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### CHAPTER 4

# Global workspace theory of consciousness: toward a cognitive neuroscience of human experience?

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Abstract: Global workspace (GW) theory emerged from the cognitive architecture tradition in cognitive 15 15 science. Newell and co-workers were the first to show the utility of a GW or "blackboard" architecture in a distributed set of knowledge sources, which could cooperatively solve problems that no single constituent 17 17 could solve alone. The empirical connection with conscious cognition was made by Baars (1988, 2002). GW theory generates explicit predictions for conscious aspects of perception, emotion, motivation, learning, 19 19 working memory, voluntary control, and self systems in the brain. It has similarities to biological theories such as Neural Darwinism and dynamical theories of brain functioning. Functional brain imaging now 21 21 shows that conscious cognition is distinctively associated with wide spread of cortical activity, notably toward frontoparietal and medial temporal regions. Unconscious comparison conditions tend to activate 23 23 only local regions, such as visual projection areas. Frontoparietal hypometabolism is also implicated in unconscious states, including deep sleep, coma, vegetative states, epileptic loss of consciousness, and 25 25 general anesthesia. These findings are consistent with the GW hypothesis, which is now favored by a number of scientists and philosophers.

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### 29 Introduction

attention, memory, imagery, and voluntary control. "Consciousness," wrote John B. Watson, "is
nothing but the soul of theology." But as the facts

accumulated over the 20th century, all the traditional ideas of James (1890) and others were found

to be necessary. They were reintroduced with more
 testable definitions. Memory came back in the
 1960s; mental imagery in the 1970s; selective

41 attention over the last half century; and consciousness last of all, in the last decade or so.

43 It is broadly true that what we are conscious of, we can report with accuracy. Conscious brain events45

are therefore assessed by way of reportability. We 29 now know of numerous brain events that are reportable and comparable ones that are not. This 31 fact invites experimental testing: why are we conscious of these words at this moment, while a 33 few seconds later they have faded, but can still be called to mind? Why is activity in visual occipito-35 temporal lobe neurons reportable, while visually evoked activity in parietal regions is not? Why does 37 the thalamocortical system support conscious ex-39 periences, while the comparably large cerebellum and basal ganglia do not? How is waking consciousness impaired after brain damage? These are all 41 testable questions. The empirical key is to treat consciousness as a controlled variable. 43

A growing literature now compares the brain effects of conscious and unconscious stimulation. 45 Precise experimental comparisons allow us to ask what conscious access does "as such." Many 47

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<sup>31</sup> Shortly after 1900, behaviorists attempted to purge science of mentalistic concepts like consciousness,

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 techniques are used for this purpose. In visual backward masking, a target picture is immediately
 followed by a scrambled image that does not block

- the optical input, but renders it unconscious(Dehaene et al., 2001). Binocular rivalry has been used for the same reason: it shows that when two
- 7 competing optical streams enter the two eyes, only one consistent interpretation can be consciously
- 9 perceived at any given moment (Leopold and Logothetis, 1999). Most recently, several studies
  11 have demonstrated inattentional blindness, in
- which paying attention to one visual flow (e.g., a bouncing basketball) blocks conscious access to
- bouncing basketball) blocks conscious access to another one at the very center of visual gaze (e.g.,
  a man walking by in a gorilla suit) (Simons and
- Chabris, 1999). These studies generally show that unconscious stimuli still evoke local feature
- activity in sensory cortex. But what is the use of making something conscious if even unconscious
- stimuli are identified by the brain? More than a score of studies have shown that although unconscious visual words activate known word-
- 23 processing regions of visual cortex, the same stimuli, when conscious, trigger widespread additional activity in frontoparietal regions (e.g.,
- Dehaene et al., 2001).
- 27 A rich literature has arisen comparing conscious and unconscious brain events in sleep and waking,
- 29 general anesthesia, epileptic states of absence, very specific damage to visual cortex, spared implicit
   31 function after brain damage, attentional control (also see Posner, this volume), visual imagery,
- 33 inner speech, memory recall, and more (Crick and Koch, 2003). In state comparisons, significant
- 35 progress has been made in understanding epileptic loss of consciousness (Blumenfeldt and Taylor,
- 37 2003; Blumenfeld, this volume), general anesthesia (Fiset et al., 2001; John et al., 2001; Alkire and
- Fiset et al., this volume) and sleep<sup>1</sup> (Steriade, 2001;
   Maquet, this volume).

