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**Pupillometry as an integrated readout of distinct attentional networks**

Christoph Strauch<sup>1\*</sup>, Chin-An Wang<sup>2,3</sup>, Wolfgang Einhäuser<sup>4</sup>, Stefan Van der Stigchel<sup>1</sup>,  
and Marnix Naber<sup>1</sup>

<sup>1</sup>Experimental Psychology, Helmholtz Institute, Utrecht University, The Netherlands

<sup>2</sup>Institute of Cognitive Neuroscience, National Central University, Taoyuan City, Taiwan

<sup>3</sup>Cognitive Intelligence and Precision Healthcare Center, National Central University,  
Taoyuan City, Taiwan

<sup>4</sup>Physics of Cognition Group, Chemnitz University of Technology, Chemnitz, Germany

Affiliation

**Abstract**

The course of pupillary constriction and dilation provides an easy to access, inexpensive, and non-invasive readout of brain activity. Here, we propose a new taxonomy of factors affecting the pupil and link these to associated neural underpinnings in an ascending hierarchy. Besides two well established low-level factors (light level and focal distance), we further suggest two intermediate-level factors, alerting and orienting, and a higher-level factor, executive functioning. Alerting, orienting, and executive functioning – including their respective underlying neural circuitry - highly overlap with the three principal attentional networks, making pupil size an integrated readout of distinct states of attention. As a now widespread technique, pupillometry is ready to provide meaningful applications and constitutes a viable part of the psychophysiological toolbox.

*Keywords:* Orienting, alerting, executive function, locus coeruleus, superior colliculus

## 1                                    **A new taxonomy of pupil responses**

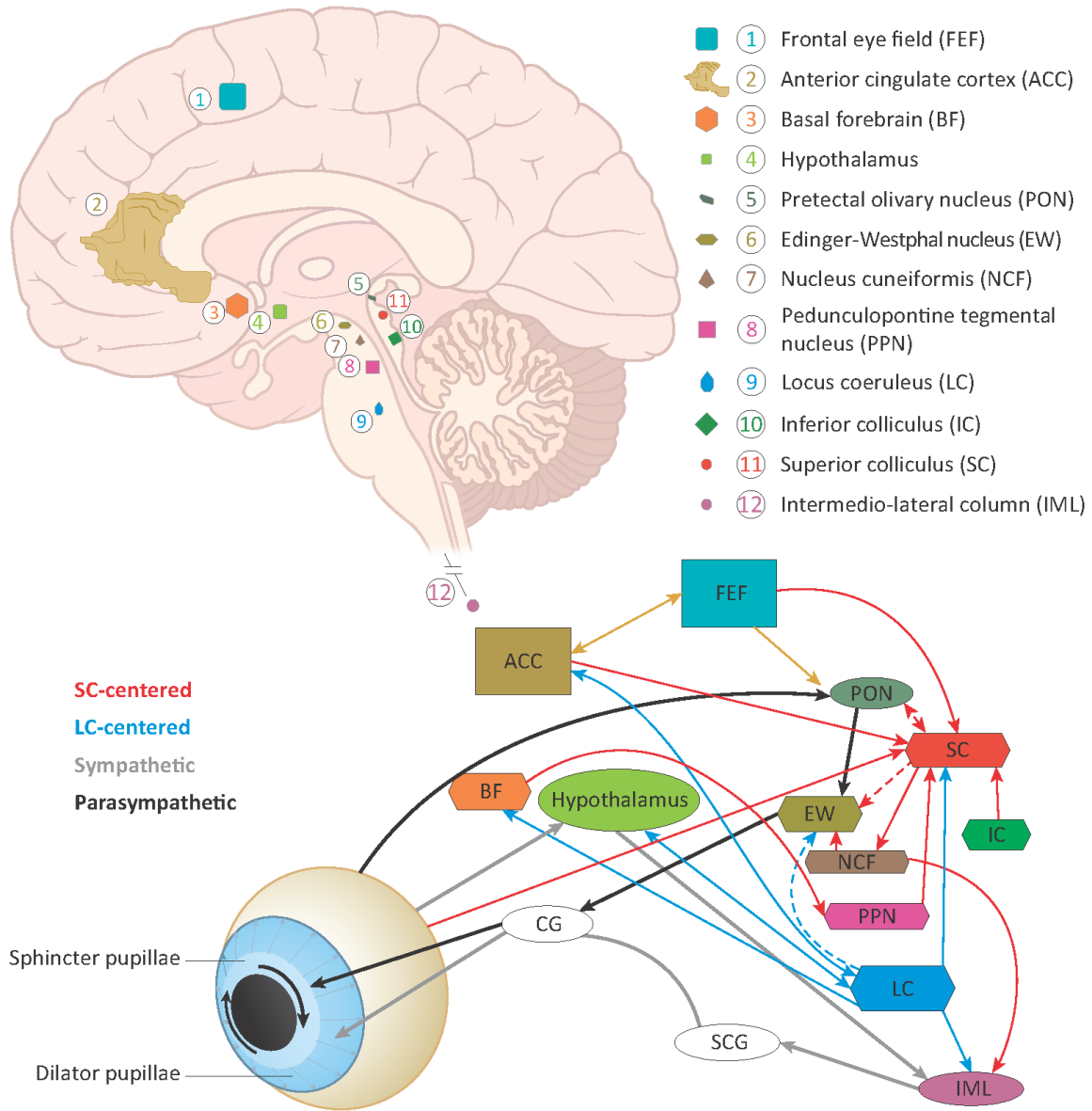
2    The human pupil is a roughly circular aperture of variable size in the iris that allows light  
3    to strike the retina. Pupil-size changes have been investigated as a neurophysiological  
4    readout since the earliest days of psychology, neurology, ophthalmology, and neuroscience.  
5    Well-documented effects in pupillometry span diverse factors, such as bodily and mental  
6    effort, attentional shifts, or neurological diseases [1, 2]. Recent developments now allow us  
7    to isolate more general, distinct types of pupil responses.

