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## Understanding the biological mechanisms associated with behavioural outcomes in very preterm children

Kanel, Dana

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# Understanding the biological mechanisms associated with behavioural outcomes in very preterm children

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Thesis for the Degree of Doctor of Philosophy

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## Abstract

During the third trimester, rapid and complex neurodevelopmental processes leave the developing brain vulnerable to insult and at risk of structural alterations and developmental delays in the event that birth is premature. As such, there is increasing interest in the quality of life of those surviving preterm birth — who are at risk of developing neurological disorders and neuropsychological impairments in childhood and later life. In particular, difficulties in behaviour and cognition are among the developmental sequelae associated with preterm birth — specifically very preterm birth (VPT; prior to 33 weeks' gestation). Yet, despite existing research dedicated to understanding behavioural development in VPT children, the underlying neural substrates associated with this population's increased vulnerability to developing such difficulties remain unclear. To date, only a few studies have rigorously investigated the association between behavioural problems following VPT birth and structural and functional brain alterations that could contribute to the development of such problems.

The overall aim of this thesis was to increase our understanding of the neurodevelopmental mechanisms associated with behavioural outcomes following VPT birth. Specifically, structural and functional brain connectivities, both in the whole-brain and within specific tracts, were investigated. This thesis also aims to determine whether data acquired in the neonatal period can be used to identify those VPT children at a greater risk of experiencing behavioural difficulties. This was achieved through multimodal neuroimaging in a cohort of 511 VPT children, recruited at birth into the ePrime study, who underwent magnetic resonance imaging (MRI) at term-equivalent age. At 4–7 years, 251 participants were followed up for neurodevelopmental assessments. At 7–10 years, 64 of these children were followed up with multimodal MRI and neurodevelopmental assessments. Additionally, 46 full-term control children were recruited from the community.

Chapter 1 provides a general overview of preterm birth and brain development, as well as an introduction to neuroimaging methods used in their investigation in neonates and children. Chapter 2 includes a comprehensive review of cognitive and socio-emotional difficulties in VPT children and

their neural correlates. Chapter 3 presents an overview of the current thesis, including aims and hypotheses. Chapter 4 includes the overall methodology for the included studies.

Chapters 5 and 6 include studies of neonatal MRI data and socio-emotional outcomes, as measured by parental questionnaires, in the VPT group only. In Chapter 5, associations between neonatal structural connectivity in specific white matter (WM) tracts (uncinate fasciculus, inferior fronto-occipital fasciculus, superior longitudinal fasciculus, and inferior longitudinal fasciculus), measured with diffusion characteristics (fractional anisotropy and radial diffusivity), and childhood socio-emotional outcomes are discussed. Chapter 6 examines associations between neonatal resting-state functional connectivity (rs-FC) of the amygdalae and childhood socio-emotional outcomes. Amygdalae rs-FC was estimated using seed-based connectivity analysis, with the bilateral amygdalae as seed region of interest. Results from both studies indicated an association between neonatal fronto-temporal connectivity (structural *and* functional) in the right hemisphere and childhood socio-emotional outcomes.

Chapter 7 presents a study of VPT children compared to age-matched term-born controls. Differences in WM between VPT and full-term children were explored using diffusion MRI data analysed with both voxel- and fixel-based analysis, the latter a method that measures both the microstructure (fibre density) and macrostructure (fibre cross-section) of WM tracts. Associations between childhood WM structure and behavioural outcomes in both VPT and control groups were also studied. Voxel- and fixel-based results showed alterations in the structure of several WM tracts in VPT children when compared to controls. Moreover, associations between specific WM tract structure in the corpus callosum and corticospinal tract, as measured by fixel-based analysis, and verbal comprehension were found in all children.

Taken together, the findings of this thesis deepen our understanding of the impact of VPT birth on behavioural outcomes during childhood. By combining neuroimaging techniques with behavioural tests and questionnaires to isolate specific brain mechanisms associated with behaviours of interest, further research in this field can allow for the identification of children at a greater risk of developing difficulties in later life, and thus the implementation of strategies that can prevent their emergence.