#### The global access hypothesis

The idea that consciousness has an integrative 3 function has a long history. Global workspace (GW) theory is a cognitive architecture with an 5 explicit role for consciousness. Such architectures 7 have been studied in cognitive science, and have practical applications in organizing large, parallel collections of specialized processors, broadly 9 comparable to the brain (Newell, 1994). In recent years, GW theory has been found increasingly 11 useful by neuroscientists. The theory suggests a fleeting memory capacity that enables access 13 between brain functions that are otherwise separate. This makes sense in a brain that is viewed as a 15 massive parallel set of specialized processors. In such a system, coordination and control may take 17 place by way of a central information exchange, allowing some processors - such as sensory 19 systems in the brain — to distribute information to the system as a whole. This solution works in 21 large-scale computer architectures, which show typical "limited capacity" behavior when informa-23 tion flows by way of a GW. A sizeable body of evidence suggests that consciousness is the primary 25 agent of such a global access function in humans and other mammals (Baars, 1988, 1997, 2002). The 27 "conscious access hypothesis" therefore implies that conscious cognition provides a gateway to 29 numerous capacities in the brain (Fig. 1). A number of testable predictions follow from this 31 general hypothesis (Table 1).

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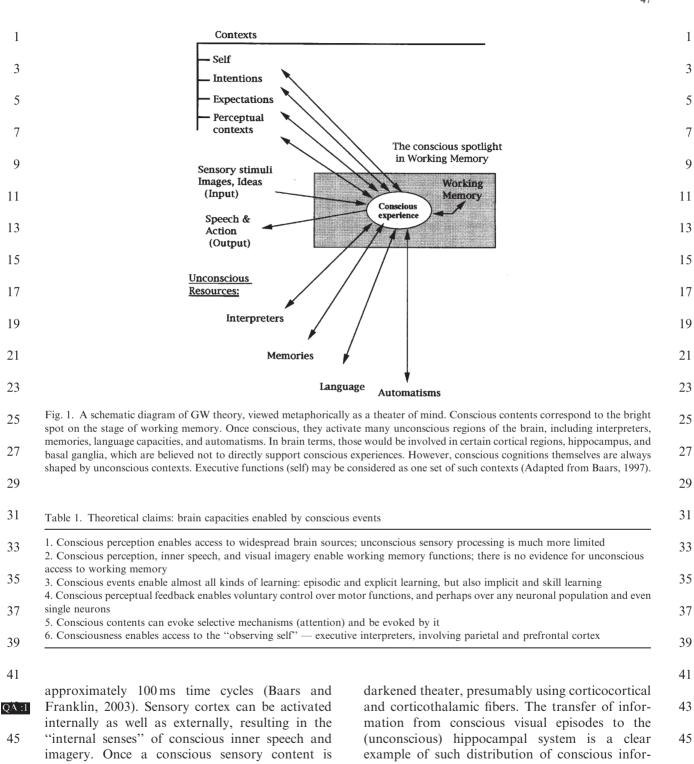
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#### A theater metaphor and brain hypotheses

GW theory may be thought of as a theater of 37 mental functioning. Consciousness in this metaphor resembles a bright spot on the stage of 39 immediate memory, directed there by a spotlight of attention under executive guidance. Only the 41 bright spot is conscious, while the rest of the theater is dark and unconscious. This approach 43 leads to specific neural hypotheses. For sensory consciousness the bright spot on stage is likely to 45 require the corresponding sensory projection areas 47 of the cortex. Sensory consciousness in different modalities may be mutually inhibitory, within

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<sup>&</sup>lt;sup>1</sup>At the level of cortical neurons, bursting rates do not change
in deep sleep (Steriade, 2001). Rather, neurons pause together at <4 Hz between bursts. Synchronous pausing could disrupt</li>
the cumulative high-frequency interactions needed for waking functions such as perceptual continuity, immediate memory, sentence planning, motor control, and self-monitoring. It is conceivable that other unconscious states display similar neuronal mechanisms.



