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## 2 A Stage Theory of Attention and Action

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4 WE BELIEVE a wide range of empirical findings  
 5 and theoretical views can be organized by the  
 6 *stage theory of attention and action*, which holds  
 7 that decisions to shift gaze to a particular location  
 8 are almost entirely dependent upon two cognitive  
 9 processes. The first is a selection process corre-  
 10 sponding with the allocation of visual-spatial  
 11 attention, and the second is a response process  
 12 that produces movements of the eyes or other  
 13 effectors. Importantly, though, attentional alloca-  
 14 tion and response preparation, although linked,  
 15 are distinct process accomplished by different  
 16 networks of neurons spanning multiple cortical  
 17 and subcortical structures. By bringing into focus  
 18 the sensory–motor transformations underlying  
 19 flexible, visually guided behavior, this theory  
 20 moves beyond the biased competition theory  
 21 (that only addresses target selection and attention  
 22 allocation) and the premotor theory of attention  
 23 (that identifies target selection entirely with sac-  
 24 cade preparation). The theory also provides a

framework for understanding rapid error correc- 25  
 tion, flexible stimulus–response mapping, and 26  
 the adjustment of processing speed relative to 27  
 accuracy. 28

It is important for us to begin with two defini- 29  
 tions to lay the groundwork upon which this 30  
 theory is built. First, we will discuss how percep- 31  
 tual attention influences early visual processing. 32  
 We believe that one of the most difficult aspects 33  
 for both producers and consumers of attention 34  
 research is adequately defining what is meant by 35  
 the term “attention.” This is a result of the use of 36  
 the term attention to describe selection mecha- 37  
 nisms that operate during a great variety of com- 38  
 putations that the brain performs (Luck & Vecera, 39  
 2002), as well as to characterize certain kinds of 40  
 neural modulation (Reynolds & Chelazzi, 2004) 41  
 in senses that are not always compatible. Indeed, 42  
 much of the literature on divided attention uti- 43  
 lizes the psychological refractory period (PRP) 44  
 paradigm, and there is abundant evidence that the 45

1 observation of capacity limits in this paradigm is  
 2 often due to a limit in our ability to select multiple  
 3 responses at the same time (e.g., Pashler, 1994).  
 4 For this reason, we will use the term “perceptual  
 5 attention” to refer to those selection mechanism  
 6 or mechanisms that focus processing on task-  
 7 relevant inputs, such that internal representations  
 8 of important incoming information can be built  
 9 most efficiently (see Chapters 1 and 4 of this  
 10 volume). This serves to disambiguate the topic of  
 11 our discussion from other selection mechanisms  
 12 and states of arousal that have fallen under this  
 13 catchall term (e.g., selection for storage in work-  
 14 ing memory, response selection, dual-task perfor-  
 15 mance, vigilance, etc.). Making this distinction is  
 16 particularly important given existing evidence  
 17 that different selection mechanisms can be disso-  
 18 ciated (Thompson et al., 1996; Woodman &  
 19 Luck, 2003a; Woodman, Vogel, & Luck, 2001a).  
 20 Second, throughout the presentation of the stage  
 21 theory of attention and action, we will describe  
 22 the cognitive and neural activity that results in an  
 23 overt response (e.g., the movements of the eyes  
 24 or a manual button press) as a stage of cognitive  
 25 processing (see Chapter 7 in this volume). At the  
 26 extreme, this is controversial, given that the oper-  
 27 ations carried out by the brainstem could hardly  
 28 be described as cognitively penetrable. However,  
 29 our use of this term is built on the previous work  
 30 that describes the operations of deciding to make  
 31 a given movement and preparing that response as  
 32 an operation under cognitive control (Logan &  
 33 Cowan, 1984; Luce, 1986; Ratcliff, 2006). The  
 34 justification for our usage of the terms “perceptual  
 35 attention” and “response stage of cognitive pro-  
 36 cessing” is a primary point of the stage theory and  
 37 will developed throughout our discussion.

38 The stage theory of attention and action is  
 39 derived from four propositions. First, the cogni-  
 40 tive processing necessary to perform every task of  
 41 interest to cognitive scientists is accomplished by  
 42 dissociable processing stages. Although this is  
 43 one of the oldest proposals in cognitive science,  
 44 we will describe how modern neuroscientific evi-  
 45 dence has validated and enlivened it. Second, the  
 46 demands of a given task are met by transforma-  
 47 tions within specific stages (e.g., target selection  
 48 and response preparation) and by transmission  
 49 between stages (e.g., stimulus–response mapping,

speed–accuracy adjustment). Third, the theoret- 50  
 cal constructs of the onset of processing of a stage, 51  
 the rate of information accumulation within a 52  
 stage, and the threshold level that enacts decisions 53  
 are realized in the patterns of activity of specific 54  
 networks of neurons that account for the variabil- 55  
 ity of response time (RT). Fourth, executive con- 56  
 trol that enables correction of errors that occur 57  
 before visual processing is complete, flexible 58  
 stimulus–response mapping, and speed–accuracy 59  
 adjustments originates in a neural network dis- 60  
 tinct from those selecting targets and producing 61  
 responses. We propose that this executive control 62  
 interacts with the response preparation process 63  
 but not with target selection, although other exec- 64  
 utive control mechanisms can and do guide this 65  
 operation of perceptual attention. 66

## EVIDENCE FOR DISTINCT 67 FUNCTIONS AND STAGES 68

Cognitive psychology has shown that human RT 69  
 data cannot be explained without allowing for 70  
 the existence of successive stages of processing 71  
 (Donders, 1868/1969; Luce, 1986; Sternberg, 72  
 2001) even in models that identify all the inter- 73  
 esting variability in RT and response probability 74  
 with a single stage (e.g., Ratcliff & Smith, 2004). 75  
 Cognitive theories have proposed that these 76  
 stages may overlap in time (McClelland, 1979) or 77  
 be at least partially overlapping (Miller, 1988), 78  
 but essentially all such large-scale models have 79  
 this characteristic. Most of these cognitive models 80  
 have the commonality of describing separate stages 81  
 of perception and response processing, with some 82  
 also discussing the subcomponents of perceptual 83  
 processing (Treisman, 1969) and many ignoring 84  
 the proposal of a similarly serial flow of informa- 85  
 tion through memory stages (Atkinson & Shiffrin, 86  
 1968). Signal detection theory (Green & Swets, 87  
 1966) may seem to contradict this norm, being 88  
 static in nature. However, like its complementary 89  
 counterpart, biased choice theory (Luce, 1963), 90  
 signal detection theory adds to its sensitivity 91  
 metric a bias metric that allows for the subject’s 92  
 willingness to respond, which is set prior to the 93  
 appearance of a stimulus. 94

The interpretation of event-related potential 95  
 (ERP) recordings presents no clear alternative to 96

1 a stage-like view of information processing in the  
 2 human brain. That is, the ERPs time locked to the  
 3 onset of a visual search array allow us to visualize  
 4 the sequence of processing as cognition unfolds  
 5 (see Figure 9.1). The series of ERP components  
 6 indicate that information is transformed from  
 7 the sensory components most sensitive to low-  
 8 level visual features (i.e., the C1, P1, and N1  
 9 components), to waveforms modulated by the  
 10 deployment of attention (e.g., the N2 posterior  
 11 contralateral [N2pc]), followed by components  
 12 associated with categorization of the visual stimu-  
 13 lus (e.g., the N2/P3 complex), waveforms index-  
 14 ing working memory updating (i.e., the P3 and  
 15 contralateral delay activity), then waveforms elic-  
 16 ited by the preparation of the response (i.e., the  
 17 lateralized-readiness potential or LRP), ending  
 18 with waveforms elicited during the intertrial  
 19 interval related to evaluating performance on the  
 20 trial that just occurred (e.g., the error-related neg-  
 21 ativity or ERN). A detailed discussion of how  
 22 findings from ERP experiments support the stage  
 23 theory is beyond the scope of this chapter. Instead,  
 24 we refer readers to more detailed accounts of the  
 25 cognitive mechanisms indexed by ERP compo-  
 26 nents (Luck, 2005; Rugg & Coles, 1995) and will  
 27 focus on research that integrates findings from  
 28 ERP recordings with another primary neurosci-  
 29 entific technique, single-unit recordings (see also  
 30 Chapter 1 of this volume).

