

1 *Lancet* series: Small Vulnerable Newborns 1

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3 **Small vulnerable newborns – big potential for impact**

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47 3650 words in the main text, 225 in summary

48 4 figures, 2 tables, 1 supplementary table

49 3 boxes (815 + 247 + 250 words)

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55 Key messages

- 56 1. Newborns who are preterm, small for gestational age (SGA), or have low birth weight  
57 (LBW), account for most neonatal deaths worldwide. These conditions are also  
58 associated with stillbirth and life-long health adversities among those who survive  
59 their early weeks.
- 60 2. Prevention of preterm birth, SGA, and LBW would lead to major advancements in  
61 global health and economic and social development. However, there has been little  
62 progress in prevention, despite several globally expressed commitments in the past 30  
63 years. This can be explained by the inadequate response of the global community to  
64 four challenges, consisting of problem definition, framing of the problem, coalition-  
65 building, and governance. Major impact is possible with adequate response to these  
66 challenges.
- 67 3. To facilitate an improved problem framing and response, we propose a new definition  
68 with a conceptual framework, bringing preterm birth, SGA, and LBW together under a  
69 broader umbrella term - the “small vulnerable newborn” (SVN).
- 70 4. Interventions that focus on the health of women and fetuses, can reduce newborn  
71 vulnerability, stillbirth, and maternal ill-health, leading to thriving individuals,  
72 families and nations.  
73

74 **Summary**

75 Despite major achievements in child survival, the burden of neonatal mortality has remained  
76 high and even increased in some countries. Currently, most neonatal deaths are attributable to  
77 being born preterm, small for gestational age (SGA), or with low birth weight (LBW).  
78 Besides neonatal mortality, these conditions are associated with stillbirth and multiple  
79 morbidities with short- and long-term adverse consequences, in the newborn, their families,  
80 and society at-large, resulting in a major loss of human capital. Prevention of preterm birth,  
81 SGA, and LBW is thus critical for global child health and broader societal development.  
82 Progress has, however, been slow, largely because of the global community’s failure to agree  
83 on the definition and magnitude of newborn vulnerability and best ways to address it, to frame  
84 the problem attractively, and to build a broad coalition of actors and a suitable governance  
85 structure to implement a change. We propose a new definition and a conceptual framework,  
86 bringing preterm birth, SGA, and LBW together under a broader umbrella term of the “small  
87 vulnerable newborn” (SVN). Adoption of the framework and the unified definition can  
88 facilitate improved problem definition and better programming for SVN prevention.  
89 Interventions aiming at SVN prevention would result in a healthier start for live-born infants,  
90 whilst also reducing the number of stillbirths, improving maternal health, and contributing to  
91 a positive economic and social development in the society.

92

93

## 94 **The importance of newborn vulnerability**

95 Child health and wellbeing have been a global development priority for decades. Improved  
96 child survival was one of the United Nations eight Millennium Development Goals<sup>1</sup>, remains  
97 an important target in the United Nations Sustainable Development Agenda<sup>2</sup>, and is  
98 emphasised in many global initiatives such as the United Nations Global Strategy for  
99 Women’s, Children’s and Adolescent’s Health.<sup>3</sup> During the period of increased global  
100 attention, child survival has improved remarkably.<sup>4</sup> Between 1990 and 2021, the number of  
101 deaths of children under 5-years of age worldwide fell by 61%, from 12.8 to 5.0 million per  
102 year.<sup>5</sup>

103 The positive trend in child survival has been documented in all age-groups, but unfortunately  
104 not quite evenly; mortality in the neonatal period (in the first 28 days of life) has declined  
105 more slowly than that among older children.<sup>6</sup> As a result, neonatal mortality now accounts for  
106 almost half of all under-5 mortality in the world.<sup>5</sup> Strikingly, there are countries and regions  
107 that in absolute terms experienced even more neonatal deaths in 2021 than in 1990. Neonatal  
108 mortality rates (expressed per 1000 live births) have also decreased in these settings, but these  
109 reductions have been offset by larger increases in the numbers of births (**Supplemental table**  
110 **1**).<sup>5,7</sup> This early mortality is seen as a major hindrance to development especially in Sub-  
111 Saharan Africa, where health is becoming a priority for future nation building.<sup>8</sup>

112 Globally, and especially for low and middle income countries (LMICs), most authorities list  
113 preterm birth, intrapartum complications (birth asphyxia and birth trauma), and infections as  
114 the main direct causes of neonatal deaths.<sup>9</sup> Preterm birth is considered the cause of death  
115 when it is associated with respiratory distress syndrome, intracranial haemorrhage or other  
116 complications of fetal immaturity.<sup>10</sup> In addition to the directly attributed deaths, preterm birth  
117 increases the risk of death due to infections.<sup>11</sup> In many settings, where gestational age at birth

118 is uncertain, low birth weight (LBW) is listed instead of preterm birth as a major cause of  
119 neonatal mortality.<sup>12</sup> Although rarely considered a direct cause, newborns who are smaller  
120 than expected for their gestational age (SGA) also have an increased mortality risk.<sup>13</sup> In most  
121 cases being born SGA indicates that the infant has experienced harmful intrauterine exposures  
122 resulting in fetal growth restriction. In a small minority of individuals, it can indicate  
123 constitutional smallness. Together, preterm birth, LBW, and SGA account for most of the  
124 early mortality. It has been estimated that as many as 80% of all neonatal deaths in the world  
125 occur in LBW infants, of whom two-thirds are likely preterm and one-third SGA.<sup>14</sup>

126 There are no unified databases on the overlap between different newborn types, but  
127 approximately 10% of the world's infants are born preterm and the proportions of newborns  
128 with LBW or SGA are estimated to be even higher.<sup>14-16</sup> Besides mortality<sup>13,17</sup>, these newborns  
129 have an increased risk for undernutrition<sup>18</sup>, metabolic disorders<sup>19,20</sup>, developmental delay<sup>21</sup>,  
130 and a multitude of adverse health conditions throughout their lifespan.<sup>22</sup> Prevention of  
131 preterm birth and small birth size is therefore critical for global health and well-being and  
132 forms the basis for this *Lancet* series. Its article collection builds on and supplements the  
133 WHO-UNICEF-Lancet Commission on Child Health<sup>23</sup>, the Optimising Child and Adolescent  
134 Health and Development series<sup>24</sup>, and several other earlier *Lancet* series on maternal and child  
135 health.

136 In the first article of the series, we will review the evolution of constructs for identifying  
137 preterm or small newborns. We will demonstrate a considerable overlap in preterm birth,  
138 SGA, and LBW, in terms of their determinants and implications for health and survival  
139 outcomes. For public health purposes, we propose to merge them under a new holistic term of  
140 “small vulnerable newborn” (SVN), recognizing, however, that there are differences in  
141 clinical management of the different SVN types, applicable especially in high-resource

142 settings. Finally, we will identify challenges that will need to be overcome and myths that  
143 need to be broken for successful SVN prevention.

