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**Contributions of Post-learning REM and NREM Sleep to Memory Retrieval**

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## 1 **Summary**

2 It has become clear that sleep after learning has beneficial effects on the later retrieval of newly  
3 acquired memories. The neural mechanisms underlying these effects are becoming increasingly  
4 clear as well, particularly those of non-REM sleep. However, much is still unknown about the  
5 sleep and memory relationship: the sleep state or features of sleep physiology that associate with  
6 memory performance often vary by task or experimental design, and the nature of this variability  
7 is not entirely clear. This paper describes pertinent features of sleep physiology and provides a  
8 detailed review of the scientific literature indicating beneficial effects of post-learning sleep on  
9 memory retrieval. This paper additionally introduces a hypothesis which attributes these  
10 beneficial effects of post-learning sleep to separable processes of memory reinforcement and  
11 memory refinement whereby reinforcement supports one's ability to retrieve a given memory  
12 and refinement supports the precision of that memory retrieval in the context of competitive  
13 alternatives. It is observed that features of non-REM sleep are involved in a post-learning  
14 substantiation of memory representations that benefit memory performance; thus, memory  
15 reinforcement is primarily attributed to non-REM sleep. Memory refinement is primarily  
16 attributed to REM sleep given evidence of bidirectional synaptic plasticity in REM sleep and  
17 findings from studies of selective REM sleep deprivation.

18

19 **Keywords:** Sleep, memory, memory retrieval, REM sleep, non-REM sleep, memory

20 consolidation

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**Abbreviations**

EEG	electroencephalography
PGO	ponto-geniculo-occipital
LTP	long-term potentiation
NREM	non-REM
SR2	sleep reinforcement and refinement

**Glossary of terms**

Declarative memory	Memory for past events and facts
Half-night paradigm	Experimental paradigm in which the effects of early-night sleep relatively rich in slow wave sleep are compared to the effects of late-night sleep relatively rich in REM sleep.
Hippocampal theta rhythm	Neural oscillation of 5–8 Hz observed in the hippocampus of rats during active exploration and REM sleep
Long-term depression	Relatively long-lasting decrease in synaptic strength resulting from synaptic activity
Long-term potentiation	Relatively long-lasting increase in synaptic strength resulting from synaptic activity and consisting an early and late stage
Memory consolidation	Process through which memories are transformed from an initial labile state to a more stable and longer lasting state integrated with existing memories.
Memory reactivation	Reoccurrence during sleep of specific patterns of neural activity that were present during learning
Memory representation	The neural changes underlying a memory; also referred to as a memory trace or engram.
Procedural memory	Memory for acquired skills and habits
P waves	Biphasic field potential generated in the pons and present during REM sleep; also termed ponto-geniculo-occipital waves when the lateral geniculate nucleus and occipital cortex are involved
Sharp wave ripples	Composite neural events in the hippocampus consisting of a large deflection (sharp wave) followed by high-frequency oscillations (ripple)
Slow waves	Term for 0.5–4 Hz activity that is present in N2 NREM sleep and dominates N3 NREM sleep; includes both surface slow oscillations (<1 Hz) and delta waves (1–4 Hz).
Spindle	Burst-like sequences of 10–16 Hz sinusoidal activity appearing in EEG during N2 and N3 NREM sleep

1 Memory performance benefits from sleep relative to wake have been observed across  
2 many paradigms and memory tasks. For example, sleep improves cued recall of word pairs [1,2]  
3 and promotes performance gains in newly learned skills [3,4]. Sleep may even promote  
4 forgetting of some superfluous memories and associations [5,6]. The complexity of the sleep–  
5 memory relationship may in part be attributed to the multifaceted nature of sleep physiology.  
6 This review outlines sleep physiology and existing hypotheses regarding sleep and memory  
7 before introducing a new hypothesis concerning the effect of sleep states on memory  
8 performance. Following these introductions, the literature connecting sleep to memory retrieval  
9 is discussed.

## 10 **Sleep Physiology**

11 In humans, sleep is composed of stages marked by patterns of brain activity, eye  
12 movements, and muscle tone, measured via electroencephalography (EEG), electrooculography,  
13 and electromyography, respectively. Rapid eye movement (REM) sleep, scored as stage R, is  
14 distinct from multiple stages of non-rapid eye movement (NREM) sleep scored as stages N1, N2,  
15 and N3 [7]. In healthy adult sleep, these stages appear in a predictable and cyclical pattern [8,9].  
16 A typical night of sleep starts with a brief period of stage N1 sleep and progresses into this cycle  
17 with deeper NREM stages of N2 and then N3 followed by a brief period of REM sleep before  
18 returning to NREM sleep to complete the roughly 90-min cycle. Brief returns to wakefulness and  
19 stage N1 notwithstanding, this cycle continues throughout the night although the relative  
20 durations of N2, N3, and REM sleep within the cycle change over the night. In the first half of  
21 the night (i.e., the first 2–3 cycles), there is a relative abundance of N3 sleep over REM sleep. In  
22 the second half of the night, there is more REM sleep and N3 sleep may not be observed at all.  
23 N2 sleep is present throughout the night and constitutes roughly 50% of sleep duration.

1           The major patterns of neural activity that define NREM sleep are spindles and slow  
2 waves. Spindles are burst-like sequences of approximately 10–16 Hz sinusoidal activity  
3 appearing in surface EEG and generated by neuronal oscillations in the thalamus of sleeping  
4 mammals [10,11]. Within individual humans, there are slow ( $\approx 10$  Hz) and fast ( $\approx 13$  Hz)  
5 spindles; however, there considerable individual differences in the frequency of slow and fast  
6 spindles [10,12]. The functions of spindles, fast or slow, are not certain, but fast spindles have  
7 been frequently linked to memory processing [13–17]. Slow wave activity in surface EEG is a  
8 definitive factor in N3 sleep, or slow wave sleep, and consists of 0.5–4 Hz activity, often divided  
9 as surface slow oscillations ( $<1$  Hz) and delta waves (1–4 Hz) [11]. Slow waves in surface EEG  
10 reflect the oscillation of populations of cortical neurons between an “up” state of cellular  
11 membrane depolarizing and neuronal firing and a largely silent “down” state of cellular  
12 membrane hyperpolarization with both intracortical and thalamocortical circuits mediating the  
13 patterns of this oscillation [18]. Notably, the amount of slow wave activity appears to be  
14 determined in a local, use-dependent manner such that, for example, immobilization of an arm  
15 during the day reduces slow wave activity observed in the contralateral sensorimotor cortex [19].  
16 NREM sleep in mammals also includes sharp wave ripples, which occur in the CA1 region of the  
17 hippocampus and consist of a large 40–100 ms deflection followed by fast oscillations [20].  
18 Structurally similar events occur in other brain regions, including sharp waves and ripples in the  
19 olfactory cortex and amygdala and the neocortical K-complex with spindle [20]. Of importance  
20 to sleep and memory, hippocampal ripples have been identified as a source of memory replay  
21 during NREM sleep as both neocortical and hippocampal neuron firing patterns surrounding  
22 these events resemble a temporally compressed version of the patterns observed in recent  
23 learning in rats [21–23]. Critically, disrupting hippocampal replay has been shown to lead to