31 Neuroanatomical observations also invite—if  
 32 not demand—the concept of stages of process-  
 33 ing. Anyone who looks at a histological section of  
 34 cerebral cortex must notice the morphological  
 35 diversity of neurons arranged in different layers.  
 36 Given the well-known relation of structure and  
 37 function in nervous systems, this anatomical  
 38 diversity predicts a corresponding physiological  
 39 diversity. However, the range of neuron types  
 40 described in areas like the frontal eye field (FEF)  
 41 hardly matches the anatomical diversity. The lit-  
 42 erature hints at a large variety of neurons in the  
 43 FEF (Bruce & Goldberg, 1985; Schall, 1991), but  
 44 the history of neuroscience teaches that func-  
 45 tional diversity is proportional to morphological  
 46 diversity.<sup>1</sup> According to the logic of labeled lines,  
 47 a distinction between neural processes must cor-  
 48 respond to distinct functional processes. For  
 49 example, distinct fibers originating in different

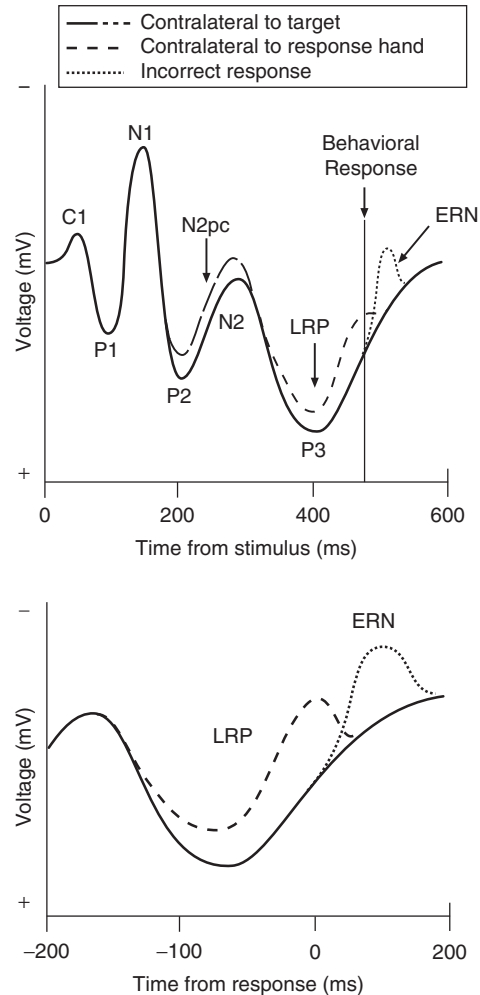


FIGURE 9.1 Idealized event-related potential (ERP) waveforms from humans elicited during a visual search task. Top panel shows the sequence of ERP components from the earliest sensory responses (i.e., the C1 component) to the performance monitoring responses (i.e., error-related negativity [ERN]). The ERP components are labeled using the conventional polarity-ordinal nomenclature. Bottom panel illustrates how ERP components time-locked to the response are related to response preparation and evaluation of task performance. Note that the lateralized components are not typically observed at the same electrode sites but are shown in the same waveform here for illustration purposes. Abbreviations: C1, Component 1; P1, 1st Positive component; N1, 1st Negative component; P2, 2nd Positive component; N2pc, 2nd Negative component; Posterior, Contralateral; N2, 2nd Negative component; LRP, Lateralized-Readiness Potential; P3, 3rd Positive component; ERN, Error-Related Negativity.

1 sensory receptors and terminating in different  
 2 brain centers lead to distinct sensory experiences,  
 3 like sight or touch. Likewise, if a neural represen-  
 4 tation of a stimulus that must be located and  
 5 categorized to guide a saccade can be distin-  
 6 guished from a neural representation of the end-  
 7 point of a saccade, then this would be evidence  
 8 for two functional kinds of selection. In fact, we  
 9 have distinguished two types of visual selection  
 10 neurons, one that selects the stimulus and the  
 11 other that selects the endpoint of the saccade  
 12 (Sato & Schall, 2003; Schall, 2004). The formula-  
 13 tion of this theory also calls attention to obvious  
 14 facts that are often not considered in functional  
 15 descriptions. For example, in higher cortical  
 16 areas, some neurons are anatomically closer to the  
 17 retinal input whereas others are closer to the  
 18 muscles. These afferent and efferent relationships  
 19 are embodied by the specific distributions of cell  
 20 bodies, dendrites, and afferent axon terminals  
 21 in the different cortical layers. Each layer has dif-  
 22 ferent intrinsic and extrinsic connections, so the  
 23 diversity of neurons is embedded in a diversity  
 24 of circuits. Laminar differences in cell body and  
 25 axon terminal location translate into differences  
 26 in connectivity with excitatory and inhibitory  
 27 neurons (e.g., Medalla et al., 2007) that have  
 28 important functional implications. For example,  
 29 local connections respect efferent targets (Vicente  
 30 et al., 2008). Currently, the variety of functional  
 31 hypotheses is at least an order of magnitude less  
 32 than the variety of neurons distinguished by mor-  
 33 phology, location, and connectivity. The mathe-  
 34 matical and statistical elegance of sequential  
 35 sampling models does not necessitate that a unique  
 36 population of neurons instantiates each process  
 37 directly. However, that is an intuitive assumption  
 38 that simplifies the evaluation of such models using  
 39 neuroscientific methods. On the other hand, the  
 40 functions proposed by models (e.g., sequential  
 41 sampling and race models) may be instantiated by  
 42 a multiplicity of morphologically distinct neurons.  
 43 Although, if the latter were the case, then specific  
 44 linking propositions would be difficult to work out.  
 45 Alternatively, the functional process models may  
 46 require refinement into smaller functional parts.  
 47 Recording from the neurons in visuomotor  
 48 structures like the FEF also allows little room  
 49 for doubt that the brain has distinct networks of

neurons performing different functions that 50  
 span the sensory–motor continuum. As shown in 51  
 Figure 9.2, the FEF includes a type of neuron that 52  
 participates in selecting targets for orienting after 53  
 an array of objects appears (visual neurons) and 54  
 another type of neuron that contributes to prepar- 55  
 ing to execute (planning) saccadic eye movements 56  
 (movement neurons). These types of neurons are 57  
 clearly distinct in the functional roles they play 58  
 (as will be elaborated below). They are also proba- 59  
 bly distinct in their laminar distribution (although 60  
 definitive data remain to be gathered) and, thus, 61  
 in their afferent and efferent connectivity. They 62  
 are also heterogeneous, ranging between shorter 63  
 or longer latencies of response, more transient or 64  
 sustained, selecting the location of the attended 65  
 object or the endpoint of the saccade. They are 66  
 also not the only types of neurons in the FEF, for 67  
 it also consists of neurons active specifically 68  
 during fixation, others active specifically after sac- 69  
 cades, and a commonly encountered type referred 70  
 to as *visuomovement neurons*. The visuomovement 71  
 neurons respond to visual stimuli, have main- 72  
 tained discharge rates even if the stimuli disap- 73  
 pear and finally exhibit a pronounced increase of 74  
 discharge rate before saccades are initiated. This 75  
 intermediate type of neuron is often interpreted 76  
 as both visual- and movement-related; however, 77  
 we have recently obtained evidence that visuo- 78  
 movement neurons are biophysically distinct 79  
 from visual and movement neurons (Cohen et al., 80  
 2009c) and that they are not modulated in a 81  
 manner consistent with the function of preparing 82  
 saccades (Ray et al., 2009). For the purposes of 83  
 this chapter, we will focus our attention on those 84  
 visual neurons that select targets for orienting and 85  
 the movement neurons that lead to overt responses. 86  
 Ultimately, because the FEF is a prefrontal area 87  
 that receives converging inputs from a multitude 88  
 of other cortical areas, we believe that it can be 89  
 interpreted as a microcosm of the key processes 90  
 necessary for accurate visually guided saccades. 91

**THE STAGE THEORY OF** 92  
**ATTENTION AND ACTION** 93  
**IN ACTION** 94

To present the theory, we describe the sequence 95  
 of transformations and transmissions that occur 96

