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The History of SIDS Legislation

- The 1950s were marked with a growing interest in the phenomenon of *crib death*.
- SIDS was defined as a distinct medical entity in 1969.
- Federal hearings were held during 1972 and 1973 regarding SIDS.
- The Sudden Infant Death Syndrome Act of 1974 (Public Health Law 93-270) was passed.
- Growing public and legislative concern developed about the impact of SIDS on parents, caregivers, medical emergency services personnel, and first responders experiencing a SIDS death.
- The first four bills were signed into law in California in 1989.
- Two additional Assembly Bills were passed in the State in the late 1990s, one in 1998 and another in 1999.

Overview of Statutes and Their Requirements

Chapter 1111, Statutes of 1989 (SB1067)

- Mandates SIDS training for emergency first responders (emergency medical technicians, firefighters and peace officers).

Chapter 1118, Statutes of 1989 (SB1068)

Mandates the State to:

- Provide regular and ongoing education and training.
- Produce, update and distribute literature on SIDS.
- Monitor county health officers for performance of required duties.

Chapter 955, Statutes of 1989 (SB1069)

Mandates the State Department of Health Services to:

- Establish procedures and protocols for researchers.
- Develop a standardized autopsy protocol for suspected SIDS cases.

Chapter 1112, Statutes of 1989 (SB1070)

- Establishes a State SIDS Advisory Council.

Statute of 1991 (SB362)

- Identifies the designated agent of the health officer to be a “public health nurse or social worker who is knowledgeable about SIDS.”
- Requires contact with the person or persons who had custody and control of the child, including foster parents and childcare providers, within three working days of notification by the reporting agent.

Statute of 1998 (AB757), Chapter 263

- Health and Safety Code Section 1254.6 requires hospitals and midwives as of July 1, 1998 to provide SIDS risk reduction information as approved by the State Department of Health Services to parents/guardians of newborns.
- Mandates the State Department of Social Services under Section 1596.847 of the Health and Safety Code to provide information/instructional materials concerning SIDS and reducing the risk of SIDS to licensed child care facilities caring for children under two years of age upon licensure and at the time of a site visit.

Statute of 1999 (AB1225), Chapter 457

- As of January 1, 1999 amends existing law which requires a mandatory autopsy in any case where an infant has died suddenly and unexpectedly, except when the physician of record certifies the cause of death is SIDS and the parents object to an autopsy on religious or ethical grounds.
- Legislation revises this exception, and provides that an autopsy may be performed at the discretion of the coroner, even if the attending physician wants to certify the cause of death as SIDS.

Sudden Infant Death Syndrome

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“And this woman’s son died in the night . . .” 1 Kings 3:19.

Introduction

For nearly 3,000 years, it has been recognized that apparently healthy infants could die suddenly and unexpectedly during their sleep. Throughout most of history, it was believed that these infants somehow suffocated, either by maternal overlaying or by strangling in bedclothes. Although these explanations have largely been discarded, nearly one infant per thousand live births continues to die suddenly and unexpectedly.

Sudden Infant Death Syndrome (SIDS) is the sudden death of an infant under one year of age, which remains unexplained after performance of a complete post-mortem investigation, including an autopsy, examination of the death scene, and review of the case history. SIDS is the most common cause of death in infants between the ages of one month and one year, affecting nearly one out of every 1,000 live births. This accounts for nearly 3,000 SIDS deaths in the United States per year, or approximately one baby every three hours of the day and night! (Table 1) Unfortunately, SIDS is not a rare occurrence in the general population. The peak incidence is between two and four months of age. Approximately 95% of SIDS deaths occur before the age of six months, but SIDS deaths can occur until one year of age.

A typical clinical course for a SIDS death is that the parents or caregivers put their infant to sleep, either at night or during a daytime nap. They return at some later time to find that the infant has died unexpectedly. Usually, these infants were healthy prior to death, although some had evidence of a mild upper respiratory infection. SIDS deaths have occurred when parents or caregivers have placed their infants down for a nap, have been within hearing distance of the infant the entire time, and have returned as briefly as 20 minutes later to find that their infant has died. Yet, these parents report hearing no signs of a struggle. Thus, SIDS deaths appear to occur swiftly and silently.

TABLE 1: CALIFORNIA AND U.S. SIDS RATES 1980-98

YEAR	CALIFORNIA			U.S.A.
	LIVE BIRTHS	SIDS DEATHS	SIDS RATE*	SIDS RATE*
1980	402,720	668	1.66	1.53
1981	420,418	610	1.45	1.46
1982	429,631	636	1.48	1.44
1983	435,722	650	1.49	1.46
1984	447,394	630	1.41	1.43
1985	470,816	682	1.45	1.41
1986	481,905	651	1.35	1.41
1987	503,376	661	1.31	1.37
1988	532,708	725	1.36	1.40
1989	569,308	780	1.37	1.39
1990	611,666	716	1.17	1.30
1991	609,228	724	1.19	1.30
1992	600,838	568	0.95	1.20
1993	584,483	545	0.93	1.17
1994	567,034	486	0.86	1.03
1995	551,226	397	0.72	0.84
1996	538,628	311	0.58	0.78
1997	520,635	328	0.63	0.69
1998	521,265	259	0.50	0.64

* SIDS Rate is SIDS deaths per 1000 live births.

Epidemiology and Evaluation Section, California Department of Health Services, 1999.

By definition, the etiology of SIDS is not known. In approximately 15 to 20% of infants who die suddenly and unexpectedly, a conventionally accepted cause for the death is found at post-mortem examination. These infants are not said to have died from SIDS, but rather from the cause of death found. This leaves 80% to 85% of infants who died suddenly and unexpectedly in whom no cause of death can be found at post-mortem examination. These infants comprise the group called *SIDS*.

One Cause or Many?

SIDS has often been referred to as a *diagnosis of exclusion*. That is, the pathologist looks for identifiable causes of death. If none are found, then, by exclusion, the diagnosis of SIDS is made. Is SIDS due to one cause or many? Some unique and characteristic epidemiologic features about most SIDS deaths suggest that most babies dying from SIDS die from the same final common mechanism or final common pathway of death.

SIDS has a unique age distribution. The peak incidence of SIDS is between two and four months of age. Infants are relatively spared in the first one to two months of life, and 95% of SIDS deaths occur before six months of age. For other natural causes of infant death, the rate is highest near birth, and decreases thereafter. SIDS also has a unique seasonal distribution, which is not shared by other natural causes of infant death. SIDS is more common in winter months and less common in the summer. If SIDS was simply a collection of other natural causes of infant death, one would not expect these unique age and seasonal distributions. Thus, epidemiologic evidence favors the hypothesis that the majority of SIDS victims died from a single common mechanism of death, although many “triggers” might lead an infant into that final common pathway.

Epidemiologic Studies

Epidemiologic studies have been performed in an attempt to identify *risk factors* for SIDS. When risk factors are found in a population, the statistical risk of SIDS occurring in that population increases. However, *risk factors* are not *causes* of SIDS. They may provide *clues* for researchers to the cause of SIDS. Therefore, they are important for research. However, no risk factor, singly or in combination, is sufficiently precise to predict the baby who will die from SIDS. Further, most SIDS victims had few, if any, *risk factors* prior to death.

Maternal factors associated with a statistically increased risk for SIDS include: cigarette smoking or substance abuse (specifically opiates or cocaine) during pregnancy, teen-aged and older mothers, birth order, short inter-pregnancy intervals, delay in initiating prenatal care, unmarried mothers, low blood pressure during the third trimester of pregnancy, and high or low hemoglobin during late gestation. SIDS is more common in lower socioeconomic groups and certain racial groups. Although these studies do not point to a specific etiology, they suggest that infants who had a suboptimal intrauterine environment may be at a higher risk of dying from SIDS.

Infant factors, which are associated with a statistically increased risk for SIDS, include: preterm infants, low birthweight infants, multiple gestation (twins, triplets, etc.), and prone sleeping. Often, SIDS deaths are temporally associated with viral respiratory infections.