144 To provide a comprehensive description of the magnitude of the SVN problem and to provide  
145 the rationale for preventive interventions, the second article in the series will provide novel  
146 estimates on SVN prevalence and risks based on large, individually linked datasets<sup>25</sup>. The  
147 subsequent two articles will describe the biological basis and expected benefits from  
148 preventive interventions, by reviewing pathophysiological mechanisms leading to SVN  
149 births<sup>26</sup> and outlining evidence-based interventions within the antenatal care package and  
150 estimating their potential impact on health and well-being.<sup>27</sup> In an associated comment, there  
151 will be a call for action for promoting women's, maternal and fetal health, minimising  
152 newborn vulnerability, and supporting a healthy start for every newborn.<sup>28</sup>

153 Since there is an urgent implementation gap for SVN prevention, the included articles focus  
154 on that and will not discuss prevention of other newborn vulnerabilities, such as hypoxic  
155 injury, perinatal infections, or being post-term or term and large for gestational age. These  
156 issues as well as the management of the sick and vulnerable newborns are planned to be  
157 discussed in detail in another series in *the Lancet*. We will also not discuss strategies which  
158 would reduce but are not specific to SVN, such as enhanced contraception services.

159

## 160 **Evolution of criteria for identifying high-risk newborns: From LBW to SVN**

161 Currently, there are three main constructs used to define small newborns who have an  
162 increased risk of adverse health outcomes: LBW, preterm birth, and SGA. These definitions  
163 have evolved over the past 100 years, as a function of advancing knowledge and technology,  
164 and changing evidence and diagnostic priorities among health professionals (**Box 1**). All three

165 definitions are being used, but for varying purposes and by different professions. LBW has  
166 traditionally been used worldwide in clinical practice, epidemiological research, and in public  
167 health comparisons, such as United Nations statistics. The definition of preterm birth is of  
168 special interest to obstetricians and midwives who make decisions about the management of  
169 individual pregnancies based on the risk of early delivery. Additionally, it is used by  
170 paediatricians and neonatologists making care-related decisions based on the estimated  
171 “maturity” of the newborn. SGA is utilised by neonatal and paediatric practitioners and  
172 researchers, especially in the field of nutrition, and its antenatal correlate fetal growth  
173 restriction is used by obstetricians and midwives for antenatal decision-making.

174 The use of three different dichotomous definitions for newborns who are preterm or small in  
175 absolute or relative terms is understandable, given the historical evolution of the terms and  
176 fragmentation of the communities who use the data. However, there are also major  
177 disadvantages to this practice. First, the definitions convey different types of information:  
178 preterm birth and SGA indicate processes that lead to newborn vulnerability, whereas LBW  
179 indicates only small birth size, with no reference to its determinants. Importantly, the use of  
180 multiple definitions makes it difficult to determine the total burden of the small newborn  
181 problem, since each definition is incomplete. In a recent dataset including over 18 million  
182 births from Brazil between 2011 and 2018, the prevalence of preterm birth was 9.4%, SGA  
183 9.2%, and LBW 9.6%. However, 18.0% of the newborns were included in at least one of the  
184 categories, indicating that the use of any one of the individual definitions would  
185 underestimate the number of all at-risk newborns by approximately 50%.<sup>29</sup>

186 In addition to providing an incomplete estimate, the use of several different criteria obscures  
187 that the same newborn can belong to more than one group. When combined, the LBW,  
188 preterm, and SGA cut-offs define a total of seven possible newborn types, of which six



189 indicate a special vulnerability and only one is “non-risk”.<sup>30</sup> For simplicity, and based on  
190 mortality risk analyses<sup>25</sup>, vulnerable newborns can be categorised into three main groups:  
191 preterm newborns, those who are SGA (most of whom were subject to fetal growth  
192 restriction), and those who are both preterm and SGA. Of these, the preterm-SGA newborns  
193 have the highest risk of neonatal death, followed by preterm but not SGA infants.<sup>13,29</sup> An  
194 analogous risk gradient has been shown for post-neonatal infant mortality<sup>29,31</sup> and child  
195 mortality<sup>29</sup> and may also apply to other adverse health sequelae.

196 Although the exact mechanisms leading to preterm birth, SGA, and LBW and the clinical  
197 management of the affected newborns are different<sup>26</sup> they share many risk factors, aetiologies  
198 and consequences. All these newborns are also “small” in some respect: either in the duration  
199 of their fetal life (preterm infant), absolute size (LBW), or size relative to the duration of  
200 pregnancy (SGA). For public health purposes, we therefore propose a new unifying concept  
201 of “Small Vulnerable Newborn” (SVN), encompassing all newborns who are preterm or  
202 SGA, or have LBW (**Box 2**). Because of its inclusiveness, adopting this concept will improve  
203 estimates of the global burden and facilitate better public health programming and monitoring  
204 of progress.

205

## 206 **Conceptual framework of SVN: Multiple causes, three types, wide adverse consequences**

207 Our conceptual framework is structured similarly to the one WHO used for childhood  
208 stunting.<sup>32</sup> It assumes that there are contextual factors (root causes) that predispose mothers  
209 and fetuses to adverse exposures (immediate causes), leading to fetal growth restriction,  
210 preterm birth, or both. These two mechanistic pathways can result in three main SVN types.  
211 Under very adverse conditions, the same pathways can lead to fetal death, i.e., a miscarriage

212 or stillbirth. For the liveborn SVN, mother, family, and wider society, there are multiple short  
213 and long-term adverse consequences (**Figure 2**).

214 The contextual factors include broad social determinants of health, such as poverty<sup>33</sup>, armed  
215 conflict<sup>34</sup>, and political instability.<sup>35</sup> High food prices<sup>36,37</sup> and poor food security<sup>36,38,39</sup> make  
216 women susceptible to undernutrition and problems with water, sanitation and hygiene also to  
217 infections.<sup>40</sup> Environmental pollution and climate change can reduce newborn size through  
218 multiple mechanisms, including undernutrition and physiological changes in the mother, or  
219 trans-placental exposure of the fetus to harmful environmental compounds.<sup>41</sup> Poor maternal  
220 education may reduce maternal socioeconomic status and access to antenatal care and other  
221 health services<sup>42–46</sup> and problems in health systems governance will further limit the  
222 availability and quality of services.<sup>47</sup> Finally, cultural beliefs, norms and social support given  
223 to a pregnant woman may affect her dietary patterns, macro- and micronutrient intakes,  
224 smoking, other health-related behaviours and health care utilisation, ultimately also affecting  
225 the duration of pregnancy and newborn size.<sup>48–50</sup>

