

# Thalamocortical model for a propofol-induced $\alpha$ -rhythm associated with loss of consciousness

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**Recent data reveal that the general anesthetic propofol gives rise to a frontal  $\alpha$ -rhythm at dose levels sufficient to induce loss of consciousness. In this work, a computational model is developed that suggests the network mechanisms responsible for such a rhythm. It is shown that propofol can alter the dynamics in thalamocortical loops, leading to persistent and synchronous  $\alpha$ -activity. The synchrony that forms in the cortex by virtue of the involvement of the thalamus may impede responsiveness to external stimuli, thus providing a correlate for the unconscious state.**

general anesthesia | oscillations | global coherence | GABA

The anesthetic agent propofol (2,6-di-isopropylphenol) is known to elicit frontal  $\alpha$ -rhythms (10–13 Hz) in the EEG (1). Recent data analyses (2, 3) suggest that this rhythm, which is spatially distinct from the classic occipital  $\alpha$ -rhythm, is highly coherent across electrodes. Moreover, its appearance is well correlated with the anesthetic-induced loss of consciousness. Although much is known about the molecular actions of propofol, an understanding of the network mechanisms that lead to such EEG-level phenomena remains absent. The present work uses computational models to elucidate some of these mechanisms. It builds on the work of McCarthy et al. (4), in which a model of cortical networks was used to reveal dynamic changes that may underlie the paradoxical excitation associated with low doses of propofol. Here, these mechanisms are incorporated into a broader thalamocortical model that accounts for the aforementioned EEG features associated with the administration of higher anesthetic doses.

The model suggests that propofol, via its potentiation of the GABA<sub>A</sub> synaptic current, effectively enhances the strength of projections from the cortex to thalamus, resulting in a well-coordinated thalamocortical  $\alpha$ -oscillation. We consider a network of cortical pyramidal (E) cells and interneurons (INs), coupled with thalamocortical relay (TC) and thalamic reticular (RE) neurons. Reciprocal projections between the E and TC cells form an excitatory thalamocortical loop. Propofol enters the model as an increase in the conductance and decay time of the GABA<sub>A</sub> inhibitory current. At low levels of the drug, the cortical part of the model produces the expected paradoxical excitation, whereas the thalamic part fires at a slower irregular rate. Increasing the inhibition to a level commensurate with a higher dose of the drug causes cortical cell firing to slow into the  $\alpha$ -range. Importantly, this also changes the thalamic substrate by increasing the inhibition delivered by the RE neurons to the TC neurons, producing rebound spiking. Thus, the cortical input to the thalamus is effectively enhanced, enabling the latter to be recruited into the same  $\alpha$ -frequency. Because the reticular nucleus innervates widely, it has the capacity to synchronize thalamic oscillations. These oscillations then manifest coherently at the cortex through the thalamocortical loop. Thus, the model produces a coherent propofol-induced  $\alpha$ -rhythm that is consistent with experimental data.

Recent theories have pointed to a deactivation of the thalamus during deep levels of general anesthesia (i.e., the notion of a thalamic “off-switch”) (5, 6). In contrast, the model developed here suggests that the thalamus is engaged in rhythmic activity at deep anesthetic levels. The intracortical synchrony may limit the efficacy of the thalamus in propagating specific signals upward, thus pro-

moting loss of consciousness. The phenomenology, model details, and simulation studies are presented in the subsequent sections.

## Phenomenology

**Data and Analysis.** Experiments were conducted at the Massachusetts General Hospital to assess the electroencephalographic markers associated with loss of consciousness under general anesthesia. Subjects were given a controlled infusion of the drug propofol, and a 64-channel EEG was recorded from the scalp. Throughout the infusion, subjects were required to respond to a series of auditory stimuli, the latency of which serves as a measure of loss of consciousness. Fig. 1 illustrates the time course of the infusion for a single subject along with the EEG analysis. The dose level is increased in five discrete levels. For the subject shown, cessation of responses occurs soon after the second infusion. After dose level five, the infusion is gradually decreased, at which time the subject regains consciousness and resumes the task.