Post-Mortem Examination in SIDS

By definition, an identifiable cause of death is not found at post-mortem examination. The autopsy of a SIDS victim shows the absence of other serious illness which could contribute to the death, no signs of severe illness, and no signs of significant stress. However, common post-mortem findings in the SIDS victim include: intrathoracic petechiae; pulmonary congestion and edema; minor airway inflammation; minimal stress effects in the thymus and adrenal glands; normal nutrition and development; fluid blood; and an empty urinary bladder. The significance of the latter four of these findings is that these infants were generally healthy prior to death. The autopsy should be performed by a qualified pathologist, preferably using a uniform autopsy protocol. Neither epidemiologic studies nor the post-mortem findings have resulted in a generally accepted cause for SIDS. The cause remains unknown, though current research efforts are making advances in our knowledge which may ultimately lead to this answer.

Research Into Possible Causes of SIDS

The cause of SIDS is unknown. Much of SIDS research has searched for a single abnormality or disorder in a single physiological system. Is SIDS caused by one abnormality in one physiologic system? Do some infants have a pre-existing abnormality which predisposes them to die from

SIDS? Will those infants who do not have this pre-existing abnormality not die from SIDS? This point is controversial. Some believe that SIDS victims were not normal, but that they had a pre-existing abnormality which predisposed them to die. Other researchers believe that SIDS can happen to any infant, and is the result of interactions between development, infant physiology, and environmental factors. This section will review research which investigates cardiac, metabolic, respiratory, arousal, and hypoxic causes of, or contributors to, SIDS.

► **Evidence for Cardiac Causes of SIDS**

When one thinks of sudden death, the heart is often the first focus of attention. Cardiac arrhythmias can cause sudden death, but are not likely to be detected at post-mortem examination. The Long QT Interval Syndrome can cause intermittent lethal ventricular fibrillation. The clinical syndrome of prolonged QT interval appears to have a genetic basis, and is much more rare than SIDS. However, Schwartz and coworkers recorded ECGs in 34,442 infants within the first week of life. Twenty-four subsequently died from SIDS, and 12 (50%) had a prolongation of the corrected QT interval. This important study suggests a possible cardiac mechanism for SIDS. However, it is unclear how to handle an infant with an identified prolonged QT interval, even if one advocated prospective ECG screening of all infants. Further, the prolonged QT interval hypothesis does not explain the unique age distribution for SIDS, it does not explain why SIDS deaths occur during sleep (since most prolonged QT interval syndrome deaths occur with exercise), and it does not explain the success of back sleeping at reducing the SIDS rate. Therefore, the prolonged QT interval syndrome does not explain all the facts about SIDS. However, this compelling study deserves more research effort. Newborn screening for the prolonged QT interval is not likely to significantly reduce SIDS deaths, and is not currently recommended.

Some infants, judged to be at high risk for SIDS, for whom home apnea-bradycardia monitors were prescribed, subsequently died while using these monitors. These physiologic recordings at the time of death appear to demonstrate an abrupt bradycardia. However, there is some debate over the interpretation of these tracings. D. H. Kelly and coworkers also found that tachycardia often preceded the terminal SIDS episode. In some cases, this occurred within minutes of the event. Eighty three percent of terminal events began with a severe, abrupt decrease in heart

rate followed by irregular breathing. Eleven percent of events began with apnea followed by bradycardia. Five percent of events began with simultaneous bradycardia and apnea. Infants could not be resuscitated from this bradycardia. This may indicate some autonomic nervous system abnormality in these babies who died from SIDS. However, all babies in this study were placed on home monitoring for clinical indications, thus they may not represent the *typical* SIDS victim who does not begin with high risk factors.

Studies have shown decreased beat-to-beat heart rate variability in infants at high risk for SIDS, and in infants who have died from SIDS. These results are interpreted as an abnormal autonomic nervous system function controlling heart rate variability, rather than a primary cardiac abnormality. They suggest that these SIDS infants have a decreased ability to change heart rate in response to environmental challenges.

In summary, an isolated abnormality in the cardiac system has not been identified which adequately explains the cause of SIDS.

► **Metabolic Disorders as Causes of SIDS**

Some have suggested that inborn errors of metabolism may be an important cause of SIDS. Medium chain Acyl-CoA dehydrogenase deficiency (MCADD) is a relatively common inherited metabolic disorder of beta-oxidation of fatty acids, although over 10 times less common than SIDS. The presence of this disorder prevents the conversion of ingested fats into energy. While infants can often do quite well with the absence of this enzyme, it is necessary during times of fasting or stress. MCADD has been suggested to be an important cause of SIDS. However, R. Arens and coworkers performed DNA diagnostic testing in an attempt to detect MCADD in all SIDS victims in Los Angeles County over six years (approximately 1200). No MCADD was found in any SIDS victim. Thus, MCADD does not appear to be a frequent cause of SIDS. However, other metabolic disorders may still cause SIDS. R. G. Boles and coworkers used biochemical techniques to analyze liver tissue from 313 SIDS victims from the State of Maryland. They found that 14 SIDS victims had findings suggesting some metabolic disorder in fatty acid oxidation (of which MCADD is the most common). They concluded that metabolic errors may explain approximately five percent of SIDS deaths. However, the diagnostic criteria for SIDS were not specified in Boles' article. Fatty liver infiltration, for example, may cause some coroners to diagnose

an inborn error of metabolism, and others to diagnose SIDS. Boles' study does emphasize that inborn errors of metabolism can cause sudden death in infants. It is reasonable to screen for this, once a practical and inexpensive screening technique is available for large numbers of infants. However, it appears that metabolic disorders are not as common in SIDS babies, where fatty liver infiltration would lead the coroner to make a non-SIDS diagnosis. In addition to causing sudden death, inborn errors of beta-oxidation of fatty acids were found in approximately four percent of infants with severe apparent life-threatening events.

In summary, inborn errors of metabolism have not been identified which adequately explain the cause of the majority of SIDS deaths.

► **Evidence For Respiratory Causes of SIDS**

The infant respiratory system is developmentally immature and rapidly changing. From an engineering perspective, a rapidly changing system is intrinsically unstable. Even in healthy infants, neurologic control of breathing is unstable. Ventilation is depressed by hypoxia, and immature reflexes cause apnea. Immaturity of the lungs predisposes to atelectasis, airway obstruction, pulmonary hypertension, and edema. The upper airway is predisposed to collapse, causing obstructive apnea during sleep. Chest wall instability causes decreased lung volume and increased work of breathing. Ventilatory muscle strength and endurance are decreased, resulting in ventilatory muscle fatigue. Thus, normal infants, *without* increased risk for SIDS, can have apneas at least 20 seconds in duration during sleep.

There is a great deal of circumstantial evidence suggesting that respiratory mechanisms are important in SIDS. Cessation of breathing (apnea) can cause sudden death, which may not be detected at post-mortem examination. Thus, it fits the definition of SIDS. Respiratory disorders can be categorized in terms of how they affect the respiratory system.

Primary Lung Disease

A lung disease sufficient to cause death would likely be detectable at autopsy. Thus, SIDS is not likely due to a single lung disease. However, common post-mortem findings in the SIDS victim include intrathoracic petechiae, pulmonary congestion and edema, and minor airway inflammation. While not generally considered to be severe enough to have caused death, these findings raise the possibility that lung disease has a role in SIDS. F. D. Martinez hypothesized that the small airways of infants are predisposed to collapse, and that increased resistance of small airways could cause sudden death by progressive peripheral bronchial occlusion. The presumed trigger for this chain of events is an acute viral lower respiratory tract illness causing inflammation. Susceptible infants are believed to have decreased airway conductance (increased resistance) due to congenital and environmental factors. L. C. Kao measured lung function in 10 infants with unexplained apnea, a group of infants with a statistically increased risk for SIDS. She found that specific airway conductance was decreased, suggesting airway obstruction, lending support to the Martinez hypothesis.