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## List of Abbreviations

AD	Axial diffusivity
ADC	Apparent diffusion coefficient
BOLD	Blood oxygenation level dependent
CBQ-VSF	Children’s Behaviour Questionnaire – Very Short Form
CSF	Cerebrospinal fluid
CST	Corticospinal tract
dMRI	Diffusion magnetic resonance imaging
DTI	Diffusion tensor imaging
DWI	Diffusion-weighted imaging
EmQue	Empathy Questionnaire
ePrime	Evaluation of Preterm Imaging Study
EPT	Extremely preterm
FA	Fractional anisotropy
FBA	Fixel-based analysis
FC	Fibre cross-section
FD	Fibre density
FDC	Fibre density and cross-section
fMRI	Functional magnetic resonance imaging
FOD	Fibre orientation distributions
FWE	Family-wise error
GA	Gestational age
GLM	General linear model

GM	Grey matter
IFOF	Inferior fronto-occipital fasciculus
ILF	Inferior longitudinal fasciculus
IMD	Index of Multiple Deprivation
IQ	Intelligence quotient
MD	Mean diffusivity
MOG	Middle occipital gyrus
MPT	Moderately preterm
MRI	Magnetic resonance imaging
OFC	Orbitofrontal cortex
NODDI	Neurite orientation dispersion density imaging
PHG	Parahippocampal gyrus
PMA	Postmenstrual age
PRI	Perceptual reasoning index
PSI	Processing speed index
RD	Radial diffusivity
rs-FC	Resting-state functional connectivity
rs-fMRI	Resting-state functional magnetic resonance imaging
SDQ	Strengths and Difficulties Questionnaire
SES	Socioeconomic status
SLF	Superior longitudinal fasciculus
SRS-II	Social Responsiveness Scale-II
TEA	Term-equivalent age
TSA	Tract-specific analysis
UF	Uncinate fasciculus
VCI	Verbal comprehension index
VLBW	Very low birth weight
VPT	Very preterm
WISC-IV	Wechsler intelligence scale for children IV
WM	White matter
WMI	Working memory index

## Publications & conference abstracts

### Publications

**Kanel, D.**, Counsell, S.J., Nosarti, C., 2021. Advances in functional and diffusion neuroimaging research into the long-term consequences of very preterm birth. *J Perinatol* 41, 689-706.

Vanes, L.D., Hadaya, L., **Kanel, D.**, Falconer, S., Ball, G., Batalle, D., Counsell, S.J., Edwards, A.D. and Nosarti, C., 2021. Associations between neonatal brain structure, the home environment, and childhood outcomes following very preterm birth. *Biological Psychiatry Global Open Science* 1, 146-155.

**Kanel, D.**, Vanes, L., Pecheva, D., Hadaya, L., Falconer, S., Counsell, S.J., Edwards, A.D. and Nosarti, C., 2021. Neonatal white matter microstructure and emotional development during the pre-school years in children who were born very preterm. *eNeuro*, ENEURO.0546-0520.2021.

### Conference abstracts

**Kanel, D.**, Pecheva, D., Falconer, S., Edwards, A.D., Counsell, S.J., Nosarti, C. (2019, June). *Neonatal white matter microstructure and emotional development during the pre-school years in children who were born very preterm*. Poster presentation at Human Brain Mapping, Rome.

**Kanel, D.**, Davidson, A., Hadaya, L., Pecheva, D., Edwards, A.D., Counsell, S.J., Nosarti, C. (2020, July). *Neonatal white matter microstructure and emotional outcomes in school-age children who were born very preterm*. Poster presentation at International Congress of Infant Studies, online.