The EEG spectrogram exhibits distinct features that coincide with transitions in subject behavior (Fig. 1B). The initial onset of loss of consciousness is correlated with a diffuse increase in low  $\beta$ /high  $\alpha$ -band power, which gradually slows into the  $\alpha$ -range as the level progresses. The next level of the infusion strengthens this  $\alpha$ -power in frontal electrodes. Such an “anteriorization” of EEG power under general anesthesia has been noted in other studies (7, 8) with different anesthetic agents. Slower activity in the <2-Hz band also increases in intensity at this time. When the subject emerges from loss of consciousness (i.e., resumes responding to the task), the  $\alpha$ - and slow activity lift and the EEG returns to the baseline pattern. Note that, as expected, this frontal electrode does not exhibit the classic posterior  $\alpha$ -rhythm (9) (subjects’ eyes were closed during all levels).

To ascertain the spatiotemporal properties of this activity, a global coherence analysis was performed over all electrodes (2, 3) (Fig. 1C). Here, the coherence within each frequency band is measured by the energy contained in the first principal component of the cross-spectral matrix. The analysis shows coherent activity in the  $\alpha$ -band at deep levels, primarily in frontal electrodes. This coincides with the frontally dominant  $\alpha$  seen in the power spectrum. We interpret these results as an indication of increased  $\alpha$ -synchrony in frontal regions, suggesting that this rhythm is mechanistically distinct from the occipital  $\alpha$ .

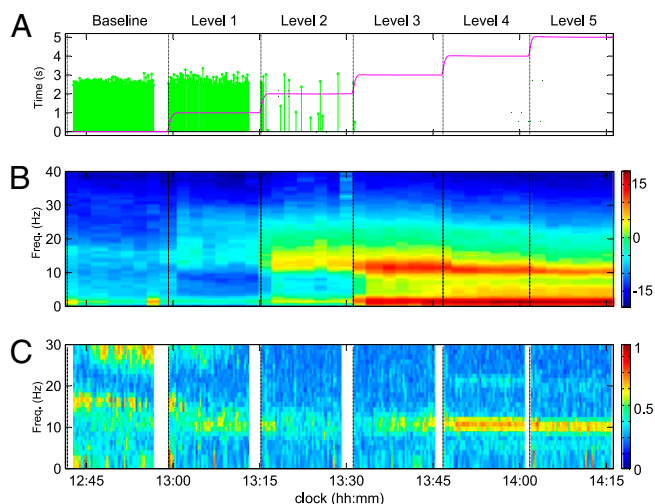
**Modeling Objectives.** We note three main features of the above analysis: (i) early loss of consciousness is associated with diffuse  $\beta$ -activity; (ii) deeper general anesthesia is associated with  $\alpha$ - and slow activity; and (iii) the  $\alpha$ -activity exhibits a high spatial coherence, predominantly in the frontal electrodes.

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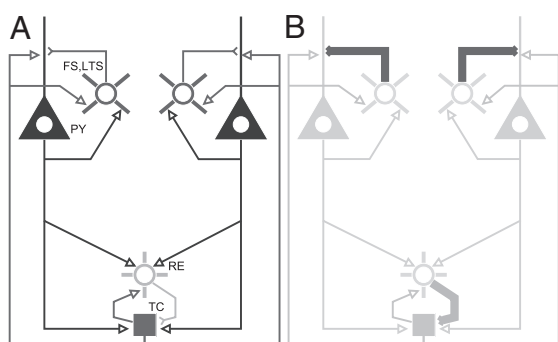
This article contains supporting information online at [www.pnas.org/lookup/suppl/doi:10.1073/pnas.1017069108/-DCSupplemental](http://www.pnas.org/lookup/suppl/doi:10.1073/pnas.1017069108/-DCSupplemental).



**Fig. 1.** Results from propofol infusion in a single representative subject. (A) Time course of propofol infusion and behavioral response. The green traces indicate the latency of correct responses to auditory stimuli. Cessation of response indicates anesthetic-induced loss of consciousness. The red trace describes the estimated propofol blood concentration. (B) Whole-study spectrogram from a frontal electrode. Loss of consciousness coincides with the emergence of broadband  $\beta$ -activity, which strengthens and slows into the  $\alpha$ -range as the infusion increases. (C) Coherent EEG activity. At the deepest levels of general anesthesia the  $\alpha$ -band exhibits high global coherence (2); being frontal, it is distinct from the classic occipital  $\alpha$  in anatomical location.

