.05; FWE cor) more inter-subject correlation

927 than the auditory baseline derived from the same stimulus, in parietal, temporal, motor,

928 and dorsal/ventral frontal/prefrontal cortex. A, B, C, adapted with permission from Naci

et al. (2017) (**30**). (D) The audio story elicited significant (p<0.05; FWE cor) inter-subject

930 correlation across the brain, including frontal and parietal cortex, in the wakeful state of

931 the anesthesia study. (E) In the deep anesthesia state, significant (p<0.05; FWE cor) inter-

932 subject correlation was limited to the auditory cortex with the exception of two small

933 clusters, one in left prefrontal and the other in right parietal cortex. (F) The intact audio

story elicited significantly (p<0.05; FWE cor) more cross-subject correlation than the

935 scrambled story bilaterally in temporal, ventral prefrontal and frontal cortex, and further

936 in parietal, motor, and dorsal frontal and prefrontal cortex in the right hemisphere.

937 Warmer colors depict higher t-values of cross-subject correlation. Warmer colors depict

938 higher t-values of inter-subject correlation.

939 Figure 2. Candidate patterns of connectivity perturbations caused by deep propofol

- 940 **anesthesia.** (A) Loss of long-range connectivity between different networks; (B) Loss of
- 941 long-range connectivity within a specific network, e.g., between frontal and parietal
- 942 regions; (C) A combination of patterns in A and B; (D) Loss of functional differentiation
- 943 between different brain networks.

944 Figure 3. Global *within-* and *between-*network functional connectivity perturbations

- 945 by deep propofol anesthesia (A–D) Functional connectivity matrices for five brain
- 946 networks in the story and resting state conditions, in the wakeful and deep anesthesia
- states. Each cell represents the correlation of the time-course of one region of interest
- 948 (ROI) with another, or itself (in the center diagonal). Cells representing correlations of
- 949 ROIs within each network are delineated by red squares. Warm/cool colors represent
- 950 high/low correlations, as shown in heat-bar scale. (E) Average connectivity (z values)
- 951 *within-* and *between-* networks in the wakeful (W) and the deep anesthesia (D) states,
- 952 during the story and resting state conditions. DMN/DAN/ECN/VIS/AUD=Default
- 953 Mode/Dorsal Attention/Executive Control/Visual/Auditory network.

954 Figure 4. Perturbations of auditory and fronto-parietal connectivity by deep

- 955 propofol anesthesia in the audio story condition. Only connectivity between the AUD
- and DAN/ECN, respectively, was significantly modulated by propofol, showing a
- 957 significant reduction of functional differentiation between sensory and higher-order
- 958 networks in deep anesthesia relative to wakefulness. (A–B) Functional connectivity
- 959 matrices for ROIs comprising the DAN and AUD (A)/ECN and AUD (B) networks in the
- 960 wakeful and deep anesthesia states of the audio story condition. (C–D) Average
- 961 connectivity (z-values) within and between the DAN and AUD (C)/ECN and AUD (D),
- 962 in the wakeful and deep anesthesia states.

963 Figure 5. Functional connectivity between the auditory and fronto-parietal networks

964 in healthy wakeful individuals, during the audio story and baseline conditions.

- 965 Connectivity between the auditory and fronto-parietal networks was significantly
- 966 modulated by the presence of complex meaningful stimuli, with the functional
- 967 differentiation between the AUD and DAN/ECN increasing significantly in the audio
- 968 story as compared to the scrambled story and resting state baseline conditions. (A–C)
- 969 Connectivity between the ROIs within the AUD and DAN networks in the intact story
- 970 (A), scrambled story (B), and resting state (C) baseline. (D) Average AUD–DAN
- 971 connectivity (z values) for each condition. (E–G) Connectivity between the ROIs within
- 972 the AUD and ECN networks in the intact story (E), scrambled story (F), and resting state
- 973 (G) baseline. (H) Average AUD–ECN connectivity (z values) for each condition. A1:
- 974 Primary auditory cortex; LFEF: Left frontal eye field; RFEF: Right frontal eye field;
- 975 LPIPS: Left posterior IPS; RPIPS: Right posterior IPS; LAIPS Left anterior IPS; RAIPS:
- 976 Right anterior IPS LMT: Left middle temporal area; RMT: Right middle temporal area;
- 977 DMPFC: Dorsal medial PFC; LAPFC: Left anterior prefrontal cortex; RAPFC: Right
- 978 anterior prefrontal cortex LSP: Left superior parietal; RSP: Right superior parietal.