**Kanel, D.,** Hadaya, L., Davidson, A., Pecheva, D., Christiaens, D., Pietsch, M., Tournier, J.D., Edwards, A.D., Counsell, S.J., Nosarti, C. (2020, Sept). *The use of fixel-based analyses to investigate white matter micro- and macro-structure in school-aged preterm children.* Poster presentation at Flux, online.

**Kanel, D.,** Vanes, L., Pecheva, D., Hadaya, L., Falconer, S., Edwards, A.D., Counsell, S.J., Nosarti, C. (2021, March). *Neonatal white matter microstructure and emotional development during the pre-school years in children who were born very preterm.* Oral presentation at Fetal Neonatal Neurology Congress, online.

**Kanel, D.,** Vanes, L., Pecheva, D., Hadaya, L., Falconer, S., Edwards, A.D., Counsell, S.J., Nosarti, C. (2021, April). *Neonatal white matter microstructure and emotional development during the pre-school years in children who were born very preterm.* Poster presentation at Society for Research in Child Development, online.

## Declaration of authorship

The work presented in this thesis was conducted by the author at the *Centre for the Developing Brain and Child & Adolescent Psychiatry*, King's College London between June 2018 and September 2021. This is a thesis incorporating peer-reviewed, published papers.

### Chapter 5

Diliana Pecheva performed tract-specific analysis on the neonatal diffusion data.

### Chapter 6

Gareth Ball and Lucy Vanes preprocessed rs-fMRI data.

## Funding and COVID-19 impact statement

The work presented as part of this PhD was funded by a generous fixed-term grant from Action Medical Research and Dangoor Education, which allowed me to complete my PhD in 39 months. Due to the COVID-19 lockdowns in England throughout 2020 and 2021, all in-person research was suspended between March-October 2020 and January-March 2021. After restrictions eased, I was able to continue collecting data and reach the recruitment target of 50 very preterm children aged 8–10 years, however the final control group only included 46 term-born participants (target control group  $n=50$ ). This target number was determined by available funds at the time. Due to these Covid 19-related delays, I began writing the first two studies (Chapters 5 & 6 of the current thesis) using MRI (at term) and neurodevelopmental outcome data previously collected by other team members before the beginning of my PhD (when children were aged 4–7 years); Chapter 7 includes behavioural and MRI data I collected.

# Chapter 1: Preterm Birth and the Developing Brain

Significant medical advances in neonatal care have led to a decrease in mortality rates among neonates born preterm (<37/40 weeks' gestation). This has meant an increase in the number of survivors of premature births in recent years, which now represents one in ten births (Chawanpaiboon et al., 2019). Despite the benefits of such medical advances, surviving preterm infants are at a greater risk of a range of both mental and physical morbidities (Manuck et al., 2016; Saigal and Doyle, 2008). Such problems likely result from insults and injuries to the brain that affect vital processes occurring during the later stages of neural development. As a result, the brains of preterm neonates are usually smaller at term-equivalent age compared to term-born controls (Bouyssi-Kobar et al., 2016; Lemola et al., 2017), and these infants are at greater risk of atypical brain development, even in the absence of major perinatal complications. Therefore, attention has increasingly focused on the quality of life of survivors, who are at risk of developing a range of problems which span from the more severe medical complications such as cerebral palsy, respiratory illnesses and learning disabilities to the less severe, yet much more common, cognitive deficits and behavioural problems (Johnson and Wolke, 2013). Long-term consequences of such cognitive and behavioural impairments include detrimental effects on academic performance and general functioning in daily life (Kroll et al., 2017). Taking into account the gradual increase of preterm individuals in our society, it is vital to better understand the developmental trajectory of their neurodevelopmental problems, as well as to identify those individuals most at risk, to aid both families and educational professionals by providing targeted interventions (Johnson et al., 2015).