1 memory deficits, specifically for memories corresponding to neuronal ensembles targeted by the  
2 disruption procedure [24]. The timing of sharp wave ripples, memory reactivations, slow waves,  
3 and spindles are highly linked and appear to be coordinated by the up and down states of  
4 intracortical slow oscillations as part of a hippocampal-thalamic-neocortical circuit [25–29].

5 REM sleep electrophysiology includes theta activity and biphasic potentials termed  
6 ponto-geniculo-occipital (PGO) waves (P waves when only the pontine element is identified),  
7 although both features are more evident and well studied in rodents than in humans. The  
8 hippocampal theta rhythm is a neural oscillation generated in the brainstem that is observed  
9 during active exploration, prominent during REM sleep, and implicated in learning and memory  
10 [30–32]. Coherent theta activity has been observed in the rat amygdala and prefrontal cortex  
11 [33–35]. The hippocampal theta rhythm in small mammals such as rats has a 5–8 Hz frequency,  
12 but, in humans, there is evidence for a  $\approx 3$  Hz analog [36–38]. PGO waves are waveforms  
13 generated in the pons that propagate through the lateral geniculate nucleus of the thalamus and  
14 potentially to multiple cortical regions; they have been identified in REM sleep of mammals,  
15 including cats, rats, and non-human primates, but, due to ethical and practical barriers associated  
16 with the required invasive recordings, there is only limited and suggestive evidence of similar P  
17 in humans [39–43]. In rats, P waves are typically phase-locked with the hippocampal theta  
18 rhythm [44,45]. Both PGO waves and the hippocampal theta rhythm have been implicated in  
19 synaptic change. Blocking PGO waves in kittens impairs developmentally beneficial reductions  
20 in plasticity of the lateral geniculate nucleus [46]. In the rat hippocampus, the effect of  
21 hippocampal cell stimulation on synaptic strength is bidirectionally modulated by the phase of  
22 the theta rhythm, increasing strength when stimulation occurs during peaks and decreasing  
23 strength when it occurs during troughs [47–49].

## 1 **Hypotheses of Sleep and Memory**

### 2 **Concepts of Memory**

3 Memory function consists of the encoding of events into neural representations, or  
4 engrams, to create memory traces that can be subsequently expressed as thoughts or behaviours  
5 through the process of memory retrieval. Hypotheses of sleep and memory often address how  
6 sleep contributes to memory consolidation, the process by which a memory is transformed from  
7 a labile, temporary state into a more stable, long-lasting state that is integrated with existing  
8 memories [50]. Hypotheses of sleep and memory have also valued distinctions between memory  
9 systems; the declarative memory system includes episodic memory, referring to memories that  
10 are autobiographical and linked to a temporal or spatial context, and semantic memory, referring  
11 to general knowledge, whereas non-declarative memory systems include, among others,  
12 procedural memories for acquired skills and habits [51].

13 Memory retrieval is assumed to involve the reactivation of encoded memory traces via  
14 internal or external cues; thus, the retrievability of a memory depends on both the integrity of the  
15 engram (i.e., its “availability”) and its accessibility via cue [52,53]. Of course, memory traces do  
16 not exist in isolation. Interference refers to situations in which retrieval of a given memory is  
17 impaired by the presence of one or more additional representations that may be associated with  
18 the same retrieval cues [54]. Interference can result in a failure of retrieval or, when the quality  
19 of retrieval is measured on a continuous scale, reduced fidelity of memory retrieval. An emphasis  
20 on the fidelity or precision of retrieval is prominent in research on visual working memory, and a  
21 role for interference in retrieval precision has been explained [55]. Memory retrieval may take  
22 various forms depending on the task (cued recall, free recall, recognition, or the execution of  
23 movements), or, within recognition memory, whether contextual information from the learning

1 event also retrieved, termed recollection, or not retrieved, termed familiarity.

2        Memories are thought to be acquired through long-term potentiation (LTP) and long-term  
3 depression, which respectively refer to long-lasting increases and decreases in synaptic strength  
4 typically induced by stimulation [56,57]. LTP consists of an early stage independent of protein  
5 synthesis and a late stage requiring protein synthesis. Long-term depression can involve protein  
6 synthesis and can occur de novo or after LTP, in which case it is referred to as depotentiation.  
7 The formation and alteration of dendritic spines are thought to be important in the experience-  
8 dependent synaptic plasticity underlying learning and memory [58]. The density and size of  
9 dendritic spines and hence the number of synapses and synaptic strength generally increase with  
10 LTP and decrease with long-term depression [58].

### 11 **Existing Hypotheses**

12        One approach to understanding the role of sleep in memory has been to associate  
13 different sleep states to different types of memory in variations of a “dual process” hypothesis.  
14 Investigation of dissociable NREM and REM sleep effects has included use of the half-night  
15 paradigm in which researchers compare the effects of an early-night sleep retention period  
16 naturally rich in deep NREM sleep to the effects of a late-night sleep retention period naturally  
17 rich in REM sleep. To this end, researchers have also used selective deprivation of REM sleep  
18 both in rodents—by placing subjects in an apparatus in which REM sleep onset muscle atonia  
19 causes awakenings after falling into water—and in humans—by waking participants upon  
20 polysomnographic signs of REM sleep. Although details varied by account and evidence  
21 considered, the emergent notion from research with these paradigms was that new declarative  
22 memories preferentially benefit from NREM sleep, typically slow wave sleep, and new non-  
23 declarative, especially procedural, memories preferentially benefit from REM sleep [59–62].



1           However, a dissociation of NREM and REM sleep serving different memory systems is  
2 incongruent with many findings. For example, simple procedural memory tasks were seen to be  
3 more dependent on stage 2 NREM sleep than REM sleep [63,64]. Conversely, REM sleep was  
4 implicated in memory for prose [65,66] and learning a second language [67]. It may be that both  
5 sleep states support declarative and procedural memory, and REM sleep has specific benefits for  
6 new memories in “complex” tasks, although the defining features of a complex task are  
7 undetermined [64,68]. Genzel et al. [69] argued that REM sleep supports emotional or  
8 “amygdala-related” memory processing whereas NREM sleep is important for cortically based  
9 memories. Indeed, REM sleep has been implicated in emotionally charged memory while REM  
10 sleep connections with other material is less conclusive [69,70], but this hypothesis has received  
11 little direct testing.