979 Figure 6. Summary of DoC patients' clinical and fMRI assessment data. Auditory

- 980 processing. In the fMRI assessment, three patients clinically diagnosed to be in a VS did
- not show evidence of auditory processing. The other eight patients who showed evidence
- 982 of auditory processing, two patients clinically diagnosed as VS did not show evidence of
- 983 brain-based command-following, and the other six, including two diagnosed as VS,
- showed evidence of brain-based command-following, and thus, of covert awareness.
- 985 *Command-following*. 6/11 patients followed task commands by willfully modulating
- 986 their brain activity as requested, and thus, provided evidence of conscious awareness.
- 987 Two of these (P2, P5) presented a CMD profile, or a behavioral diagnosis of VS that was
- 988 inconsistent with their positive fMRI results. 5/11 patients showed no evidence of willful
- responses in the fMRI command-following task, and, thus, provided no neuroimaging
- 990 evidence of awareness. One (P7) showed no neuroimaging evidence of awareness despite
- an MCS diagnosis, due to falling asleep in the scanner for the entirely of the session
- 992 (Materials and Methods).

Figure 7. Modulation of auditory to fronto-parietal connectivity by meaningful

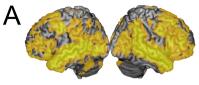
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994 stimulation in DoC patients. Similarly to healthy individuals, connectivity between the 995 auditory and fronto-parietal networks in DoC+ patients was significantly modulated by 996 the presence of complex meaningful stimuli, with the functional differentiation between 997 the AUD and DAN/ECN increasing significantly in the audio story as compared to the 998 resting state baseline condition. (A–D) Connectivity between the ROIs within the AUD 999 and DAN networks, during the audio story and resting state baseline, in the DoC+ (A-B)1000 and DoC- (C–D) patients. (E) Differential averaged AUD–DAN connectivity (z values) 1001 for each patient group. (F) Differential averaged AUD–DAN connectivity (z values) for 1002 each individual patient. (G–J) Connectivity between the ROIs within the AUD and ECN 1003 networks, during the audio story and resting state baseline, in the DoC+(G-H) and DoC-1004 (I–J) patients. (K) Differential averaged AUD–ECN connectivity (z values) for each 1005 patient group. (L) Differential averaged AUD-ECN connectivity (z values) for each 1006 individual patient. A1: Primary auditory cortex; LFEF: Left frontal eye field; RFEF: 1007 Right frontal eye field; LPIPS: Left posterior IPS; RPIPS: Right posterior IPS; LAIPS 1008 Left anterior IPS; RAIPS: Right anterior IPS LMT: Left middle temporal area; RMT: 1009 Right middle temporal area; DMPFC: Dorsal medial PFC; LAPFC: Left anterior 1010 prefrontal cortex; RAPFC: Right anterior prefrontal cortex LSP: Left superior parietal; 1011 RSP: Right superior parietal.

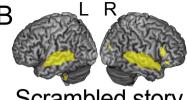
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1012 Figure 8. The relationship between brain network connectivity during the audio

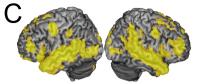
- 1013 story and independently-measured cognitive performance. The functional
- 1014 connectivity between AUD and DAN, but not ECN (or DMN, used here as a high-level
- 1015 control network) during the story, and not the resting state baseline condition, was
- 1016 significantly inversely related to verbal performance. (A) Group-averaged correlation
- 1017 between the functional connectivity (FC) of the AUD and the DMN/DAN/ECN networks
- 1018 during the audio story and resting state conditions and verbal performance. (B–C) For
- 1019 each participant, the correlation between their AUD–DAN (B)/AUD–ECN (C)
- 1020 connectivity during the story and their verbal performance is displayed.