## 1.1 Preterm birth epidemiology

### 1.1.1 Definitions

The gestational age of a newborn infant is categorised as preterm and term (WHO, 1977). Term birth occurs between 37 and 41 completed weeks of gestation. Preterm birth is defined as birth occurring after fewer than 37 weeks of gestation. Within this classification, births are termed moderately preterm (MPT, at 33–36 completed weeks of gestation), very preterm (VPT, at 28–32 completed weeks of gestation) and extremely preterm (EPT, at <28 completed weeks of gestation).

### 1.1.2 Preterm birth distribution

Earlier studies reporting on data from the first decade of this millennium indicate a worldwide preterm prevalence rate of 11.1% (Blencowe et al., 2012). In the US, 13% of all births were preterm (Hamilton et al., 2007), whilst developing countries show increased rates, with one study in Malawi identifying a preterm birth rate of 20% (Van Den Broek et al., 2005). A more recent systematic review exploring the global incidence of preterm birth estimated that 14.8 m infants (10.6% of live births) are born preterm every year, of which 15% are born at or before 32 weeks of gestation (VPT) (Chawanpaiboon et al., 2019). Of the nearly 15 million preterm-born infants, 81% occur in Asia and sub-Saharan Africa (Chawanpaiboon et al., 2019). In the UK preterm births occur in around 7–8% of all live births (Delnord et al., 2015; NICE, 2015). Of those, 5% are EPT births, whilst 11% are VPT births (ONS, 2020). Therefore, altogether, approximately 1.2% of all live births occur prior to 33 weeks of gestation.

Although methodological variation in epidemiological analyses should be considered when interpreting trend analyses of preterm birth rates, these are widely accepted to be increasing globally (Hamilton et al., 2007; Joseph et al., 1998; Langhoff-Roos et al., 2006; Thompson et al., 2006). Increases in moderately preterm births might be driving these increasing rates, as very preterm births have been shown to be stable over time (Hamilton et al., 2007; Morken et al., 2005). The diverse aetiology of prematurity and its widespread implications mean it is a problem of growing significance that warrants further understanding.

### 1.1.3 Risk factors for preterm birth

The most common risk factors for preterm birth are family history, low socioeconomic status (SES), maternal characteristics, including age and ethnicity, infections, and multiple pregnancies (Goldenberg et al., 2008; Johansson and Cnattingius, 2010; Muglia and Katz, 2010).

Individuals with a history of preterm birth have an increased risk of delivering prematurely, indicating individual differences in preterm birth risk that are stable over time. Such differences could be attributed to genetic factors (Plunkett and Muglia, 2008) and unchanging environmental exposures. Research utilising twin cohorts suggests a maternal genetic contribution towards gestational age with heritability ranging from 15–40% (Clausson et al., 2000; Kistka et al., 2008; Treloar et al., 2000; York et al., 2014).

#### 1.1.3.1 Socio-economic and environmental factors

Between-country differences in socioeconomic norms could, at least in part, explain differences in preterm birth rates between countries. A comparison of two countries with varying socioeconomic profiles, such as USA and Malawi, showed a negative correlation between the countries' socioeconomic position and risk for preterm birth (Hamilton et al., 2007; Van Den Broek et al., 2005). SES is also related to prematurity within countries, with research highlighting associations between preterm birth risk and parent-related proxies of low SES, including home neighbourhood and education levels (Smith et al., 2007; Thompson et al., 2006). In the UK a higher prevalence of preterm births (<37 weeks' gestation) is seen among the poorest and less educated (Matijasevich et al., 2012; Puthussery et al., 2019). Social inequality seems to have widened over the last several decades, with one study indicating increased preterm birth rates in more deprived, and decreased preterm birth rates in less deprived, areas within northern England (Glinianaia et al., 2013). Data from European studies have suggested modifiable factors responsible for such disparities, including maternal smoking during pregnancy and environmental exposures to pollutants of air and food (Delnord et al., 2015; Jardine et al., 2021).