47 established, it is distributed widely to a decentralized "audience" of expert networks sitting in the mation in the brain (Moscovitch, 1995). This is the 47 primary functional role of consciousness: to allow

1 a theater architecture to operate in the brain, in order to integrate, provide access, and coordinate

3 the functioning of very large numbers of specialized networks that otherwise operate autono-

5 mously. All the elements of GW theory have reasonable brain interpretations, allowing us to

7 generate a set of specific, testable brain hypotheses about consciousness and its many roles in the

9 brain. Some of these ideas have now received considerable empirical support (Baars, 2002; Baars
11 et al., 2003).

The theory has been implemented in computational and neural net models and bears a family resemblance to Neural Darwinist models (Edel-

15 man, 2003). Franklin and colleagues have implemented GW theory in large-scale computer agents,

17 to test its functionality in complex practical tasks (Franklin, 2001). IDA (for "intelligent distributed

- 19 agent"), the current implementation of the extended GW architecture directed by Franklin, is
- designed to handle a very complex artificial intelligence task normally handled by trained
   human beings (also see Aleksander on machine
- consciousness in this volume). The particular
   domain in this case is interaction between U.S.
   Navy personnel experts and sailors who move

 from job to job. IDA negotiates with sailors via email, and is able to combine numerous regulations,

29 sailors' preferences, time, location and travel considerations into human-level performance.
31 While it has components roughly corresponding

to human perception, memory, and action control,the heart of the system is a GW architecture that

allows the content or meanings of the messages to be widely distributed, so that specialized programs called "codelets" can respond with solutions to

37 centrally posed problems. Franklin writes that "The fleshed out global workspace theory is

39 yielding hopefully testable hypotheses about human cognition. The architectures and mechanisms

- 41 that underlie consciousness and intelligence in humans can be expected to yield information
- 43 agents that learn continuously, adapt readily to dynamic environments, and behave flexibly and

45 intelligently when faced with novel and unexpected situations." (http://csrg.cs.memphis.edu/). Similar

47 architectures have been applied to difficult problems like speech recognition. While such autonomous agent simulations do not prove that GW architectures exist in the brain, they give an existence proof of their functionality. It is worth noting that few integrative theories of mind or brain show functional utility in applied settings.

#### Sensory consciousness as a test case

Visual consciousness has been studied in depth, and there is accepted evidence that visual features that 11 become conscious are identified by the brain in the ventral stream of visual cortex. There, featuresensitive cells support visual experiences of light, color, contrast, motion, retinal size, location, and 15 object identity; small lesions can selectively abolish those conscious properties without affecting other 17 aspects of conscious vision (Zeki, 2001; Naccache, in this volume). 19

However, to recollect the experience of a human face, we need the hippocampal system. To respond to it emotionally, neurons in amygdala may be activated. But hippocampus and amygdala do not seem to support conscious contents directly (Moscovitch, 2001). Thus, the ventral visual stream, which is needed for specific conscious contents, seems to influence regions that are not. 27

Dehaene and colleagues have shown that backward-masked visual words evoked brain activity 29 confined to the well-known visual word recognition areas of cortex (Dehaene et al., 2001). 31 Identical conscious words triggered higher levels of activity in these areas, but more importantly, 33 they also evoked far more widely distributed activity in parietal and prefrontal cortex. That 35 result has now been replicated more than a dozen times, using different brain imaging techniques 37 and different methods for comparing conscious and unconscious input. Such methods have 39 included binocular rivalry (Sheinberg and Logothetis, 1997), inattentional blindness (Rees et al., 41 1999), neglect and its extinction (Rees et al., 2002), and different sense modalities, such as audition 43 (Portas et al., 2000), pain perception (Rosen et al., 1996), and sensorimotor tasks (Haier et al., 1992; 45 Raichle et al., 1994). In all cases, conscious sensory 47 input evoked wider and more intense brain activity than identical unconscious input.

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1 Complementary findings come from studies of unconscious states. In deep sleep, auditory stimu-3 lation activates only primary auditory cortex (Portas et al., 2000). In vegetative states following

5 brain injury, stimuli that are ordinarily loud or painful activate only the primary sensory cortices

7 (Laureys et al., 2000, 2002). Waking consciousness is apparently needed for widespread of input-

9 driven activation to occur. These findings support the general notion that conscious stimuli mobilize

11 large areas of cortex, presumably to distribute information about the input.