C. J. Morley and others have described surfactant abnormalities in SIDS victims, which would predispose to atelectasis. If other mechanisms which maintain the functional residual capacity in babies are compromised, then larger areas of lung collapse may occur, causing hypoxia. These results would predict that lung compliance is low in SIDS victims, but D. G. Fagan and A. D. Milner found normal pressure-volume loops in SIDS victims post-mortem. Thus, Morley speculated that this surfactant abnormality causes physiologic lung dysfunction during life, but that the physiologic consequences of these surfactant abnormalities are difficult to measure post-mortem. The cause of these surfactant abnormalities in SIDS is not known. Morley speculates that it could be related to viral infections of the lung. Even if surfactant abnormalities are not the sole cause for SIDS, they may be a contributor to the mechanism of death in SIDS and/or provide a mechanism how viral infections may be associated with SIDS.

In general, SIDS victims do not manifest symptoms of chronic lung disease prior to death. However, infants with chronic lung disease, bronchopulmonary dysplasia, do have an increased risk for SIDS, suggesting that abnormal lung function may contribute to the mechanism causing SIDS.

Ventilatory Muscle Weakness or Fatigue

There has been little research on ventilatory muscles in SIDS. My research (Dr. Thomas G. Keens) described a “normal” maturational pattern of increasing fatigue-resistant muscle fiber types in the human diaphragm and intercostal muscles over the first year of life. However, autopsy samples were used, and nearly all infant diaphragms were derived from SIDS victims. Thus, it is not clear whether this increase in the first year of life is normal, or is aberrant and a characteristic of SIDS. C. B. Scott measured maximal transdiaphragmatic pressure, as a measure of diaphragm strength, in infants with unexplained apnea. He found that diaphragm strength was not decreased, but rather it was significantly increased compared to controls. This could be interpreted as representing ventilatory muscle training in response to lung disease or upper airway obstruction. However, there is no evidence supporting a primary ventilatory muscle dysfunction as the cause of SIDS.

Upper Airway Obstruction

A common autopsy finding in SIDS victims is the presence of intrathoracic petechiae on the thymus, lungs, pleural surfaces, and heart. Extrathoracic portions of the thymus do not show petechiae. These intrathoracic petechiae may have been formed by the generation of highly negative intrathoracic pressures, as might occur when an infant attempts to breathe against upper airway obstruction. Intrathoracic petechiae suggest that obstructive apnea may be involved in the final mechanism of SIDS deaths.

The anatomy of the infant’s upper airway and relatively increased amount of active sleep predisposes infants to upper airway obstruction. Traditionally, SIDS researchers have been concerned about central apnea possibly causing death in infants. However, obstructive apneas have more recently been identified in infants at increased risk for SIDS. A. Kahn and coworkers examined overnight polysomnographic recordings from 30 infants who subsequently died from SIDS, and compared them with recordings from 60 matched control infants. They found significantly more and longer obstructive breathing events in the SIDS infants. Obstructive events were accompanied by bradycardia and hypoxemia. Central apneas were not different between the two groups. Tishler and associates have identified an increased family history of sudden unexpected infant deaths in adults with the obstructive sleep apnea syndrome, and have hypoth-

esized a familial association between the two. In the past, recordings performed in the home on infants who subsequently died from SIDS, or who are at risk from SIDS, have not had the technical capability to detect obstructive apneas. Therefore, the question of the importance of obstructive apnea in SIDS remains unanswered.

Ventilatory Control Disorders

Infants with unexplained apnea have an increased risk of dying from SIDS. Tissue markers of chronic hypoxia and hypoxemia have been described in many SIDS victims by some investigators. Brainstem lesions have been seen in areas controlling ventilation and sleep/wakefulness in many SIDS victims. Many infants at high risk for SIDS have ventilatory control disorders. While these findings do not prove that SIDS is due to a respiratory disorder, there is considerable circumstantial evidence suggesting that SIDS may involve abnormal neurologic control of breathing.

The circumstantial evidence in favor of respiratory causes for SIDS prompted many investigators to formulate the apnea hypothesis of SIDS. The simplistic version of this hypothesis says: 1) SIDS occurs when infants stop breathing during sleep. 2) One can test infants to see if they have apneas. 3) Infants with increased apnea during sleep are at high risk for SIDS and should be treated or protected. Home apnea-bradycardia monitoring, which sounds an alarm to summon trained parents when an infant has a prolonged apnea or bradycardia, has been advocated as the preferred method to protect these infants. However, relatively few SIDS victims had any previous apneas observed prior to death. Prospective studies of the sleeping ventilatory pattern do not predict SIDS or death in infants. Home apnea-bradycardia monitoring and infant apnea evaluations have not substantially decreased the SIDS rates for the general population. Thus, the simplistic approach to treating apnea in infants has not decreased SIDS. However, it is still possible that SIDS involves a respiratory disorder.

H. C. Kinney and others have found gliosis and subtle changes in brainstem centers responsible for control of breathing and control of sleep/wakefulness. More recently, she has found a decrease in muscarinic cholinergic receptors and kainate receptors in the arcuate nucleus of the brainstem in SIDS victims. This area of the brainstem is thought to be related to the physiologic responsivity to increased carbon dioxide. These findings suggest that the origins of SIDS may lie in abnormal control of

breathing or abnormalities in regulation of sleep/wakefulness. However, these theories remain unproven.

The study of genes which may affect control of breathing could improve our understanding of SIDS. Brain-derived neurotrophic factor (BDNF) may be important in determining the development of control of breathing. Infant mice which lack the gene for BDNF have a loss of neurons responsible for normal ventilatory control. These mice appear to demonstrate an abnormality in carotid body, or peripheral chemoreceptor, function, which provides a chronic stimulus to breathing, and is the body's primary sensor of low oxygen. Infant mice without the BDNF gene breathe slower and shallower, and do not respond to hypoxia. BDNF deficient mice showed a normal response to elevated carbon dioxide, suggesting that the BDNF gene is not active in the carbon dioxide response. Thus, the BDNF gene may control the development and/or survival of nerve cells in the carotid body, which affect a baby's protective response to low oxygen. It is unclear how this may relate to SIDS, and studies have not been performed in SIDS victims. In the near future, it is likely that other genes will be described which affect control of breathing. While it is tempting to postulate a genetic etiology to SIDS, studies in twins and in siblings do not convincingly suggest that SIDS is hereditary.

Arousal Responses to Respiratory Stimuli

Arousal from sleep is an important defense mechanism against danger-signaling stimuli during sleep. All infants have frequent breathing pauses during sleep. The inability to arouse from sleep in response to apnea or hypoxia could prevent an infant from terminating an apnea, resulting in death. The process of changing from sleep to wakefulness (arousal) is associated with many changes in the respiratory system which improve breathing. Thus, arousal is a logical defense mechanism to protect breathing during sleep.

Preliminary evidence suggested that infants at high risk for SIDS had abnormal arousal responses to hypoxia. These same infants also had alterations in circulating catecholamine levels. However, normal control infants also often fail to arouse in response to hypoxia. Normal infants arouse frequently under nine weeks of age, but not between nine weeks and six months of age. This corresponds to the peak age distribution for SIDS. It is possible that infants are born with a protective brainstem-mediated hypoxic arousal response, which is inhibited by increasing cortical

development after two months of age. However, this is quite preliminary, and not proven. Other factors also affect arousal. For example, repetitive hypoxic events depress the arousal response to hypoxia. Thus, infants with frequent hypoxic events, may depress the protective arousal responses and increase their risk of death. A great deal more work is required to establish a link between these altered arousal patterns and SIDS.

F. McNamara and coworkers tested the arousal response of 10 healthy infants to tactile stimuli. Arousal could be abolished by repeated exposure (habituation). While brainstem and spinal mediated responses were more resistant to habituation than cortically mediated responses, even they were eventually inhibited. As mentioned, repeated exposure to hypoxia blunted hypoxic arousal responses. Thus, habituation of the infant arousal response to repeated stimuli, especially hypoxia, hypercapnia, or airway occlusion, may be relevant to SIDS.

Prenatal and postnatal exposure to cigarette smoking are now recognized as significant risk factors for SIDS. Infants born to cigarette smoking mothers have higher arousal threshold to auditory stimuli than infants not so exposed. Thus, decreased arousal is associated with an important risk factor for SIDS.

► **Role of Hypoxia in SIDS**

Tissue markers of chronic hypoxia and hypoxemia have been described in many SIDS victims by some investigators. While some of these findings are controversial, the search for evidence of chronic hypoxia as a cause of SIDS is an active area of research.