8    Here, we propose a novel taxonomy that divides pupil responses into five factors of low,  
9    intermediate and higher levels of hierarchy and link intermediate and higher-level factors to  
10   attentional functions. Low-level factors are **light level** and **focal distance** (when fixating  
11   from far to near or vice versa). On the intermediate level rank **alerting** and **orienting**,  
12   whereas **executive functioning** constitutes a higher-level factor. This distinction is  
13   supported by evidence for four underlying neural circuits: Low-level **parasympathetic**  
14   and **sympathetic** circuits yield all pupil responses via innervation of the pupillary  
15   muscles, and intermediate-level subcortical areas that control pupil size. We argue that  
16   changes so far coined as arousal-related in fact result from two partially overlapping, but  
17   distinct neural circuits that are part of an overarching attention network on the  
18   intermediate level: a **locus coeruleus (LC)-centered** circuit that brings about  
19   alertness-related changes in pupil dilation and a **superior colliculus (SC)-centered**  
20   circuit that mediates the pupil orienting response [3, 4]. These networks in turn receive  
21   input from both sensory and executive control areas, the highest level in the proposed  
22   hierarchy. These factors affect pupil size via a cascade adhering to the neural hierarchy: All  
23   factors affect low-level parasympathetic and sympathetic circuits, intermediate-level factors  
24   involve the intermediate LC-centered or SC-centered networks, and higher-level factors  
25   involve circuits on all levels. The intermediate- and higher-level circuits and responses  
26   largely overlap with factors and structures described in Petersen and Posner's networks of  
27   attention [5]: alerting, orienting, and executive function. This suggests the pupil to  
28   constitute an integrated readout of differential states/networks of attention. We propose

29 that the orienting and alerting systems match the SC and LC networks, respectively, and  
30 that the executive function network (or fronto-parietal attention network), including its  
31 connections to sensory areas, accounts for the role of top-down, focal attention in shaping  
32 primary pupillary responses.

33 We present recent findings on pupillary dynamics following the aforementioned  
34 taxonomy, including a brief overview of the associated neural underpinnings. We also  
35 discuss some key experimental protocols, and highlight applications that emerged out of  
36 more than a hundred years of pupillometry research. Circuits and involved areas are  
37 visualized in Figure 1. The intermediate circuits are presented in more detail in Box 1.

38 Lastly, we provide an overview of techniques that may allow for dissociating the networks  
39 introduced here, outline best practices in pupillometry research (Box 2), describe  
40 pupillometry in relation to other psychophysiological measurements (Box 3), and highlight  
41 applications of the five factors that drive pupil responses (Box 4).



42

43 **Figure 1.**

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**Pupillary dynamics**

45 Pupillary dynamics can best be categorized into (1) steady-state changes in baseline pupil  
 46 size and (2) transient changes relative to baseline pupil size [3]. Whereas the light level and  
 47 focal distance only affect the pupil's steady-state, and orienting only evokes temporary  
 48 changes, alerting and executive-control modulate steady-state *and* temporary changes in  
 49 pupil size depending on whether sustained or transient state changes occur, respectively.  
 50 Of the five proposed factors driving pupil size, two can be described as low-level, causing  
 51 the pupil light response (PLR) and the pupil near response (PNR), while two

52 intermediate-level factors are linked to fluctuations in alerting and orienting. Lastly,  
53 higher-level responses come into place due to executive function, including the interaction  
54 between the control of focal attention and sensory processing. We next introduce the five  
55 factors, from low-level to higher-level, along with recently emerged applications. We also  
56 link the factors to the four circuits visualized in Figure 1.

### 57 **Low-level responses**

#### 58 *Light levels*

59 First and foremost, a high retinal light level is associated with a constricted pupil state  
60 whereas low retinal light level is associated with a relatively dilated pupil state.  
61 Correspondingly, changes in retinal light levels let pupils dilate and constrict respectively,  
62 likely as a relatively fast adaptation mechanism to improve contrast perception. In terms of  
63 time course, pupil constrictions in response to a light level increase at the retina reach  
64 minimum pupil size typically faster than 1 s and within 2 s maximum, while redilations  
65 usually take several seconds, and can even take minutes after strong stimulation with blue  
66 light [6]. Pupil response onset latencies are faster for constrictions (ranging from 200 ms to  
67 400 ms) than for dilations, but these vary hugely as they depend on the individual and on  
68 stimulus intensity [2, 6, 7].