Intact story

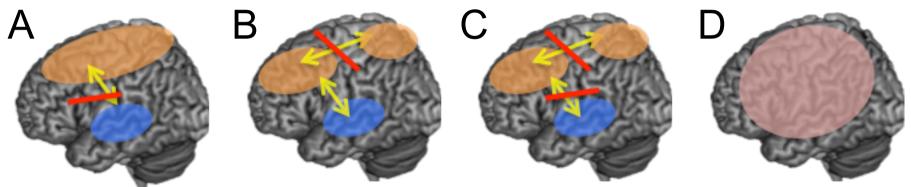


Scrambled story

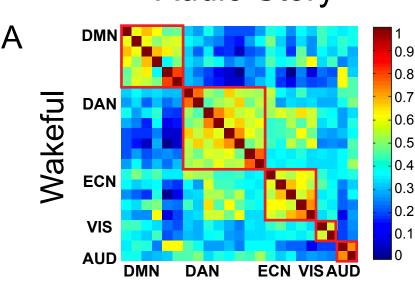


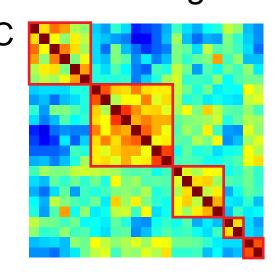
Intact > Scrambled

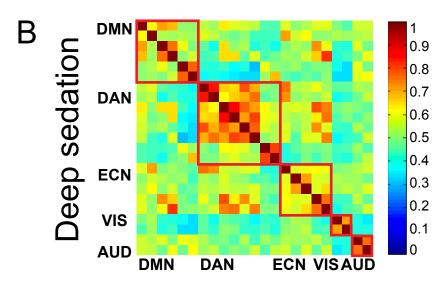


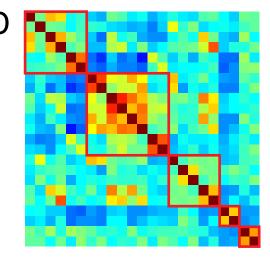


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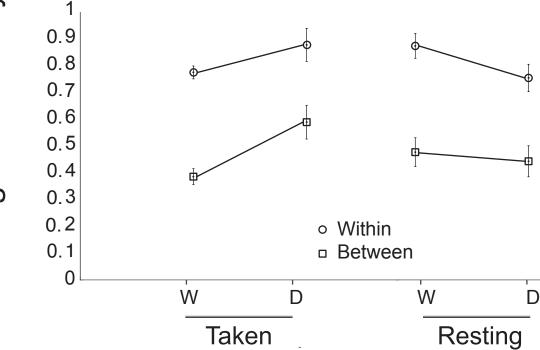