The transition from fetal life to post-natal life is associated with changes in the oxygen, CO₂, and acid environment. The most marked change at birth is an increase in oxygen from a Po₂ of 20 to 25 torr *in utero* to much higher levels of 60 to 90 torr after birth. At the moment of birth, blood gas values suggest that there should be a powerful chemoreceptor drive from hypoxia. However, peripheral chemoreceptors do not seem to be required for the initiation of air breathing, and they are probably quickly inhibited by the rapid increase in Po₂ at birth. Thus, neonates have decreased ventilatory responses to hypoxia in the first few days after birth. Resetting of the peripheral chemoreceptors occurs in response to the increased post-natal oxygen tension, and can be inhibited by maintaining persistent hypoxia.

Chemical and neurological control of breathing in infants are related to sleep state. During quiet (NREM) sleep, breathing is regulated primarily by automatic ventilatory control, located in the brainstem. Thus, breathing is regular with respect to timing and amplitude. Breathing is responsive and tightly linked to chemoreceptor input. However, during active (REM) sleep, breathing is controlled primarily by the voluntary or behavioral system, and it is not tightly regulated by chemoreceptor input. Thus, breathing is irregular with respect to timing and amplitude. Periodic breathing occurs frequently in wakefulness, quiet sleep, and active sleep, but its prevalence is greater in active (REM) sleep. Periodic breathing tends to be more regular in quiet (NREM) sleep than in active (REM) sleep. However, minute ventilation is increased in REM sleep due to an increase in respiratory rate, with little change in tidal volume, compared to NREM sleep.

A decrease in inspired oxygen increases ventilation initially in neonates, followed by a later decrease. In adults, the increase in ventilation is more sustained. Newborn infants have less ventilatory response to hypoxia than older infants. In newborn infants, the hypoxic ventilatory response is similar initially in wakefulness, REM and NREM sleep, but it is sustained longer in NREM sleep. In preterm infants breathing $F_{I}O_2$ 0.15, there is a sustained increase in ventilation during quiet (NREM) sleep, a transient increase followed by a decrease in wakefulness, and predominantly a decrease in active (REM) sleep. This probably reflects the tighter coupling between ventilation and chemoreceptor input during NREM sleep than during REM.

	Quiet (NREM) Sleep	Active (REM) Sleep
Neurologic Control	Automatic (Metabolic)	Behavioral (Voluntary)
Chemoreceptor Regulation	Tight	Poor
Timing of Ventilation	Regular	Irregular
Amplitude of Ventilation	Regular	Irregular
Periodic Breathing	Decreased; Regular	Increased; Irregular

The immediate increase in ventilation reflects an intact peripheral chemoreceptor response. The mechanism of the late decrease in ventilation with hypoxia is thought to be due to direct depression of the respiratory centers from hypoxia. P_{CO_2} also decreases in response to the initial hyperventilation, which may contribute to the late depression in ventilation. However, when minute ventilation remains lower than baseline, P_{CO_2} remains low, suggesting that metabolic rate decreases in response to hypoxia. This reduction in CO_2 drive may be accentuated by the hypoxic cerebral vasodilatation, which would decrease brain tissue P_{CO_2} and depress ventilation. This mechanism would be expected to cause only a transient decrease in ventilation. However, the ventilatory depression to hypoxia in newborn kittens lasts 40 minutes. Further, the addition of CO_2 to inspired air does not abolish the biphasic hypoxic ventilatory response. Thus, the mechanism of the biphasic response is likely direct hypoxic depression of respiratory centers and a decrease in metabolic rate.

Changes in lung mechanics from hypoxia may also contribute to the ventilatory depression following hypoxia. Hypoxia decreases lung compliance, which would decrease ventilation. However, these changes in compliance are present during the initial phase of hypoxia when ventilation is stimulated, so lung mechanics do not completely explain the ventilatory depression. This biphasic ventilatory response of the infant to hypoxia suggests that if an infant becomes hypoxic, rather than stimulate breathing, hypoxia may serve to cause periodic breathing and/or apnea, by direct depression of central respiratory centers and reduction in metabolic rate. The addition of supplemental oxygen, even in low concentrations, will often decrease or eliminate these apneas.

At the peripheral chemoreceptors, hypoxia and hypercapnia act synergistically to stimulate ventilation. Centrally, hypoxia and hyperoxia have opposing effects. Hypoxia increases cerebral blood flow, which decreases brain tissue P_{CO_2} , and thus decreases ventilation. Hyperoxia causes cerebral vasoconstriction, which increases tissue P_{CO_2} , and thus increases ventilation.

	HYPOXIA	EFFECT ON VENTILATION
Metabolic Rate	Decreases	Decreases
Brain Tissue	Depresses	Decreases
Peripheral Chemoreceptor	Stimulates	Increases
Cerebral Blood Flow	Increases	Decreases
Brain Tissue P _{CO₂}	Decreases	Decreases
Lung Compliance	Decreases	Decreases

The newborn ventilatory response to hypoxia is characterized by a late depression of ventilation, possibly due to direct hypoxic depression of central respiratory centers.

Neonates tolerate acute hypoxia or oxygen deprivation better than adults. Ninety-five percent of neonatal rats survived anoxia for 50 minutes, while all adults died within four minutes. This is not surprising since neonates have just come from an intrauterine environment where the mean oxygen tension is 26-30 torr. They have several adaptations to this hypoxic state, such as increased fetal hemoglobin. An important neonatal adaptation is that they have the ability to decrease oxygen consumption during hypoxia. Adults will increase ventilation in response to hypoxia (fight). However, neonates decrease their oxygen requirement in response to decreased oxygen substrate (accommodate), rather than try to increase available oxygen. Further, this decrease in oxygen consumption is not accompanied by an increase in anaerobic metabolism. Thus, oxygen consumption is decreased in response to the hypoxic state, and may not be simply a consequence of failure to supply enough oxygen for aerobic metabolism.

Although neonates tolerate hypoxia better than older children or adults, there is evidence that this tolerance is rapidly lost in infancy, when the incidence of SIDS increases. Infants have decreased tolerance for hypoxia compared to neonates. Infants have decreased ability to autoresuscitate (gasp) in response to anoxia than neonates or older animals. Infants also have a shorter time to last gasp than neonates or adults. Infants have

less ability to continue mitochondrial function during hypoxia than neonates or adults. Finally, peripheral chemoreceptor denervation is better tolerated by neonates and adults than by infants. Thus, the infant period, after the neonatal period, is associated with an increased vulnerability to hypoxia or anoxia and with an increased risk for SIDS.

Repeated exposure to hypoxia in infancy may be even more deleterious. Repeated exposure to hypoxia depresses the arousal response to hypoxia during sleep. Repeated exposure of newborn piglets to hypoxia also decreases their hypoxic ventilatory response compared to piglets exposed to continuous hypoxia. Repeated hypoxic exposure also decreases cardiac glycogen levels. Thus, repeated exposure to hypoxic events inhibits protective physiologic responses to hypoxia, making infants more vulnerable to the effects of a hypoxic event. Even normal infants have frequent hypoxic episodes during sleep, which may predispose them to the consequences of these repetitive hypoxic stresses. Infants with bronchopulmonary dysplasia are at increased risk for SIDS, and have frequent spontaneous hypoxic events. Although these infants have an intact hypoxic arousal response at term, they have an abnormal response to hypoxia after arousal leading to apnea and bradycardia. Thus, even when repeated hypoxia does not depress arousal responses, it may be associated with an inability to rescue oneself from hypoxia-induced apnea and bradycardia.

Compared to neonates, on the one hand, and older children and adults, on the other, infants have inadequate physiologic responses to protect against hypoxia, which may cause the infant to enter a physiologic pattern leading to death. Repeated exposure to short hypoxic events makes this even worse.

These studies suggest a mechanism where hypoxia can lead to death in any infant. Hypoxia occurs commonly in infants. The infant responds to hypoxia by decreasing oxygen consumption and metabolic rate. Decreased metabolic rate decreases CO₂ production, and thus decreases central ventilatory drive. Decreased central ventilatory drive decreases minute ventilation. Decreased minute ventilation may result in apnea or respiratory failure. Decreased minute ventilation, apnea, and respiratory failure can all cause more hypoxia, which perpetuates the cycle. Thus, hypoxia may cause infants to enter a pattern of maladaptive physiologic responses which can result in death.