69 The pupil light response and the neural structures mediating it are well-established [2].  
70 Transient changes in steady-state pupil size in response to an increase or decrease in light  
71 levels are mediated mainly by the activation of the parasympathetic or sympathetic  
72 pathway, respectively [2]. As illustrated in Figure 1, many structures are involved in the  
73 control of pupil size (see [2, 3, 8] for reviews). Briefly, the pupil is controlled by the  
74 sphincter pupillae muscle (for constriction) and the dilator pupillae muscle (for dilation)  
75 of the iris. These two muscles are mediated, respectively, by the parasympathetic (black  
76 lines in Figure 1) and sympathetic (gray lines) pathways of the autonomic nervous system;  
77 pupil size is hence determined by balanced activity between these two antagonistic  
78 pathways. In the parasympathetic pathway, neurons in the Edinger-Westphal preganglionic  
79 cell group (EWpg) project to the ciliary ganglion [9]. The cholinergic postganglionic

80 fibers in the ciliary ganglion target the muscles of the sphincter pupillae via the short  
81 ciliary nerves.

82 The Edinger-Westphal (EW) nucleus receives projections from the pretectal olivary  
83 nucleus (PON), and neurons in the PON receive direct retinal signals including ones  
84 from intrinsically photosensitive retinal ganglion cells that are important for reflexive,  
85 steady-state pupillary adaptations to daylight. In the sympathetic pathway, the  
86 hypothalamus receives direct retinal input and projects to the ciliospinal centre located in  
87 the intermediolateral cell column of the spinal cord (IML) at the level of C8–T2, though  
88 the projections from the hypothalamus to the IML are less established. The preganglionic  
89 neurons of the IML project to the superior cervical ganglia (SCG), and the adrenergic  
90 postganglionic neurons of the SCG terminate in the dilator pupillae muscle via the long  
91 and short ciliary nerves.

## 92 *Focal distance*

93 Steady-state pupil size is modulated by the focal distance, that is, the depth at which  
94 both eyes fixate [10]. When fixation focus changes from far to near, the lens  
95 accommodates, the eyes converge, and pupils constrict. These three aspects form what is  
96 known as the near triad [2, 11]. Shortly after the lens is accommodated, the pupil starts  
97 constricting. This constriction typically slightly overshoots, and the pupil starts to  
98 redilate when accommodation is still maintained. Such a pupil constriction, like a  
99 narrowing of the aperture of a camera lens, increases the depth of focus (or field),  
100 meaning that objects slightly deviating in depth from the optimal fixation remain in focus.  
101 When focus changes from near to far, the lens disaccommodates, the eyes diverge, and  
102 the pupil dilates [11].

103 The pupil near-response is regulated by the parasympathetic pathway [11]. As pupil  
104 constriction during near viewing is not correlated to responses in PON luminance neurons,  
105 it is believed that the PNR is simply controlled by the EWpg [12]. A number of brain areas  
106 are involved in the near triad, and the current model suggests that the PNR is driven by  
107 an interaction of the accommodation and convergence controller [13].



**Intermediate-level responses**

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109 *Alerting*

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Vigilance and performance are related to arousal in an inverted-U shape. Optimal performance is therefore generally observed at intermediate levels of arousal indicated by pupil size [14]. As a modification of Petersen and Posner's broader term of *alerting* [5], it is specifically the *intensity* of attention [15] that seems to be most closely reflected in pupil size. Whereas steady oscillations in pupil size around baseline reflect fatigue [16], steady-state pupil size is determined by general arousal levels [17, 18]. Temporary responses reflect short-lasting deviations from baseline, characterized as sudden dilations or constrictions in response to changes in internal mental states. Internal events that dilate pupils include factors such as evidence accumulation during decision-making, processing of self-relevant, emotional, or sexual stimuli and are commonly traced back to changes in mental effort [19] [see 20, 21, for reviews], in other words to changes in the intensity of attention. The intensity of attention in turn relates to many higher-level processes, which is part of the reason why so many higher-level factors are reflected in pupil size. Furthermore, movement or its preparation, for instance pressing a key, causes a pupil dilation that likely only partially reflects the foregoing decision [22, 23, 24].

Differential roles of tonic and phasic LC-activity, reflected in distinct pupil dynamics, have been suggested as part of the influential adaptive-gain theory [25]. The theory relates to concepts from the foraging behavior field, which differentiates between period of exploitation (consuming resources) and exploration (seeking for new resources). According to the adaptive-gain theory, during periods of exploitation, task-engagement is maintained, distraction is shielded against, and information is processed accurately. In these periods, baseline firing rate of the LC is moderate and baseline pupil size remains small. In response to relevant events, phasic firing of the LC occurs and results in transient pupil dilations. During (tonic) periods of exploration, task-disengagement and the exploration of new sources of reward is facilitated and baseline firing of the LC and pupil size is elevated [26, 27, 28]. This contrast concurs with the rest-and-digest versus fight-flight

136 function of the parasympathetic versus sympathetic components of the autonomous,  
137 peripheral nervous systems, respectively [2, 29]. The adaptive gain theory therefore links  
138 phasic and tonic components driving pupil size changes to behavior across different  
139 species [30, 31, 32, 33, 34]. Modeling accounts allow to understand functional roles of  
140 pupil responses in task behavior, and such modeling suggested for instance differential  
141 roles of phasic responses linked to stimulus encoding and of decision formation in mice  
142 [33].