Although not a direct measure of SES, air pollutants are increased in low SES communities (Hajat et al., 2015), and have also been shown to increase the risk of preterm birth and lower birth weight (Hansen et al., 2006; Maroziene and Grazuleviciene, 2002). Further, the relationship between air pollutants and prematurity is heightened in families from a low socioeconomic background (Lamichhane et al., 2020; Westergaard et al., 2017). One recent London-based study showed that ozone exposure, as well as traffic-related air and noise pollution, was associated with preterm birth rates (Toledano et al., 2018). Specific air pollutants have also been associated with birth complications, with the particulate matter PM10 exhibiting a relationship with lower birth weight in Northwest England (Hannam et al., 2014) and Scotland (Dibben and Clemens, 2015).

Maternal ethnicity has consistently been identified as a strong determinant of early births (Kistka et al., 2007). Preterm birth rates are twice as high and the likelihood of recurrent preterm birth is four times as high in Black women compared to White women in the US. These effects persist after adjustment for confounding risk factors, including SES (Adams et al., 1993; Collins et al., 2007; Manuck, 2017). If such differences are not explained by SES or level of perinatal care, they could instead be on account of a higher level of social stress experienced by Non-White mothers resulting from racial discrimination. This is supported by research indicating that Black mothers who reported increased levels of racial discrimination had increased risk of premature delivery of infants with low birthweight (BW) compared to Black mothers reporting less racial discrimination (Collins et al., 2004). In the UK, a recent study reported that, together with socioeconomic inequalities, ethnic inequalities were associated with preterm births (Jardine et al., 2021). Crucially, individuals of non-White ethnicities tend to exhibit increased odds for preterm birth, with greater ethnic differences apparent at earlier gestational ages (Li et al., 2019). Similarly to US-based findings, British individuals of Black ethnicity are at an increased risk for preterm birth compared to White individuals (Jardine et al., 2021; Li et al., 2019; Puthussery et al., 2019). Other UK-based findings, however, provide conflicting evidence, such as increased risk of preterm birth in Bangladeshi mothers in one study (Li et al., 2019), and a lower risk in these individuals in another, when compared with White mothers. These findings highlight the need for further research in this area.

Maternal age has also been associated with the risk of premature birth. Both a younger maternal age (during adolescence and young adulthood) and an older maternal age (over 40 years) were seen to increase the risk of preterm birth (Fuchs et al., 2018; Hoffman et al., 2007; Olausson et al., 1999; Shrim et al., 2011). In younger mothers, such effects might be attributable to lower SES (Chen et al., 2007; Olausson et al., 2000). On the other hand, increased socioeconomic position of older mothers might even mask their biological disadvantage and improve neonatal outcomes (Lawlor et al., 2011; Stein and Susser, 2000). Overall, both socioeconomic and environmental factors are associated with the likelihood of preterm birth, thus further research is required to identify and address perinatal health disparities.

#### 1.1.3.2 Clinical factors

Pregnancy complications often result in premature births, occurring either naturally or medically induced. For example, the presence of infection is known to significantly affect the length of gestation. Previous research suggests that chorioamnionitis - the acute inflammation of the fetal membranes - contributes to approximately 25% of preterm births, with bacterial colonisation rates as high as 79% for births occurring at 23 weeks of gestation, declining to 43% at 27 weeks of gestation (Onderdonk et al., 2008). Further, preterm preeclampsia, a disorder characterised by the onset of hypertension and proteinuria in pregnant women after 20 weeks of gestation, often results in pregnancy complications and the need for a medically induced preterm delivery (Johansson and Cnattigius, 2010). Neuroendocrine stress responses could also affect gestation, with cortisol levels – known to be affected by maternal stress levels – showing a direct association with preterm delivery (Sandman et al., 2006).

In addition, preterm birth rates in twin pregnancies have consistently displayed a prevalence rate of between 40 and 60% (Blondel et al., 2006; Gardner et al., 1995). Further, nearly all higher multiple gestations (> 2 births) will result in preterm delivery (Goldenberg et al., 2008).