Many studies of the EEG at deeper planes of general anesthesia have focused on describing activity in the slower frequency bands (e.g., refs. 10 and 11, and the references therein). The  $\alpha$ -band activity, conversely, is a recent finding (1), and its coherence is a newly described result. Thus, in this paper, the modeling is directed toward the  $\alpha$ -EEG activity. Possible mechanisms for the slow oscillation are addressed elsewhere in this paper (*Discussion*).

**Approach.** To investigate the  $\alpha$ -activity, we construct a model with the smallest set of features necessary to exhibit the spatial and temporal properties outlined above. A study of the spatial coherence requires an extension to the purely cortical model of McCarthy et al. (4). The high level of synchrony in the frontal electrodes is particularly indicative of subcortical participation in the  $\alpha$ -activity. The thalamus, with its connectivity to prefrontal areas (12, 13) and its propensity to produce  $\alpha$ -type rhythms (14–18), is a likely candidate.



**Fig. 2.** Schema of model network and mechanism. (A) Network consists of separate populations of pyramidal cells (denoted PY) and INs (here, both FS and LTS are lumped into a single icon) that interact with a mutual population of RE and TC cells. (B) Propofol perturbs the network by potentiating the GABA<sub>A</sub> synaptic current and decay time from INs onto PY cells and from RE neurons onto TC cells. Note that all model cells are single compartments.

We construct a thalamocortical model, combining known cortical dynamics (4) with models of the thalamus (15). The model, illustrated schematically in Fig. 2, is based on biophysical equations that allow for the manipulation GABA<sub>A</sub>, thus mimicking the effects of propofol in a physiologically relevant way. We consider two distinct cortical cell populations coupled to a mutual population of thalamic cells. The cortical populations have the capacity to produce synchronous behavior via their thalamic connections. Below, we demonstrate how such a network, through the actions of propofol, can manifest coherent oscillations in the  $\alpha$ -band.

## Results

**Model Reproduces Propofol-Induced  $\alpha$ -Rhythm.** The network displays a switch in coherence as the GABA<sub>A</sub> receptor dynamics are modified according to the actions of propofol.

Fig. 3 illustrates the behavior of the model network as a function of the percent increase in both the GABA<sub>A</sub> conductance and decay time. As shown in Fig. 3A, the dominant EEG rhythm decreases from a baseline frequency in the  $\gamma$ -range (see *Methods*) to a  $\beta$ -rhythm associated with low doses, and finally to a 10- to 13-Hz  $\alpha$  when the current increases 200% (i.e., threefold the baseline level). As described in the *Methods*, such an increase in GABA<sub>A</sub> inhibition is consistent with the effects of an anesthetic dose of propofol. Fig. 3B shows the coherence between the two cortical populations over the same range of GABA<sub>A</sub> synaptic strength. The network does not exhibit coherence at baseline and low-dose levels. As the rhythm slows into the  $\alpha$ -range (i.e., when the dose reaches the anesthetic level), the cortical populations synchronize and the coherence shows a strong peak between 10 and 13 Hz (Fig. 3B, indicated by red in the color bar).

The raster plots of the activity at baseline and anesthetic levels (Fig. 3C and D, respectively) demonstrate the mechanisms that lead to coherence. At baseline, the fast-spiking (FS) cells drive network activity in the  $\gamma$ -range through the pyramidal–interneuron mechanism described by Börgers et al. (19). Individual cortical pyramidal (E)-cell participation is irregular and infrequent. RE cells fire sparsely. TC relay cells are irregular with no exogenous drive and do not exhibit spiking at baseline, consistent with a lack of sensory stimuli. Sparse TC baseline activity would not affect high-dose behavior.