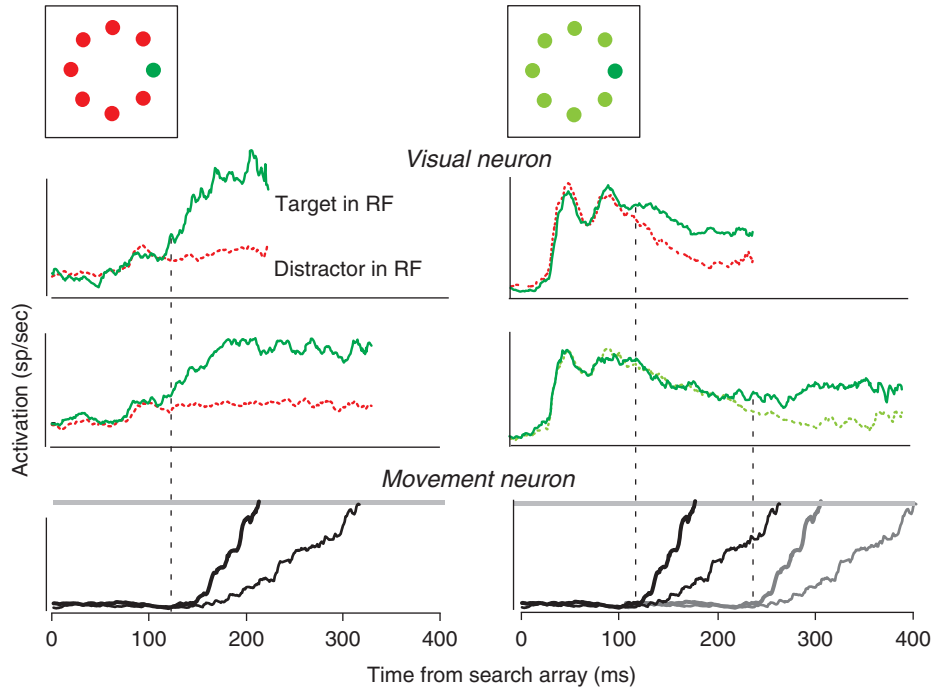


FIGURE 9.2 Two stages to direct a saccade during efficient (*left*) and inefficient (*right*) search for a color singleton recorded in the frontal eye field (FEF) of monkeys. Activity of two visual neurons (*top two panels, left and right*) and movement neuron (*bottom panels*) are illustrated. Visual neuron activity is shown for trials when the target appears in the receptive field (RF; *green*) and for trials when the distractor is easy to distinguish from the target (*red*) or the distractor is difficult to distinguish from the target (*light green*). During efficient search, visual neurons in the FEF select the target at a relatively constant interval after the array appears. Saccades are initiated when the activity of movement neurons reaches a threshold (*gray horizontal bar*). Saccades are initiated earlier (*thick*) or later (*thin*) according to variation in the rate of growth of the activity. The systematic delay of response time (RT) when search is not efficient comes about because the movement neurons do not begin accumulating activity (*gray plots on right*) until the target is selected by visual neurons, with variation in rate contributing additional variability in RT.

1 from visual stimulus encoding until extraocular  
 2 muscle contraction in a participant performing a  
 3 visual search task in which a target is embedded in  
 4 a cluttered scene.

### 5 Task Set Preparation

6 Every trial of every task is embedded in history.  
 7 Consequently, each trial begins in some state of  
 8 preparatory set. For an observer who is suffi-  
 9 ciently motivated, the outcome of the previous  
 10 action can guide the participant to become more  
 11 or less cautious, which will influence the ultimate  
 12 RT through executive control (e.g., Rabbitt et al.,  
 13 1979; Emeric et al., 2007). For example, when an

observer performs a feature search task, the target 14  
 is located effortlessly and is said to “pop-out.” 15  
 However, when the target versus distractor fea- 16  
 tures in the array switch between trials, then 17  
 performance is slower and more error-prone 18  
 (Maljkovic & Nakayama, 1994; Maljkovic & 19  
 Nakayama, 2000) in a manner that can be attrib- 20  
 uted to neural processes in the FEF (Bichot & 21  
 Schall, 2002). Also, visual search performance 22  
 changes with longer-term experience with search 23  
 arrays (e.g., Chun & Jiang, 1998; Bichot & Schall, 24  
 1999; Chun, 2000; Johnson et al., 2007). 25

Such adjustments based on trial history require 26  
 some kind of memory. Although it is proposed 27  
 that visual search tasks have minimal memory 28

1 requirements compared to other tasks (Wolfe,  
 2 1998), the observer must at least know what to  
 3 search for and how to respond appropriately, and  
 4 must maintain this task set to respond correctly.  
 5 Similar to some of our theoretical relatives  
 6 (Bundesen, 1990; Desimone & Duncan, 1995;  
 7 Duncan, 1996; Bundesen et al., 2005), we propose  
 8 that working memory plays a vital role in main-  
 9 taining a target representation and the proper  
 10 stimulus–response mapping. However, we empha-  
 11 size the importance of repetition with a specific  
 12 stimulus–response mapping in a way that models  
 13 of visual search typically do not. Specifically, we  
 14 propose that, as an observer repeatedly searches  
 15 for the same target with the same response set,  
 16 long-term memory representations drive selec-  
 17 tion by visual attention and not working memory  
 18 representations. This hypothesis is derived from  
 19 extensive research on task automaticity (Logan,  
 20 1988).

21 We recently tested this idea using a behavioral  
 22 dual-task paradigm with human observers  
 23 (Woodman et al., 2007). The observers were  
 24 required to perform a visual working memory  
 25 task concurrently with a visual search task in  
 26 which the searched-for target was either the same  
 27 across trials or changed every trial. We found that  
 28 when the search target changed from trial to trial  
 29 there was mutual interference between the search  
 30 and working memory tasks. However, when the  
 31 search target identity was the same across trials,  
 32 minimal interference was observed, replicating  
 33 previous findings (Woodman et al., 2001b). These  
 34 findings led us to conclude that visual working  
 35 memory representations of targets and attended  
 36 items drive selection by perceptual attention  
 37 mechanisms in conditions of variable mapping,  
 38 but in consistent stimulus–response mapping  
 39 conditions long-term memory representations  
 40 drive selection. These behavioral findings from  
 41 humans were also consistent with a study in which  
 42 the prefrontal cortex of monkeys was lesioned  
 43 during a similar experimental manipulation  
 44 (Rossi et al., 2007).

45 Even a natural behavior such as visually scan-  
 46 ning text or an image exhibits signatures of execu-  
 47 tive control. For example, fixation duration during  
 48 visual scanning is adjusted strategically according  
 49 to target–distractor similarity (e.g., Hooge &

Erkelens, 1998; Over et al., 2007). These adjust- 50  
 ments are based on experience with targets, 51  
 responses, and consequences. 52

## Encoding, Selection, and Attention 53

54 When a complex scene first appears, the signals  
 55 sweep through the visual system, arriving at a  
 56 succession of subcortical and hierarchically orga-  
 57 nized cortical areas (Felleman & Van Essen, 1991;  
 58 Petroni, Panzeri, Hilgetag, Kotter, et al., 2001;  
 59 Petroni, Panzeri, Hilgetag, Scannell, et al., 2001).  
 60 The timing of the arrival of visual signals in differ-  
 61 ent brain structures follows certain patterns. It has  
 62 long been known that information is propagated  
 63 through the magnocellular pathway more quickly  
 64 than through the parvocellular pathway of the  
 65 visual system (Van Essen et al., 1992). This  
 66 appears to underlie the observation that areas like  
 67 the FEF, which is near the top of the hierarchy  
 68 based on neuroanatomy, can receive visual infor-  
 69 mation very early in time (Schmolesky et al.,  
 70 1998). Such early information, though, is not very  
 71 discriminative. Thus, in response to the presenta-  
 72 tion of a visual search array, neurophysiological  
 73 studies in parietal and frontal cortex, as well as  
 74 the superior colliculus, have shown that the first  
 75 volley of activity following the onset of a visual  
 76 search array is not selective. By that we mean that  
 77 the response of a neuron to the stimulus in its  
 78 receptive field (RF) codes for the low-level visual  
 79 features of that stimulus and not its task relevance.  
 80 After this initial indiscriminate volley of activity,  
 81 a transformation of representation carried by  
 82 the spiking of the cells occurs, such that neurons  
 83 with the target or objects similar to the target in  
 84 their RF are more active and neurons with non-  
 85 target objects in their RF become less active (see  
 86 Figure 9.2).

87 When the difference in firing rate for neurons  
 88 with a target versus distractors in their RFs arises,  
 89 one can say that the target has been selected. Can  
 90 one say that attention is allocated? Although  
 91 everybody may know what attention is (James,  
 92 1890), the description of attention in the neuro-  
 93 science literature is rather confused with state-  
 94 ments that are mutually incompatible or commit  
 95 outright category errors. Attention is commonly  
 96 regarded as a mechanism by which a specific

1 aspect of the environment is selected for scrutiny.  
 2 It is also said that attention can be directed to dif-  
 3 ferent locations or attributes. The basic observa-  
 4 tion made by many laboratories is that the activity  
 5 of (certain) neurons in (diverse but not all parts  
 6 of) the brain is modulated when monkeys (in  
 7 which the neurons reside) are (said to be) attend-  
 8 ing. Many authors argue about attention residing  
 9 in some but not other parts of the visual pathway.  
 10 But how can attention be both in the visual path-  
 11 way and directed to an object at a particular loca-  
 12 tion? Also, many authors refer to the effects of  
 13 attention; thus, for attention to have any effects,  
 14 it must be causal. In fact, it is not uncommon to  
 15 read about attention influencing the activity of  
 16 neurons. However, this cannot be the case,  
 17 because only neurons (and glia) can influence  
 18 neurons. Also, if attention causes effects, how can  
 19 it (at the same time) be directed (as an effect)?  
 20 For this to make sense, another process must be  
 21 invoked that moves attention and that causes its  
 22 effects. But what is this other process? This confu-  
 23 sion hinders progress.