226 The most commonly highlighted adverse exposures that initiate or contribute to fetal growth  
227 restriction and preterm birth include maternal underweight<sup>51</sup>, short stature<sup>52</sup>, anaemia<sup>53–55</sup>, and  
228 infections.<sup>56–60</sup> Another large group includes various environmental exposures, such as air  
229 pollution<sup>61–63</sup>, intimate partner violence<sup>64,65</sup>, physical workload<sup>66</sup>, and tobacco<sup>67</sup> or alcohol<sup>68,69</sup>  
230 consumption. In total, these three clusters of potentially modifiable risk factors, i.e., maternal  
231 nutrition, infections, and environmental exposures, are estimated to account for approximately  
232 50% of spontaneous preterm birth<sup>70</sup> and 39% of SGA in LMICs.<sup>70,71</sup> The relative importance  
233 of the risk factors varies by region, infections being associated with the largest fraction of  
234 SVN in Sub-Saharan Africa and nutrition being most important in Southern Asia.<sup>70,71</sup>

235 In addition to these three large risk factor clusters, there are also several other modifiable risk  
236 factors, such as maternal depression<sup>72</sup>, stress<sup>73</sup>, gestational diabetes<sup>74</sup>, endometriosis<sup>75</sup>, short  
237 uterine cervix<sup>76</sup>, high or low age maternal age<sup>77,78</sup>, high or low parity<sup>79</sup> and short  
238 interpregnancy interval.<sup>80,81</sup> Finally, there are risk factors that do not fit into any of the  
239 previously mentioned groups, such as multiple pregnancy<sup>82</sup> and residence at high altitude.<sup>83</sup>  
240 Most of the stated risk factors have been associated both with fetal growth restriction and  
241 preterm birth, some with only one of the pathways.

242 For a landscape analysis on adverse outcomes associated with preterm birth, SGA and LBW,  
243 we conducted a scoping review of English language literature, searching for systematic  
244 reviews, meta-analyses, and other research syntheses in Ovid Medline, CINAHL and Embase  
245 databases. The results confirmed that SVN types are associated with increased neonatal  
246 morbidity and mortality<sup>84,85,86,87,88,89,90,91,92,93</sup>, and also with child undernutrition,  
247 neurodevelopmental impairment, behavioural problems, and excess morbidity and mortality  
248 in adolescence and adult life (**Table 1**). Importantly, there are also many adverse social and  
249 economic consequences to the newborn's family, such as increased risk of parental stress<sup>94</sup>,  
250 poor parental sleep quality<sup>95,96</sup>, and reduced likelihood of the parents having additional  
251 children.<sup>97</sup> For society, there is increased expenditure on health care<sup>98,99</sup> and loss of human  
252 capital, due to excess mortality and lower educational attainment.<sup>100</sup> Many of the studies have  
253 used a dichotomised outcome variable (preterm birth, LBW, or SGA), but others have shown  
254 that the risk for an adverse outcome rises progressively with extremes of preterm and SGA.

255

256 **Slow progress in SVN prevention despite increasing global attention on newborn health**  
257 **– why?**

258 So far, there have been few global statistics on trends in SVN prevalence, mostly because of  
259 missing or non-standardised data collection on SGA births. However, LBW prevalence trend  
260 serves also as a good proxy for all SVN births. **Figure 3** shows the latest United Nations  
261 estimates for LBW births in 195 World Health Organization members states from 2000 to  
262 2020.<sup>101</sup> At present, approximately 20 million infants are born with LBW each year, with little  
263 decline overall in the past 20 years. In absolute numbers, there has been a small reduction in  
264 Southern Asia and an increase in Sub-Saharan Africa – but these changes reflect mostly  
265 trends in the numbers of livebirths, rather than changes in LBW prevalence.

266 The lack of progress in LBW and SVN prevention can be considered surprising, given the  
267 plethora of related high-level attention and targets (**Box 3**). To understand this apparent  
268 contradiction, we used a published framework that outlines four main challenges which global  
269 health networks face in generating attention and resources for the conditions they are  
270 concerned about.<sup>102</sup> By networks we refer to webs of individuals and organisations linked by  
271 a shared concern for their issue. The four challenges, identified in a research program that  
272 examined eight networks engaged in public health, include problem definition, positioning,  
273 coalition-building, and governance.<sup>102</sup> According to our subjective analysis, inadequate  
274 response of the global community to each of these four challenges has contributed to the  
275 persistence of the high SVN prevalence (**Table 2**).

276 With respect to “problem definition” on SVN prevention, the use of three different definitions  
277 (preterm birth, SGA, and LBW) for newborn vulnerability has impeded estimation and  
278 appreciation of the full burden and fragmented the clarity on interventions and tractability of  
279 prevention. Additionally, although WHO has recently published several recommendations for  
280 improving pregnancy outcomes both for the mother and newborn<sup>103–107</sup>, there is no  
281 internationally agreed document that would concomitantly cover all SVN types and

282 specifically address prevention. The ENAP identified delivery and postnatal care and  
283 management of small and sick newborn as priority package for improving newborn health,  
284 with antenatal care as key for prevention of stillbirths. Whilst the importance of preventive  
285 interventions was discussed in the background articles, there was less evidence for  
286 interventions with high and immediate impact.<sup>108</sup> Because of the confusion on the definition,  
287 emphasis on care, and the widespread ambiguity regarding how to address prevention, it has  
288 been difficult to mount collective intervention. Therefore, we rate response to the “problem  
289 definition” challenge as “contested”, i.e., inadequate.

290 With respect to “positioning” SVN prevention, we also rate this response so far as “contested”  
291 (inadequate), as the issue has usually been framed as a purely medical problem. This approach  
292 is obvious, but too narrow according to many stakeholders. Other metaphors that global  
293 health networks have used for justifying investments include improvement of public health,  
294 an act of charity, a fulfilment of human rights or social justice, a tool for foreign policy, an  
295 investment into social and economic development, a resolution to a humanitarian crisis, and a  
296 safeguard of security.<sup>102,109,110</sup> Of these alternative framings, at least public health, human  
297 rights improvement, and investment into societal development fit well to SVN prevention,  
298 given the mortality, morbidity and human capital loss associated with being born too soon or  
299 too small.

300 For “coalition-building” we rate the current response as “moderately broad”. A joint  
301 WHO/UNICEF steering committee, including national government representation, is actively  
302 coordinating the ENAP. The original plan was passed as a resolution at the 67<sup>th</sup> WHA and  
303 there will be periodic progress reports until 2030.<sup>111</sup> The countries have also set a new round  
304 of targets in 2020-2025 and defined antenatal care as a priority. There are also several large  
305 networks of relevance, notably the Partnership for Maternal, Newborn and Child Health

306 (PMNCH), which operates at head of state level and with inter-sectoral linkage. The Inter-  
307 Agency Working Group on Reproductive Health in Crises (IAWG) is especially key for the  
308 many countries affected by humanitarian emergencies, and there are also other, smaller  
309 networks. However, none of the coalitions focuses solely or predominantly on SVN  
310 prevention. Like many other global health networks, they are also mostly technically focused  
311 and insular, enlisting like-minded actors in the health sector, but missing broader political  
312 alliances such as grassroots civil society actors, heads of government, parliamentarians, and  
313 ministers of finance, nor do they involve representatives of affected families – the vulnerable  
314 newborns and their parents. Without these stakeholders, major progress will be difficult.