When propofol is increased to a high dose (Fig. 3D), the spiking in cortical cells slows into an  $\alpha$ -rhythm, again attributable to the increased decay time of inhibition from both FS and low-threshold spiking (LTS) cells. Importantly, the RE cells and TC cells are now recruited into the rhythm, resulting in an increased functional coupling between the thalamus and cortex. The common thalamic drive serves to synchronize the spiking between both cortical populations, leading to the increased coherence in the model EEG.

## Increase in GABA<sub>A</sub> Conductance Facilitates Thalamocortical Feedback.

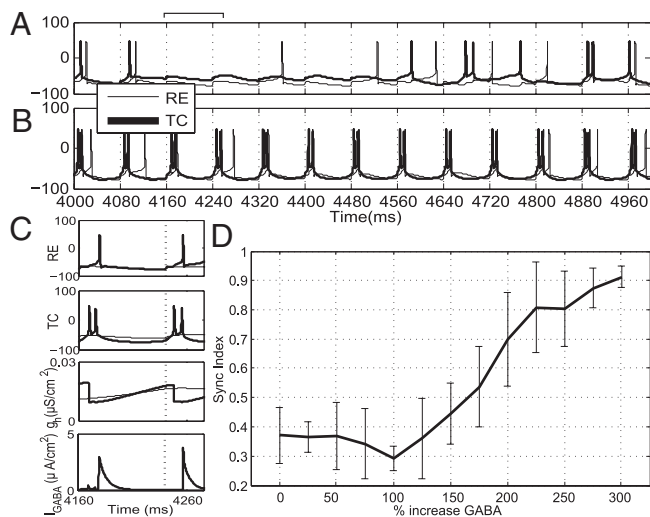
As shown, the increase in GABA<sub>A</sub> inhibition appears to recruit and couple the thalamic cells into the cortical rhythm.

To investigate the behavior of this dynamic switch, we construct a small model involving single E, LTS, RE, and TC cells. Although an FS cell is omitted from this minimal configuration, it could alternatively have been used in place of the LTS cell without changing the result (*SI Text*). Fig. 4 shows time traces of the voltage for each cell in the network at both low and high doses of propofol. At a low dose ( $t < 5$  s) the E and LTS cells spike at  $\beta$ -frequency, whereas the RE and TC cells fire irregularly. A high dose of propofol is introduced at  $t = 5$  s, at which time the cortical rhythm slows into the  $\alpha$ -range. Simultaneously, the thalamic cells begin responding regularly to excitation from the E cells. The reciprocal excitatory feedback from the TC cells onto the E and LTS cells completes the oscillatory loop.

This dynamic switch, from low to high thalamocortical synchrony, is induced by postinhibitory facilitation, which makes the TC cells more responsive to cortical excitation. The increased inhibition delivered by the RE cell to the TC cell causes the latter to respond to cortical excitation with regular predictable







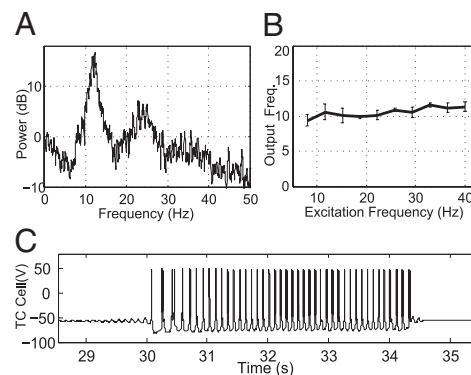
**Fig. 5.** Response of TC-RE pair to cortical drive. (A) TC-RE model cell spiking at the baseline ( $g_{GABA} = 0.04$ ). Spiking is sparse and uncorrelated. (B) TC-RE model cell spiking at a high-dose level ( $g_{GABA} = 0.14$ ). Spiking is entrained to the 12-Hz drive (the drive arrives at the dashed vertical lines). (C) Detail of activity from 4,160–4,260 ms. (Top to Bottom) RE voltage, TC voltage,  $g_h$  (in TC cell), and  $I_{GABA}$  (in TC cell) for baseline (thin line) and propofol (thick line) conditions. The increased  $I_{GABA}$  and, consequently, the  $I_h$  are important in promoting the rhythmic thalamic response. (D) Mean Synchronization (Sync) Index obtained over different noise realizations for the single TC-RE pair with a 12-Hz cortical drive ( $n = 20$ ). As GABA increases beyond twofold the baseline value, the SI increases, reflecting entrainment of the thalamic cells to the cortical excitation.