12           Considering the sequential nature of sleep cycles led to the development of the sequential  
13 hypothesis which emphasizes the importance of slow wave sleep to REM sleep sequences in  
14 memory processing. The sequential hypothesis proposes that NREM sleep contains selective  
15 processes that weaken non-adaptive memories before REM sleep stores the surviving memories  
16 and integrates them with preexisting memories [71,72]. This hypothesis is supported by studies  
17 relating overnight retention of words to the integrity of NREM-REM sleep cycles [73,74]. There  
18 is evidence for adaptive selectivity in memory processing over sleep and for sleep involvement  
19 in the integration of new memories with existing knowledge [75]; however, it is inconclusive  
20 whether NREM sleep and REM sleep provide these benefits specifically and respectively.

21           The active systems consolidation hypothesis similarly proposes that NREM and REM  
22 sleep work together in memory processing, and it is especially focused on the neural mechanisms  
23 mediating sleep-dependent memory processing [76,77]. This hypothesis states that events of

1 wake are encoded across cortical networks and bound together by the medial temporal lobe;  
2 then, during slow wave sleep, neuronal replay originating from the hippocampus consolidates  
3 memory via hippocampal-neocortical information transfer and the strengthening of cortico-  
4 cortical connections. NREM sleep features, including slow waves, spindles, and ripples, are  
5 thought to facilitate the required reactivation of neuronal ensembles. REM sleep is thought to  
6 subsequently stabilize changes acquired in NREM sleep. The active systems consolidation  
7 hypothesis is supported by many findings, including memory benefits from externally-induced  
8 reactivations during NREM sleep [e.g., 78], reported evidence of hippocampal-to-neocortical  
9 information transfer via precise triple-coupling of slow oscillations, spindles, and ripples [79],  
10 and increased expression of genes associated with synaptic plasticity in the cortex during REM  
11 sleep [80]. An alternative contextual binding model of episodic memory attributes benefits of  
12 sleep for memory not to hippocampal-neocortical information transfer but to a relative absence  
13 of contextual interference that otherwise is incurred during wakefulness and impairs memory  
14 performance [81]. This proposal is backed, in part, by evidence that sleep preferentially benefits  
15 forms of associative memory [1,82–84].

16         Alternative distinctions for the roles of NREM and REM sleep have also been proposed.  
17 Poe et al. [85] proposed that NREM sleep slow wave activity is important for converting early  
18 LTP into long-lasting LTP, in part because late LTP requires protein synthesis [86,87] which is  
19 increased during slow wave sleep [88,89]. Poe et al. [85] proposed that REM sleep is an  
20 opportune time for bidirectional synaptic change given that relatively high cholinergic activity  
21 [90] favours induction of LTP [91] and that low norepinephrinergic activity [92] is essential for  
22 depotentiation [93,94]. Theta activity of REM sleep has been proposed as a potential vehicle for  
23 selective strengthening and weakening of memories [95]. This proposal is founded on the

1 previously noted phase-dependent bidirectional synaptic plasticity associated with the  
2 hippocampal theta rhythm in rats [47–49] and evidence that rat hippocampal neurons activity  
3 during exploration fired on theta rhythm peaks during post-exploration REM sleep and then on  
4 theta rhythm troughs after the explored setting became familiar [95]. Seibt and Frank [96]  
5 proposed a similar model. They propose that REM sleep selectively strengthens and weakens  
6 memory traces marked for these actions by NREM sleep through memory reactivation and  
7 oscillatory activity within circuits primed for such action through transient neuronal changes  
8 induced by waking experience.

9       Synaptic weakening, long-term depotentiation, or forgetting during sleep has been  
10 considered important in preventing the saturation of memory systems and increasing energy  
11 demands that would result from unchecked learning of patterns and associations during wake.  
12 Crick and Mitchison [5] proposed that REM sleep served to eliminate the unwanted memories or  
13 “parasitic modes” that would result from continuous modifications by experience. Giuditta [97]  
14 similarly proposed that sleep preserved adaptive memories while trimming them of irrelevant or  
15 competing traces, but attributed the weakening of the non-adaptive traces to slow wave sleep.  
16 The influential synaptic homeostasis hypothesis [98] argues that system saturation is prevented  
17 by an activity-dependent down-selection process largely associated with the oscillating up and  
18 down states of cortical neurons during NREM sleep. This process is proposed to benefit memory  
19 performance by increasing signal-to-noise ratios. Poe [6] expanded upon her earlier model that  
20 REM sleep is an opportune time for bidirectional synaptic change, proposing that targeted  
21 depotentiation of synapses during sleep would contribute to forgetting, a reduction of noise in  
22 perceptual and memory systems, schema development, and synaptic pruning during  
23 development. Poe [6] proposed that the inactivity of norepinephrine-providing locus coeruleus

1 neurons during REM sleep and during the second preceding spindles [92] makes these two  
2 periods ideal for the targeted forgetting of somatosensory and hippocampal memories. Poe [6]  
3 further proposed that reduced extracellular dopamine during slow wave sleep [99] provides a  
4 similar opportunity for the targeted forgetting of dorsal striatal-dependent memories, including  
5 motor and procedural memories.

6 Hypotheses proposing complementary functions for NREM and REM sleep are supported  
7 by a few studies showing that improvements in visual texture discrimination, a learned  
8 perceptual skill, are best promoted by sleep containing both slow wave sleep and REM sleep  
9 [100–102]. However, studies of sleep and memory often implicate either NREM sleep or REM  
10 sleep and rarely both for the same memory task. Identification of a precise role for REM sleep in  
11 memory processing has been particularly elusive [70], and it remains undetermined whether  
12 sleep promotes active and selective forgetting. Multiple existing models account for research into  
13 memory processing during sleep; however, plenty of questions remain regarding the effects of  
14 sleep on memory performance, such as in what situations and with what measures will memory  
15 performance associate with properties of NREM sleep, in what situations and with what  
16 measures will measures of performance associate with properties of REM sleep, and what  
17 specific effect on memory performance is granted by each of these sleep states?