315 For the fourth challenge, “governance”, we rate the current response as “largely cohesive”.  
316 Both ENAP, PMNCH, and IAWG have clear organisational structures and they do address  
317 SVN issues. However, the stakeholders do not have a clear unified structure for collaboration  
318 especially on SVN prevention. There are at least three alternatives for this function: a shared  
319 network where members interact on a relatively equal basis (a model used by ENAP), a lead  
320 organisation-based system where activities are mostly coordinated through a single member,  
321 and an administrative model, where a separate entity is set up specifically to govern the  
322 network’s activities (a model used by PMNCH).<sup>112</sup> Each network is different and needs to  
323 make its own decision about the collaborative model. The fact that there are several models  
324 for SVN prevention, makes it difficult to agree on a coordinated target, action plan, quality  
325 assurance, monitoring framework, or indicators of success.

326

### 327 **Management is silver, prevention is gold**

328 The main stakeholders in SVN prevention are women of preconceptional age and dyads that  
329 consist of a pregnant woman and her baby. The woman’s vulnerabilities need to be addressed

330 primarily because of their possible adverse impact on her own health. But the woman's  
331 vulnerabilities are also carried to her offspring, increasing the risk to be born too soon or too  
332 small and suffer from multiple negative consequences throughout the lifespan. Also  
333 important, is that the same adverse exposures that result in fetal growth restriction or preterm  
334 birth, also contribute to some of the 23 million miscarriages, two million fetal deaths  
335 (stillbirths), approximately 350,000 maternal deaths, and a significant amount of maternal  
336 morbidity that happen each year.<sup>113–115</sup> Thus, there is a vicious cycle from vulnerable girls and  
337 women to vulnerable newborns, continuing to vulnerable adults, families, and societies.  
338 Interventions that focus on the health of women and fetuses, can break this cycle and push the  
339 balance to thriving individuals, families and nations (**Figure 4**).

340 Some of the interventions that are necessary for ensuring good pregnancy outcomes can be  
341 offered during antenatal care. However, for a maximal impact, it will be critical to address  
342 also the social determinants that can negatively impact pregnant women's health and health  
343 seeking behaviour. These include the root causes shown in Figure 2, such as poverty, unsafe  
344 living environment, lack of education and agency, and the accessibility and quality of  
345 antenatal care and other health services that the woman is receiving.

346 Interventions and policies for maternal and fetal health promotion and SVN prevention will  
347 be discussed further in articles 4 and 5 of this series.<sup>27,28</sup> For a successful outcome, it will also  
348 be important to tackle two apparent myths that have hampered progress and replace them with  
349 views that are based on recent scientific evidence. The first of these is a belief, that the small  
350 birth size problem is unpreventable in low-income settings. This misconception probably  
351 stems from the fact that most evidence on possible positive effect on prevention comes from  
352 single-intervention trials.<sup>116</sup> The limited effect in trials with such a narrow focus is not  
353 surprising, given the complexity of the aetiological network: a single-pronged intervention is

354 unlikely to solve a multifactorial problem. For instance, if undernourished children have  
355 concomitant infections, they may lack the ability to respond to dietary supplements.<sup>117</sup>  
356 However, if one uses a package of interventions that addresses maternal health, nutrition, and  
357 social wellbeing through multiple platforms, both before and during pregnancy, as occurred in  
358 the recent WINGS trial in India, the prevalence of LBW can be markedly reduced in just one  
359 generation.<sup>118</sup>

360 The second myth is that it is impossible to produce accurate statistics on SVN since birth  
361 weight and gestational age are often measured inaccurately. Ultrasound-based estimation of  
362 gestational age is also often seen as expensive, complicated to use, and unreliable for the  
363 many women who start antenatal care late. These challenges are real but surmountable. The  
364 quality of birth weight data can be improved by increasing the proportion of facility births and  
365 providing standardised scales, as well as better training on their use and how to record birth  
366 weights<sup>119</sup> and calculate weight for gestational age. Ultrasound technology is becoming less  
367 expensive, low-cost devices are easier to use,<sup>120</sup> and women are enrolling in antenatal care  
368 much earlier than before, especially in LMICs.<sup>121,122</sup> Moreover, algorithms now exist that  
369 allow gestational age to be determined later in pregnancy.<sup>123,124</sup> Further standardization on the  
370 gestational age assessment method will be necessary, but already now it is feasible to date all  
371 pregnancies reliably also in LMICs, as recommended by WHO.<sup>125,126</sup>

372 Rapid progress in child survival proves that change is possible with global commitment and  
373 local determination and action. Placing more focus on SVN prevention will complement the  
374 earlier child health activities and facilitate achievement of the United Nations Sustainable  
375 Development Goal 3.2 that calls for neonatal mortality reduction.<sup>2</sup> Importantly, such a focus  
376 will likely provide many additional short- and long-term health benefits both to the mother  
377 and the newborn and for stillbirth prevention, translating into increased human capital and a



378 positive development spiral. The time to act is now. Every newborn, family, and society has

379 the right to survive and thrive.

380

381 **Contributors**

382 PA, UA, SA, REB, JH, NK, JEL, and MT designed the study and planned the data analyses.

383 PA, YM, and UA had access and verified the underlying data and PA conducted the analyses.

384 All authors participated in the conceptualisation and drafting of the original manuscript,

385 reviewed and edited subsequent drafts, and approved the final version of the manuscript. PA

386 made the final decision to submit the manuscript.

387

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- 1049
- 1050

1051 Box 1. Evolution of criteria for identifying high-risk newborns

1052

1053 LBW was the first definition to be formalised for a small, at-risk newborn. The currently used  
1054 cut-off of 2500 g was initially published approximately 100 years ago by Dr. Arvo Ylppö, a  
1055 Finnish paediatrician working in Germany.<sup>127</sup> The 2500 g cut-off did not have a biological  
1056 justification, and it seems to have been selected as a round figure that encompassed  
1057 approximately 5% of newborns. This assumption is supported by the fact that authors in the  
1058 United States suggested another round cut-off using the imperial measurement system (5 lb.,  
1059 i.e., 2270 g).<sup>128</sup> The American Academy of Pediatrics, other professional organisations and  
1060 the World Health Organization (WHO) codified the 2500 g cut-off as an indication of  
1061 “prematurity” between 1935 and 1948.<sup>129,130</sup> A 1961 report by a WHO Expert Committee on  
1062 Maternal and Child Health highlighted the difference between preterm infants and term but  
1063 small infants and suggested changing the term from “premature babies” to “babies with low  
1064 birth weight”.<sup>131</sup>