Recall that the cortical oscillations themselves slow into  $\alpha$  at high doses. Thus, they coalesce with the thalamus in its naturally preferred frequency, and synchrony is achieved.

**RE Cells Promote Synchrony Between Cortical Populations.** We have attributed the propofol-induced coherence to increased thalamic participation, which effectively connects otherwise isolated cortical populations. The RE cells are particularly important in this mechanism because they facilitate rebound excitation in thalamic relay cells. Although the thalamus is clearly not a monolithic entity, the reticular nucleus forms an inhibitory shell that innervates many relay nuclei. As such, it alone may promote synchrony over spatially distinct cortical areas.

To demonstrate the capacity of RE cells to synchronize cortical cells, we consider the small eight-cell model shown in Fig. 7A, each cortical cell receives excitation from a different relay cell. The two RE cells are reciprocally connected, constituting the only means of coupling between the cortical modules. The network is parameterized heterogeneously such that, in the absence of RE coupling, each cortical cell would spike at a slightly different intrinsic frequency (Fig. 7B Lower). Here,  $GABA_A$  conductance and decay time are set to the high-dose levels, resulting in the predicted 10- to 12-Hz  $\alpha$ -activity. Clearly, there is no correlation between the two spike trains, as indicated by a flat cross-covariance (Fig. 7C Lower). Mutual inhibition between the RE cells is sufficient to synchronize the entire network, as reflected by identical power spectra (Fig. 7B Upper) and a well-defined cross-covariance peak (Fig. 7C Upper). This is consistent with previous detailed modeling studies, such as that by Börgers and Kopell (21), which have shown the capacity of inhibitory networks to synchronize sparsely coupled cortical populations.

**Model Properties Are Compatible with Active Regimes.** The model developed herein has focused on the role of thalamocortical networks in perpetuating a propofol-mediated  $\alpha$ -oscillation. We have not elaborated on the multitude of potential behaviors of the network in a more “active” behavioral state. We can, how-



**Fig. 6.** Frequency response of thalamic cells at high-dose levels shows that entrainment is constrained to the  $\alpha$ -range. (A) Power spectrum of thalamic cell spiking in response to random excitation. The interspike intervals of the excitation are drawn from a uniform distribution. (B) Thalamic cell spiking frequency in response to periodic excitation at different frequencies ( $n = 20$ ). As a result of the time scales of the inhibition and intrinsic currents, the thalamus always responds near 11 Hz. (C) In the absence of cortical excitation, TC-RE cells produce waxing and waning oscillations similar to the thalamic spindles modeled by Destexhe et al. (15, 20).

ever, establish that the dynamic range of the model is compatible with other such functional modes (details presented in *SI Text*).

## Discussion

**Cellular Mechanisms for Propofol-Induced EEG.** The scalp EEG is a measure of the average activity in large populations of cortical neurons. Propofol, as we have seen, appears to induce synchronous  $\alpha$ -rhythms in such populations. In this work, we have used biophysical modeling to suggest the cellular mechanisms responsible for this phenomenon. Our model shows that (i) propofol induces  $\alpha$ -activity by increasing  $GABA_A$  conductance and decay time; (ii) an increase in  $GABA_A$  conductance facilitates involvement of the thalamus, yielding cortical synchrony; (iii) this synchrony is specific to the  $\alpha$ -frequency range; and (iv) cells of the reticular nucleus can synchronize disparate relay nuclei, thus enabling synchrony over larger cortical regions.

**Features Not Included.** A number of features were not explicitly included in the present model, including  $GABA_B$  currents within the thalamic model. Inclusion of  $GABA_B$  within the RE population of our model leads to a decrease in the firing rate of individual cells but no change in the population frequency and cortical coherence. An expanded thalamic model could also include propofol-induced effects on intrinsic currents (e.g.,  $I_h$ ) that may be important for other phenomena, such as burst suppression EEG patterns.