143 The alerting **LC-centered circuit** releases norepinephrine and connects to most of the  
144 brain (see Box 1 for a detailed description and Figure 1 for a visualization). This is  
145 demonstrated, among other ways, by conjoint fMRI and pupillometry investigations,  
146 showing a high degree of covariation between changes in pupil size and LC-activation  
147 [35, 36] and by animal studies in which microstimulation of the LC results in pupil-size  
148 changes [37, 38, 39]. A crucial role of input from the orbitofrontal cortex (OFC) and  
149 anterior cingulate cortex (ACC) to the LC has been proposed as part of the adaptive-gain  
150 theory, with the OFC being linked to evaluating reward and the ACC being linked to  
151 evaluating cost [25]. While innervations of the LC by the ACC are established in  
152 multiple species, such innervations by the OFC are found in rodents but not primates  
153 [40, 41, 42], requiring further investigation.

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### 155 *Orienting*

156 The appearance of an external, salient, and relatively novel stimulus in the environment  
157 initiates a repertoire of orienting responses to prepare the body for possible action for  
158 survival, including attentional shifts, eye/head/body movements, and changes in pupil size  
159 [43, 44]. Temporary pupil responses following attentional re-orienting may occur in  
160 isolation, but are mostly observed in parallel with steady-state changes in pupil size caused  
161 by alterations in light levels, focal distance, or alertness that stimulus onsets typically also  
162 evoke (e.g., see [45]). However, due to differences in latency, pupil orienting responses  
163 slightly precede responses linked to alerting and the pupil dark response. Multiple  
164 components within a pupil response (e.g., a dilation to a decrease in light levels

165 superimposed on a constriction after re-orienting) can be disentangled using  
166 (de)convolution modelling [46] if the implementation of control conditions is not feasible.

167 Pupillary orienting responses are by definition short-lasting. The pupil changes (most often:  
168 constricts) in response to any type of visual event, even when the global luminance level  
169 remains unaltered, whether it is a change in local or global contrast [47, 48], color [48, 49],  
170 spatial frequency [50], orientation [51], motion velocity [49], or (apparent) motion direction  
171 [52, 53, 54]. Moreover, these pupillary orienting responses are evoked independent of  
172 stimulus modality [55, 56, 57], and enhanced by multisensory presentation in an additive and  
173 linear manner [23, 24]. More importantly, the speed and amplitude of evoked pupillary  
174 orienting responses scale with salience [55, 58, 59], suggesting that this response is indeed  
175 linked to orienting. Interestingly, the amplitude of such saliency-driven responses is shaped  
176 by the depth of sensory processing, such as the degree of attention and awareness for the  
177 external events (for reviews, see [60, 61]). So far, it remains unknown why the pupil  
178 orienting response consists of a constriction or dilation depending on the type of stimulus  
179 being used. As the orienting response is spatial in nature, it can even reveal biases in spatial  
180 attention (e.g., "pseudoneglect") [62]. The generalization of effects of pupillary modulation  
181 in response to stimuli across sensory domains suggests the existence of an underlying  
182 modality-independent orienting system. This system is likely mediated by the SC-centered  
183 circuit (see Box 1), which receives multisensory [63] and cognitive signals from many areas  
184 such as the Frontal Eye Field (FEF) and basal ganglia [4]. Thus, pupil-size changes likely  
185 reflect attentional orienting in response to a novel stimulus and reflect a process serving  
186 the ability to prioritize sensory input by its modality or location [5].

187 As highlighted in Box 1 and visualized in Figure 1, the SC forms the hub of a network  
188 underlying pupil responses related to the integration of multisensory input and prominent  
189 areas in the orienting-network by Petersen and Posner [5], such as the FEF and ACC [64].  
190 Thus, activity best described as orienting response affects the size of the pupil. The SC-  
191 centered circuit which we have outlined here is proposed to be the primary network  
192 underlying the pupil orienting response, the speed of which is determined by the  
193 LC-centered alerting circuit which provides direct input to the SC [65]. It should be

194 noted, however, that the response latency to sensory stimulus onset is shorter for SC [66]  
195 than LC neurons [67], suggesting alertness at stimulus onset to be predictive of the speed  
196 of the orienting response, whereas changes in alertness elicited by the same stimulus are  
197 too late to affect the speed of that respective orienting response. In line with this notion,  
198 pupil response onset latencies are shorter for microstimulation of the SC than the LC  
199 [37], suggesting the SC to be closer to the final common path.

### 200 201 **Higher-level responses modulated by executive functions**

202 Higher-level factors that affect the pupil can be subsumed under the notions of sensory  
203 interpretation and executive function, with the latter being the broadest of Petersen and  
204 Posner's factors [5]. Executive functions, among other roles, allow to guide the allocation  
205 of focal attention to control the depth of processing and degree of awareness of the most  
206 relevant and novel targets in the environment. Attention can be endogenously directed  
207 (top-down guided) to a target, which can consist of either a spatial element (e.g., a visual  
208 location), a physical entity (e.g., a person), or a specific feature (e.g., the pitch of a voice  
209 within a conversation at a cocktail party). When focal attention is allocated to a target, it  
210 is processed in depth - at the expense of other items - enabling more efficient processing.  
211 Such effects of attention operate, in part, on early sensory representations, enhancing  
212 targets relative to distractors. It is therefore perhaps no surprise that  
213 higher-level cognitive functions leave a mark on pupillary dynamics in a manner reflecting  
214 sensory operations [see 60, 61, 68, for reviews].