► How Are We To Understand SIDS?

Much of SIDS research has searched for a single abnormality or disorder in a single physiological system. The idea that some infants might be vulnerable to SIDS, and others not, based on a pre-existing abnormality, has not been a productive research strategy. If SIDS were as simple as one abnormality in one physiologic system, the major research thrust directed toward solving the mystery of SIDS would likely be closer to answering the question by now. Thus, SIDS must be more complex than a single abnormality in a single physiologic system. Further, there is no evidence of serious disease or injury found at autopsy in SIDS victims, suggesting that these infants have an increased vulnerability to phenomena which occur frequently in normal infants.

In order to better focus SIDS research, J. P. Mortola suggested we imagine a car attempting to drive up a steep mountain road. The car has stopped, and cannot go up the hill. Perhaps all four tires are flat. If one changes the tires, the car could continue to go up the hill. This is the traditional medical model of disease. One identifies a problem and finds a solution. SIDS research has followed this model for the past two to three decades, yet this approach has not identified the cause of SIDS. Another possibility is that the car does not go up the hill, yet the tires are inflated, the engine is running, and there are no apparent problems with the car. Perhaps the car does not go up the hill because there are too many passengers, the engine is not powerful enough, the road is too rocky, or the road is too steep. In this view, the car does not go up the hill because of intrinsic characteristics of the car and/or circumstances, not because of a problem which can be fixed. It is, perhaps, this second view which will more accurately reflect the nature of SIDS.

SIDS may be an interaction between intrinsic characteristics of the infant and circumstances. This does not necessarily imply that a distinct *abnormality* exists in SIDS infants. Rather, SIDS may occur in infants without definitive abnormalities, due to intrinsic characteristics of infant physiology, developmental influences, and circumstance. SIDS is more properly viewed as a dynamic interaction of many factors, which are constantly changing, and which together dictate the infant's chances of dying from SIDS. This fundamentally changes the way we view SIDS, and what now becomes important is the interaction of at least three factors.

Development

SIDS is most common between the ages of two to four months. Thus, all infants may face a developmental window of increased vulnerability for SIDS during this age. It might take less of an environmental stress to trigger SIDS in an infant during this age than if the infant was younger or older.

Infant Physiologic Responses

All infants have physiologic responses to various stresses or challenges. For example, infants increase breathing in response to low oxygen. However, some infants will increase breathing more than other infants. Infants increase heart rate in response to exercise or work. However, some infants will increase heart rate more than other infants. Although all infants have these responses, the magnitude of these responses differs between infants. Those infants with brisker responses may be able to tolerate greater environmental stresses or challenges than those with lesser responses, or vice versa. These differences in some responses may mean that all infants are vulnerable to SIDS, but some infants are more vulnerable than others.

Environmental Factors

Infants are constantly challenged by changes in their environment to which they must respond. For some infants, prone sleeping may cause sufficient compromise that SIDS can occur, especially if it occurs during the two to four month age in an infant with more “vulnerable” physiologic responsivity. For other infants, prone sleeping may pose little danger, especially over six months of age. Respiratory infections, overheating, cigarette smoke, soft bedding, and other stresses are variable environmental challenges which may trigger SIDS in some infants, but not in others.

Thus, SIDS is likely to be a multifactorial problem requiring the dynamic interaction of many components to cause death. For example, SIDS may start with a more vulnerable infant with subtle decreases in physiologic responses. Then, the infant may need to be at an age when infants are increasingly vulnerable, such as three months of age when the respiratory system is unstable in all infants. Then, SIDS may require an environmental trigger, such as an upper respiratory infection. Sleeping

position may be an additional contributing factor to such an infant, even if it makes no difference to breathing in an otherwise healthy infant at a younger or older age.

If SIDS causes death through respiratory mechanisms in infants with robust physiology, who breathe regularly and control oxygenation precisely, then SIDS would have to be a catastrophic event to move from regular respirations and consistent oxygenation to death. Results from home recordings of respiratory inductance plethysmography, ECG, and pulse oximetry suggest that the normal infant's control of ventilation and oxygenation is not precise. Normal infants commonly have prolonged central, obstructive, or mixed apneas up to 20 seconds duration in the home. In addition, normal infants commonly have spontaneous arterial oxygen desaturations during periodic breathing to the low 80% range, and occasional infants will spontaneously desaturate to the low 70% range. Prolonged obstructive apneas were recorded in a few normal infants with simple upper respiratory infections. If infants have such spontaneous events frequently, then SIDS may not have to be such a catastrophic event. A less severe event might be sufficient to cause death in an infant who already has frequent apneas and/or desaturations during sleep.

Is there any evidence that infants who die suddenly are profoundly hypoxic prior to death? Poets and associates analyzed recordings from nine infants on home apnea-bradycardia monitors, who died suddenly. The monitor alarm which triggered the recording and audible alarm was low heart rate, not apnea. However, these infants also showed a breathing pattern most consistent with gasping, which only occurs in the presence of profound hypoxia ($P_aO_2 < 15\text{-}20$ torr). This indicates, that at least for these infants, they were profoundly hypoxic just prior to death, consistent with this theory.

It is likely that SIDS represents a series of events, modified by the above factors, which are initiated by common events. All infants sleep. However, sleep is associated with respiratory abnormalities, even in normal infants. These respiratory abnormalities are modified by developmental immaturity of the respiratory system in infants; and they include irregular breathing (central respiratory pauses), obstructive apneas, and resultant hypoxia and CO_2 retention. The infant responds to hypoxia by decreasing its oxygen requirement or metabolic rate. When the oxygen demand is decreased, the central drive to breathe also decreases.

Therefore, ventilation decreases in response to hypoxia, which results in worse hypoxia, which eventually causes cessation of breathing (apnea) or respiratory failure. In order to prevent death, the infant must rescue himself from these hypoxic respiratory sequelae. Arousal from sleep is one protective physiologic response to hypoxia. However, recurrent hypoxia blunts this arousal response. Further, the hypoxic arousal response naturally decreases at two months of age, which begins the peak incidence of SIDS. Thus, infants in the peak age range for SIDS, and those exposed to repetitive hypoxia, may have blunted arousal responses to hypoxia. If arousal fails to revive the infant, then gasping (auto-resuscitation) must be used. Gasping is the last protective response to reinstate breathing. However, gasping is also inhibited in infants. Infants with hypoxia or respiratory failure, without effective arousal or gasping responses, may die from SIDS.

► **Summary of Research into Causes of SIDS**

There is a great deal of evidence pointing to respiratory dysfunction and hypoxia as important mechanisms of death in SIDS. The search for specific abnormalities in the respiratory system, which might cause SIDS, has not been fruitful. However, all infants have vulnerability to hypoxia and respiratory dysfunction, and have inadequate protective physiologic responses to defend against common stresses. Thus, all infants may share vulnerability for SIDS, and there are numerous respiratory and hypoxic mechanisms which can occur in nearly every infant, which can cause death. The current conceptual model of SIDS is not a single abnormality in a single physiologic system, but rather a dynamic interaction of factors which come together to cause SIDS.

SIDS may be initiated by common events, such as respiratory dysfunction during sleep. Normal infants have had prolonged apneas and desaturations recorded at home. Infants may not have to be *abnormal* to initiate SIDS. Respiratory dysfunction leads to hypoxia. Hypoxia decreases metabolic rate in infants, which, in turn, depresses ventilation, causing more hypoxia. Repetitive hypoxia and age may inhibit protective physiologic responses, such as arousal or gasping. Hypoxic depression of ventilation worsens hypoxia, which may proceed to apnea, respiratory failure, and death. The hypoxic depression of metabolic rate may prevent resuscitation of SIDS infants, even if ventilation and circulation are transiently restored.

We have focused on physiologic mechanisms and hypoxic responses, present in every infant, which can proceed to SIDS. But, we must return to the fact that 999 out of 1,000 infants survive these maladaptive mechanisms. Future research must attempt to understand why only a few infants die from these mechanisms, while most survive.

