



# Neural Basis of Delusions in Schizophrenia: Translational Implications for Therapeutic Neuromodulation

Rujuta Parlikar, Damodharan Dinakaran, Anushree Bose, Naren P. Rao and Ganesan Venkatasubramanian\*

**Abstract** | Delusions are false, fixed beliefs which are held with incredible conviction, in spite of being substantiated to the contrary. These are present in a number of brain disorders, primarily representing one of the fundamental components of schizophrenia, presenting in about 70% of the patient population. Responsivity of delusions to antipsychotic medication, if present, is only partial, with absolutely no response in several other cases. Limited studies have engaged in exploring the neural substrates of delusion. The most extensive study conducted in this field has implicated the right dorsolateral prefrontal cortex (rDLPFC) disruption, to be clinically associated with the severity of delusions. Using a brain stimulation technique, high-definition transcranial direct current stimulation (HD-tDCS), targeting the rDLPFC, has a potential to induce neuroplasticity changes that are presumed to decrease the delusion score and severity. Using HD-tDCS, focalized neuromodulation of rDLPFC can be implemented. Alongside mainstream treatment such as antipsychotic medications and cognitive behavioral interventions, HD-tDCS to rDLPFC, holds the potential to be an effective treatment module for addressing refractory delusions in schizophrenia.

**Keywords:** *Delusion, Schizophrenia, Dorsolateral prefrontal cortex, Transcranial direct current stimulation (tDCS), Salience network, Prediction error*

## 1 Introduction

Schizophrenia is broadly conceptualized to comprise of positive, negative and cognitive domains. It has been quite a challenge to postulate various neurobiological mechanisms underlying these psychopathological domains. There are only a few experimental studies that have attempted to explore putative mechanisms underlying the delusions<sup>1</sup>. The picture gets complex because of the heterogeneous presentation of delusions, studies relying on global rating scales and antipsychotic medication-related changes in neural circuitry and processing<sup>2</sup>. This complexity also manifests in the varied response of delusions to available treatment options which are neither neurobiologically informed nor tailor made to suit that particular individual.

Recent studies have postulated hypotheses based on ‘two-factor model’ in the origin and maintenance of delusions<sup>3</sup> and prediction error bias model that draws from the corollary discharge phenomenon<sup>4</sup>. Aberrant activation of right prefrontal cortex has been shown to positively correlate with severity of delusions<sup>5, 6</sup>. Based on such neurobiological findings, this review attempts to establish a case for the neural basis of delusions and postulate an informed treatment mechanism for its amelioration. It is desirable to conduct further translational clinical research by guiding models of neuromodulatory treatments targeted at amelioration of persistent clinical symptoms such as delusions by systematically examining the available neurobiological findings explaining its pathophysiology.

Schizophrenia Clinic,  
Department of Psychiatry,  
WISER Program, National  
Institute of Mental Health  
And Neurosciences  
(NIMHANS),  
Bangalore 560029, India  
\*venkat.nimhans@gmail.  
com

## 2 Genesis and Maintenance of Delusions: Neural Basis

Delusions, often defined as inappropriate and inflexible beliefs, held with supreme conviction are postulated to result from aberrant functioning of at least two important neural circuits: (1) prediction error pathway, and (2) the salience network<sup>6</sup>. The meso-cortico-limbic pathway is attributed an important role in the processing of reward prediction error. The purpose of the positive prediction error is to ascertain newer learning when the outcome of an event is unexpected with respect to past representations of desired goal<sup>7</sup>. Likewise, the purpose of negative prediction error is to terminate older learning when newer learning is established<sup>8,9</sup>. Empirical studies postulate two possible outcomes in the event of an aberration in the functioning of meso-cortico-limbic pathway: (a) every outcome is considered new and unexpected, leading to newer incorrect learning. This faulty learning fuels a climate of confused and disoriented uncertainty which in turn triggers the processes of delusion formation. The delusions placate the sufferer by letting them identify with some predictability and meaningfulness to the situation. This effect is believed to be responsible for the genesis of delusions, explaining its erroneous, incomprehensible nature<sup>6</sup>; (b) Defect in the negative prediction error, which causes loss of extinction learning required for termination of goal representations from past. There is loss of dissolution of representations that are no longer relevant to the present<sup>10</sup>. This lack or absence of termination mechanism of odd belief systems explains the strong and fixed nature of these construed beliefs, which are maintained with undeterred conviction in the face of contradictory evidence. This effect is believed to be responsible for the maintenance of delusions.