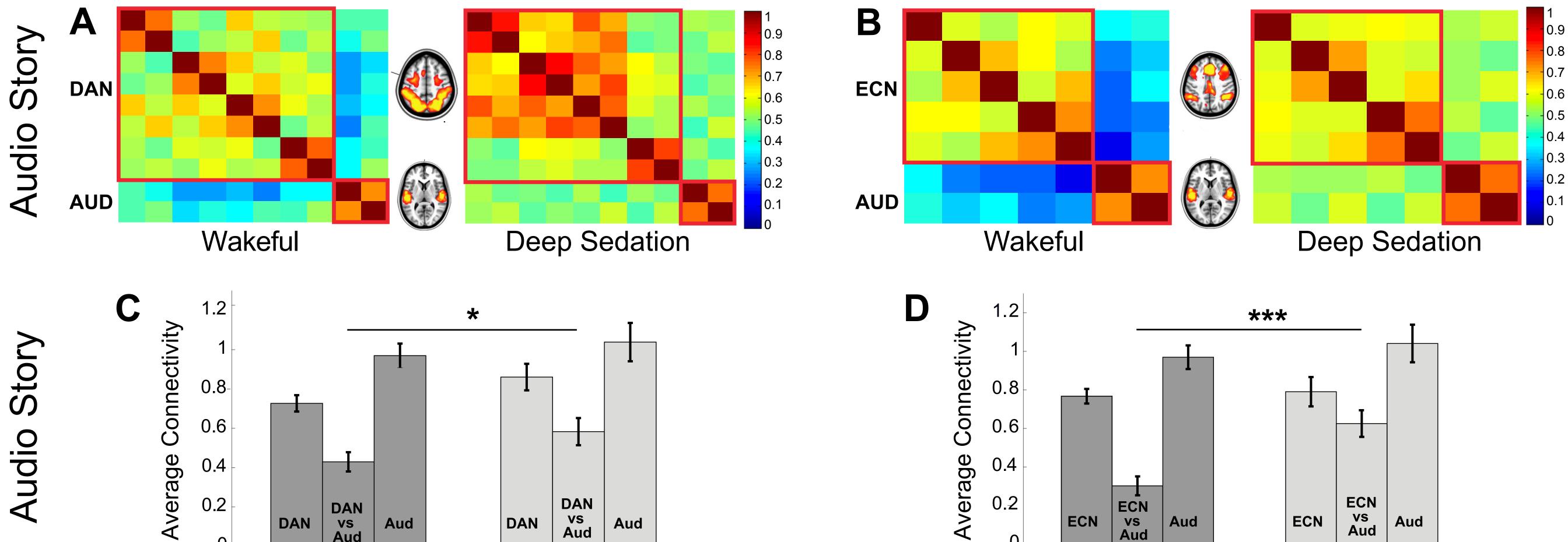


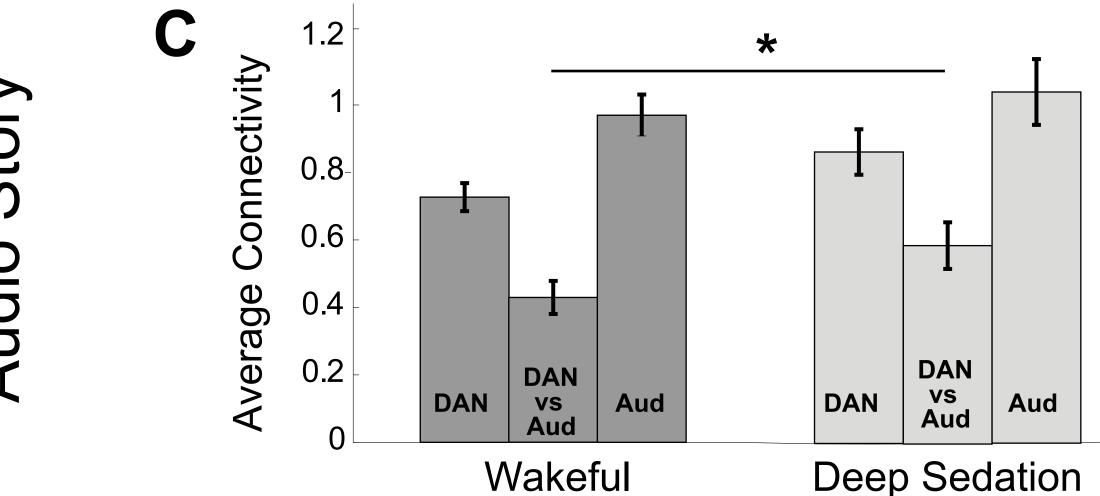
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Average connectivity