1065 Although the first criterion for a small newborn was birth weight, the definition itself seemed  
1066 to refer more to a short pregnancy duration. The German-language term that Dr. Ylppö used  
1067 for small infants was “frühgeborenen”, meaning “early born” and the term used in respective  
1068 US studies was “premature”. In the 1948 International Classification of Diseases (ICD), in  
1069 which WHO adopted the 2500 g cut-off, the condition was called “immaturity”. Interestingly,  
1070 the text noted that “*if birth weight is not available, a liveborn infant with a period of gestation*  
1071 *of less than 37 weeks or specified as "premature" may be considered as the equivalent of an*  
1072 *immature infant*.”<sup>130</sup> With the development and spread of obstetric ultrasound technology there  
1073 was increasing interest in a more specific definition for a birth that occurred early. In 1970 a  
1074 working group of obstetricians and paediatricians at the Second European Congress of

1075 Perinatal Medicine set the boundary between “preterm” and “term” birth at 37 completed  
1076 weeks of gestation.<sup>132</sup>

1077 As with LBW, there was no justification given to the cut-off selected for preterm birth.

1078 Alternative possibilities were apparently discussed, but eventually 37 weeks was chosen  
1079 because it had already appeared in the 1948 ICD. The 37-week cut-off and the expression  
1080 “preterm birth” were officially adopted by WHO in its International Classification of Diseases  
1081 in 1977.<sup>133</sup> Several authors and organisations have subsequently suggested a later cut-off of  
1082 39 weeks’ gestation, because it would better coincide with functional maturity.<sup>134</sup> So far, 37  
1083 weeks’ gestation has persisted as the most widely accepted cut-off for preterm birth.

1084 However, to account for the stated concerns and to allow a more stratified risk assessment, the  
1085 American College of Obstetricians and Gynecologists recommends term deliveries to be sub-  
1086 classified into early term (37.0 - 38.9 weeks), full-term (39.0 – 40.9 weeks), late term (41.0 –  
1087 41.9 weeks), and post term (42.0 weeks or more) categories.<sup>135</sup>

1088 The third category used for small newborns stemmed from the concern of health professionals  
1089 having to define small but term infants “premature” as suggested by the 1948 ICD. Several  
1090 publications in the 1950s and 1960s highlighted the fact that, in addition to preterm birth,  
1091 LBW results from what was originally called “intrauterine growth retardation”.<sup>136–139</sup> The  
1092 process of impaired fetal growth has since been renamed fetal growth restriction, and infants  
1093 who are born with a birth weight that is below an agreed cut-off for their sex and gestational  
1094 age as SGA.

1095 A WHO Expert Committee adopted the concept of SGA and recommended the use of a US-  
1096 based, multiracial “Williams” reference in 1995.<sup>140</sup> This was soon replaced by another US-  
1097 based “Alexander” reference, that classified newborns below its 10<sup>th</sup> centile as SGA.<sup>141</sup> In  
1098 2007, the International Society of Pediatric Endocrinology and the Growth Hormone

1099 Research Society suggested that a cut-off of -2 standard deviations from the mean would be  
1100 more appropriate than the 10<sup>th</sup> centile, as it would identify only 2.3% and not 10% of  
1101 newborns as SGA.<sup>142</sup> Between 2014-2016, the INTERGROWTH-21<sup>st</sup> Consortium published  
1102 new sex and gestational age specific birth size standards for term, preterm and very preterm  
1103 newborns, based on the same prescriptive approach that produced the WHO Child Growth  
1104 Standards.<sup>143</sup> Because of its multinational cohort, the INTERGROWTH-21<sup>st</sup> standards were  
1105 designed to have better global validity than a purely US-based reference.<sup>144,145</sup> Many recently  
1106 published scientific manuscripts use the INTERGROWTH-21<sup>st</sup> birth weight standard and a  
1107 cut-off below the 10<sup>th</sup> centile to define SGA, but there is no official consensus on its use and  
1108 the discussion about the correct reference and cut-off to use continues.<sup>146-148</sup>

1109 Figure 1 summarises the key milestones in the development of the small newborn definitions.  
1110 For all these definitions, there is a corollary indicative of a large birth size or long duration of  
1111 pregnancy, i.e., high birth weight, post-term birth, and large for gestational age. Whilst these  
1112 states also confer an increased health risk for the newborn, their global health impact has been  
1113 less studied, and they will not be covered in the current *Lancet* series.

1114

1115

1116 Box 2. Definition of a Small Vulnerable Newborn

1117

1118 Our definition of Small Vulnerable Newborn includes all live newborns who are preterm

1119 (born before 37 completed weeks of gestation), are small for gestational age at birth

1120 (birthweight below the 10th centile of the recommended international, sex-specific

1121 birthweight for gestational age standard) or have low birth weight (<2500g).

1122 In principle the definition could be based only on preterm and SGA, encompassing practically

1123 the full set of small newborns who have an increased risk of mortality and other adverse

1124 outcomes.<sup>25</sup> Preterm and SGA represent the driving pathways for vulnerability, i.e., duration

1125 of pregnancy and fetal growth restriction, and therefore guide the prioritization of preventive

1126 interventions and clinical management, whereas LBW does not give this important

1127 information. Therefore, we focus on preterm, SGA, and preterm-SGA that are the causes of

1128 LBW and are associated with increased risk of mortality and other vulnerabilities both in

1129 newborns who do or do not have LBW. However, birth weight is still more commonly

1130 measured than pregnancy duration or SGA and easily understood by parents. As opposed to

1131 SGA and preterm birth, there is also a global target for reducing LBW prevalence.<sup>149,150</sup>

1132 Hence having LBW in the definition will facilitate continuation of monitoring of current

1133 targets and identification of vulnerable newborns even in contexts where antenatal services

1134 are most limited. In the future, once pregnancy dating and SGA monitoring have become the

1135 norm worldwide, the inclusion of LBW in the SVN definition may become less important.