Another theory explaining the genesis and maintenance of delusions is the aberrant functioning of salience network. Under normal circumstances, this network engages in identifying a particularly vital or novel signal, by assigning attentional resources to it on priority. The signal is then forwarded to the prefrontal cortex, the seat of causal learning, where causality between effect and outcome is established. Imprinting of salience to stimuli is regulated by the neurotransmitter dopamine, and the indiscriminate hyper-assignment of salience results from its over activity<sup>11</sup>. As there is no one signal, but a variety, a chaotic input is presented to the prefrontal cortex for assessment<sup>12</sup>. This jumble leads to establishment of inappropriate causality between events

and outcomes yielding to the coagulation of unrelated ideas as delusions<sup>11</sup>. These thusly malformed beliefs impart some amount of plausibility to the confusion that the sufferers experiences. After some time, there is a shift of the neural circuit of dopamine from flexible ventral striatum to fixed dorsal striatum, causing the beliefs to get habituated and become fixed in nature<sup>6</sup>. This shift explains the maintenance of delusional beliefs, in spite of the questionable reliability of its foundation. These are the two models that attempt to explain the genesis of delusions and the manner in which these erroneous beliefs are maintained against proof to the contrary.

## 3 Tonic and phasic dopamine, prefrontal cortex and its association with delusions

In line with the dopamine hypothesis of schizophrenia, some interesting findings have been evidenced. Across studies, it has been identified that schizophrenia is associated with attenuated activity of frontal cortex, especially the prefrontal cortex<sup>13–15</sup>. The latter, which is postulated to be the seat of tonic dopamine release is based on NMDA receptor-based glutamate activity<sup>16,17</sup>. This tonic dopamine is claimed to play a very important role in the homeostasis of extracellular dopamine<sup>18</sup> and modulate the activity of the dopamine receptors that are important recipients of phasic dopamine input. The other form of dopamine activity occurs in the form of phasic dopamine release. It is released instantly from the ventral tegmental area and has a rapid re-uptake<sup>19–21</sup>. Furthermore, on account of high collateral connections in the striatum<sup>22,23</sup>, it is released instantaneously in escalated volumes. This phasic activity is found to be released in response to behaviorally relevant stimuli. Or, it is said to be important for conditioning the responses to stimuli<sup>24–28</sup>.

When there is decreased prefrontal activity and resultant decrease in tonic dopamine, there is an upregulation of dopamine receptors in the striatum and loss of inhibition of downregulation of the receptors<sup>29–31</sup>. Now, when there is a phasic dopamine release in response to relevant stimuli, there is more than usual or rather escalated dopamine response on account of increased receptors. As mentioned earlier from one of the studies, dopamine stamps salience to stimuli and under these circumstances, increased response would make a subject vulnerable to a variety of stimuli. These stimuli would then be sent to prefrontal cortex where in absence of single attentive signal, inappropriate causality would be drawn between

varied stimuli resulting in erroneous beliefs of delusional nature. Studies exploring the disruption of prediction error signaling have essentially found another implication for the activity of phasic dopamine release<sup>5</sup>. In the context of predictable outcome from a particular set of stimuli, there is no room for new learning to occur<sup>6</sup>. However, in the context of an unexpected outcome, there is a phasic dopamine release from the midbrain ventral tegmental area that essentially engages the prefrontal area for the processing of these unanticipated associations and facilitates newer learning. The previous goal representations from the past are thusly modified and newer representations are established<sup>32–34</sup>. Sometimes due to disruption in the signaling process, even the expected outcomes are perceived as unexpected, triggering the process of learning to generate newer representations when none are warranted. Increased dopamine affects the prefrontal cortex representations, and eventually leads to inappropriate goal-based representations; this in turn leads to the possibility of raising inappropriate conclusions. The functional role of prefrontal cortex in the cascade of thought conclusion process has been thusly established from evidences.