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#### Inner speech, imagery, and working memory 15

Both auditory and visual consciousness can be activated 17 endogenously. Inner speech is a particularly important source of conscious auditory-phonemic events, and 19 visual imagery is useful for spatial memory and problem-solving. The areas of the left hemisphere 21 involved in outer speech are now known to be involved in inner speech as well (Paulesu et al., 1993). Likewise, 23 mental imagery is known to involve visual cortex (Kosslyn et al., 2001). Internally generated somatosen-25 sory imagery may reflect emotional and motivational processes, including feelings of psychological pain, 27 pleasure, hope, fear, sadness, etc. (Damasio, 2003). Such internal sensations may communicate to other parts of 29 the brain via global distribution or activation.

Prefrontal executive systems may sometimes 31 control motor activities by evoking motivational imagery, broadcast from the visual cortex, to 33 activate relevant parts of motor cortex. Parts of the brain that play a role in emotion may also be 35 triggered by global distribution of conscious contents from sensory cortices and insular cortex. 37 For example, the amygdala appears necessary to recognize visual facial expressions of fear and 39 anger. Thus, many cortical regions work together to transform goals and emotions into actions 41 (Baars, 1988).

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### The attentional spotlight

The sensory "bright spot" of consciousness 47 involves a selective attention system, the ability of the theater spotlight to shine on different actors on the stage. Like other behaviors like breathing and smiling, attention operates under dual control, voluntary, and involuntary. Voluntary attentional selection requires frontal executive cortex, while automatic selection is influenced by many areas, including the brain stem, pain systems, insular cortex, and emotional centers like the amygdala and peri-aqueductal grey (Panksepp, 1998). Pre-QA :3 sumably, these automatic attentional systems that allow significant stimuli to "break through" into consciousness, as when a subject's name is 11 sounded in an otherwise unconscious auditory source. 13

#### Context and the first-person perspective

When we step from a tossing sailboat onto solid ground, the horizon can be seen to wobble. On an 19 airplane flight at night passengers can see the cabin tilting on approach to landing, although they are 21 receiving no optical cues about the direction of the plane. In those cases unconscious vestibular 23 signals shape conscious vision. There are numerous examples in which unconscious brain activities 25 can shape conscious ones, and vice versa. These unconscious influences on conscious events are 27 called "contexts" in GW theory (Fig. 1). Any conscious sensory event requires the interaction of 29 sensory analyzers and contextual systems. In vision, sensory contents seem to be produced by 31 the ventral visual pathway, while contextual systems in the dorsal pathway define a spatial 33 domain within which the sensory event is defined. Parietal cortex is known to include allocentric and 35 egocentric spatial maps, which are not themselves objects of consciousness, but which are required to 37 shape every conscious visual event. There is a difference between the disorders of content sys-39 tems like the visual ventral stream, compared to damaged context systems. In the case of ventral 41 stream lesions, the subject can generally notice a missing part of normal experience; but for damage 43 to context, the brain basis of expectations is itself damaged, so that one no longer knows what to 45 expect, and hence what is missing. This may be 47 why parietal neglect is so often accompanied by a striking loss of knowledge about one's body space

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 (Bisiach and Geminiani, 1991). Patients suffering from right parietal neglect can have disturbing
 alien experiences of their own bodies, especially of

the left arm and leg. Such patients sometimesbelieve that their left leg belongs to someone else, often a relative, and can desperately try to throw it

7 out of bed. Thus, parietal regions seem to shape contextually both the experience of the visual

9 world and of one's own body. Notice that neglect patients still experience their alien limbs as

11 conscious visual objects (a ventral stream function); they are just disowned. Such specific loss of

13 contextual body information is not accompanied by a loss of general intelligence or knowledge.