### 18 **Sleep Reinforcement and Refinement Hypothesis**

19 Here a new hypothesis is presented in which sleep is proposed to support later retrieval of  
20 newly acquired memories through reinforcement and refinement. In this sleep reinforcement and  
21 refinement (SR2) hypothesis<sup>1</sup>, memory reinforcement is primarily attributed to NREM sleep, and  
22 memory refinement is primarily attributed to REM sleep. NREM sleep memory reinforcement is

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<sup>1</sup> The SR2 hypothesis was formulated by K. MacDonald through his doctoral dissertation.

1 proposed to maintain or potentially increase the retrievability of memories by supporting both  
2 the integrity of the engram and its links to retrieval cues. REM sleep memory refinement is  
3 proposed to support the precision of memory retrieval through selective preservation of dominant  
4 memory traces and weakening of competing memory traces that may impair the quality and  
5 reliability of memory retrieval. In this context, a dominant memory trace is the one which  
6 corresponds to the memory that is most likely to be retrieved in a given context, whereas  
7 competing memory traces are those which share internal or external retrieval cues to the  
8 dominant trace and may alternatively be retrieved. Such dominance may be indicated by synaptic  
9 strength. NREM and REM sleep are considered primary for reinforcement and refinement,  
10 respectively; however, it is acknowledged that a perfect dissociation is unlikely and that features  
11 of sleep physiology characteristic of a specific sleep state but not exclusive to it may also  
12 contribute to reinforcement and refinement in ways beyond this proposed dissociation (e.g., a  
13 reduction in norepinephrine also linked to spindles [92]). Reinforcement and refinement offer  
14 separable contributions to retrieval, and their effects are considered compatible and synergistic  
15 such that the greatest benefit to retrieval is assumed to result from alternating periods of  
16 reinforcement followed by refinement as would occur in a typical sleep cycle. General  
17 reinforcement without subsequent refinement may benefit retrievability but impair the precision  
18 of memory retrieval because both dominant and any competing memory representations are  
19 reinforced. A depiction of the effects of learning, reinforcement, and refinement on the formation  
20 and processing of memories is provided in Figure 1.

21         This hypothesis may be expressed using terms of signal detection theory. It is assumed  
22 that a dominant memory trace (signal) exists within noise from highly related and competing  
23 memory traces (interference) and from random or external sources. It is proposed that NREM

1 sleep reinforces memories by further raising signal and interference levels above random and  
2 external noise. This effect may occur through application of gain to new memory traces, an  
3 attenuation of random and external noise, or both. It is proposed that REM sleep refines  
4 memories by applying signal gain and attenuating interference, increasing both the signal-to-  
5 noise and signal-to-interference ratios. It may be that NREM sleep gain or attenuation is  
6 multiplicative such that levels of stronger and weaker or interfering memory traces are  
7 differentially affected, but selective processing in REM sleep is thought to be more critical in  
8 separating signal and interference traces and contributing to memory fidelity.

9         Potential mechanisms should be considered. NREM sleep memory reinforcement is  
10 thought to occur through repeated experience-dependent offline memory reactivations  
11 coordinated by slow wave activity, sharp wave ripples, and spindles. These features are thought  
12 to maintain the retrievability of a newly acquired memories by converting the early LTP of  
13 transient memory traces into long-lasting LTP via protein synthesis, perhaps while also engaging  
14 in a relative downscaling of synapses external to the reactivated memories. REM sleep  
15 refinement is thought to occur through bidirectional action on these and competing memory  
16 traces, including additional potentiation within dominant memory traces and depotentiation of  
17 weaker memory traces, perhaps through phase-dependent firing on low frequency REM sleep  
18 oscillations.

19         In what circumstances will the effects of reinforcement or refinement be most apparent?  
20 Performance benefits of reinforcement during sleep would be expected for situations in which  
21 there are subsequent (i.e., after sleep) challenges to the availability or accessibility of memories,  
22 including decay over time and the acquisition of new memories associated with the same  
23 retrieval cues. Performance benefits of refinement during sleep would be expected for situations

1 in which one is tested on their ability to reliably retrieve a dominant memory among highly  
2 competitive alternative memories that were likewise acquired before sleep. Such situations  
3 would include testing one's performance of difficult motor routines (for which slight errors could  
4 be considered an example of retrieving a highly competitive alternative memory), or, for  
5 declarative memory, testing one's retrieval of details for which interference from other  
6 associations or schema are likely (e.g., details from a passage of prose). Effects of refinement  
7 may also include the impaired retrieval of non-dominant memories that would be weakened in  
8 favor of dominant memory representations. Respectively attributing these reinforcement and  
9 refinement processes to NREM and REM sleep allows one to predict whether a memory tasks  
10 will be sensitive to manipulations of and association with each sleep state. Many experimental  
11 designs, including those testing recall of word lists, do not result in substantial competition  
12 between alternative memory representations acquired before sleep and thus would not be  
13 expected to be sensitive to the effects of refinement processes during REM sleep.

14         The SR2 hypothesis is informed by and compatible with previous hypotheses of sleep  
15 and memory. The reinforcement of newly acquired memories during NREM sleep may be  
16 considered a product of the systems consolidation process described in the active systems  
17 consolidation hypothesis [76,77], and this reinforcement may occur as a result of or alongside the  
18 activity-dependent down-selection of synaptic strength proposed in the synaptic homeostasis  
19 hypothesis [98]. Memory refinement through REM sleep is consistent with proposals of  
20 bidirectional synaptic change during sleep [85,95,96]. Hypotheses claiming that selectivity in  
21 memory consolidation occurs through NREM sleep, Giuditta's [72] sequential hypothesis for  
22 example, are not inconsistent with the notion of REM sleep refinement. Although the SR2  
23 hypothesis indicates REM sleep as the primary state of bidirectional synaptic change, it may be

1 that this refinement simply enacts changes selected for during previous periods of NREM sleep,  
2 a prospect already proposed by Seibt and Frank [96]. The SR2 hypothesis is also consistent with  
3 the notion that complex memory tasks are more sensitive to manipulations of REM sleep [64,68]  
4 given that these tasks (e.g., tracing figures through a mirror) are more likely than their simpler  
5 counterparts (e.g., direct tracing) to meet the criteria for refinement effect sensitivity described  
6 above.

7 With these hypotheses of sleep and memory introduced, the past research investigating  
8 the effects of sleep on the retrieval of newly acquired memories will be reviewed in detail.