Potentially Modifiable Risk Factors

Early epidemiologic studies defined a number of risk factors which were characteristics of infants who died from SIDS. In general, these were not modifiable risk factors. It was hoped that these might be used to identify infants at high risk prior to death, so that potentially preventive interventions could be concentrated on those babies. However, no such *markers* emerged. Since 1985, investigators from around the world began to identify risk factors which could be changed, and thus might modify an infant's risk for SIDS. However it must be remembered that risk factors are not *causes* of SIDS, but some may be *clues* to understanding the cause of SIDS.

► Infant Sleeping Position

Prone sleeping (sleeping on the stomach) was not common until the middle of the twentieth century. It then became fashionable, although the reasons for the popularity of prone sleeping in infants are not clear. However, after sufficient numbers of babies routinely slept prone (50% to 70%), some investigators began to suspect that prone sleeping carried a higher risk of dying from SIDS than side or back sleeping [Table 2].

TABLE 2: SLEEPING POSITION OF SIDS VICTIMS AND CONTROLS

Year	Authors	SIDS	Controls	Sleeping Position	Odds Ratio (95% C.I.)	P
1970	Froggatt	148	148	Not supine	4.2 (2.3-7.8)	<0.01
1972	Carpenter	110	110	Not supine	2.3 (1.3-4.3)	<0.05
1986	Cameron	208	393	Prone	3.2 (2.2-4.5)	<0.01
1986	McGlashan	164	329	Prone	1.9 (1.3-2.8)	<0.05
1987	Senecal	20	318	Prone	12.7 (3.6-44.2)	<0.01
1988	Beal	100	156	Prone	9.3 (4.9-17.6)	<0.01
1988	Nicholl	265	273	Prone	2.2 (1.5-3.1)	<0.01
1989	Lee	16	32	Prone	11.7 (2.1-66.4)	<0.01
1989	Jonge	62	254	Prone	4.9 (2.3-10.3)	<0.01
1990	Fleming	67	134	Prone	8.8 (3.4-23.8)	<0.01
1991	Mitchell	128	503	Prone	5.7 (3.3-10.1)	<0.01
1991	Dwyer	15	116	Prone	4.5 (1.3-15.4)	<0.01
1992	Wigfield	32	64	Prone	9.1 (3.4-24.8)	<0.01

P.J. Fleming. Understanding SIDS risk factors: The Avon population based studies of epidemiology and physiology. *Proceedings of the 12th Conference on Apnea of Infancy*, 1994.

In response to these reports, some countries, notably Australia, England, Norway, and the Netherlands, initiated public education campaigns designed to change the infant sleeping position from prone to supine in order to reduce the SIDS rate. Dramatic decreases in SIDS rates, often as much as 50%, were observed in response to these campaigns. However

there was fear that supine sleeping might increase the dangers of aspiration. Countries which increased supine sleeping did not experience an increased incidence of aspiration. Thus, otherwise healthy infants can handle any secretions or vomitus without aspiration, regardless of their sleeping position. In April, 1992, the *American Academy of Pediatrics* recommended that healthy infants be encouraged to sleep on their backs because of evidence that it might reduce the risk of SIDS in infants. In 1994, the *Back to Sleep* campaign was officially launched in the U.S. by the *American Academy of Pediatrics*, *SIDS Alliance*, and *National Institute of Child Health and Human Development*. From 1992 to 1996 in the U.S., prone sleeping fell from 70% of infants to 24% of infants, and the SIDS rate fell from 1.20/1000 to 0.82/1000 [Table 3]. There has been a 32% decrease in the SIDS rate in the U.S. between 1900 and 1996 [Tables 1 and 3]. Other countries report decreases in SIDS in excess of 50%, and these appear to be most closely correlated with the elimination of prone sleeping. **Thus, otherwise healthy infants should be encouraged to sleep on their backs.**

TABLE 3: INFANT SLEEPING POSITION AND SIDS IN THE U.S.A.

YEAR	PRONE	SIDE	BACK	SIDS RATE
1992	70%	15%	13%	1.20
1993	58%	22%	17%	1.17
1994	43%	27%	27%	1.03
1995	29%	32%	38%	0.84
1996	24%	39%	35%	0.82

Sleeping on the side is associated with an increased risk of SIDS compared to supine sleeping, though not as great as prone sleeping [Table 4]. The increased risk of side sleeping may be related to it being the least stable sleeping position in infants. Therefore, they roll from the side onto the prone position, increasing the risk. Thus, *Back to Sleep* or *Reduce the Risks* campaigns should stress supine or back sleeping. Side sleeping

should not be recommended to reduce the SIDS risk. Similarly, propping devices to keep the baby on the side are not recommended.

Infants who usually sleep on their backs are at markedly increased risk of dying from SIDS if they are placed in the prone position to sleep. Mitchell and coworkers studied 485 SIDS that occurred in New Zealand 1987-1990, and compared them to 18,900 control infants. Infants who usually sleep nonprone and were last placed nonprone had lowest risk (OR 1.0). Infants who usually sleep prone, and who were last placed prone had an increased risk for SIDS (OR 4.6 [95% CI: 3.4-6.3]). Infants who usually sleep non-prone, but who were last placed prone (“unaccustomed to prone sleep”) had the highest SIDS risk (OR 19.3 [95% CI: 8.2-44.8]). This group accounted for 8% of all SIDS. In this study, 20% of all SIDS involved lack of experience with prone sleeping. Mitchell’s study suggests “the possibility that an infant’s competence in escaping from potentially lethal situations during prone sleep (i.e., face down position) may be impaired by inexperience with prone sleeping.” The reason why infants who routinely sleep supine may be at more risk when placed prone is because they have not had the opportunity to practice motor skills and behaviors which permit them to raise and turn their heads to avoid the face down sleeping position. Thus, unaccustomed prone sleeping is an even more perilous situation than usual prone sleeping, though both are associated with an increased risk compared to supine sleeping.

TABLE 4: RELATIVE SIDS RISK OF PRONE AND SIDE SLEEPING

AUTHOR	LOCATION	YEAR	PRONE SLEEPING ODDS RATIO	SIDE SLEEPING ODDS RATIO
Oyen	Norway	1992-95	16.5 (9.3-29.0)	3.7 (2.1-6.3)
Fleming	United Kingdom	1993-95	21.4 (11.7-39.1)	4.5 (2.7-7.7)

Proceedings of the Fourth SIDS International Conference, 1996.

If supine sleeping is associated with a decreased SIDS risk, why don’t all babies sleep on their back? M. Willinger, S. M. Lesko, and R. A. Brenner surveyed U.S. households about their infant sleeping practices, they found a number of predictors of prone sleeping [Table 5].

For example, African-American infants were 2.3 times more likely to sleep prone. They had a higher incidence of prone sleeping [82% in 1992; 43% in 1996], and a higher SIDS rate [2.2 per 1,000 in 1992; 1.6 per 1,000 in 1996]. Further, many infants, who did not sleep prone at age one month, did sleep prone by age three months. Factors which predict a shift to prone sleeping by age three months are African-American, Hispanic, young mothers, increased parity, and male infant. Thus, educational campaigns to encourage supine sleeping should be directed especially toward African-American infants, poor families, single mothers, young mothers, poorly educated mothers, and other groups where prone sleeping remains common. Prone sleeping remains higher in child care settings as well.

How might sleeping prone increase the risk for SIDS? The mechanism by which prone sleeping increases the risk for SIDS is not known. However, there are a number of possible mechanisms, including overheating, direct nasal occlusion, vertebral artery compression, rebreathing, and decreased arousal. Research is ongoing to understand how risk factors, such as sleeping position, might increase the risk for SIDS.

Although healthy babies should sleep on their backs, many babies have died from SIDS while sleeping on their backs, and most infants who sleep on their stomachs will not die from SIDS. Thus, the prone position does not always result in SIDS, and sleeping supine does not totally prevent SIDS. Factors other than sleeping position remain important in the cause of SIDS.