15 Vogeley and Fink (2003) suggest that parietal cortex is involved in the first-person perspective,

17 the viewpoint of the observing self. When subjects are asked to adopt the visual perspective of

- 19 another person, parietal cortex became differentially active.
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### 23 Self-systems

25 Activation by of visual object regions by the sight of a coffee cup may not be enough to generate 27 subjective consciousness of the cup. The activated visual information may need to be conveyed to 29 executive or self-systems, which serve to maintain constancy of an inner framework across percep-31 tual situations. When we walk from room to room in a building, we must maintain a complex and 33 multileveled organization that can be viewed in GW theory as a higher-level context. Major goals, 35 for example, do not change when we walk from room to room, but conscious perceptual experiences do. Gazzaniga (1996) has found a number of QA :4 conditions under which split-brain patients en-39 counter conflict between right and left hemisphere executive and perceptual functions. He has proposed the existence of a "narrative self" in the left 41 frontal cortex, based on split-brain patients who are clearly using speech output in the left hemi-43 sphere to talk to themselves, sometimes trying to

- 45 force the right hemisphere to obey its commands. When that proves impossible, the left hemisphere
- 47 will often rationalize the sequence of events so as to repair its understanding of the interhemispheric

conflict. Analogous repairs of reality are observed1in other forms of brain damage, such as neglect.They also commonly occur whenever humans are3confronted with major, unexpected life changes.The left-hemisphere narrative interpreter may be5considered as a higher-level context system that7specific situations. Although the inner narrative7tiself is conscious, it is shaped by unconscious9contextual influences.9

If we consider Gazzaniga's narrative interpreter 11 of the dominant hemisphere to be one kind of selfsystem in the brain, it must receive its own flow of 13 sensory input. Visual input from one-half of the field may be integrated in one visual hemicortex, as 15 described above, under retinotopic control from area V1. But once it comes together in late visual 17 cortex (presumably in inferotemporal object regions), it needs to be conveyed to frontal areas on 19 the dominant hemisphere, in order to inform the narrative interpreter of the current state of 21 perceptual affairs. The left prefrontal self system then applies a host of criteria to the input, such as 23 "did I intend this result? Is it consistent with my current and long-term goals? If not, can I 25 reinterpret it to make sense in my running account of reality?" It is possible that the right hemisphere 27 has a parallel system that does not speak but that may be better able to deal with anomalies via 29 irony, jokes, and other emotionally useful strategies. The evidence appears to be good that the 31 isolated right prefrontal cortex can understand such figurative uses of language, while the left does 33 not. Full consciousness may not exist without the participation of such prefrontal self systems. 35

### Relevance to waking, sleeping, coma, and general anesthesia

Metabolic activity in the conscious resting state is<br/>not uniformly distributed. Raichle et al. (2001)41reported that mesiofrontal and medial parietal<br/>areas, encompassing precuneus and adjacent<br/>posterior cingulate cortex, can be posited as a<br/>tonically active region of the brain that may<br/>continuously gather information about the world<br/>around, and possibly within, us. It would appear43

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1 to be a default activity of the brain. Mazoyer et al. (2001) also found high prefrontal metabolism OA :5 during rest. We will see that these regions show 3 markedly lower metabolism in unconscious states. 5 Laureys (1999a, b, 2000) and Baars et al. (2003) list the following features of four unconscious 7 states, that are causally very different from each other: deep sleep, coma/vegetative states, epileptic 9 loss of consciousness, and general anesthesia under various agents. Surprisingly, despite their very 11 different mechanisms they share major common features. These include: (i) widely synchronized 13 slow waveforms that take the place of the fast and flexible interactions needed for conscious 15 functions; (ii) frontoparietal hypometabolism; (iii) widely blocked functional connectivity, both 17 corticocortical and thalamocortical; and (iv) behavioral unconsciousness, including unresponsive-19 ness to normally conscious stimuli. Fig. 2 shows marked hypofunction in the four unconscious 21 states compared with conscious controls, precisely where we might expect it: in frontoparietal regions. 23 In a related study, John and co-workers showed quantitative marked electroencephalogram 25  $(EEG)^2$  changes between conscious, anesthetic, and post-anesthetic (conscious) states (John et al., 2000). At loss of consciousness, gamma power QA.:6 decreased while lower frequency bands increased 29 in power, especially in frontal leads. Loss of consciousness was accompanied by a significant 31 drop in coherence between homologous areas of the two hemispheres, and between posterior and 33 anterior regions of each hemisphere. However, there was hypersynchronous activity within anterior regions. The same basic changes occurred 35 across all six anesthetics,<sup>3</sup> and reversed when 37 <sup>2</sup>Although the spike-wave EEG of epileptic seizures appears 39

Although the spike-wave EEG of epileptic seizures appears different from the delta waves of deep sleep and general anesthesia, it is also synchronized, slow, and high in amplitude. The source and distribution of spike-wave activity varies in different seizure types. However, the more widespread the spike-wave pattern, the more consciousness is likely to be impaired (Blumenfeldt and Taylor, 2003). This is again marked in frontoparietal regions.