24 It seems sensible to assert that visual-spatial  
 25 attention ought to refer to the manifestation of a  
 26 particular brain process or state during the perfor-  
 27 mance of a task in the presence of alternative  
 28 stimuli or locations. This interpretation seems  
 29 necessary for the word to have meaningful refer-  
 30 ence at the behavioral or phenomenal level.  
 31 Accordingly, the allocation of attention across the  
 32 visual field need be no more or less than the selec-  
 33 tive differential activation of neurons in the appro-  
 34 priate network that includes the FEF. In other  
 35 words, attention can be said to be allocated when  
 36 certain neurons enter a certain state. Hence, when  
 37 particular the FEF neurons (as well as neurons in  
 38 other parts of the network) signal differentially  
 39 the location of the stimulus of interest, it can be  
 40 said that attention was allocated. Thus, attention  
 41 is allocated when and to the extent that the activ-  
 42 ity of particular neurons represent one as opposed  
 43 to another location. We will demonstrate below  
 44 that this operational definition of the allocation of  
 45 attention can be distinguished in time and neural  
 46 process from when, whether, and where gaze  
 47 shifts.

48 After the initial visual response to the onset of  
 49 a search array, the stage theory proposes that

attention is deployed to locations at which the 50  
 target is likely to appear in the present context. Of 51  
 course, if attention is focused on a location in 52  
 advance of the presentation of the target in a 53  
 search array, the initial, typically nonselective, 54  
 neural response can be selective of the location 55  
 compared to the response to the same stimulus at 56  
 unattended locations. In addition, preparatory 57  
 deployments of attention can also be observed in 58  
 the elevated neural activity of cells representing a 59  
 specific location prior to the onset of an array 60  
 (e.g., Woodman et al., in press). In most circum- 61  
 stances outside the laboratory, the focus of covert 62  
 attention corresponds to the endpoint of a subse- 63  
 quent saccade (Hoffman & Subramaniam, 1995; 64  
 Kowler et al., 1995). We conceive of free-viewing 65  
 oculomotor search tasks as equivalent to a 66  
 sequence of trials beginning with the new fixation 67  
 location, punctuated by saccades, in which the 68  
 stimulus remains stable (Motter & Belky, 1998; 69  
 Findlay & Gilchrist, 2005). That is, the array 70  
 appears, initial perceptual processing is carried 71  
 out, attention is deployed to a location, and an eye 72  
 movement to that location is executed. Of pri- 73  
 mary importance, we propose that the modula- 74  
 tion of visual neurons in sensorimotor structures 75  
 like the FEF can be identified with the allocation 76  
 of attention because the neurons modulate in 77  
 conditions, at the time and to the degree that cor- 78  
 responds to the best psychophysical estimates of 79  
 where and when attention is allocated in these 80  
 conditions (Sato & Schall, 2003; Schall, 2004). 81

Neural correlates of visual selection have been 82  
 described during a search task in which monkeys 83  
 were required to make a saccade to a singleton 84  
 target (e.g., a red stimulus among green distrac- 85  
 tors, see Schall & Hanes, 1993; Schall et al., 1995; 86  
 Thompson et al., 1996; Sato et al., 2001). The 87  
 initial activity of visually responsive neurons did 88  
 not discriminate whether the target or distractors 89  
 of a search array fell in the RF, but the later phase 90  
 of the activity of these neurons reliably differenti- 91  
 ated the target from the distractors. This pattern 92  
 of activity was observed even when the monkeys 93  
 withheld a saccade (Thompson et al., 1997; Sato 94  
 & Schall, 2003; Schall, 2004; Thompson et al., 95  
 2005). These observations support the hypothe- 96  
 sis that the representation of stimuli by visual 97  
 activity in the FEF corresponds to the allocation 98

1 of attention (reviewed in Thompson et al.,  
2 2001).

3 Visual search for a target object among distrac-  
4 tors often takes longer when more distractors are  
5 present. To understand the neural basis of this  
6 capacity limitation, we recorded activity from  
7 visually responsive neurons in the FEF of macaque  
8 monkeys searching for a target among distractors  
9 defined by form (randomly oriented T or L)  
10 (Cohen et al., 2009a,b). To test the hypothesis  
11 that the delay of RT with increasing number of  
12 distractors originates in the delay of attentional  
13 allocation by the FEF neurons, we manipulated  
14 the number of distractors presented with the  
15 search target. When monkeys were presented  
16 with more distractors, visual target selection was  
17 delayed and neuronal activity was reduced in pro-  
18 portion to longer RT. These findings indicate that  
19 the time taken by visual FEF neurons to select the  
20 target is a likely source of the variation in visual  
21 search efficiency.

22 The findings from recordings of visual neurons  
23 in the FEF together with lesion studies indicate  
24 that they participate in, and perhaps drive, the  
25 selection of targets by a network of areas during  
26 visual search. These findings also indicate another  
27 possible avenue of inquiry that could link the  
28 neural activity in attentional control structures  
29 like the FEF to other observations made in cog-  
30 nitive neuroscientific studies of humans performing  
31 search. Specifically, electrophysiological record-  
32 ings from human subjects performing visual  
33 search have shown that attention appears to be  
34 shifted in a serial manner between the possible  
35 target items during the perceptual stage of pro-  
36 cessing. Woodman and Luck (1999, 2003b)  
37 focused on the N2pc component of observers’  
38 ERPs to distinguish between parallel and serial  
39 models of the deployment of attention during  
40 visual search. Some of these models propose that  
41 attention is deployed to one object at a time and is  
42 rapidly shifted between items during perceptual  
43 processing (e.g., Treisman & Gelade, 1980; Wolfe,  
44 2007), whereas other theories propose that per-  
45 ceptual attention is simultaneously deployed to  
46 multiple items, and the sequential aspect of pro-  
47 cessing is how they are entered into short-term or  
48 working memory (e.g., Bundesen, 1990; Duncan  
49 & Humphreys, 1989; Bundesen et al., 2005).

50 The N2pc is particularly useful for distinguishing  
51 between these competing models because it has  
52 been shown to index a perceptual mechanism of  
53 selective attention that operates prior to aware-  
54 ness and encoding into working memory (Luck  
55 & Hillyard, 1994; Woodman & Luck, 2003a).  
56 Woodman and Luck (1999, 2003b) showed that,  
57 when a visual search task required observers to  
58 process items in opposite visual hemifields, the  
59 N2pc shifted between hemispheres of the brain.  
60 These findings indicate that perceptual attention  
61 is shifted between task-relevant items during  
62 visual search, consistent with serial models of  
63 attentional deployment during search, and ruling  
64 out all but the most flexible parallel-deployment  
65 models of attention.

66 It should be possible to test the hypothesis that  
67 the visual neuronal activity in the FEF measures  
68 the same perceptual selection mechanism indexed  
69 by the N2pc in human ERP studies of visual  
70 search. That is, future analyses of FEF activity can  
71 determine whether or not visual neurons show  
72 evidence for serial shifts of selection between pos-  
73 sible targets during search; one study has investi-  
74 gated this, but the results are ambiguous because  
75 the period of neural activity that was analyzed  
76 occurred after the saccade and so cannot contrib-  
77 ute to guiding the saccade (Buschman & Miller,  
78 2009). Another approach to understanding the  
79 relationship between these neurophysiological  
80 metrics of perceptual attention across species  
81 of primates (i.e., monkeys and humans) will be  
82 discussed below.

83 A significant thrust of the stage theory is in uni-  
84 fying observations and concepts from psychology  
85 and neuroscience. This tenet requires that another  
86 type of link be made for a comprehensive under-  
87 standing of attentional selection during cognitive  
88 processing of complex visual information. This  
89 empirical link is between electrophysiological stud-  
90 ies of attention with humans and with monkeys.  
91 The work described here details how electrophys-  
92 iological studies of activity in the FEF supports  
93 the idea that the brain implements cognitive  
94 processing using a sequence of distinct stages.  
95 Because the FEF entertains bidirectional connec-  
96 tions with both dorsal and ventral visual streams of  
97 processing and contains neurons that connect to  
98 structures that ultimately control the muscles that



1 move the eyes, it is an ideal structure in which to  
 2 test hypotheses regarding the general nature of  
 3 information processing in the brain. Electro-  
 4 physiological studies of humans have been the  
 5 other main testing ground for hypotheses about  
 6 the locus of behavioral effects within specific pro-  
 7 cessing stages (e.g., Meyer et al., 1988; Miller &  
 8 Hackley, 1992; Coles et al., 1995; Vogel et al.,  
 9 1998; Luck et al., 2000; Woodman & Luck,  
 10 2003a). Thus, a central proposal of the stage  
 11 theory is that findings across these methodologi-  
 12 cal realms must be integrated using a common  
 13 mode of experimentation.