Anatomical components of the prefrontal cortex have also been explored for their contribution to the formation of delusional belief process. Research studies have tried to identify specific region whose disruption is more vigorously responsible for the formation or maintenance of delusions. Prefrontal cortex, other than its vital functions, executes an important role in the salience network circuit<sup>6</sup> and prediction error signaling process<sup>35</sup>. In the salience network circuit, prefrontal cortex is responsible for establishing causality between events. Salience network, which is normally engaged in effective thought process required for directing the subject's attention to a particular salient/vital signal, is believed to be disrupted in patients with delusions<sup>36</sup>. Salience circuit is comprised of midbrain dopaminergic nuclei, associative striatum and finally prefrontal cortex<sup>37</sup>. When increased dopamine in the midbrain adds hyper-salience to varied stimuli, the striatum presents the chaotic information to prefrontal cortex which establishes inappropriate causality among them leading to the formation of delusions.

Left hemisphere is primarily held accountable for organization of new information within old schemas, whereas right hemisphere is held responsible for keeping a validation check on the saved information<sup>38, 39</sup>. From this premise, it has been postulated that damage to left side of the

hemisphere will interfere with the attribution of relevance to new information, whereas damage to right side, especially the right parietal lobe, will lead to inadequate validation of the causality association in context. The latter will hinder the reality check of the incongruent belief or reason, paving way for acceptance of erroneous ideas<sup>38, 40</sup>. The incomprehensible erroneous nature of delusion thus, may indirectly be contribution from damage incurred to the right parietal lobe and right prefrontal cortex including areas such as the right DLPFC and the ventromedial prefrontal cortex.

Several studies have evaluated the association between of right-sided lesions and delusional state. In one of the studies evaluating disinhibition syndromes, where among many others, prediction error signaling is also involved, found that the right hemisphere lesions are most often than not affected in such patients<sup>41</sup>. One of the factors that up holds the basis of delusions is the defect in the reasoning process behind a belief, that engages working memory functions and plays a vital role in the decision-making process<sup>42</sup>. Studies on schizophrenia patients reveal that, when subjected to working memory tasks (that are important for the process of belief system processing), schizophrenia patients do not show the expected activation in the right frontal cortex as observed in control group; specifically in the dorsolateral prefrontal cortex<sup>43</sup>. Studies examining the delusional features of patients with Alzheimer's disease have reported similar findings. A PET- and SPECT-based study, exploring the regional brain abnormalities among Alzheimer's patients with delusions, reported decreased perfusion in the right prefrontal cortex along with right anterior cingulate gyri, right medial temporal cortex, and right parietal cortex<sup>44</sup>. Another study with similar investigation methodology reported hypo-metabolism in the right superior DLPFC, the right inferior frontal pole and right lateral orbitofrontal region<sup>45</sup>. Taken together, these evidences enlist an imperative contribution of right-sided brain structures in pathophysiology of delusion that is not specifically restricted to the schizophrenia, as converging findings have been reported from studies on patient population with Alzheimer's disease as well.