### 9 **Sleep and Memory Relationship**

#### 10 **Memory Change Over Sleep**

11 Sleep-dependent memory consolidation has often been studied by comparing the effect of  
12 retention periods with sleep to retention periods of wake, sometimes involving sleep deprivation  
13 with or without recovery sleep. Sleep results in greater memory performance for studied verbal  
14 material, including syllable or word pairs or word lists [1,2,65,103–111] and educational  
15 passages of prose [109], an effect that may be most prominent for associative memory rather  
16 than item memory [1,82] and when interfering material is learned after the sleep or wake period  
17 [112,113, but see 114] but reduced when participants are asked to first retrieve the material  
18 without feedback before sleep [109,110]. Sleep also results in greater memory performance for  
19 knowledge of a map [62], recollection (but not familiarity-based recognition) of pictures [84], or  
20 the locations of objects [115] or faces [116]. For recognition tasks, sleep For procedural  
21 memories, sleep results in greater visual texture discrimination [117,118] and better performance  
22 of a learned finger tapping sequence [3,4,119] and structurally complex gross motor tasks [120],  
23 but these benefits may not extend to all procedural memory tasks [121]. An important study from



1 Yang et al. [122] examined memory consolidation at the cellular level by measuring postsynaptic  
2 dendritic spine formation in the motor cortex of mice after training to run on a rotating rod.  
3 Trained mice showed progressive increases in spine formation relative to untrained mice from 6  
4 to 48 hr after rotarod training. Spine formation was both branch-specific in that it was driven  
5 specifically by neuronal branches with a relatively high spine formation and task-specific in that  
6 later training on backward rotarod running induced spine formation on the branches with  
7 previously low spine formation. Critically, 7-hr sleep deprivation after training impaired  
8 performance at one and five days post training and reduced both spine formation and new spine  
9 survival on high formation branches whilst having no effect on spine formation on low formation  
10 branches or spine elimination.

11         Researchers have used the half-night paradigm to compare the relative effects of NREM  
12 slow wave sleep and REM sleep. Early-night sleep rich in slow wave sleep has been found to  
13 benefit memory of word pairs [2,61,108], object locations [62], picture-colour associations [123],  
14 and visual texture discrimination [100] whereas late-night sleep rich in REM sleep enhances  
15 mirror tracing skill [61], memory for prose [especially emotional prose, 124], and the recognition  
16 preference for emotional over neutral pictures [123]. Early-night sleep, but not late-night sleep  
17 has also been shown to particularly benefit explicit recollection-based memory in word list item  
18 recognition and not familiarity-based recognition that does not require associative memory [83].  
19 However, the half-night paradigm cannot firmly dissociate NREM and REM sleep contributions  
20 because both states occur in both halves of the night and the design may be confounded by other  
21 circadian differences.

## 22 **NREM Sleep and Memory**

23         A role for NREM sleep in memory is supported by evidence that time spent in post-

1 learning slow wave sleep has been positively correlated with cued recall of word pairs [107],  
2 visuospatial memory [125], and recognition of learned faces and houses [126], and more stage 2  
3 sleep in nap was associated with offline improvements in a finger tapping motor sequence task  
4 [127]. Furthermore, suppression of slow wave sleep by acoustic stimulation reduced offline  
5 benefits in visual texture discrimination [128] and a visuomotor task [129]. Short naps containing  
6 only NREM sleep were beneficial for memory of word pairs and word lists [106,130].

7       More has been learned about the role of NREM sleep in memory processing by  
8 examining how learning and memory relate to the previously described concert of spindles, slow  
9 waves, sharp wave ripples, and memory reactivation. NREM sleep is affected by learning  
10 experience as evidenced by the reoccurrence during post-learning NREM sleep of specific  
11 neuronal activity patterns present during learning in the rodent hippocampus [21–23,131],  
12 neocortex [21,122,131,132], and ventral striatum [133], and in human EEG both at the scalp  
13 [126] and intracranially [134,135]. Furthermore, there is evidence of increased spindle activity  
14 after learning declarative material [136–138] and procedural material [139–143], increased slow  
15 wave activity after learning procedural material [143,144], and increased sharp wave ripples in  
16 the rat hippocampus after learning declarative material [145,146]. Greater post-learning spindle  
17 activity in task-related regions has been associated with greater retention of words learned before  
18 sleep [136,147], improved mirror tracing skill [147], and improved motor sequence performance  
19 [127]. Greater post learning slow wave activity has been associated with greater word list  
20 retention and mirror tracing [147]. Finally, learning-related increases in spindle activity  
21 [138,143], slow wave activity [129,143,144,148], and evidence of spontaneous memory  
22 reactivation [126] have all been associated with better memory performance. Notably, these  
23 learning-related sleep alterations and correlations with performance occur in task-related regions

1 of the brain. Thus, learning appears to induce changes in NREM sleep physiology that, in turn,  
2 relate to better performance outcomes.

3 Causal evidence for memory reactivation in NREM sleep benefitting performance comes  
4 from an experimental technique known as targeted memory reactivation. Rasch et al. [78] had  
5 participants learn a procedural finger tapping task and a series of paired two-dimensional object  
6 locations (i.e., card matching) while exposed to a rose odour. Re-exposure to the odour during  
7 nocturnal slow wave sleep improved performance on the location memory task compared to  
8 those not re-exposed, and there was no effect of odour exposure during sleep alone or re-  
9 exposure during REM sleep. Odour re-exposure during slow wave sleep results in a significant  
10 blood oxygenation level-dependent response in the left anterior hippocampus and protects  
11 visuospatial memories from retroactive interference [78,149]. TMR has also benefitted  
12 visuospatial memory performance in a within-subjects design in which distinct audio cues were  
13 used to cue some memories during the slow wave sleep of a nap [150]. Although Rasch et al.  
14 [78] found no procedural memory benefit of cue re-exposure, at least three studies have reported  
15 a benefit: Antony et al. [151] did using a design that had participants tap patterns to different  
16 melodies and then had one of those melodies played covertly during slow wave sleep; Schönauer  
17 et al. [126] did using auditory cues associated with presses of finger tapping sequences presented  
18 during the first 2 hr of a sleep period; and Laventure et al. [152] did using a design similar to that  
19 of Rasch et al. [78] but with odour re-exposure during stage 2 NREM sleep rather than slow  
20 wave sleep. Belal et al. [153] recently found that, after pairing separate motor sequences with  
21 separate audio cues, EEG pattern classification could reliably identify the cue presented during  
22 NREM sleep based on patterns in sleep EEG following the cue, indicating that memories were  
23 indeed reactivated in TMR.