14 Building on previous studies that recorded  
 15 ERPs from nonhuman primates (Arthur & Starr,  
 16 1984; Van der Marel et al., 1984; Schroeder et al.,  
 17 1991; Lamme et al., 1992; Schroeder et al., 1992),  
 18 several recent studies have sought to directly  
 19 relate the mechanisms of attentional selection  
 20 used to study the processing of complex scenes in  
 21 humans to the mechanisms in the FEF discussed  
 22 above. Specifically, Woodman, Kang, Rossi, and  
 23 Schall (2007) recorded ERPs from monkeys per-  
 24 forming the difficult visual search task for a T  
 25 among Ls, or vice versa, mentioned above. Using  
 26 this task, it was found that monkeys exhibited an  
 27 ERP component that selected the target item,  
 28 similar to the N2pc component recorded from  
 29 humans. Subsequent manipulations and analyses  
 30 showed that this contralateral measure of selec-  
 31 tion recorded over extrastriate visual cortex in  
 32 monkeys exhibited the same sensitivity to cogni-  
 33 tive manipulations, had similar relative timing  
 34 within the sequence of visual ERP components,  
 35 and had the same distribution across the head as  
 36 the human N2pc component (for details see  
 37 Woodman, Kang et al., 2007). We believe the next  
 38 most useful step involves simultaneously record-  
 39 ing activity in the FEF and from the monkey ERP  
 40 electrodes to directly relate the attention mecha-  
 41 nisms measured using these different methods to  
 42 each other. In doing so, this work will serve to link  
 43 studies of attention in psychology and neurosci-  
 44 ence into a more integrated framework.

45 Target selection has been measured using a  
 46 variety of neurophysiological metrics, specifically,  
 47 using the polarization of local-field potentials  
 48 (LFPs) in V4 (Bichot et al., 2005) and the FEF  
 49 (Monosov et al., 2008) and a surface ERP over

extrastriate visual cortex in monkeys described 50  
 above (Woodman, et al., 2007). Is visual selection 51  
 manifest simultaneously across these different 52  
 levels of description? Also what temporal relations 53  
 measured through coherence and other measures 54  
 are found between spikes and LFP in the FEF and 55  
 the m-N2pc (e.g., Gregoriou et al., 2009)? Work 56  
 has begun to address these questions by measur- 57  
 ing multiple electrophysiological indices of atten- 58  
 tion allocation simultaneously. Cohen, Heitz, 59  
 Schall, and Woodman (2009) recently recorded 60  
 neuronal spikes, LFPs, and the m-N2pc simulta- 61  
 neously while monkeys performed the difficult 62  
 T among L (or vice versa) visual search task. They 63  
 found that the first index of attentional selection 64  
 that occurred across the neural signals was that 65  
 carried by the spiking activity of the FEF neurons. 66  
 Approximately 50 ms later, they observed that the 67  
 LFPs in the FEF selected the target location. 68  
 Then, approximately 20 ms after the FEF LFPs, 69  
 the m-N2pc recorded over lateral occipital-tem- 70  
 poral cortex selected the target location. The 71  
 importance of measuring multiple neural signals 72  
 of attentional deployment seems self-evident for 73  
 determining when we can say that attention is 74  
 allocated to an item during a task. In addition, 75  
 data such as these are critical to the theoretical 76  
 question of whether selection is carried out by 77  
 one or more mechanisms (e.g., Woodman et al., 78  
 2001a). However, the methodological details of 79  
 such experiments are critical given that different 80  
 neural signals could potentially have different 81  
 signal-to-noise ratios (Cohen et al., 2009a) or the 82  
 stimuli used in a task might not be optimal to 83  
 elicit activity from one or any of the neural mea- 84  
 sures being collected (Schall et al., 2007). 85

86 In summary, we propose that covert attention  
 87 is shifted between possible target items in the  
 88 search array until the target for the task at hand is  
 89 found. This is accomplished by variation in the  
 90 level of activation of certain populations of visu-  
 91 ally responsive neurons distributed among multi-  
 92 ple cortical and subcortical structures. A central  
 93 proposition of the stage theory is that this neural  
 94 state is not necessary or sufficient for the produc-  
 95 tion of an overt response, such as a saccadic eye  
 96 movement. It is not necessary because saccades  
 97 can be produced in the absence of any visual stim-  
 98 ulation or inattentively. It is not sufficient because

1 attention can be allocated without producing any  
 2 body movement whatsoever. This independence  
 3 between stages of processing affords the flexibil-  
 4 ity of behavior that is particularly apparent in  
 5 humans and other primates (e.g., Bullock, 2003).  
 6 We now turn to the neural and cognitive processes  
 7 responsible for producing movements that can be  
 8 guided by visual-spatial attention.

## 9 RESPONSE PREPARATION

10 Although the idea of distinct mechanisms per-  
 11 forming perceptual-attentional processing and  
 12 response preparation will not seem controversial  
 13 to many, this is where the Stage Theory differs  
 14 drastically from an account of covert attention  
 15 like the premotor theory of attention.

16 Although much progress has been made,  
 17 debate continues over the mechanistic distinction  
 18 between covert and overt orienting (e.g., Rizzolatti  
 19 et al., 1987; Klein & Pontefract, 1994; Eimer et al.,  
 20 2005; Ekstrom et al., 2008). On the one hand,  
 21 visual attention can be allocated to at least some  
 22 extent without moving the eyes (e.g., Posner, 1980).  
 23 On the other hand, several studies have shown  
 24 that visual attention is allocated to the endpoint  
 25 of a saccade before initiation of the movement,  
 26 and that it is difficult to direct attention to a differ-  
 27 ent object even if the object is close to the end-  
 28 point of the saccade (Shepherd et al., 1986;  
 29 Hoffman & Subramaniam, 1995; Kowler et al.,  
 30 1995; Deubel & Schneider, 1996). Moreover, it  
 31 has been shown that a shift of attention can influ-  
 32 ence the production of saccades (Sheliga et al.,  
 33 1994, 1995; Kustov & Robinson, 1996).

34 The premotor theory proposes that the deploy-  
 35 ment of attention is due to subthreshold activity  
 36 in neurons that control the movements of the  
 37 eyes. However, we point to four lines of evidence  
 38 for distinct mechanisms of visual attention alloca-  
 39 tion and saccade response preparation:

40 (1) Visual attention and saccade preparation  
 41 interact but are dissociable (Shepherd et al., 1986;  
 42 Hoffman & Subramaniam, 1995; Kowler et al.,  
 43 1995; Sheliga et al., 1995; Deubel & Schneider,  
 44 1996; Hooge & Erkelens, 1998; Belopolsky &  
 45 Theeuwes, in press).

46 (2) Target selection and the allocation of  
 47 perceptual attention can occur independently

of saccade preparation (Juan et al., 2004, see also 48  
 Gold & Shadlen, 2003). Visual target selection in 49  
 the FEF occurs even if no eye movement is produ- 50  
 ced (Thompson et al., 1997; Schall, 2004; 51  
 Thompson et al., 2005) or if the saccade is directed 52  
 away from a conspicuous singleton (Murthy et al., 53  
 2009; Murthy et al., 2001; Sato & Schall, 2003; 54  
 see also McPeck & Keller, 2002). Thompson, 55  
 Biscoe, and Sato (2005) show an extreme case of 56  
 this in which monkeys perform a visual search 57  
 task requiring a manual response. While percep- 58  
 tual processing of the search arrays is occurring, 59  
 the movement-related neurons in the FEF show 60  
 activity that is actually suppressed relative to 61  
 baseline levels. 62

(3) Neurons that shift gaze can be distinguished 63  
 from those that select targets (e.g., Murthy et al., 64  
 2009). Saccade-related neurons in the FEF pro- 65  
 duce signals sufficient to specify whether and when 66  
 a saccade will be produced during the search-step 67  
 task, but the visual neurons in the FEF that select 68  
 the location of conspicuous objects do not pro- 69  
 duce signals sufficient to contribute to the control 70  
 of saccade generation. 71

(4) The ability of movement neurons to func- 72  
 tion independently from the visual selection neu- 73  
 rons permits flexible stimulus–response mapping 74  
 (e.g., Sato & Schall, 2003) and corrective sacca- 75  
 des with latencies of less than visual encoding 76  
 and target-selection time (Murthy et al., 2007). 77  
 Parallel distinctions are made between ERP com- 78  
 ponents related to early visual processing, atten- 79  
 tion allocation, and motor preparation (e.g., Coles 80  
 et al., 1995; Smulders et al., 1995; Woodman & 81  
 Luck, 2003a). 82

The dissociation of target selection and sac- 83  
 cade preparation was accomplished by training 84  
 monkeys to produce a prosaccade, an antisaccade, 85  
 or no saccade, cued by the shape of the color sin- 86  
 gleton in a visual search array (Sato & Schall, 87  
 2003). If the selection process exhibited by visual 88  
 FEF neurons corresponds to the covert selection 89  
 of the location of the singleton, then the singleton 90  
 should be selected regardless of the required 91  
 response. Moreover, the time of the selection 92  
 should be the same across the three response 93  
 conditions. On the other hand, if the process of 94  
 selection by visually responsive FEF neurons cor- 95  
 responds only to preparation of a saccade, then 96

1 only the endpoint of the saccade should be  
 2 selected, and the time of the selection should be  
 3 affected by the stimulus–response compatibility.  
 4 Recently, evidence has been produced for both  
 5 types of neurons in the FEF (Sato & Schall, 2003).  
 6 Furthermore, when no saccade is produced, many  
 7 FEF neurons still exhibit selection of the single-  
 8 ton and, later in the trial, many neurons select the  
 9 endpoint of the unexecuted antisaccade. This  
 10 modulation for unexecuted saccades cannot be  
 11 due to bottom-up visual processing and thus must  
 12 be the product of an endogenous process that can  
 13 be usefully identified with the allocation of atten-  
 14 tion coordinated with preparation of the saccade.  
 15 It is likely that this sequence of attention selection  
 16 of one object and then another is analogous to the  
 17 process of attentional shifting that occurs during  
 18 inefficient visual search tasks (e.g., Woodman &  
 19 Luck, 1999, 2003b).