1136



1137 Box 3. Examples of high-level attention to LBW and SVN prevention, 1990 - 2020

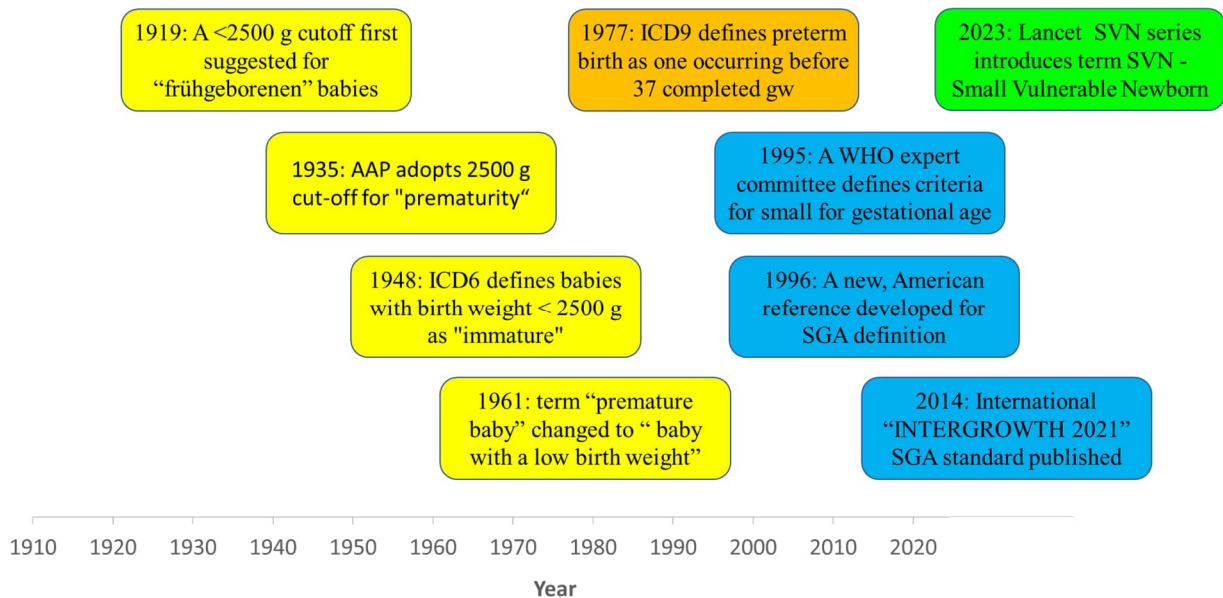
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1139 The reduction of LBW prevalence to less than 10% was defined as a key nutritional goal  
1140 already in the 1990 World Summit for Children.<sup>151</sup> In 2012, WHO, supported by many other  
1141 organisations, published a “*Born Too Soon*” report that had high political resonance and lots  
1142 of attention, calling for primary prevention of preterm births and better care for preterm  
1143 infants.<sup>152</sup> Soon afterwards, the World Health Assembly (WHA) set the reduction of LBW  
1144 prevalence by 30% between 2010 and 2025 (later extended to 2030) as a global nutrition  
1145 target<sup>149,150</sup> and an article series on maternal and child nutrition in *The Lancet* called attention  
1146 to the large number of neonatal deaths attributable to SGA.<sup>153</sup> In 2014, the *Every Newborn*  
1147 series in *The Lancet* led to the WHO and UNICEF facilitated “*Every Newborn Action Plan*”  
1148 (ENAP), with a World Health Assembly Resolution and the first Sustainable Development  
1149 Goal (SDG) target for newborn survival.<sup>111</sup> Both the *Born Too Soon* report and the ENAP  
1150 underlined the impact of small birth size on mortality and disability, calling for emphasis and  
1151 investments in small and sick newborn care but also for primary prevention through the  
1152 maternal and child life course.<sup>154-156</sup> The publication of ENAP led to an ongoing active  
1153 partnership of more than 100 organisations, co-chaired by WHO and UNICEF. As part of this  
1154 process, more than 90 countries have set specific targets for newborn survival and are  
1155 regularly reporting on progress.

1156

1157 **Figure 1. Key milestones in the evolution of vulnerable newborn terminology.** Yellow boxes  
1158 denote the development of the low birth definition, orange box marks the adoption of the  
1159 preterm birth definition, blue boxes refer to the definition of small for gestational age and the  
1160 green box refers to an umbrella term combining the former three definitions. Frühgeborenen  
1161 born early, AAP American Academy of Pediatrics, ICD International Classification of  
1162 Diseases, adopted by the World Health Assembly, WHO the World Health Organization, gw  
1163 gestation weeks, SGA small for gestational age

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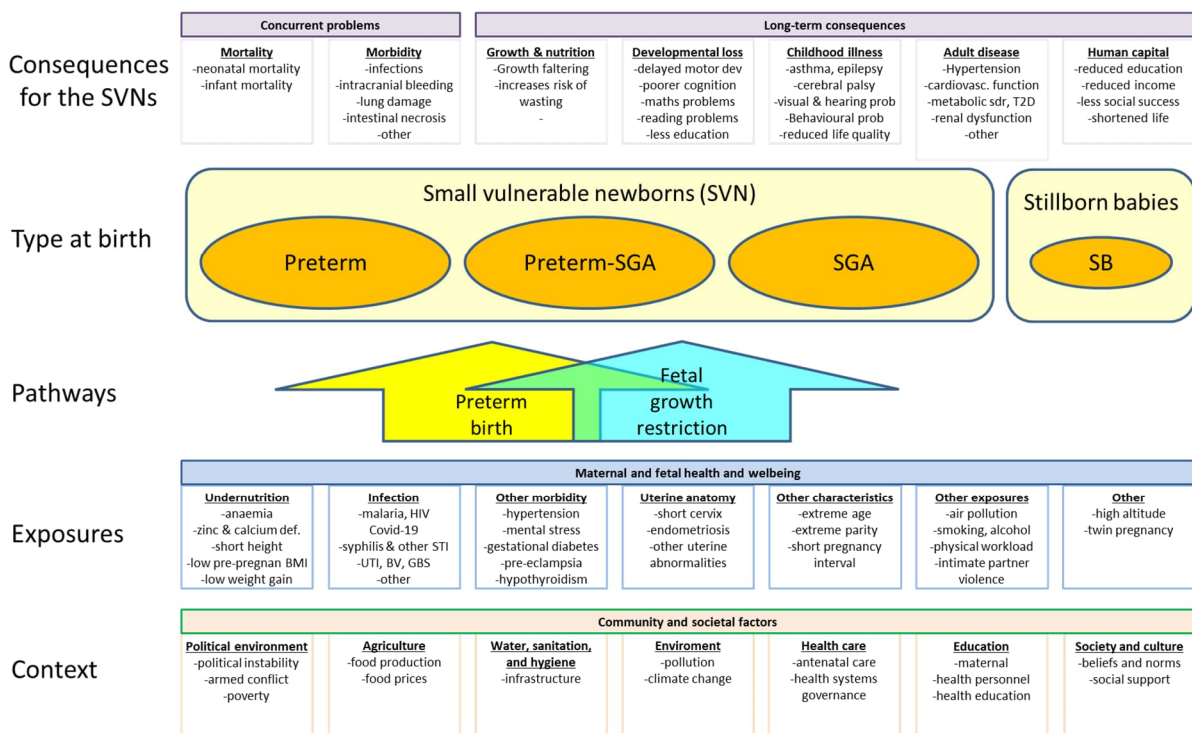


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1167 Figure 2. Conceptual framework for the causes and consequences of being born small. Dev  
 1168 development, prob problems, Sdr. syndrome, T2D type 2 diabetes, SGA small for gestational  
 1169 age, SB stillbirth, BMI body mass index, HIV human immunodeficiency virus infection, STI  
 1170 sexually transmitted infections, UTI urinary tract infection, BV bacterial vaginosis, GBS  
 1171 group B streptococcus