1           Manipulations of slow waves, spindles, and sharp wave ripples have also been shown to  
2 affect memory performance. Online identification and blocking of hippocampal sharp wave  
3 ripples in rats were found to reduce daily memory improvements in a radial maze [154]. Ngo et  
4 al. [155] found that auditory stimulation timed to positive peak of surface slow oscillations in  
5 human slow wave sleep induced a prolonged train of surface slow oscillations, increased  
6 amplitude of the surface slow oscillations, increased 12–15 Hz fast sigma power during the  
7 positive peak of the surface slow oscillation, and, critically, increase retention of word pairs  
8 learned before sleep relative to sham control. In rats, electrical stimulation designed to reinforce  
9 coordination between slow waves, spindles, and sharp wave ripples led to improved memory  
10 measured via object discrimination [156]. Furthermore, Latchoumane et al. [157] found that  
11 optogenetic induction of spindles in phase with the up state of cortical slow oscillations increased  
12 triple coupling of slow oscillations, spindles, and ripples and, critically, improved consolidation  
13 of contextual fear memory, whereas optogenetic suppression of in-phase spindles impaired  
14 consolidation of contextual fear memory. These findings support the abundance of correlational  
15 data and further demonstrate a causal link between synchronous oscillations of NREM sleep and  
16 memory performance.

17           The effect of NREM sleep on memory can also be studied at the cellular and molecular  
18 level. The low cholinergic activity during slow wave sleep [90] limits induction of LTP during  
19 slow wave sleep [158,159] as evidenced by an absence of plasticity-related immediate early gene  
20 EGR-1 expression during NREM sleep in rats even after exposure to an enriched environment or  
21 induction of hippocampal LTP during wake [160,161]. However, slow wave sleep is associated  
22 with increased synthesis of proteins [88,89], including actin [162], which is involved in  
23 maintenance of LTP and the modulation of dendritic spines [163]. Yang et al. [122] who

1 reported sleep deprivation to reduce branch- and task-specific dendritic spine formation in the  
2 mouse motor cortex also investigated memory reactivation. Reducing post-running sleep activity  
3 of neurons associated with forward-running (i.e., memory reactivation) via either *N*-methyl-D-  
4 aspartate receptor blocker MK801 or backward treadmill running halfway through the sleep  
5 period also reduced branch-specific dendritic spine formation. Notably, selective deprivation of  
6 REM sleep did not disrupt branch-specific spine formation after rotarod training. Thus, there is  
7 support for the notion that NREM sleep memory reactivation reinforces memory traces, in part  
8 through a stabilizing early LTP into late-LTP, as proposed by Poe et al. [85] and endorsed by the  
9 SR2 hypothesis.

## 10 **REM Sleep and Memory**

11 In rodents [164,165] and in humans [166–168], there have been reports of increased  
12 REMs or REM sleep after periods of learning, although this effect appears to be less robust in  
13 human studies [139,140,142]. The amount of post-learning REM sleep has been positively  
14 associated with performance outcomes in learning a second language [169], Morse code [166],  
15 and a finger tapping sequence [3]. There is also some evidence of disruptions to typical memory  
16 benefits of sleep in people taking antidepressants known to suppress REM sleep [170,171, but see  
17 172]. However, greater REM sleep duration has also been associated with overnight forgetting of  
18 low-value items in a visuospatial memory task [173] and overnight decrements in learning how  
19 to ride a bicycle with reversed handlebars [174]. In a visual discrimination task of perceptual  
20 learning, only naps containing REM sleep reduced the impairing effects of interference  
21 introduced before the nap and the extent to which interference impairments were reduced was  
22 positively correlated with REM sleep duration in this subgroup [175]. These findings highlight a  
23 complex relationship in which REM sleep may be involved in both learning and forgetting [6],

1 or, in terms of the SR2 hypothesis, the refining of dominant memories through reducing  
2 interference caused by existing highly-competitive representations.

3       Much of the evidence for REM sleep involvement in memory comes from studying the  
4 effect of selective deprivation of REM sleep after learning. Early work in animal models,  
5 primarily avoidance learning in rodents, showed that REM sleep deprivation impairs  
6 performance particularly for more complex, two-way avoidance tasks and when the deprivation  
7 technique is applied in time windows in which there would otherwise be a post-learning increase  
8 in REM sleep [176]. Studies of selective REM sleep deprivation in humans have yielded mixed  
9 results, which could be the result of their typically small sample sizes or important differences in  
10 their memory tasks. For overnight retention of verbal declarative memory, impairments from  
11 REM sleep deprivation, relative to concurrent or matched NREM awakenings or slow wave  
12 sleep deprivation, have been observed for memory of prose [65,66] and words associated with  
13 previous personal failure [177] but not neutral word lists [65,178] and word pairs [179,180]. For  
14 procedural memories, Karni et al. [117] found overnight improvements in visual discrimination  
15 to be blocked by selective deprivation of REM sleep, and Smith and colleagues [reviewed in 64]  
16 identified relative overnight impairments from REM sleep deprivation in tapping implicitly  
17 learned sequences, mirror tracing, and the Tower of Hanoi puzzle but not in many declarative  
18 memory tasks, direct tracing, or the pursuit rotor task. Combined with findings that late-night  
19 sleep benefits performance in mirror tracing, but not word pairs or object locations [2,61,62,108],  
20 these results are largely consistent with the SR2 hypothesis notion that REM sleep offers  
21 memory refinement that is observable in tasks for which target memory representations must be  
22 distinguished from highly competitive alternatives (e.g., a direct tracing motions instead of  
23 mirror tracing motions or schema-based assumptions instead of details from prose).

1           Although the mechanisms are less understood than those for NREM sleep, neural  
2 oscillations and neuronal firing patterns of REM sleep have been linked to memory processing.  
3 Post-training increases in P wave density or P wave generator activity are observed following  
4 two-way avoidance training [181,182] and fear extinction training [183], and post-learning  
5 increases in P wave density predict retention of avoidance [181] and extinction [183] training. In  
6 the rat hippocampus, Louie and Wilson [184] found the neuronal firing patterns during path  
7 running to be reproduced in subsequent REM sleep; however such evidence neuronal replay in  
8 REM sleep is not reliably detected [e.g., 185]. Not full neuronal replay of firing patterns from  
9 wake, but Kumar et al. [186] found evidence suggesting critical memory reactivation occurs in  
10 REM sleep within young adult-born neurons (i.e., those formed from adult neurogenesis) in the  
11 dentate gyrus. Kumar et al. [186] found that neurons active post shock in a conditioned fear  
12 paradigm were more likely to be active during post-learning REM sleep than those not active  
13 post shock and that optogenetic inhibition of this reactivation impaired memory consolidation  
14 without affecting sleep architecture of EEG power spectra. As previously indicated, whether rat  
15 hippocampal cells active during waking exploration of novel and familiar locations fire during  
16 the peak or trough of the hippocampal theta rhythm (respectively associated with LTP and long-  
17 term depression [47–49]) during REM sleep, was found to depend on the novelty of the  
18 associated waking experience with theta peak firing most common for cells which preferentially  
19 fired for novel locations and theta trough firing most common for cells which preferentially fired  
20 for familiar locations [95]. Boyce et al. [187] provided more causal evidence of theta activity  
21 involvement in memory processing, showing that post-learning optogenetic inhibition of the  
22 hippocampal theta rhythm in mice impaired subsequent expression of object place recognition  
23 and conditioned fear. Indeed, theta rhythm phase specific firing may be critical for consolidation