TABLE 5: PREDICTORS OF PRONE SLEEPING IN INFANTS

Odd ratio for Prone Sleeping	Willinger et al	Lesko et al	Brenner et al
African American	2.34 [CI 1.68-3.26]	2.1 [CI 1.7-2.6]	2.37 [CI 1.25-4.50]
Hispanic	0.73 [CI 0.50-1.07]	2.2 [CI 1.8-2.8]	0.72 [CI 0.41-1.25]
Maternal Age (20-29 years)	1.28 [CI 1.09-1.50]	1.4 [CI 1.1-1.7]	---
Maternal Age <20 years	1.09 [CI 0.72-1.66]	1.5 [CI 1.0-2.03]	2.07 [CI 1.34-3.52]
Poverty	---	---	1.78 [CI 1.12-2.83]
Single Mother	---	---	2.17 [CI 1.34-3.52]
Maternal Education <12 years	1.17 [CI 0.81-1.69]	1.2 [CI 1.0-1.5]	1.57 [CI 1.04-2.37]
Male Infant	1.14 [CI 0.98-1.32]	1.2 [CI 1.1-1.4]	---
Infant <8 weeks of age	0.63 [CI 0.46-0.85]	---	---
Mother had a Previous Child	1.68 [CI 1.43-1.97]	1.8 [CI 1.4-2.1]	0.83 [CI 0.54-1.28]
Grandmother at Home	---	---	1.88 [CI 1.20-2.94]

► **Cigarette Smoking**

Cigarette smoking has been associated with an increased risk for SIDS in many studies. Maternal cigarette smoking during pregnancy and after pregnancy increases the SIDS risk proportionate to the number of cigarettes smoked [Table 6]. Neither mother nor father should smoke cigarettes during or after pregnancy. The infant, once born, should be kept in a “smoke-free zone.” However, many babies have died from SIDS with parents who never smoked cigarettes, and most infants of smoking parents will not die from SIDS. Thus, parental cigarette smoking does not always result in SIDS, and not smoking does not totally prevent SIDS. Factors other than cigarette smoking remain important in the cause of SIDS.

SIDS researchers are trying to understand how risk factors, such as sleeping position and parental cigarette smoking, might increase the risk for SIDS. P. Franco and coworkers found that the intensity of an auditory challenge required to cause arousal in infants was increased in those exposed to prenatal cigarette smoking, compared to those who were not. Since prenatal cigarette smoking is also associated with an increased risk for SIDS, blunted arousal responses may be important contributors to SIDS. This study, and others like it, may provide a physiologic explanation for the increased SIDS risk associated with some potentially modifiable risk factors.

TABLE 6: CIGARETTE SMOKING AND SIDS

AUTHOR	LOCATION	YEAR	RISK FACTOR	ODDS RATIO (95% CONF)
Fleming	United Kingdom	1993-95	Maternal Smoking During Pregnancy 1-9 cigarettes/day 10-19 cigarettes/day 20+ cigarettes/day	4.84 (3.33-7.04) 4.59 5.38 7.88
Schell-scheidt	Norway	1990-94	Maternal Smoking 1-9 cigarettes/day > 10 cigarettes/day	2.4 (1.7-5.4) 7.2 (5.3-9.7)
Schell-scheidt	Norway	1990-94	Mother > 10 cigarettes/day Preterm Infants (<37 wks) Term Infants (39-40 wks)	15.6 (6.4-39.2) 5.3 (3.1-9.1)
Alm	Norway	1992-95	Maternal Smoking Before Pregnancy During Pregnancy After Pregnancy	2.63 3.60 3.25
Kohlen-dorfer	Austria	1984-94	Maternal Smoking During Pregnancy	2.2 (1.0-4.5)
Fleming	United Kingdom	1993-95	Paternal Smoking After Pregnancy	2.92 (1.60-5.34)
Alm	Norway	1992-95	Paternal Smoking Before Pregnancy During Pregnancy After Pregnancy	1.20 1.64 2.12
Fleming	United Kingdom	1993-95	Infant Exposure to Smoke 1-2 hours/day 3-5 hours/day 6-8 hours/day >8 hours/day	2.02 (1.18-3.36) 3.41 (1.85-6.12) 7.36 (3.49-15.47) 9.49 (5.19-17.40)

Proceedings of the Fourth SIDS International Conference, 1996.

► Other Potentially Modifiable Risk Factors

Maternal illicit substance abuse has been shown to increase the SIDS rate approximately eight to ten times that of the general population. Cocaine use is associated with an eight times increased risk and opiate use with a 20 times increased risk. P. J. Fleming and colleagues showed that many factors in the infant's sleeping environment after birth may be associated with variable risks for SIDS [Table 7].

For centuries, there has been concern that when the mother and baby sleep together, the mother may roll over onto the baby, causing suffocation. This is not commonly seen, but is possible when parents are obtunded to an infant's struggling under them (drugs, alcohol, etc.). Bedsharing with the infant and parents (or co-sleeping) has been shown to be a risk factor for SIDS when parents smoke cigarettes. Bedsharing in lower socio-economic conditions, where the entire family sleeps in one bed, soft mattresses, cigarette smoking, etc., may be a dangerous and high risk situation. On the other hand, it has also been suggested that bedsharing may reduce the risk for SIDS. Bedsharing which occurs in an optimal setting is probably not a risk factor for SIDS. Bedsharing promotes breast feeding, which may offer some protection. There is significant interaction between the mother and baby during bedsharing. The mother and baby tend to wake and sleep together. It has been hypothesized that the mother may wake the baby throughout the night, which may be protective from SIDS by increasing arousal. However, one study suggested the baby tended to wake the mother, rather than the mother causing possibly protective arousals in the baby. There were no potentially dangerous situations observed (i.e., overlaying). When bedsharing is done voluntarily, and not as a result of overcrowding, it is probably not associated with an increased SIDS risk. However, there is yet no scientific evidence that it is protective either.

Infants who breastfeed have been shown to have a lower risk of SIDS. However, careful analyses of the data indicate that breastfeeding is associated with other epidemiologic factors which reduce the risk of SIDS, and that breastfeeding *per se* is probably not protective against SIDS. While there are many general health reasons to encourage breastfeeding, it probably does not decrease an infant's risk for SIDS.

The most current information provides at least some evidence that each of the following recommendations may be associated with some reduction in SIDS risk:

- Put your baby to sleep on the back (supine).
- Side sleeping is now associated with a higher risk than supine, though not as high as prone. Do not use wedges to constrain a baby’s movement.
- Keep your baby in a cigarette smoke-free environment.
- Neither mother nor father should smoke cigarettes during pregnancy.
- Breastfeed your baby.
- Do not let your baby get too hot.
- Have your baby on a firm mattress without pillows, toys, or soft bedding under the baby.
- Do not bedshare with your baby if you smoke cigarettes.

TABLE 7: FACTORS IN SLEEPING ENVIRONMENT AND SIDS RISK

FACTORS IN SLEEPING ENVIRONMENT	ODDS RATIO (95% CONF)
Prone Sleeping	10.0 (4.3-23.2)
Side Sleeping	2.2 (1.4-3.4)
Covers Over Infant’s Head	31.4 (10.4-95.0)
Tog Value > 10 (Over-bundling)	1.0 (0.4-2.5)
Wearing Hat	6.2 (0.7-51.9)
Heating on All Night	3.1 (1.6-6.2)
If Mother Ever Breast-Fed	0.4 (0.3-0.7)
Bed Sharing with Parents All Night	4.1 (1.8-9.2)
Using Pacifier	0.4 (0.3-0.7)
Using Duvet (Quilt)	1.9 (1.1-3.1)
Loose Bed Coverings	1.3 (0.8-2.0)

Can SIDS be prevented? SIDS cannot be entirely prevented at present. However, decreases in SIDS rates were observed in response to public education campaigns which decreased potentially modifiable risk factors for SIDS. A goal of SIDS research is to prevent SIDS. Although we can not totally prevent SIDS at present, decreasing potentially modifiable risk factors may be able to reduce the risk for SIDS in some settings.

More research is needed on the possible mechanisms of potentially modifiable risk factors in SIDS. While it is not likely that a better understanding of potentially modifiable risk factors will totally explain the *cause* of SIDS, it is possible that such research may add important clues to our understanding of SIDS. Therefore, this research should be encouraged.