The synaptic connectivity within the LTS population is higher than reported in some literature (22). In our model, we have not included IN electrical connectivity via gap junctions (23). Thus, each cell describes the behavior of a lumped population of electrically coupled INs. In addition, LTS cells are known to exhibit an  $h$ -current that may lead to such features as sag and rebound depolarization. We find that addition of such a current does not appreciably change the network behavior at high propofol levels, where the  $GABA_A$  dynamics dictate cortical activity (*SI Text*).

Finally, this work does not model the occipital  $\alpha$ -rhythm in posterior cortex. The occipital  $\alpha$  is thought to involve thalamic nuclei with projections to occipital cortex, such as lateral geniculate nucleus (16), and may be mechanistically distinct from the frontal corticothalamic activity studied herein.

**Mechanisms for the Slow Oscillations.** The model developed herein does not account for the slow ( $< 2$  Hz) oscillations present in the EEG. In the context of sleep, the prevailing hypothesis is that these frequencies also have a thalamic generator (24, 25).



determine its dynamic behavior. The following subsections provide an overview of these currents. Further details and equations are provided in *SI Text*.

**Cortical cells.** Cortical cells contain the fast sodium ( $I_{Na}$ ), potassium ( $I_K$ ), and leak ( $I_{Leak}$ ) currents required to elicit spiking. A slow potassium current ( $I_M$ ) is included in the model of the E and LTS cells. This current is important in the generation of  $\beta$ -rhythms under low doses of propofol (4) (*SI Text*). FS cells do not contain  $I_M$  and are responsible for the generation of  $\gamma$ -activity in the baseline (i.e., unanesthetized) state (19). The applied current ( $I_{app}$ ) determines the specific baseline firing rate of a given cell.

**Thalamic cells.** Thalamic cells also contain the currents required for spiking. Additionally, TC cells have a T-type calcium current ( $I_T$ ) and an  $I_h$ . As a result, these cells exhibit bursting and postinhibitory (rebound) spikes. The RE cells also contain  $I_T$ . The models for both RE and TC cells are derived from the work of Destexhe and colleagues (14, 15, 20), which examined mechanisms for  $\alpha$ -spindle rhythms in an isolated thalamus.

**Synaptic connectivity.** Connectivity between cells is established through the synaptic currents ( $I_{syn}$ ). Two such currents are considered herein: excitatory AMPA ( $I_{AMPA}$ ) and inhibitory ( $I_{GABA_A}$ ). As illustrated schematically in Fig. 2B, propofol, a GABA<sub>A</sub>-agonist, perturbs the system dynamics through an increase in the inhibitory conductance and decay time.

**Applied current and noise.** The applied current simulates all exogenous inputs to each cell not explicitly included in the model. It consists of a constant drive plus a train of excitatory postsynaptic potentials generated from a Poisson process. The constant drive is chosen randomly from a uniform distribution, which provides a measure of model robustness. In the large network, the background drive is applied only to cortical cells. The Poisson rate parameters

are chosen in a manner consistent with the work of Börgers et al. (19) to produce a  $\gamma$ -rhythm in the absence of propofol. We note that although this rhythm is not explicitly seen in Fig. 1A, it is frequently associated with a general state of attention. Thus, given the task being performed, we will infer such a  $\gamma$  as the baseline for our simulations, ensuring that our network has the ability to produce higher frequency rhythms.

**Propofol.** Baseline values of the GABA<sub>A</sub> current parameters are chosen to be consistent with those of McCarthy et al. (4), which matched experimental data (37). There, a low (nonanesthetic) dose of propofol was modeled as a twofold increase in both the synaptic conductance and decay time. As suggested by McCarthy et al. (4), we will extend this further by modeling a high dose as a 200–300% increase from baseline levels.

**EEG.** The EEG is modeled as the mean of AMPA currents emanating from the E-cell population (38), that is:

$$EEG = \frac{1}{N} \sum_{j=1}^N I_{AMPA,j}, \quad [2]$$

where  $n = 40$  for each of the cortical populations in the large network.

**Numerics.** Models are simulated and analyzed using C++ and MATLAB with fixed-step solvers, with a maximum time step of 0.02 ms (additional details provided in *SI Text*).

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