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AUD–ECN Connectivity

Wakeful

0

Deep Sedation

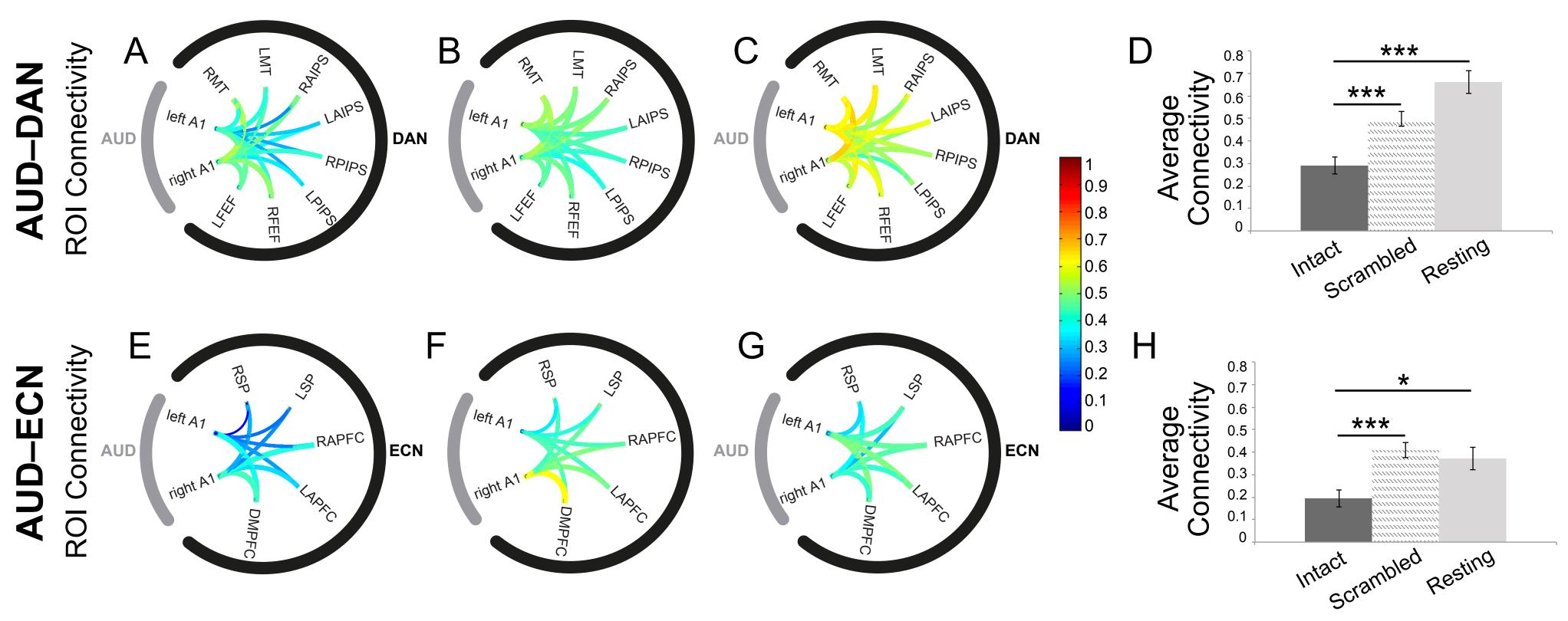


Aud

Intact Story

Scrambled Story

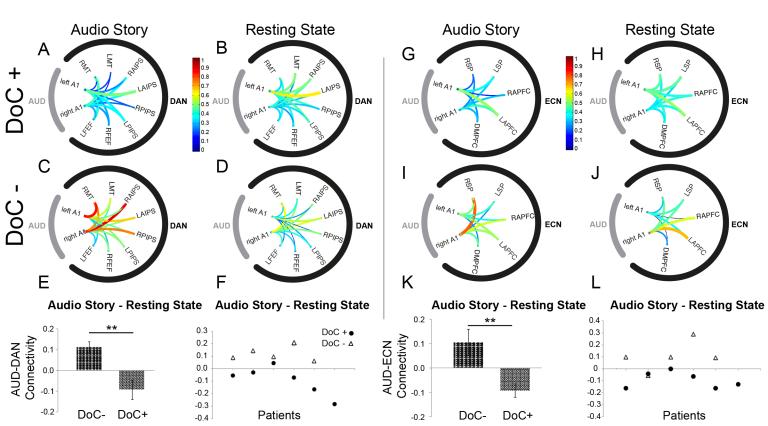
Resting State

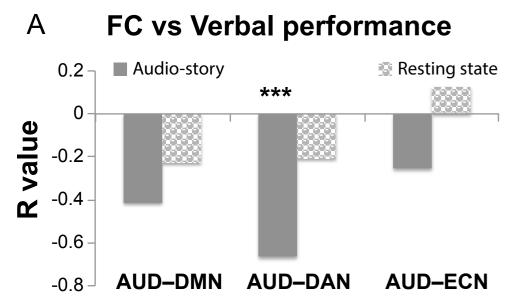


| Participant | Diagnosis | Behavior | | Imaging | |
|-----------------------------|-----------------|---|---------------------|------------------------|-------------------|
| | | Highest voluntary response | Movement to command | Auditory Processing | Command-following |
| Healthy Group | N/A | Communication | Yes | | |
| P1 | VS | | No | | |
| P2 | VS | | No | 4 3 2 1 | 2 1 |
| P3 | MCS | Visual pursuit | No | 3 2 1 | R |
| P4 | VS | | No | | |
| https://doi.org/10.11 P5 | 01/336859 VS | | No | 4 3 2 1 | R |
| P6 | MCS | Visual pursuit | No | | 5 3 1 |
| P7 | MCS | Object localization: reaching (asleep during scanning) | Yes | | |
| P8 | VS | | No | | |
| P9 | VS | | No | | |
| P10 | MCS | Visual pursuit | No | | L 6 4 2 |
| P11 | LIS | Communication | Yes | | L J 1 |

AUD–DAN Connectivity

AUD-ECN Connectivity





В

C

a