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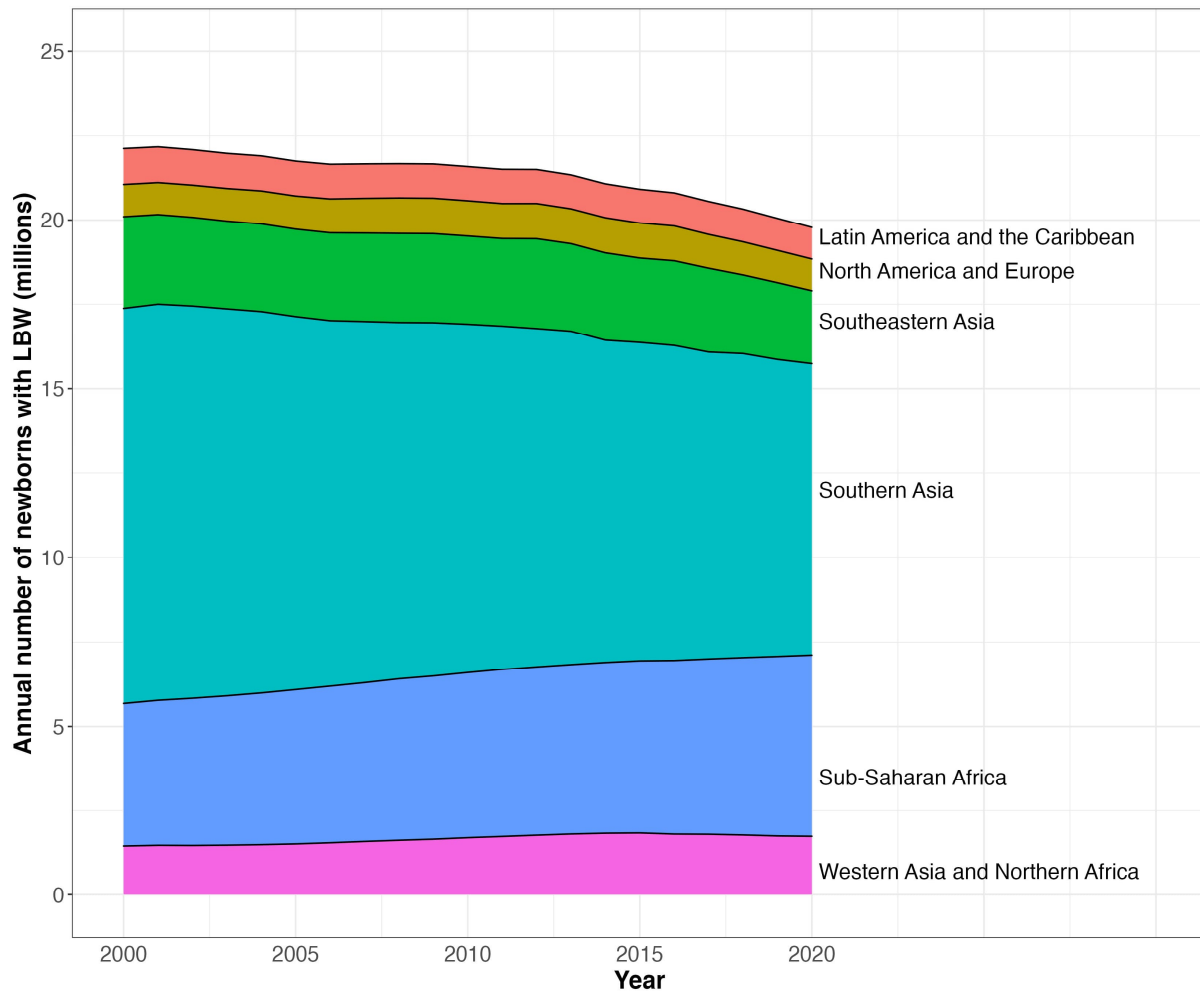


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1175 Figure 3. Annual numbers of newborns with LBW between 2000 and 2020, by region.  
 1176 Estimates by UNICEF and WHO for 195 countries from 2000 to 2020. National annual LBW  
 1177 rates with smoothing applied to national live births per year, as described earlier.<sup>101</sup> LBW low  
 1178 birth weight

1179



1180

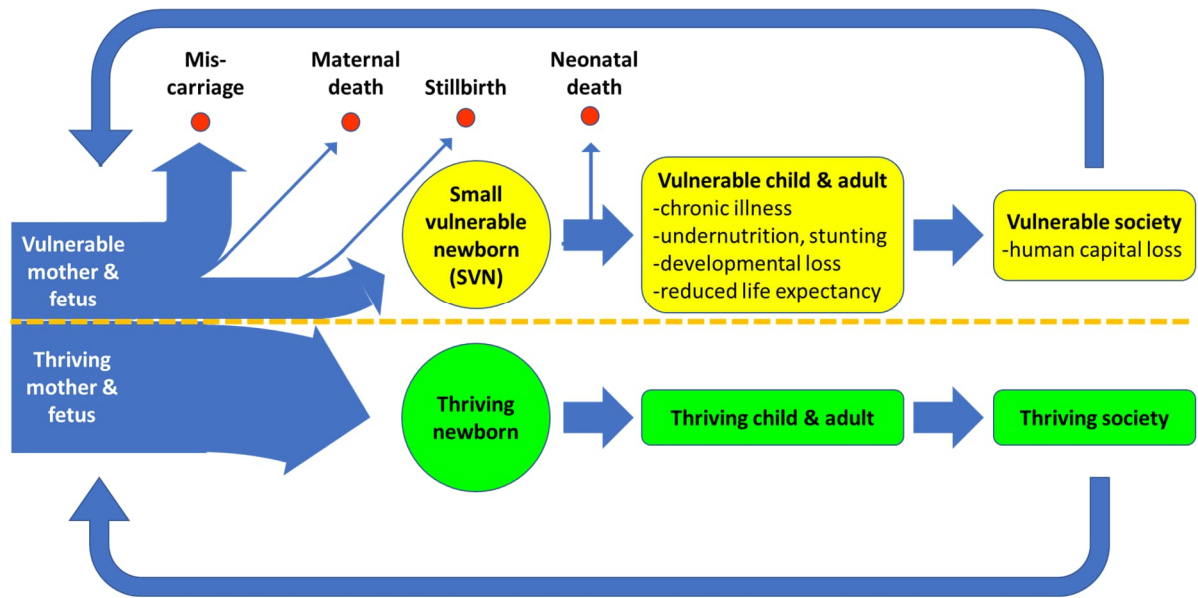
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1184 Figure 4. The vicious cycle between vulnerable newborns and vulnerable societies

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1190 Table 1. Adverse outcomes associated with SVN in systematic reviews and meta-analyses