<sup>3</sup>There is a debate whether ketamine at relatively low doses should be considered an anesthetic. All anesthetic agents in this study were used at dosages sufficient to provide surgical-level loss of consciousness.

patients regained consciousness (see John, in this volume).

From the viewpoint of globalist theories, the 3 most readily interpretable finding is the coherence drop in the gamma range after anesthetic loss of 5 consciousness. It suggests a loss of coordination 7 between frontal and posterior cortex, and between homologous regions of the two hemispheres. The authors also suggest that the anteriorization of low 9 frequencies "must exert a profound inhibitory influence on cooperative processes within (frontal) 11 neuronal populations. This functional system then becomes dedifferentiated and disorganized" (p. 13 180). Finally, the decoupling of the posterior cortex with anterior regions suggests "a blockade 15 of perception" (p. 180). These phenomena appear to be consistent with the GW notion that wide-17 spread activation of nonsensory regions is required for sensory consciousness. 19

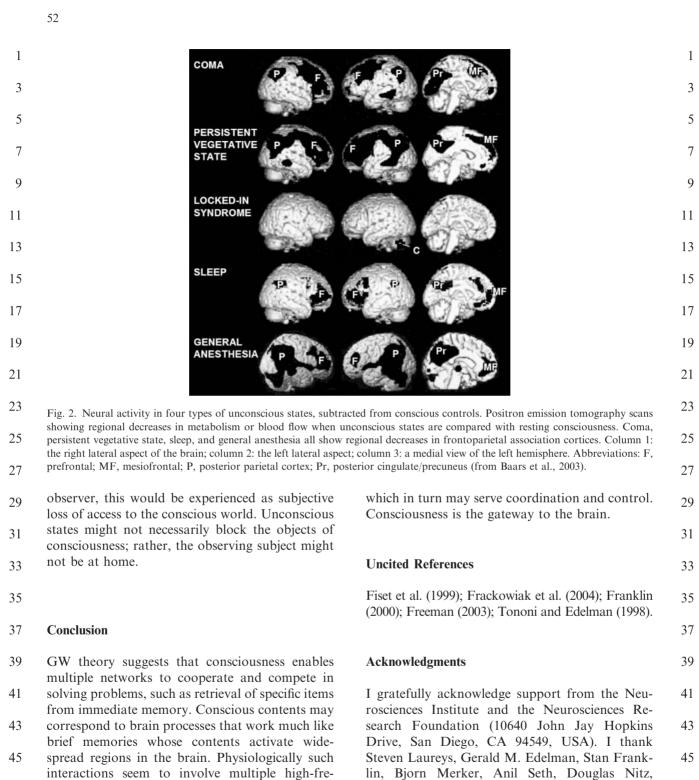
### The role of frontoparietal regions in conscious contents and states

Could it be that brain regions that underlie the 25 contextual functions of Fig. 1 involve frontal and parietal regions? In everyday language, the "ob-27 serving self" may be disabled when those regions are dysfunctional and long-range functional con-29 nectivity is impaired. Frontoparietal association areas have many functions, but several lines of 31 evidence suggest that they could have a special relationship with consciousness, even though they 33 do not support the sensory contents of conscious experience directly. (i) Conscious stimulation in 35 the waking state leads to frontoparietal activation, but unconscious input does not; (ii) in unconscious 37 states, sensory stimulation activates only sensory cortex, but not frontoparietal regions; (iii) the 39 conscious resting state shows high frontoparietal metabolism compared with outward-directed cog-41 nitive tasks; and (iv) four causally very different unconscious states show marked functional decre-43 ments in the same areas. Although alternative hypotheses must be considered, it seems reason-45 able to suggest that "self" systems supported by these regions could be disabled in unconscious 47 states. From the viewpoint of the narrative

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E. Roy John, and Walter Freeman for helpful

discussions.

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47 quency oscillatory rhythms. The overall function of consciousness is to provide widespread access,

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