#### 4 Delusions and Right-Dorsolateral Prefrontal Cortex (rDLPFC)

Prefrontal cortex, perhaps particularly plays an important role in the delusional pathogenesis, this hypothesis has led many studies to examine

its components for their role in formation and maintenance of delusion<sup>46, 47</sup>. A fMRI study aimed at evaluation of the neural component of delusions, specifically implicated right prefrontal cortex in prediction error processing<sup>48–50</sup>. Further intensive studies have elucidated contribution of right dorsolateral prefrontal activation in enhancement of logical reasoning over belief-generated ideas. The ventromedial PFC activation has been related to increase in belief-generated idea over logic<sup>38, 40, 51</sup>. DLPFC has been implicated in working memory functions and crucially so in the blocking of distractions<sup>46</sup>. Right DLPFC functioning, that is responsible for causal learning, has been found to be negatively correlated with delusional severity in patients<sup>5, 52</sup>. That is, patients with preserved link between the prefrontal cortex and the prediction error signaling via the meso-cortico-limbic pathway showed lowest delusional scores. This study noted down the measure of the unusual thought content on Brief Psychiatric Rating Scale for grading of the delusional scores. The fMRI study specifically found a direct correlation of disruption in the meso-cortico-limbic pathway and the prediction error signaling with severity of delusions in the patients.

One of the studies evaluating delusions elucidated a model of two-step damage in two distinct functional areas: (1) the perceptual area, and (2) the belief evaluation area. The latter is the function of DLPFC as established from previous reports, and involves the prediction error signaling pathway<sup>6</sup>. Another study investigating the role of prediction error signaling and response inhibition depending upon the learned behavior found rDLPFC to be activated (as seen in the fMRI BOLD signal activation), whereas the left dorsolateral prefrontal cortex was found to be activated in the context of behavioral changes made in response to the learned errors<sup>53</sup>. This study has comprehensively elaborated the role of the rDLPFC in the process of elucidating appropriate inhibitions in prediction errors and associated behaviors on the basis of learned behaviors. This study indirectly suggests the effects of aberrant functioning of error signaling and response inhibition in rDLPFC disruption.

## 5 Transcranial Direct Current Stimulation (tDCS) for Treatment of Clinical Symptoms

Transcranial direct current stimulation (tDCS) is a very specific focused brain stimulation technique in which a targeted part of the brain is

stimulated by placing electrodes on the corresponding part of the scalp of a patient. The operating principle of this techniques, that electrical stimulation may have therapeutic benefit, is an old idea<sup>54</sup> that came to be revived as having clinical benefit in psychiatric conditions such as schizophrenia in the recent times. tDCS is safe, easy to operate and relatively convenient to handle. This technique is based on the concept of using weak direct currents effecting changes in cortical excitability. The basic mechanism of action as proposed by one of the studies is by increasing the local glutamatergic activity and *N*-acetyl aspartate action<sup>55</sup>. The applied constant weak current modulates the cortical excitability in a polarity-dependent fashion. These localized changes are believed to be responsible for the cognitive and the learning effects of tDCS. Studies examining the efficacy of tDCS in treating persistent auditory hallucination, negative and cognitive symptoms among schizophrenia patients have reported positive findings<sup>56–58</sup>. Some studies also indicate that tDCS has clinical edge in decreasing the refractory symptoms such as auditory hallucination among schizophrenia patients that do not respond well to antipsychotic medications (see review for details<sup>58</sup>).

However, there are several limitations to using conventional tDCS. It employs large electrodes, invariably gives both excitatory and inhibitory stimulation to brain areas larger than the actual area of interest. As conventional tDCS involves the establishment of a complete anodal and cathodal circuit, inhibiting a brain area is accompanied by stimulating another brain area. This is believed to influence the result of the treatment procedure since it becomes unclear if the stimulation of an area or the inhibition of another area is responsible for the enhancement or in some cases, the lack of improvement. These limitations can be overcome by HD-tDCS which though operates on the same principle as conventional tDCS but has technical edge over it. Empirical evidences indicate that HD-tDCS leads to a focused and enhanced field of electrical stimulation as compared to conventional tDCS<sup>59, 60</sup>. Evidences from PET and fMRI indicate that the neurophysiological efficacy of HD-tDCS to be superior to that of conventional tDCS<sup>59, 61, 62</sup>. A study conducted to compare the efficacy of the two procedures found that the peak current was delayed for a much longer time after HD-tDCS (about 30 min) as compared to tDCS<sup>63</sup>. In addition, the after effects of HD-tDCS lasted for about 2 h longer than conventional tDCS. These studies compositely

indicate technical edge of HD-tDCS over conventional tDCS.