1 of fear memories as Kumar et al. [186] found that inducing random activation of young adult-  
2 born neurons during REM sleep, not just inhibiting their firing altogether, also impaired memory  
3 consolidation. In humans, REM sleep theta power has been associated with recognition of  
4 schema-consistent melodies learned before sleep [188] and selectivity of memory for paired  
5 associates [189].

6 REM sleep has been proposed to be an opportune time for synaptic change [76,80,85], a  
7 proposal in part due to cholinergic tone being at near-waking levels during REM sleep and  
8 substantially higher than during NREM sleep [90]. High cholinergic activity has been shown to  
9 support late LTP in the medial prefrontal cortex of anesthetized rats [190], support long-term  
10 depression in slices of rat visual cortex [191], and activate plasticity-related immediate early  
11 genes, ARC in rats [192], and EGR-1 in human cell cultures [193]. Indeed, there is increased  
12 ARC and EGR-1 expression during REM sleep in rats following exposure to novel stimuli  
13 [80,160], induced hippocampal LTP [161], or shock avoidance learning [182] and in response to  
14 cholinergic activation of P waves [194]. Post-learning increases in ARC are associated with post-  
15 learning increases in P wave density [182] and are abolished by elimination of P wave generating  
16 cells [194]. In addition, blocking cholinergic activity during post-training REM sleep impairs  
17 later performance in a habit-based version of a radial arm maze in rats [195,196]. In humans,  
18 blocking cholinergic activity during post-learning late-night sleep, but not wake, reduced offline  
19 gains on a newly learned finger tapping task [197], and increasing acetylcholine availability  
20 increased offline gains in mirror tracing ability [198].

21 An understanding of the role of REM sleep in synaptic plasticity and memory processing  
22 is greatly informed by a study from Li et al. [199] measuring dendritic spine formation and  
23 elimination in the mouse motor cortex. Groups of mice subjected to selective REM sleep



1 deprivation by gentle handling, compared to no deprivation and similar NREM sleep  
2 interruptions, showed reduced elimination of spines that were newly formed after rotarod  
3 training whilst there were no differences observed between groups for elimination of existing  
4 spines. Newer spines formed after subsequent training on a reversed direction rotarod tended to  
5 form near where REM sleep spine elimination occurred, and mice deprived of REM sleep had  
6 lower spine formation after reversed rotarod training and impaired performance on the reversed  
7 rotarod compared to non-deprived mice, suggesting REM sleep pruning of spines is important  
8 for subsequent learning. Of the persistent spines that survived initial pruning, a greater number  
9 showed continued survival four days post training in groups with REM sleep compared to mice  
10 deprived of REM sleep, an effect attributable to a post-training REM sleep-dependent increase in  
11 persistent spine size. Thus, Li et al. [199] found REM sleep to not only prune some newly  
12 formed spines but also strengthen other newly formed spines, and both actions were dependent  
13 on calcium spikes on apical dendrites during REM sleep. Critically, mice deprived of REM sleep  
14 showed less performance improvement over time than mice with REM sleep even 12 hr after  
15 recovery from the deprivation manipulation, indicating that optimal memory performance relies  
16 on a REM sleep-dependent selective strengthening and weakening of newly formed spines.  
17 These findings and others support the notion that REM sleep is a time of bidirectional synaptic  
18 change [85,95,96]; here it is proposed that such bidirectional synaptic change results in refined  
19 memory traces and greater precision of memory retrieval during performance.

## 20 **Conclusion**

21 Over a century of research on sleep and memory has made it clear that sleep provides  
22 benefits for newly acquired memories. NREM sleep likely acts on memories in part through  
23 reactivations of recent experiences within a coordinated concert of neural oscillations. An

1 associated increase in protein synthesis during NREM sleep may support late LTP within  
2 reactivated memory circuits. The mechanisms of REM sleep memory processing are less clear,  
3 but REM sleep appears to be a time of bidirectional synaptic change with impacts on learning  
4 and memory. These mechanisms may be understood to benefit newly acquired memories, but  
5 their precise effects on memory performance are not yet fully understood.

6         The SR2 hypothesis is an attempt to complement previous hypotheses largely focused on  
7 mechanisms by articulating how post-learning sleep affects memory retrieval behaviour, that is  
8 to say, benefitting the extent to which newly acquired memories can be retrieved and the  
9 precision of that memory retrieval through respective processes of reinforcement and refinement.  
10 In line with evidence for memory consolidation during NREM sleep and bidirectional synaptic  
11 plasticity of REM sleep, reinforcement is primarily attributed to NREM sleep and refinement is  
12 primarily attributed to REM sleep. Plausible neural correlates of NREM sleep reinforcement and  
13 REM sleep refinement have been provided by research on synaptic plasticity, particularly work  
14 linking NREM sleep to task-specific dendritic spine formation [122] and work linking REM  
15 sleep to selective strengthening and weakening of newly formed dendritic spines [199].

16         Multiple considerations may improve investigation into the effects of sleep on memory  
17 retrieval and lead to greater clarity of the precise effects of sleep on cognitive function. Many  
18 behavioural effects discussed in this review are based on single or few research studies, some  
19 with a concerning low sample size. This practice is a concern as such effects, even those which  
20 are well-cited and shape hypotheses, may fail to replicate [e.g., 114]. To better understand sleep  
21 and memory relationships, the field needs to adopt greater standards of practice for  
22 reproducibility of science, pre-register protocols and analyses when possible, and place greater  
23 value on attempts to replicate results of previous work [200]. In addition, greater attention to the

1 demands of memory retrieval may better our understanding of the effect of sleep on later  
2 retrieval of newly acquired memories. Whether a task challenges the retrievability of a memory  
3 via opportunity for decay or new learning and whether a task challenges the precision of memory  
4 retrieval via the presence of highly competitive alternative memories may dictate whether  
5 NREM or REM sleep contributes significantly to retrieval performance. Continued investigation  
6 into not only the mechanisms underlying sleep and memory relationships but also the  
7 behavioural impact of sleep on memory retrieval is important for understanding the functional  
8 consequences of insufficient or disordered sleep. As NREM sleep and REM sleep may be  
9 differently obtained or affected, a greater understanding of specific contributions afforded by  
10 these stages would be valuable.