215 The strongest evidence of how higher-level cognitive processes shape pupil size comes from  
216 studies that manipulate perception (i.e., the content of awareness) despite a constant  
217 physical stimulation. Using bi-stable (ambiguous) figures that evoke alternating dark or  
218 bright percepts depending on the observer's subjective state, pupil size will increase when a  
219 dark percept is dominant and decrease when a bright percept is dominant, even though the  
220 stimulus itself does not change [52, 69]. Furthermore, studies on mental imagery, a  
221 higher-level cognitive operation, showed that mentally visualizing a dark scene leads to a

222 pupil dilation [70], and natural scene studies showed that the presentation of illusory bright  
223 stimuli, like images of a sun, evokes pupil constrictions [68, 71, 72, 73]. Similarly, the  
224 interpretation of a scene as close in depth has recently been associated with a pupil  
225 constriction compared with the interpretation as far [74], as is the mental imagery of close  
226 compared with distant objects [75] via the pupil-near response.

227 The aforementioned phenomena can be exploited to discern which objects or parts of a  
228 scene are attended [76] or how spatial attention is deployed [62, 77]. When separate objects  
229 (or visual field regions) are tagged with a distinct light level, the attended object's  
230 luminance but not its surrounding determines pupil size [60, 61, 72, 78]. Objects can also  
231 be tagged with distinct luminance flicker frequencies (or phases), accordingly affecting the  
232 pupil in a manner that allows the on-line identification of which objects are attended or  
233 ignored [76, 79].

234 Besides such higher-level effects on steady-state adaptations of pupil size to subjective  
235 brightness and depth perception, executive functions similarly affect the pupil's orienting  
236 responses. The degree to which a stimulus receives attention determines the pupil  
237 responsiveness, and this applies to onsets of both auditory [80, 81, 82] and visual stimuli  
238 [76, 83]. The degree of pupil responsiveness during orienting may similarly depend on the  
239 saliency of subjective events, like the perceptual change of an ambiguous stimulus [45, 52,  
240 84, 85, 86] or even the number of stimuli present in a display [87]. In a similar vein,  
241 presentations of stimuli with preferred and common features tend to evoke stronger pupil  
242 constrictions than stimuli displaying less preferred/common features. For example, the  
243 presentation of sine-wave gratings at around 3 cycles per degree, a spatial frequency  
244 preferred by the visual system, evokes stronger pupil constrictions than other spatial  
245 frequencies [47, 50, 88]. Uncommonly processed stimuli, such as an inverted natural scene,  
246 let the pupil constrict only weakly [73, 89]. When a novel rather than familiar stimulus is  
247 shown, the pupil constricts more strongly [90, 91].

248 The cortical processing of stimuli follows a hierarchy, with changes in simple stimulus  
249 features (e.g., contrast) evoking activity at early stages and changes in more complex  
250 features (e.g., shape) at later stages. Orienting responses to stimuli reflect the timing of

251 these operations as the complexity of a stimulus positively correlates with pupil  
252 constriction latencies [48]. Besides saliency (conspicuity), pupil responses thus also depend  
253 on the timing of the onset of processing of sensory events. The pupil as a tool to mark the  
254 order of processes has been demonstrated beyond sensory tasks, including the highlighting  
255 of object detection versus subsequent identification phases [92] and ballistic versus  
256 subsequent error-correction phases of motor coordination [27].

257 The attention network subserving executive function consists of frontal and parietal  
258 regions. Frontal regions include the dorsolateral prefrontal cortex (DLPFC), FEF, ACC, as  
259 well as pre-motor cortex, and are mostly responsible for initiating changes in focal  
260 attention. Parietal regions include the temporal-parietal junction (TPC), intraparietal  
261 sulcus and adjacent areas (e.g., LIP), and several other regions implicated in integrating  
262 visuomotor information to shift attention covertly (without eye movements) or overtly  
263 (with eye-movements). These latter areas reciprocally connect to sensory regions to  
264 enhance target processing and to plan subsequent shifts to novel targets, including  
265 through the feedback of information to frontal regions. Frontal regions, particularly the  
266 FEF and ACC, likely modulate the aforementioned higher-level effects on pupil size  
267 through the close connection to the SCi [44]. The topographic organization of the SC, in  
268 particular, marks this neural locus as a likely candidate to mediate pupillary effects of  
269 covert spatial attention to stimulus events (enhanced orienting) and anisotropies in  
270 background light levels (enhanced light response) [93].

271 It should be noted that the FEF also directly projects to the visual cortex [94] and the  
272 PON [95], potentially modulating sensory regions and changes in pupil size, but this  
273 proposition remains to be established. Additionally, the LC connects to the ACC and  
274 OFC anatomically and functionally, a pathway which is also involved in pupil size control  
275 and important to executive function [5, 96, 97]. Thus, the LC-centered circuit can also  
276 mediate higher-level pupillary responses. As the LC is non-topographically organized,  
277 we argue that the LC provides critical control signals to topographically sensitive structures  
278 [93], particularly the SC, to coordinate movements that are spatially directed (e.g.,  
279 saccades) or non-spatially directed (e.g., pupil responses).