HD-tDCS is a safe and well-tolerated neuromodulatory treatment used in clinical setting. HD-tDCS procedure can be done using standard equipment (Soterix Medical MxN HD-tDCS stimulator) as per established guidelines<sup>64</sup>. Such devices are battery-powered current generator capable of delivering a weak and constant current stimulation to targeted circumscribed brain areas with a maximum output (of  $\pm 2.5$ ) in strength range of milli-amperes (mA). These devices operate on rechargeable batteries. Electrodes can deliver direct current (DC) of either polarity; the stimulation can be anodal (excitatory) or cathodal (inhibitory) depending on how they are plugged into the  $4 \times 1$  configuration of the output cable. This montage yields flexibility in choice of stimulation polarity, that is, either anodal or cathodal stimulation can be given. It also allows achievement of much greater focality in the stimulation protocol than possible the conventional tDCS. Special gel-based sintered silver chloride electrodes are used to achieve higher specificity in current delivery.

## 6 A Case for Stimulation of rDLPFC for Treating Resistant Delusions

Theoretically, because of the technical rigor that yields better focality, specificity and choice of polarity in unipolar stimulation, neuromodulation with HD-tDCS holds remarkable potential for treatment of resistant delusions in schizophrenia. The prefrontal cortex which has been identified as a seat of causal learning (disrupted in the patients suffering from delusions in schizophrenia) can be considered as the broad region of interest, while the right dorsolateral prefrontal cortex can be the region of targeted anodal stimulation. The central electrode (giving anodal stimulating) can be placed at the rDLPFC, and the surrounding electrodes can be positioned around it in ring configuration as per the established guidelines<sup>64</sup>. As twice daily, HD-tDCS sessions with a current strength of 2 mA for 20 min has been found to be well tolerated and clinically effective (unpublished data from pilot studies from our lab), an add-on HD-tDCS therapy can be given to schizophrenia patients with persistent delusion for 5 days.

## 7 Summary

In conclusion, the pathophysiology of persistent delusions that are non-responsive to mainstream antipsychotic treatment in schizophrenia patients

is evidenced to be associated with disruptive functioning of the right dorsolateral prefrontal cortex along with midbrain hyper-dopaminergic activity. Hence, alongside conventional treatment antipsychotic medications, add-on neuromodulatory therapy such as HD-tDCS addressing the hypo-activity rDLPFC would serve as a potential treatment module in the treatment of delusions. Such direct current stimulation enhances activity of targeted brain regions such as the rDLPFC by modulating its local neuroplasticity. Together with medications, psychotherapy and other forms of treatment, HD-tDCS stimulation to the rDLPFC can serve as a potential tool in the treatment of persistent delusions in chronic schizophrenia.

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**Rujuta Parlikar** is an MBBS graduate. Her interest in clinical research led her to the Translational Psychiatry Lab, Department of Psychiatry, National Institute of Mental Health and Neurosciences (NIMHANS), Bangalore. Under the guidance of

Dr. G. Venkatasubramanian, she is pursuing a Ph.D. in Psychiatry after a brief exposure to basic of psychiatric research including patient recruitment, clinical assessment, anonymous record keeping, review of literature, etcetera. In her thesis, she is examining neuromodulation with high-definition transcranial direct current stimulation (HD-tDCS) in schizophrenia patients and examining the neural changes post stimulation using brain imaging techniques. Other than neuromodulation, she is receiving training in techniques such as brain imaging using functional MRI (fMRI), Diffusor tensor imaging (DTI), functional near-infra-red spectroscopy (fNIRS) and event-related potential (ERP). She plans to pursue further research towards addressing treatment-resistant psychiatric symptoms particularly those of severe psychiatric illness such as schizophrenia spectrum disorders.