### **Research Agenda**

1. Systematic investigation into how different memory tasks demands can result in different effects of post-learning sleep on memory retrieval will better inform our understanding of the limits and parameters of the effects of sleep on memory.
2. The use of memory tasks which test the precision of memory retrieval (e.g., performance of difficult motor routines or recall of fine details from prose) may uncover subtle effects of post-learning sleep and may be key to understanding the contributions of REM sleep.
3. The development and use of memory tasks with high ecological validity or questionnaires probing daily memory demands and performance could be instrumental in building a greater understanding of memory retrieval deficits resulting from even subtle sleep deficiencies.
4. Greater adoption of research practices favouring reproducibility, greater use of pre-registration, and greater valuing of replication attempts will allow for greater clarity regarding the true effects of sleep on memory performance.

**Practice Points**

1. The concert of neural oscillations and memory reactivations characteristic of post-learning non-REM sleep contributes to improved memory performance in many conditions, perhaps by increasing or maintaining the retrievability of newly acquired memories.
2. The conditions for which REM sleep aids memory performance are not yet clear, but post-learning REM sleep appears to be most critical for memory performance when there are demands for precision at retrieval, such as when one must select a target memory among highly competitive alternatives.
3. Contributions of post-learning non-REM and REM sleep to memory performance may be complementary in nature; thus, sufficient quantities of both may be required for optimal memory cognitive function.

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**Conflicts of Interest**

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The authors do not have any conflicts of interest to disclose.

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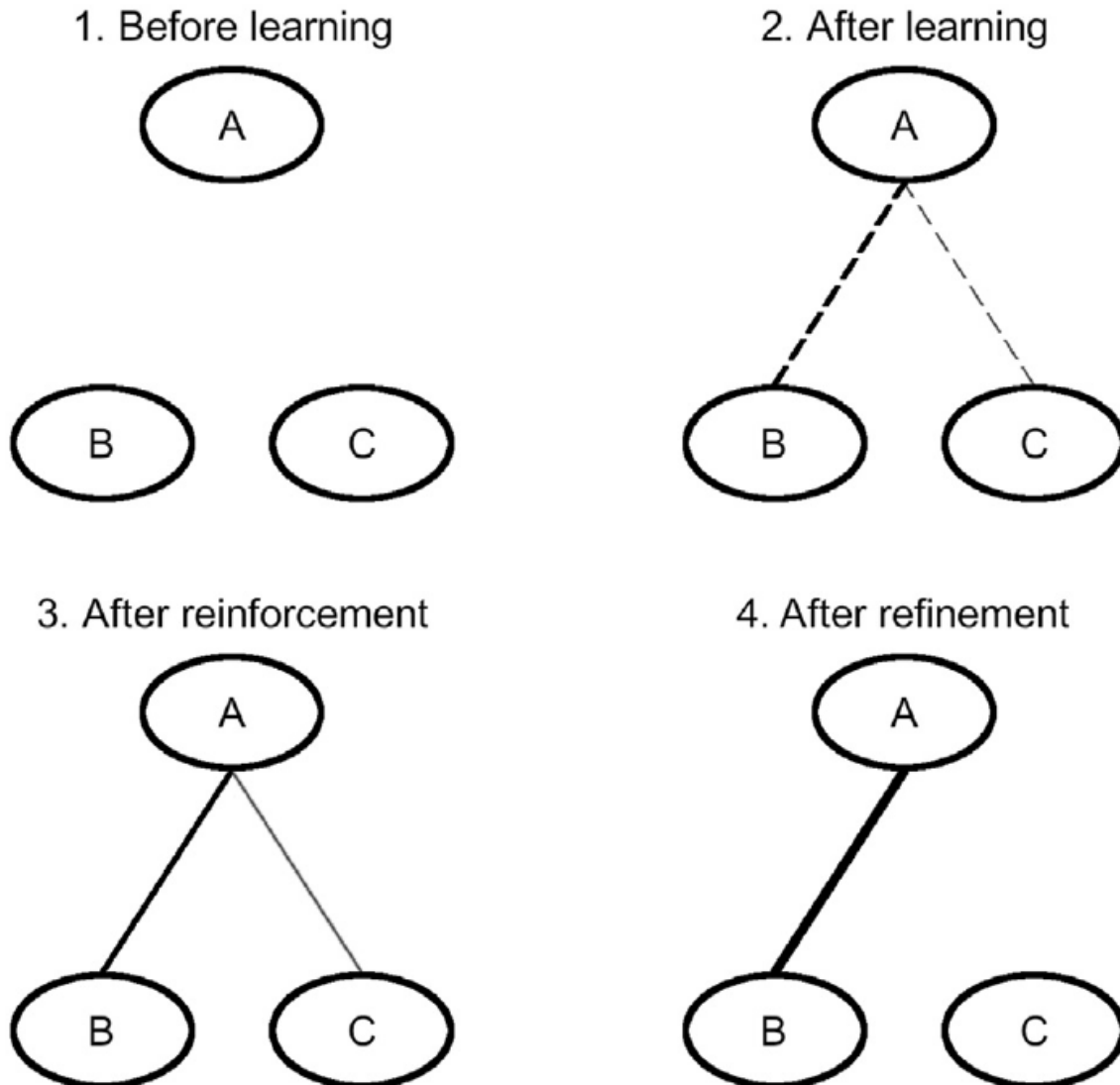
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**Figure 1.** Depiction of the effects of learning, reinforcement, and refinement on the formation and processing of memories. In part 1, three components in the system that will hold the formed memories are identified as not connected before learning. In part 2, the dashed lines connecting A to B and A to C respectively indicate A-B and A-C memories acquired during learning. The darker line connecting A to B identifies the A-B memory as a more dominant memory relative to the A-C memory formed by the lighter dashed line. Both memories compete for retrieval, and each may be retrieved, but the dominant A-B memory would have a greater likelihood of retrieval. In step 3, it is shown that reinforcement has substantiated both the A-B and A-C memories, as indicated by the now solid connecting lines. In step 4, it is shown that refinement has selectively strengthened the dominant A-B memory, as indicated by the thickening of the connecting line, and weakened the A-C memory to the point of elimination. Retrieval of the A-B memory is ensured due to its substantiation in the system, and the A-B memory will be reliably retrieved due to the elimination of the competing A-C memory.