20 This task creates at least a momentary dissocia-  
 21 tion between the focus of attention and the end-  
 22 point of a saccade. In another experiment, saccade  
 23 preparation was probed by measuring the direc-  
 24 tion of saccades evoked by intracortical micro-  
 25 stimulation of the frontal eye field at different  
 26 times following the search array (Juan et al., 2004).  
 27 Saccades evoked in one direction when monkeys  
 28 are preparing a saccade to a stimulus in another  
 29 direction exhibit a systematic deviation in the  
 30 direction of the partially prepared saccade (Sparks  
 31 & Mays, 1983). This property has been used to  
 32 probe the preparation of saccades during various  
 33 tasks (Kustov & Robinson, 1996; Barborica &  
 34 Ferrera, 2004; Gold & Shadlen, 2003; Opris,  
 35 Barborica, & Ferrera, 2005). If the premotor theory  
 36 of attention is correct, then the deviation of sacca-  
 37 des evoked at different times in this task should cor-  
 38 respond to the level of activation signaling the  
 39 location of the singleton as compared to the saccade  
 40 endpoint. Eye movements evoked on prosaccade  
 41 trials deviated progressively toward the singleton  
 42 that was the endpoint of the saccade. However, eye  
 43 movements evoked on antisaccade trials deviated  
 44 not toward the singleton but only toward the sac-  
 45 cade endpoint opposite the singleton. Thus, the  
 46 visual system can covertly orient attention without  
 47 preparing a saccade to the locus of attention.

48 Few would argue that covert orienting of atten-  
 49 tion and overt orienting of gaze are not guided by

common selection mechanisms and coordinated in 50  
 time (Klein, 1980; Shepherd et al., 1986; Henderson, 51  
 1993; Sheliga et al., 1994, 1995; Hoffman & 52  
 Subramaniam, 1995; Kowler et al., 1995; Deubel 53  
 & Schneider, 1996; Hunt & Kingstone, 2003; 54  
 Doré-Mazars et al., 2004; Peterson et al., 2004). 55  
 The oculomotor readiness or premotor theory of 56  
 attention has been suggested as an explanation for 57  
 this relationship. As discussed earlier, one imped- 58  
 iment to testing hypotheses generated by this 59  
 theory has been a lack of precision in specifying 60  
 the hypotheses. On the one hand, if “mechanisms” 61  
 and “circuits” refer to particular populations of 62  
 neurons instantiating a single process, then the 63  
 results of the Juan et al. (2004) experiment con- 64  
 tradict this claim. This conclusion is based on 65  
 three premises: (1) if an attention shift is just a 66  
 covert saccade plan and (2) if the monkeys shifted 67  
 attention to the singleton even in antisaccade 68  
 trials and (3) if a covert saccade plan is revealed 69  
 by deviations of evoked saccades, then saccades 70  
 evoked after the singleton was selected, but before 71  
 the endpoint was selected, must deviate toward 72  
 the singleton. We found no such deviation. 73  
 Therefore, one of the antecedent premises must 74  
 be incorrect. A literature has been based on the 75  
 observation that deviations of evoked saccades 76  
 measure growing saccade plans, and we believe 77  
 the stimulus properties and task demands offer 78  
 little room to doubt that the monkeys shifted 79  
 attention to the singleton. Therefore, by a process 80  
 of elimination, we can reject the premise that 81  
 an attention shift is simply a covert saccade plan. 82  
 On the other hand, if “mechanisms” refer to entire 83  
 brain structures or circuits comprised of heteroge- 84  
 neous populations of neurons performing differ- 85  
 ent functions (like shifting attention by selecting 86  
 stimuli and preparing saccades), then our results 87  
 cannot challenge the theory. However, if the 88  
 theory is formulated too generally to map onto 89  
 specific neural populations, then it loses the rele- 90  
 vance of mechanism and the force of falsifiability. 91  
 Thus, these results suggest abandonment or refine- 92  
 ment of the premotor theory of attention. We 93  
 believe that the premotor theory can be regarded 94  
 as correct insofar as it posits a relationship between 95  
 saccades and attention that occurs through some 96  
 overlap between the brain circuits responsible for 97  
 both. However, it seems clear that a premotor 98

1 theory based on an identity of saccade planning  
 2 and attention shifting, such that attention is simply  
 3 an unexecuted saccade, cannot be correct.

4 These results and conclusions are important  
 5 for understanding an important recent observa-  
 6 tion concerning the role of the FEF in attention  
 7 allocation. Weak electrical stimulation of the FEF  
 8 in macaques improves the allocation of attention  
 9 at the location corresponding to the endpoint of  
 10 the saccade that would be evoked with stronger  
 11 stimulation, and this occurs through an influence  
 12 on the activity of neurons in extrastriate visual  
 13 area V4 (Moore & Armstrong, 2003; Moore &  
 14 Fallah, 2004; Armstrong et al., 2006). This result  
 15 has been interpreted as strong evidence in sup-  
 16 port of the premotor theory of attention, but the  
 17 evaluation of this claim must be framed by the  
 18 anatomical connectivity between the FEF and  
 19 V4. Specifically, is the influence on V4 exerted by  
 20 the population of neurons in the FEF that also  
 21 delivers saccade command signals to subcortical  
 22 structures? We recently addressed this question  
 23 anatomically by analyzing the pattern of neurons  
 24 labeled by retrograde tracers placed in V4 and the  
 25 superior colliculus (SC; Pouget et al., 2009). The  
 26 strongest evidence for the premotor theory of  
 27 attention would be finding individual neurons in  
 28 the FEF projecting to both the SC and V4.  
 29 However, we found no neurons in the FEF pro-  
 30 jecting both to SC and V4. In the FEF, all neurons  
 31 innervating SC are located in layer 5, whereas the  
 32 large majority of neurons innervating extrastriate  
 33 visual cortex are located in supragranular layers  
 34 (see also Barone et al., 2000). The conjunction of  
 35 physiological and anatomical findings suggests  
 36 that the signal conveyed from the FEF to extras-  
 37 triate visual cortex does not correspond to sac-  
 38 cade preparation but instead can be identified  
 39 with the allocation of visual spatial attention. The  
 40 functional insights afforded by these anatomical  
 41 results illustrate the utility of the stage theory of  
 42 attention and action in organizing diverse kinds  
 43 of data.

44 Further evidence for the stage theory was  
 45 obtained by examining the timing and pattern of  
 46 visual target selection and saccade preparation in  
 47 a task that required observers to respond to  
 48 random changes of target location on some trials.  
 49 The search-step task combines a standard visual

50 search task with the classic double-step saccade  
 51 task. On most trials (referred to as no-step trials)  
 52 observers were rewarded for making a saccade to  
 53 a color oddball target among distractors. On the  
 54 remaining trials (step-trials), the target and one  
 55 distractor unexpectedly swapped positions after  
 56 presentation of the array. When the target stepped  
 57 from its original position to a new position, observ-  
 58 ers were rewarded for directing gaze to the new  
 59 target location (compensated trials). However,  
 60 observers often fail to compensate for the target  
 61 step and made a saccade to the original target  
 62 location (noncompensated trials). In other words,  
 63 they shift gaze to a location different from that  
 64 occupied by the target. This behavior is not  
 65 rewarded. We have shown that performance of  
 66 macaque monkeys and humans is qualitatively  
 67 indistinguishable and can be understood as the  
 68 outcome of a race between a process that produces  
 69 the first saccade, a process that interrupts the  
 70 first one, and a process that produces the second  
 71 saccade (Becker & Jürgens, 1979; Camalier et al.,  
 72 2007).

73 Noncompensated saccade trials provided data  
 74 to test the dissociation of visual target selection  
 75 from saccade preparation. Even when gaze shifted  
 76 away from the popout oddball of the search array,  
 77 visual neurons in the FEF represented the current  
 78 location of the target (Murthy et al., 2009).  
 79 Further evidence for a functional dissociation of  
 80 visual selection and response preparation was  
 81 obtained in the trials in which the target stepped  
 82 out of the receptive or movement field, and mon-  
 83 keys canceled the initial saccade to redirect gaze  
 84 to the final target location. Whereas the visual  
 85 neurons continued to discharge as if no stimulus  
 86 change had occurred, the movement neurons were  
 87 strongly modulated early enough to control the  
 88 initiation of the saccade (Murthy et al., 2009).