1191

1192 Childhood1193 Increased risk of mortality, stunting, and wasting (PT, SGA)<sup>13,18</sup>1194 Increased risk of cerebral palsy and epilepsy (PT)<sup>157,158</sup>1195 Reduced brain volume (PT, LBW)<sup>159</sup>1196 Increased risk of wheezing disorders and asthma (PT, LBW)<sup>160,161,162,163,164,165,166</sup>1197 Reduced lung function and exercise capacity (PT, SGA)<sup>161,167,168</sup>1198 Morphological and functional cardiac impairments (PT)<sup>169</sup>1199 Increased risk of hepatoblastoma and acute myeloid leukemia (PT)<sup>170,171</sup>1200 Hip bone shape abnormalities and increased risk of hip osteoarthritis (PT, LBW)<sup>172</sup>1201 Altered palatal morphology and defects in dental enamel (PT, LBW)<sup>173,174,175</sup>1202 Increased risk of delay and impairment of neurodevelopment (PT, SGA)<sup>176,177,21,178</sup>1203 Problems in motor development (PT, LBW)<sup>179,180,181,182,183,184,185,186,187</sup>1204 Reduced IQ and cognitive performance (PT, SGA, LBW)<sup>188,179,189,190,191,192,193,194,195,196,180,197</sup>1205 Blindness and other problems with vision (PT, SGA)<sup>198,199,200,201,202</sup>1206 Problems in reading, spelling, and mathematics (PT)<sup>179,189,203</sup>1207 Reduced language abilities and increased risk of dysphonia (PT, LBW)<sup>204,205,206,207</sup>1208 Impaired school and academic performance (PT, LBW)<sup>157,179,181,192,196,208,209,210,211</sup>1209 Increased risk of ADHD and autism spectrum disorders (PT, LBW,SGA)<sup>193,212,213,214,215</sup>1210 Increased risk of mental disorders & social problems (PT, LBW)<sup>216,217,181,213,212,218</sup>1211 Reduced self-rated quality of life (LBW, PT)<sup>219</sup>

1212

1213 Adolescence1214 Increased risk of asthma and poor lung function (LBW, PT)<sup>164,166,167,168</sup>1215 Cardiac and vascular problems and increased blood pressure (PT, LBW)<sup>169,220,221</sup>1216 Reduced IQ and cognitive performance (LBW, PT)<sup>179,222</sup>1217 Increased risk of depression, anxiety, and being bullied (SGA, PT, LBW)<sup>223,224,225,226</sup>1218 Increased frequency of school problems (PT)<sup>227</sup>1219 Increased risk of social difficulties and behavior problems (LBW, PT)<sup>179,213</sup>1220 Increased risk of a psychiatric diagnosis and hospitalization (PT)<sup>224,228</sup>1221 Reduced sleep quality and increased risk of sleep breathing disorders (PT)<sup>229,230</sup>1222 Reduced self-rated quality of life (LBW, PT)<sup>219,231</sup>

1223

1224 Adulthood1225 Increased morbidity and mortality (PT)<sup>232,233</sup>1226 Reduced lung function and increased risk of asthma (LBW)<sup>165,234</sup>1227 Impaired renal function (LBW, PT)<sup>235,236,237,238</sup>1228 Increased risk of metabolic syndrome and diabetes (LBW, PT)<sup>239,240,20,241,242,243,241,244</sup>1229 Increased risk of hypertension, coronary disease and stroke (PT, LBW)<sup>221,239,244,245,246,247,248</sup>1230 Increased risk of testicular cancer (LBW)<sup>249</sup>1231 Increased risk of hip arthroplasty for osteoarthritis (PT)<sup>172</sup>1232 Increased risk of depression and anxiety (SGA, PT, LBW)<sup>213,223,250</sup>1233 Increased risk of shyness, social withdrawal, autism, and physical inactivity (PT)<sup>213,228,251,252</sup>1234 Increased use of psychotropic medication (PT, LBW)<sup>253</sup>1235 Decreased likelihood of completing higher education and being employed (PT, LBW)<sup>254</sup>1236 Decreased likelihood of a romantic partnership and becoming a parent (PT, LBW)<sup>255</sup>1237 Reduced quality of life (PT)<sup>231</sup>

1238 SVN small vulnerable newborn, PT Preterm birth, LBW Low birth weight, SGA Small for

1239 gestational age, ADHD Attention deficit and hyperactivity disorder

1240 Table 2. Success of global response to main challenges in SVN prevention.

1241

Challenge	Meaning	Status for SVN prevention	Description
Problem definition	Generating evidence-informed consensus within the global health network on the definition of, and best ways to address the problem	Contested <sup>1</sup>	The three different definitions for adverse birth outcomes compete with each other and complicate a comprehensive synthesis of the problem. Improved management, but not prevention, is seen as a priority.
Positioning	Framing the issue in a way that moves key actors external to the network to provide resources.	Contested	Preterm birth, SGA, LBW typically positioned individually and only as a medical problem for the newborn. Maternal ill health, miscarriages, and stillborn babies are ignored and the life-long impact of SVN and loss of human capital are largely ignored.
Coalition-building	Recruitment of allies beyond core members of the global health network.	Moderately broad	Every Newborn Action Plan pulled together many partners and lead to the formation of multiple international networks. But they involve mainly organisations from the health and health research sector. National governments and actors are underrepresented, and SVN and their parents have no voice.
Governance	Establishing institutions to facilitate collective action	Largely cohesive	No apparent central guiding forum or institution that brings together primary organisations. Only LBW tracked and with a global target.

1242 <sup>1</sup>Possible categories for “Problem definition and preferred solution” and for “Positioning” include cohesive, relatively cohesive, and contested.

1243 Possible categories for “Coalition building” include broad, moderately broad, and narrow and those for “Governance” include cohesive, largely

1244 cohesive, and fragmented. Framework adopted from Shiffman<sup>102</sup>. SGA small for gestational age, LBW low birth weight, SVN small vulnerable

1245 newborn

1246

Supplemental table 1. Number of births and neonatal deaths in different world regions, 1990 and 2021

World Region	<u>Annual number of births</u> <u>(thousands)</u>			<u>Neonatal mortality rate</u> <u>(deaths per 1,000 live</u> <u>births)</u>			<u>Neonatal deaths (number of</u> <u>deaths) thousands</u>		
	1990	2021	Decline (percent)	1990	2021	Decline (percent)	1990	2021	Decline (percent)
Sub-Saharan Africa	22,086	39,441	-79 <sup>1</sup>	46	27	41	1,004	1,067	-6
Northern Africa	4,673	5,928	-27	34	15	54	157	91	42
Southern Asia	39,910	36,086	10	57	22	61	2,288	811	65
Eastern Asia	31,039	12,640	59	28	3	89	853	39	95
South-Eastern Asia	11,963	11,086	7	28	12	58	332	130	61
Western Asia	4,824	5,643	-17	28	11	58	133	65	51
Central Asia	1,594	1,772	-11	28	10	66	44	17	62
Europe	9,235	6,880	26	8	2	70	76	17	78
North America	4,568	4,098	10	6	3	42	26	13	48
Latin America & the Caribbean	12,020	9,709	19	23	9	60	272	87	68
Oceania	540	693	-28	13	10	48	7	7	0
World	142,451	133,975	6	37	15	52	5,191	2,345	55

<sup>1</sup>All percentages calculated from unrounded numbers. Birth data source: World Population Prospects: The 2022 Revision -United Nations Population Division.<sup>7</sup> Neonatal death and mortality data estimates developed by the United Nations Inter-agency Group for Child Mortality Estimation.<sup>5</sup>