**Dinakaran Damodaran** did his MBBS (2011) from Govt. Stanley Medical college, Tamil Nadu and M.D. in Psychiatry (2016) from National Institute of Mental Health and Neurosciences (NIMHANS), Bangalore and Post-doctoral fellowship in clinical

neurosciences and therapeutics in Schizophrenia (2017) at NIMHANS, Bangalore. He is currently working as non-post graduate senior resident at National Institute of Mental Health and Neurosciences, Bangalore. He has received best outgoing MD resident award from NIMHANS for the year 2016. Research interests include application of transcranial direct current stimulation to understand the neurobiology and therapeutic uses in schizophrenia.



**Anushree Bose** is a clinical researcher at Translational Psychiatry Laboratory, Department of Psychiatry, National Institute of Mental Health And Neurosciences (NIMHANS). She did her Ph.D [2017] from here, in which she explored effect of

transcranial direct current stimulation on neural underpinnings of auditory verbal hallucination in schizophrenia. She holds a Bachelor's degree in Applied Psychology (Hons.) (2006–2009) and Master's degree in Psychology (2009–2011) from University of Delhi. She has twenty-eight peer-reviewed journal articles to her name. Her research interest lies in clinical utility of transcranial electric current stimulation, neural underpinning of positive symptoms and neurocognition of schizophrenia. She wishes to continue translational clinical research towards integrated understanding of schizophrenia spectrum disorders.



**Naren P. Rao** did his MBBS (2004) from Sri Devaraj Urs Medical college, Karnataka and M.D. in Psychiatry (2008) from National Institute of Mental Health and Neurosciences, Bangalore, Post-doctoral fellow at Research Imaging Centre, Centre

for Addiction and Mental health, University of Toronto, Canada (2011–2013). He worked at Centre for Neuroscience, Indian institute of science as Inspire faculty from 2013–2015 and currently working as Associate Professor of Psychiatry at National Institute of Mental Health and Neurosciences, Bangalore. He has authored 75 peer-reviewed publications, four book chapters and is recipient of awards from Society of biological psychiatry, Brain and Behavior research foundation and Canadian institutes of health research. Research interests include application of structural and functional magnetic resonance imaging and positron emission tomography to understand the neurobiology of neuropsychiatric disorders.



**G. Venkatasubramanian** did his MBBS (1998) from Stanley Medical College, (Chennai), M.D. in Psychiatry (2001) and PhD in Psychiatry (2013) from National Institute of Mental Health and Neurosciences. He is currently Professor of Psy-

chiatry at the National Institute of Mental Health and Neurosciences (NIMHANS), Bangalore. He is the co-ordinator of the InSTAR Program for Schizophrenia at NIMHANS (<http://www.instar-program.org>). He heads the Translational Psychiatry Laboratory at the Neurobiology Research Centre, NIMHANS (<http://www.transpsychlab.org>). His areas of research interest include: Neurobiology of Schizophrenia, Neuroimaging in Psychiatry, Computational Neuroscience, Transcranial Direct Current Stimulation and Biology of Consciousness. He has more than 225 publications in National & International Journals (H-Index: 30; RG Score: 43.27). He has been the recipient of several awards such as DST SwarnaJayanti Fellowship 2016, Dr. Vidyasagar Award by the ICMR 2013, Wellcome Trust/DBT India Alliance Senior Fellowship in 2011, INSA Young Scientist Medal 2009, Young Psychiatrist Award by the Indian Psychiatric Society in 2009, NASI Platinum Jubilee Young Scientist Award 2008, Innovative Young Biotechnologist Award 2008 and many more. He is also the co-ordinating editor of the Asian Journal of Psychiatry (<http://www.asian-journalofpsychiatry.com>).