89 The search-step task provides still further evi-  
 90 dence that saccade preparation and production  
 91 can be accomplished without or in spite of visual  
 92 processing. During target-step trials, after gener-  
 93 ating the error saccade to the original target loca-  
 94 tion, humans and monkeys commonly produce  
 95 corrective saccades to the final target location.  
 96 Many of these corrective saccades are initiated  
 97 with latencies that are so short (<100 ms) relative  
 98 to the error saccade that they could not be guided

1 by the outcome of visual processing. Nevertheless,  
 2 the latency of these corrective saccades is pre-  
 3 dicted by the timing of movement-related activity  
 4 in the FEF. Preceding rapid corrective saccades,  
 5 the movement-related activity of neurons began  
 6 before visual feedback of the error could be regis-  
 7 tered. Moreover, the movement-related activity  
 8 of a few neurons began even before the error sac-  
 9 cade was completed (Murthy et al., 2007).

10 Although perceptual and response processes  
 11 can be dissociated, the ultimate RT of saccades is  
 12 partially determined by the duration of process-  
 13 ing at the perceptual stage. The contribution of  
 14 target selection time during perceptual process-  
 15 ing to the variability of saccadic response latency  
 16 varies with target discriminability and task  
 17 demands (Thompson et al., 1996; Bichot et al.,  
 18 2001; Sato et al., 2001; McPeck & Keller, 2002;  
 19 Sato & Schall, 2003; Ipata et al., 2006; Shen &  
 20 Paré, 2007; Thomas & Paré, 2007; Balan et al.,  
 21 2008; Cohen, Heitz et al., 2009). For example,  
 22 during feature-search tasks for a red target among  
 23 green distractors (or vice versa), the time that  
 24 elapses between the initial volley of visual activity  
 25 and when the visual cells in the FEF select the fea-  
 26 ture target accounts for a small proportion of the  
 27 ultimate trial-to-trial variability in reaction time  
 28 (RT; Sato et al., 2001). However, when macaques  
 29 search for a complex form-defined visual target  
 30 (e.g., a rotated T among randomly rotated Ls), a  
 31 much larger proportion of the RT variability is  
 32 accounted for by the variance in the measure of  
 33 perceptual processing by visual cells in the FEF  
 34 (Cohen, Heitz et al., 2009). Next, we turn to the  
 35 issue of how information is transmitted from the  
 36 network of neurons that carry out perceptual  
 37 processing to those that perform response-level  
 38 processing.

39 The issue of interstage information transmis-  
 40 sion has received a significant amount of study by  
 41 cognitive psychologists using electrophysiological  
 42 methods but often is absent from the neuroscience  
 43 literature. One critical and contentious issue  
 44 regarding the flow of information through differ-  
 45 ent stages of information processing is whether  
 46 processing at one stage is completed before infor-  
 47 mation is transmitted to the next stage. The compet-  
 48 ing cognitive architectures that have been proposed  
 49 are often referred to as *discrete versus continuous*

*models* of information processing (Miller, 1982; 50  
 Meyer et al., 1984; Meyer et al., 1988). Guided by 51  
 Donders' ideas, Sternberg (1969b) proposed that 52  
 information was transmitted in a discrete manner 53  
 between the stage of perceptual processing and 54  
 subsequent stages, such as the stage of response 55  
 selection. This framework was extremely effective 56  
 in accounting for RT effects in different paradigms 57  
 and has provided an effective way to interpret 58  
 results from a variety of cognitive tasks (Sternberg, 59  
 1984). However, subsequent cognitive models have 60  
 shown that the same findings from RT experi- 61  
 ments can be accounted for with overlapping 62  
 stages of processing (McClelland, 1979). Because 63  
 both types of models can account for behavioral 64  
 data with similar success it is not possible to dis- 65  
 tinguish between these categories of models with 66  
 RT data alone. 67

In fact, it was recognized that partitioning RT 68  
 into constituent stages could not be done conclu- 69  
 sively without some way of measuring the termi- 70  
 nation or initiation of covert stages. Research over 71  
 the last 30 years or so—and especially in the last 72  
 10 years—has demonstrated how to solve this 73  
 measurement problem. The approach uses physi- 74  
 ological measures that are believed to correspond 75  
 to or index the timing of particular cognitive pro- 76  
 cesses. This was addressed first with ERPs, but 77  
 single-unit recordings from monkeys performing 78  
 tasks like visual search have provided equally 79  
 useful information. Typically, studies focused on 80  
 distinguishing between discrete or continuous 81  
 flow models have measured the timing of the P3 82  
 component, to index the end of perceptual pro- 83  
 cessing (also called *stimulus evaluation time*; for a 84  
 review see Coles et al., 1995) or the LRP, which 85  
 indexes response preparation (Coles et al., 1988; 86  
 Miller & Hackley, 1992; Osman et al., 1992; 87  
 Miller & Schroter, 2002; Rinkenauer et al., 2004). 88  
 The results of these experiments have indicated 89  
 that it is possible for information to flow contin- 90  
 uously between stages of perceptual and response 91  
 processing. However, as Miller and colleagues 92  
 have pointed out, the evidence is also consistent 93  
 with a model in which information about indi- 94  
 vidual features of a stimulus can be processed 95  
 independently with different time courses, and 96  
 when one feature is processed it is transmitted 97  
 to the response stage (Miller, 1988; Miller & 98

1 Hackley, 1992). We have found this model of  
 2 interstage information transmission to be effective  
 3 in accounting for findings from unit recordings  
 4 from the FEF during visual search and other tasks.

5 A series of studies have sought to understand  
 6 the nature of interstage information transmission  
 7 by recording from neurons in the FEF of monkeys  
 8 performing attention-demanding tasks (Sato et al.,  
 9 2001; Woodman et al., 2008). The findings from  
 10 these studies are consistent with the view that  
 11 response processing does not begin until percep-  
 12 tual processing is completed (e.g., Woodman  
 13 et al., 2008), but these conclusions are tentative  
 14 (see Bichot et al., 2001) and appear to be sensitive  
 15 to the number of features defining the target. The  
 16 studies performed thus far used neuronal record-  
 17 ing techniques in which activity from a single  
 18 neuron or a small number of similar neurons was  
 19 recorded at the same time (see also Mouret &  
 20 Hasbroucq, 2000). This means that neurons instan-  
 21 tiating covert target selection and those instantiat-  
 22 ing saccade response processes were recorded at  
 23 different times. Firm conclusions about the flow of  
 24 information between computational stages will  
 25 require future studies to record the neural activity  
 26 indexing processing in different stages simultane-  
 27 ously. The stage theory points to this empirical gap  
 28 in our knowledge as critical for describing how  
 29 cognitive subsystems work together.

30 After information is transmitted to the network  
 31 of neurons that controls the physical movement  
 32 of the eyes, the appropriate saccade must be pre-  
 33 pared and initiated. When saccade preparation is  
 34 carried out, movement cells in the FEF exhibit a  
 35 build-up of activity preceding the saccade that  
 36 results in an eye movement fixating the target  
 37 location (Hanes & Schall, 1996). During free-  
 38 viewing search, the process of saccade prepara-  
 39 tion would occur after each item receives the  
 40 benefit of a covert shift of attention (Hoffman &  
 41 Subramaniam, 1995; Kowler et al., 1995).

42 In a recent study, we showed how measuring  
 43 different aspects of the activity in these saccadic  
 44 response cells in the FEF could be used to quan-  
 45 tify different constructs described in many cogni-  
 46 tive models of attention, categorization, and  
 47 decision. Woodman et al. (2008) analyzed the  
 48 spiking activity recorded from movement-related  
 49 neurons in the FEF during a variety of visual

50 search tasks (color and motion feature-search  
 51 tasks and search for form-defined targets) and  
 52 related these different neural metrics to the RT  
 53 effects that were observed. We measured four dif-  
 54 ferent characteristics of the neural activity. First,  
 55 we measured the baseline-firing rate of these cells  
 56 prior to the presentation of the visual search array.  
 57 This metric provides an estimate of the degree to  
 58 which neurons coding for a specific response (i.e.,  
 59 a saccade into the movement field of the neuron)  
 60 are biased prior to the beginning of the trial.  
 61 Because responses in any direction were equally  
 62 likely, we expected not to find any systematic  
 63 biases in response direction prior to the response.  
 64 Next, we measured the time of the onset of the  
 65 build-up of activity preceding the saccadic  
 66 response. This served as a measure of the begin-  
 67 ning of the response stage of processing that  
 68 prepares the ultimate behavioral response to the  
 69 search array. Third, we measured the slope of the  
 70 build-up of activity in these saccadic response-  
 71 related neurons. This served as a concrete measure  
 72 of the rate at which information accrued at the  
 73 response stage. Finally, we measured the activity  
 74 level in the interval immediately preceding the  
 75 saccadic response (i.e., the 20 ms before the sac-  
 76 cade into the movement field). This provides a  
 77 measure of the threshold for neural activity in  
 78 these movement-related cells, the crossing of  
 79 which causes the saccade to be triggered (Hanes  
 80 & Schall, 1996). We found that saccadic-response  
 81 variability during visual search was best accounted  
 82 for by delays in the onset of the response stage.  
 83 This finding is consistent with models of visual  
 84 attention that propose that search tasks heavily  
 85 tax perceptual attention mechanisms but not  
 86 response or memory subsystems (Wolfe, 1998).  
 87 This study provides an example of linking compo-  
 88 nents of cognitive models to specific neural mark-  
 89 ers in order to provide definitive tests of models  
 90 of processing.