Since SIDS is not caused by these potentially modifiable risk factors, it is important to emphasize that SIDS parents did not cause their babies to die, even if their infants were exposed to these risk factors. Their infants might still have died. Based on current knowledge, there is nothing that SIDS parents did to cause their babies' deaths, and nothing they could have done to prevent them.

SIDS and Grief

The parents and families of a SIDS victim are no less the victims of this tragedy than their babies. Although the death of any child is painful, SIDS deaths have some unique characteristics. SIDS deaths are unexpected, so parents have not had the opportunity to plan the death or to say "goodbye" to their child. Perhaps the most important issue is that, at the present time, SIDS deaths are unexplained. Medical professionals cannot tell parents how their babies died. Thus, parents search the pregnancy and child's life for things that they did, or did not do, which might have caused the death. The guilt generated by a SIDS death in the parents is tremendous, and is generally more than in other infant deaths where the cause is unknown.

For most families of SIDS victims, the single best and most important resource is a SIDS Parent Support Group. The *Sudden Infant Death Syndrome Alliance* is a national SIDS parent support organization, which has parent support counselors who are available to speak with SIDS parents at any time. While the immediate impact of the SIDS death is devastating to families, the ability to talk with someone who has been through it, who understands it, and who has survived it is reassuring. SIDS parent support groups are the best resource available to SIDS parents, and it is

extremely important to get new SIDS parents in touch with their local organization as soon as possible after the death.

When dealing with families of SIDS victims, the role of the health professional is to educate the family about SIDS and to reassure them that they did not cause the death of their baby, either by something they did or by something they did not do. It is important to emphasize that SIDS cannot be prevented, and there is nothing they or anyone else could have done to prevent their child's death. Many families of SIDS victims report that they are reassured to hear this from a health professional (an expert).

Subsequent Siblings of Sudden Infant Death Syndrome Victims

Sudden Infant Death Syndrome (SIDS) is not thought to be hereditary. However, subsequent siblings of SIDS victims may be at increased risk of dying from SIDS. This statement is based on nine studies [Table 8]. However, these current studies are not perfect. Two lines of evidence suggest that the SIDS recurrence risk for the subsequent sibling of one previous SIDS victim is *at or near that* of the general population.

- D. R. Peterson and colleagues showed that the risk for SIDS siblings is no greater than for infants born to non-SIDS parents of similar age, birth order, etc. However, W. G. Guntheroth showed that SIDS rates were elevated in SIDS siblings, and that the infant death rate from all causes (both SIDS and non-SIDS) was two percent. However, this was similar to the infant death rate for siblings of infants dying from causes other than SIDS. Thus, a family history of SIDS *per se* does not seem to confer a substantially increased risk over infants born into *similar* non-SIDS families.
- There are subgroups of SIDS siblings who have an increased risk of SIDS, above and beyond that of the group of siblings of one previous SIDS victim. These include siblings of two or more previous SIDS victims, surviving twin siblings of SIDS victims, and SIDS siblings with serious apnea. This suggests the possibility that the increased risk for SIDS attributed to all SIDS siblings may be skewed by a small number of very high risk infants. The risk for SIDS siblings outside these subgroups may be normal.

Thus, the SIDS recurrence risk for subsequent siblings of one previous SIDS victim is probably not increased over the SIDS risk for the general population.

TABLE 8: RISK OF SIDS IN SUBSEQUENT SIBLINGS OF SIDS VICTIMS

AUTHOR	YEAR	LOCATION	TOTAL	SIDS DEATHS	SIDS RATE*	RELATIVE RISK**
Adelson	1956	Ohio, USA	126	2	15.9	5-8
Froggatt	1971	Northern Ireland	360	5	13.9 (2.8-36.4)	4.6
Peterson	1980	United States	839	18	21.5 (9.5-34.7)	10.8
Beal	1983	South Australia	302	8	19.9 (7.3-43.4)	10.0
Irgens	1984	Norway	1043	5	4.8 (1.5-11.2)	3.7
Peterson	1986	Washington, USA	810	6	7.4 (3.5-17.8)	3.4
Ward	1986	California, USA	371	3	2.7 (0.3-15.2)	1.7
Beal	1988	South Australia	660	14	21.2 (9.5-33.0)	10.1
Guntheroth	1990	Oregon, USA	385	5	13.1 (4.4-27.9)	6.0

* SIDS Rate is SIDS deaths per 1000 SIDS siblings.

() 95% Confidence Limits of SIDS Recurrence Rates.

** Relative Risk = SIDS rate for SIDS siblings/SIDS rate for controls.

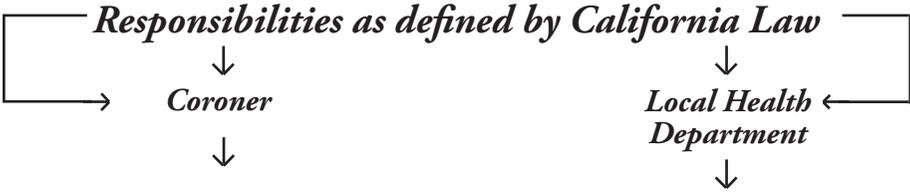
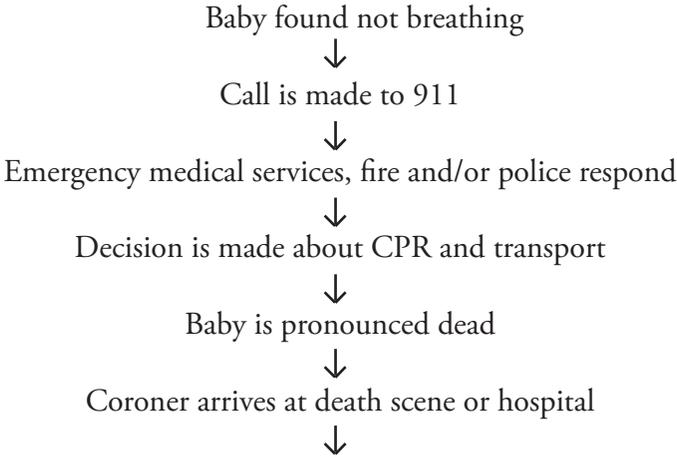
Because the SIDS recurrence risk for subsequent siblings of one previous SIDS victim is not markedly increased, current recommendations are that SIDS siblings do not require study or treatment. Home apnea-bradycardia monitoring has not been shown to reduce or not reduce the SIDS recurrence risk in SIDS siblings. The SIDS rates for SIDS siblings managed with home apnea-bradycardia monitoring are similar to those where monitoring was not used. However, some SIDS parents may be sufficiently anxious about their subsequent child that home apnea-bradycardia monitoring will reduce anxiety and improve parenting skills. This is an acceptable indication for the use of home apnea-bradycardia monitoring. On the other hand, parents of SIDS siblings, who do not wish to use home apnea-bradycardia monitoring, should not be forced to do so, based on the absence of scientific information supporting its efficacy.

Summary

Sudden Infant Death Syndrome (SIDS) is the most common cause of death between the ages of one month and one year. It affects nearly one out of every 1,000 live births. The etiology of SIDS is unknown. There are no tests currently available which predict the infant who will die from SIDS. Although reduction of SIDS risks for populations may be possible, SIDS deaths cannot be prevented in individual infants.

References for this article are available through the California SIDS Program.

When SIDS Happens



- Investigates death scene
- Obtains complete medical history
- Has autopsy performed
- Notifies local health department within 24 hours
- Notifies parents of apparent cause of death
- Informs *California SIDS Program*
- Signs death certificate

- Within three working days contacts the family, childcare provider, and/or foster parents after receipt of notice from the coroner
- Contact may be a face-to-face visit, group visit, or telephone call
- Provides support services:
 - Assessment of the family, childcare provider or both
 - Crisis intervention and counseling
 - Referral to community services
 - Follow-up care to assess the progress of the family, childcare provider or both
- Consults with the infant's physician of record.
- Submits documentation of services to the *California SIDS Program*
- Maintains coordination with the *California Department of Health Services* and the *California SIDS Program*

NOTES



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California Sudden Infant Death Syndrome Program
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