280

281

### Concluding remarks and future perspectives

282 Pupil size is influenced by a wide variety of factors, which we categorize into low-level  
283 factors – **light-level** and **focal distance**; intermediate-level factors – **alerting** and  
284 **orienting**; and higher-level phenomena, subsumed under **executive function**. Neural  
285 circuits underlying low-level, intermediate-level, and higher-level effects interactively  
286 change pupil size in a cascaded manner. As low-level and principal circuits, the  
287 parasympathetic and the sympathetic pathways control pupil responses from all levels of  
288 the hierarchy. The LC-centered and the SC-centered circuits underlie intermediate-level  
289 pupil responses. Effects linked to higher-level executive function are likely mediated via  
290 the LC- and SC-centered circuits, in which the ACC and FEF are particularly involved.  
291 Because the LC and SC have extensive connections to many brain regions (beyond the  
292 ACC and FEF), future research is required to explore their connections to these structures  
293 that may also contribute to higher-level pupil modulations.

294 The intermediate and higher-level factors affecting pupil size, as well as their associated  
295 networks overlap with the attentional networks introduced by Petersen and Posner [5],  
296 suggesting that the pupil provides an integrated readout of activity in each attentional  
297 network. With the proposed taxonomy, we seek to demonstrate the rich neurophysiological  
298 signal that the timecourse of pupillary constriction and dilation provides and to outline  
299 further avenues for advancing its understanding. Many intriguing questions remain to be  
300 addressed in future work (see Outstanding Questions). For instance, future research will  
301 have to further elucidate the existence of differential factors within executive function,  
302 possibly by identifying differential components in the pupillary signal. At the level of  
303 neural circuitry, the (causal) identification of distinct and clearly defined circuits  
304 bringing about changes in relation to executive function could further help isolate these  
305 possible subcomponents of executive function. Furthermore, the relation between pupil-size  
306 changes and other peripheral indicators is still not fully understood, and it is likely that the  
307 pupil differs from other psychophysiological indicators in more than just sensitivity. Yet,

308 a deepened understanding of these relationships may allow for the isolation of much more  
309 specific cognitive factors by combining peripheral indicators of arousal that are sensitive  
310 to differential factors. Furthermore, such measurement combinations could bring about  
311 robust applications by factoring out effects of individual factors that selectively affect one  
312 but not all indicators obtained simultaneously.  
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314 **Box 1. Neural circuitry involving the locus coeruleus, superior colliculus, and**  
315 **basal forebrain.**

316 The **locus coeruleus (LC)-centered circuit** mediates pupil responses related to alterations  
317 in the arousal system mainly via releasing norepinephrine throughout most of the brain  
318 [3, 25]. In behaving monkey, baseline (steady-state) pupil size during passive fixation and  
319 temporary pupil responses evoked by acoustic stimuli or stimuli related to effort and reward  
320 positively correlate with LC activity [37, 98]. Similarly, in humans performing cognitive tasks,  
321 LC BOLD activity positively correlates with pupil size [35] and responses [36]. Moreover, LC  
322 microstimulation in monkeys and rats evokes pupil dilation [37, 38], and pupil dilations are  
323 also observed after LC-NE activity in the cortex of awake mice [39, 99], although these  
324 correlations vary considerably over time [100]. While the latter finding warns against  
325 interpreting pupil size as direct readout of LC activity, notably, latencies in primates are  
326 fundamentally different than those in rats [37, 38]. It is hypothesized that LC efferent  
327 projections to the IML and hypothalamus could underlie coupling between pupil size and  
328 LC activity [3].

329 The **superior colliculus (SC)-centered circuit** mediates the orienting pupil response [4].  
330 The intermediate SC (SCi) integrates multisensory, arousal, and cognitive signals from  
331 various areas including the superficial superior colliculus (SCs), inferior colliculus (IC), LC,  
332 lateral intraparietal cortex (LIP), anterior cingulate cortex (ACC) and frontal eye fields  
333 (FEF), and projects directly to the brainstem premotor circuit to coordinate the orienting  
334 response including eye/head/body movement, attention shifts, and pupil responses [44, 101].  
335 SCi microstimulation can evoke pupil dilation [37, 102, 103], with similar dilation observed  
336 following IC, LC, and FEF microstimulation [37, 104]. The SCi, compared to the LC and  
337 IC, has the shortest microstimulation-evoked pupil response onset latency [37], suggesting  
338 that the SCi is the structure that is most closely located to the final common path. Besides,  
339 the SCi and FEF are causally involved in alternating pupil size as a function of the focus  
340 of attentional switches between locations with varying luminance [93, 105], explaining pupil  
341 brightness responses induced by higher-level cognition [60, 61]. The SCi connects to the  
342 EW nucleus mostly indirectly via the central mesencephalic reticular formation (cMRF; or

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343 nucleus cuneiformis in humans) [106, 107]. The EW nucleus projects to the ciliary  
344 ganglion with excitatory and inhibitory connections [108], which at least theoretically could  
345 produce both constriction and dilation. The SC also links to the medullary reticular  
346 formation directly and indirectly via the cMRF to possibly influence preganglionic  
347 sympathetic motoneurons [109], together providing the necessary connections to change  
348 pupil size.