Performance Monitoring 91

92 At the moment when the saccadic response is  
 93 made, the trial is over, but cognitive processing is  
 94 not. The response was either correct, in that the  
 95 target was fixated, or an error was made. In exper-  
 96 iments with monkeys, this means that reward is

1 delivered when the behavior was correct and  
 2 withheld when the response was wrong, which  
 3 provides explicit feedback regarding task perfor-  
 4 mance. However, in many experiments with  
 5 human observers, no feedback about task perfor-  
 6 mance is explicitly provided. Does the brain know  
 7 if the task was performed correctly? If so, how  
 8 does this information about the outcome of per-  
 9 formance change how information is processed  
 10 on the next trial?

11 There is now abundant evidence that the brain  
 12 has an extensive performance-monitoring net-  
 13 work. In humans, electrophysiological studies have  
 14 shown that, if an observer makes an error, the brain  
 15 registers this incorrect performance immediately  
 16 after the response. Response-locked ERPs indicate  
 17 that when an error is made, a medial-frontal nega-  
 18 tivity is recorded and often followed by a positivity  
 19 with a more parietal distribution (Gehring et al.,  
 20 1993; Falkenstein et al., 2000; Gehring &  
 21 Willoughby, 2002). The error-related negativity  
 22 (or ERN) has been interpreted to index error  
 23 detection (Gehring et al., 1993), response conflict  
 24 (Botvinick et al., 2001), or dopamine-regulated  
 25 learning signals (Holroyd & Coles, 2002; Brown &  
 26 Braver, 2005). It has been proposed that this error  
 27 signal may arise from the anterior cingulate cortex  
 28 (ACC) and is used to modify how information is  
 29 processed on the subsequent trial. However, it  
 30 remains an open question whether such adjust-  
 31 ments in how information is processed are focused  
 32 on perceptual processing, the response stage, or  
 33 both. In other words, which stage(s) does the exec-  
 34 utive control? And how?

35 Unit recording studies suggest that neurons in  
 36 the performance-monitoring network may pre-  
 37 side over more areas than just ACC. Specifically,  
 38 neural activity recorded in the supplementary eye  
 39 field (SEF) consistently shows evidence for error-  
 40 and reward-related modulations following the  
 41 response in a task (Stuphorn et al., 2000). The  
 42 causal influence of the SEF on performance of  
 43 oculomotor control tasks has been demonstrated  
 44 using microstimulation in macaque monkeys.  
 45 Stuphorn and Schall (2006) examined the behav-  
 46 ioral performance of monkeys during the ocular-  
 47 motor countermanding paradigm immediately  
 48 following the delivery of microstimulation of the  
 49 SEF. They found that this stimulation caused the

50 monkeys to behave more conservatively com-  
 51 pared to baseline performance trials without  
 52 microstimulation. In particular, the monkeys' sac-  
 53 cadic RT was increased, so that error rates were  
 54 reduced following weak microstimulation of the  
 55 SEF. This shows that the SEF is part of the net-  
 56 work that monitors performance and controls the  
 57 visual and motor subsystems that perform per-  
 58 ceptual and response processing. At this point, it  
 59 is unclear whether the performance monitoring  
 60 and control network only includes medial and  
 61 dorsal cortical structures (such as ACC and SEF),  
 62 or whether the network of areas implementing  
 63 these functions is more widespread. For example,  
 64 intracranial recordings of electrical potentials in  
 65 human patients (Halgren et al., 2002; Wang et al.,  
 66 2005) have suggested that regions of the parietal  
 67 lobe also produce error-related activity and may  
 68 be a part of a broad network that evaluates the  
 69 outcome of behavioral responses and influences  
 70 future processing. Similarly, imaging studies of  
 71 normal human observers have implicated regions  
 72 of the inferior frontal cortex in performance mon-  
 73 itoring and control functions (Aron et al., 2004).  
 74 Clearly, the research examining the localization  
 75 versus distribution of cognitive monitoring and  
 76 control functions is ongoing.

77 In summary, even after the trial is over, cogni-  
 78 tive processing continues. This could be thought  
 79 of as the most recently discovered stage of pro-  
 80 cessing, as it has become the focus of cognitive  
 81 models only in the last decade (e.g., Botvinick  
 82 et al., 2001; Holroyd & Coles, 2002; Brown &  
 83 Braver, 2005). Based on the density of connec-  
 84 tions of medial frontal areas with motor areas  
 85 (such as the FEF) and the paucity of connections  
 86 with extrastriate visual areas, we hypothesize that  
 87 the product of this stage is attenuation or facilita-  
 88 tion of the response preparation process. By  
 89 changing the willingness to respond, by speeding  
 90 or slowing the response preparation process, the  
 91 executive control network can enable speed at the  
 92 cost of accuracy or vice versa.

## 93 RELATIONSHIP TO OTHER 94 THEORIES

95 In its attempt to be comprehensive, the stage  
 96 theory of attention and action relates to and

1 expands on other major theoretical approaches in  
 2 cognitive psychology. Certainly, the proposition  
 3 that selective processing can occur according  
 4 to stimulus and task demands within any of a  
 5 sequence of processing stages is similar to propos-  
 6 als that have shaped debates for some time and  
 7 remain vibrant avenues of research (Luce 1986;  
 8 Meyer et al., 1988; Luck & Hillyard, 2000;  
 9 Sternberg, 1969a, 2001). Some models gain spec-  
 10 ificity at the cost of scope. For example, stochastic  
 11 models of RT in target discrimination tasks  
 12 explain the systematic variability of RT and choice  
 13 entirely in terms of sequential sampling of percep-  
 14 tual evidence. Errors produced by the response  
 15 stage are not accounted for in these models.  
 16 However, the FEF visual neurons select the target  
 17 correctly even when monkeys make errors with  
 18 the eyes (Murthy et al., 2001; Murthy et al., 2009)  
 19 or hands (Trageser et al., 2008). Meanwhile, sto-  
 20 chastic models of RT and choice in stimulus per-  
 21 turbation tasks (like stop signal or double-step)  
 22 explain the systematic variability of RT and choice  
 23 effectively in terms of a race between alternative  
 24 response channels (Logan & Cowan, 1984;  
 25 Camalier et al., 2007). Independent race models  
 26 can be implemented in neural networks with the  
 27 proper temporal pattern of interaction (Boucher  
 28 et al., 2007; Lo et al., 2009). However, the input  
 29 to these models is unspecified.

30 Current stochastic accumulator models imple-  
 31 ment speed-accuracy adjustments through strate-  
 32 gic changes of the threshold of the accumulation  
 33 process (Smith & Ratcliff, 2004; Gold & Shadlen,  
 34 2007). The evidence for distinct stages of process-  
 35 ing suggests that speed-accuracy adjustments can  
 36 be accomplished through changes of the visual  
 37 selection stage or the saccade preparation stage,  
 38 or both. The neural mechanism(s) of speed-accu-  
 39 racy adjustments is not understood. Signal detec-  
 40 tion theory (Green & Swets, 1966) and biased  
 41 choice theory (Luce, 1986) both distinguish sen-  
 42 sitivity, which is limited by the sensory apparatus,  
 43 from response bias, which is the willingness to  
 44 respond. The statement “willingness to respond”  
 45 seems to point very clearly to the mechanism of  
 46 speed-accuracy adjustment.

47 How can sequential sampling models of per-  
 48 ceptual evidence (target vs. distractor) and race  
 49 models of response production (saccade here vs.

there) be integrated? Are they different descrip- 50  
 tions of one process? Or, are they descriptions of 51  
 different processes that operate in succession? In 52  
 general, numerous models of visual search have 53  
 been developed, but the models have fundamen- 54  
 tally different architectures (e.g., Bundesen, 1998; 55  
 Hamker, 2004; Wolfe, 2007). It is difficult or 56  
 impossible to decide between alternative models 57  
 based only on behavioral data (e.g., Van Zandt 58  
 et al., 2000). We advocate the proposition that 59  
 appropriate neurophysiological data can discrimi- 60  
 nate between alternative mechanisms if proper 61  
 linking propositions are established (Schall, 2004; 62  
 Teller, 1984). 63

## CONCLUSION 64

The stage theory of attention and action is pro- 65  
 posed with the aim of organizing and integrating a 66  
 diverse and often bewildering collection of obser- 67  
 vations, hypotheses, and suppositions. Beyond the 68  
 possible unification of disparate views, it is hoped 69  
 that the stage theory identifies important ques- 70  
 tions to answer with investigative techniques that 71  
 provide greater anatomical, conceptual, and tem- 72  
 poral resolution. We are optimistic that such 73  
 research will reveal the cognitive and associated 74  
 neural processes responsible for selecting targets 75  
 on which to allocate attention and to which to 76  
 shift gaze. 77

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