349 Cholinergic neurons of **the basal forebrain (BF)** are activated during pupil dilation in  
350 walking mice [39, 110]. LC projections to the BF could underlie these pupil correlations  
351 [3]. Notably, the cholinergic BF functionally connects to the pedunculopontine tegmental  
352 nucleus (PPN), as injection of inhibitory lidocaine in the BF causes reduced activation  
353 elicited by PPN stimulation [111]. The SCi receives PPN projections, and changing SC  
354 cholinergic activity via PPT input modulates saccade responses [112]. Together, the BF  
355 could be involved in pupil modulations related to alerting and orienting.

356 As pupil size is modulated by neural activity from noradrenergic brainstem nuclei (e.g.,  
357 LC), the orienting circuit (e.g., SC), and cholinergic BF, we argue that all these circuits are  
358 involved in modulating pupil size during executive functioning.

359

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**Box 2. Pupil size as part of the psychophysiological toolbox.**

Whereas both the parasympathetic and the sympathetic branch of the autonomous nervous system control pupil size, two other popular psychophysiological indicators, **heart rate** and **skin conductance**, are predominantly controlled by the former [113] and latter [114], respectively. To what extent and for which tasks the pupil provides independent information relative to these measures and to the EEG (power in certain frequency bands or components of the event-related potentials (ERPs) [115]) is therefore of particular interest.

Correlations between pupil, heart rate and skin conductance have been reported, for example when viewing emotionally charged pictures, and suggest a common underlying system [80]. In contrast to arousal, valence seems to only affect heart rate, but not skin conductance and pupil size [116]. Skin conductance and heart rate can each predict unique components of the variations in pupil size, even on a trial-by-trial basis, suggesting that the pupil provides combined information from the sympathetic and parasympathetic systems [117]. Studies manipulating expectancy have shown that all three peripheral physiological measures relate to task preparation, but exhibit little between-subject or trial-by-trial correlations [118]. Similarly, mental fatigue affects heart rate variability, but leaves EEG, skin conductance, and pupil responses largely unaffected, whereas they scale similarly with reward [119]. During resting state, pupil size and skin conductance correlate [120], but in fear conditioning they clearly capture distinct aspects [121, 122]. In line with the latter, in rats, unique information is provided by both heart rate and pupil size on behavioral performance [123]. In EEG, the P3 ERP component shows similarities with phasic pupil dilations, for instance for time-on-task effects, but a mere alertness/LC-account is insufficient to explain all relations between these measures [17].

In sum - depending on the paradigm - **pupil size, skin conductance, heart rate and EEG-based measures are related** [see 124, for a review], **but often capture distinct aspects of underlying processes and their respective circuitry**. Unlike EEG, peripheral measures, in particular pupil size, are one-dimensional and no spatial dimension is available. Unlike the general ERP, the pupil reflects activity in the highly specified subset of subcortical regions outlined in Figure 1. This might be one of the reasons why less trials are usually needed in

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389 pupillometry compared to EEG research. Nonetheless, advanced data-analysis techniques  
390 put forward for EEG can be useful in pupillometry (see Box 3). Such techniques might  
391 eventually reveal more subtle relations between the indicators than simple correlations  
392 between more or less raw signals. While EEG can extract physiologically meaningful signals  
393 up to the high gamma range (around 60 Hz), pupillometry is limited by the frequency response  
394 of the pupil (up to about 3 Hz [76]) with the other measures even slower. Associated  
395 latencies and their variability thus limit the throughput of experimental paradigms. To this  
396 end, pupillometry often provides a good compromise between the speed of EEG and the  
397 relative simplicity and robustness of measurement of peripheral psychophysiological signals.

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399 **Box 3. Best practices in pupillometry research.** Any stimulus used to study intermediate-  
400 or higher-level effects needs to be equalized for luminance, contrast, and other feature  
401 distributions across space. **Brightness, movements**, such as button presses [22, 23, 24], as  
402 well as other factors outlined in text must be kept constant or controlled for, unless being  
403 a manipulation of interest. For instance, even the tiniest luminance difference, such as the  
404 amount of eye-white (sclera) visible in face stimuli [125] or slight local differences in  
405 brightness [126] can already confound pupillary responses. Similarly, **stimulus location**,  
406 including stimuli presented (1) in the periphery, (2) monocularly near the nose (nasal), or  
407 (3) achromatically in the lower visual field evoke weaker pupil responses than other locations  
408 [127]. **Blinks** often induce a pupil constriction and are followed by a later redilation [57,  
409 128]. Blinks can be treated as missing data or be interpolated, the latter being more useful in  
410 context of analyses over time points. **Saccades** (planning and execution) may cause either  
411 pupil dilations or constrictions [57, 129]. **Gaze position** changes distort the estimated pupil  
412 size depending on the angle of video-based eye-trackers, but can be corrected for [130].  
413 **Latencies** of pupillary responses are crucial for planning the duration of trials and inter-  
414 stimulus intervals. Based on the **linearly additive model** of pupil-size changes [e.g. 131] -  
415 at least in non-extreme ranges of baseline pupil size that can lead to **floor/ceiling effects**  
416 - the usage of subtractive rather than divisive **baselines** is usually advised for [132, 133].  
417 Similarly, there is no standard for the **units of pupil size effects**. Absolute deviation (mm,  
418 pixels, arbitrary units) better represents the underlying model of the event-related pupil  
419 response than divisive units such as percentage changes or z-standardized values, although  
420 the latter offers the unique advantage of putting effects in context with variation directly and  
421 removes individual differences in pupil response sensitivities. Millimeters are generally best  
422 suited for reporting effects. Millimeters are understandable, more useful for practitioners  
423 who rely on anatomical size, allow to identify possible floor/ceiling effects and to compare  
424 effect sizes across studies. As for baselines and units, there is no established standard  
425 (besides recent attempts, see [134]) for **conducting and reporting statistics**, as well as for  
426 **correcting for multiple tests**. Amplitudes, maxima, or minima in pupil size may be  
427 reported, which can be more prone to noise than averages over intervals, which in turn are

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428 prone to cherry-picking. In the absence of prior knowledge about 'pupil components'  
429 (analogous to ERP components), we argue in favor of using time-point-wise analysis [86,  
430 135] with the appropriate  $\alpha$ -level correction. Based on a common practice for spatial  
431 dependency in fMRI research [136], we recommend the usage of **cluster-based**  
432 **corrections to avoid alpha error inflation**, as tests are locally highly dependent on  
433 adjacent tests over time. Alternatively, a data-driven decomposition into components, for  
434 instance with PCA, or weighted pulse event function modelling can be advisable [46, 56,  
435 57, 83].

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437 **Box 4. Applications of pupil size measurements.** As the pupil response can be accessed  
438 relatively easily by contact-free measurements, it offers a broad variety of applications. In  
439 **clinical diagnostics and research**, alterations of the pupil may indicate neurological  
440 damages, arguably one of the oldest pupillometry applications. Today, ample evidence exists  
441 on distinctions between healthy controls and individuals with conditions ranging from  
442 schizophrenia, autism spectrum disorder [137] (but see [138]), anxiety and phobia,  
443 Parkinson's disease, and Alzheimer's disease (see [7, 20] for reviews).

444 In **ophthalmology**, pupil perimetry can detect visual field impairments, whether caused by  
445 retinal damage as a consequence of glaucoma, other eye diseases, or cerebral visual impairments  
446 [139, 140]. Here, pupil changes are visually evoked to assess awareness of (or visual sensitivity  
447 to) stimuli across the visual field [140, 141]. Stimuli presented in a patient's scotoma let the  
448 pupil constrict with about half of the amplitude of healthy controls [142]. Similarly,  
449 attentional spatial biases, such as present in hemispatial neglect, can be revealed using  
450 pupillometry [62]. **Pupil-computer interfaces (PCI)** exploit pupillometry for a user to  
451 signal information actively (e.g., to input text, intended particularly for patient populations)  
452 or passively (e.g., to adapt an interface to arousal levels). Voluntary shifts in focus from  
453 far-to-near and near-to-far and the resulting pupil responses allow users to communicate  
454 about six bits per minute [143]. The pupil can decode which of several differentially  
455 flickering targets is covertly attended [76], which allows text input at about par to the best  
456 steady-state evoked potential-based brain computer interfaces [78]. As the pupil indicates  
457 changes in mental effort, locked-in patients could communicate "yes" or "no" by performing  
458 mental arithmetic for the time interval in which the response was presented - without the  
459 need for training or individual adjustment [144]. Based on effects of changes in mental effort  
460 on pupil size during decision-making [23, 30], binary decisions can be decoded in up to 75%  
461 success rate and thus contribute to intent predictions in PCIs [145]. The tight coupling  
462 between alertness and pupil size has been used as input signal for **biofeedback**  
463 applications [146, 147]. Alertness-adaptive interfaces can use sensed information, e.g., to  
464 adjust video gameplay dynamics [148].

465 The **continuous monitoring of mental effort or workload** via pupillometry is a popular

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466 suggestion for many applied domains ranging from education sciences to human-computer  
467 interaction or human factors, e.g., in driving contexts [149]. While in many of the envisioned  
468 settings, other relevant factors - like rapidly changing light levels - are hard to control, the  
469 notion of measuring effort also allows screening **non-visual deficits** with pupillometry. For  
470 instance, close-to-deaf listeners likely apply more mental effort to decipher what is heard,  
471 resulting in pupil dilations [150, 151, 152].

472



473

**Figure legend**

474 Figure 1: **Schematic overview of pupil control pathways.** Top: Visualization of key pupil-  
475 associated structures in sagittal cut of the human brain. Numbers, colors, and symbolic  
476 shapes in the brain figure indicate structures that correspond to the legend on the right.  
477 Bottom: Four main neural circuits determine pupil size: The parasympathetic (black) and  
478 sympathetic (gray) paths as low-level circuits (oval shapes), LC-centered (blue), and  
479 SC-centered circuits (red), as intermediate-level circuits (hexagonal shapes), and  
480 connecting points to higher-level circuits, such as frontal eye-fields and ACC  
481 (rectangles). Solid lines denote established connections whereas dashed lines denote  
482 plausible, but less definitively established connections. Yellow projections are  
483 anatomical pathways that do not form part of the four circuits outlined here.

484

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488

**Declaration of interests**

489 The authors declare no competing interests.

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