The risk factors for preterm birth are numerous and span social, psychological, and medical aspects. As such, prematurity affects a significant number of people every year, most often those

coming from more deprived areas and with lower SES, with long-term implications that span across the whole of the preterm individual's life.

#### 1.1.4 Methodological considerations

A common method of determining gestational age at birth is by calculating the expected date of delivery as 280 days (40 weeks) from the last menstrual period. An alternative, more precise method of dating pregnancy is to measure foetal size using an ultrasonography (Kramer et al., 1988), and a comparison between the two methods indicate that last menstrual period results are generally overestimated by around 2–3 days (Savitz et al., 2002). Additionally, over time, there has been an increase in the number of data points collected for preterm birth rate calculation, and this has likely affected estimated trends of prevalence rates. More recent reports include larger datasets (e.g., Chawanpaiboon et al., 2019) than previously published estimates (e.g., Blencowe et al., 2012). Therefore, preterm birth rates calculated using different methodologies and at different timepoints might not be directly comparable.

## 1.2 Preterm birth and brain development

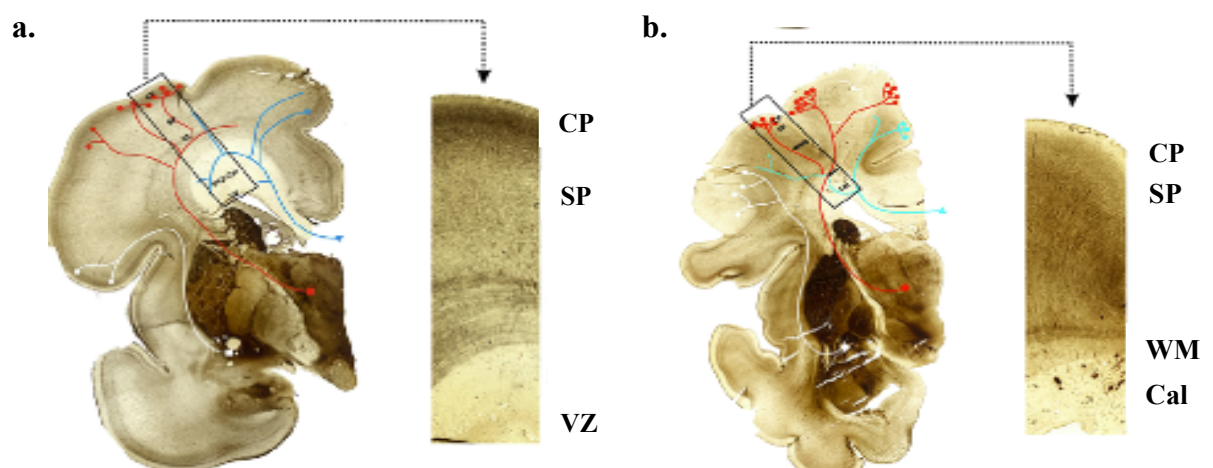
### 1.2.1 Brain development during the third trimester

The perinatal period is one of rapid change under tightly controlled conditions. It features complex maturational processes, the correct timing of which is crucial for healthy development. Specifically, cerebral cortical development during the third trimester exhibits striking morphological changes, at both micro- and macroscopic levels. At a cellular level, intense synaptogenesis (the formation of new synapses) and myelination (the surrounding of axons by myelin sheaths) occur. Macroscopically, thalamocortical afferents will establish connections to the cortical plate. These afferents target specific corresponding areas, such as visual or auditory regions, allowing the cortical system to functionally process sensory input (Kostović and Judas, 2010). Ascending thalamocortical fibres that terminate in the cortex are categorised as projection fibres, together with efferent fibres

originating in the cortex and terminating in the thalamus. In this way, projection fibres connect the cortex with subcortical structures such as deep cerebral nuclei, brainstem, and spinal cord.

In the final few weeks of the gestational period, long white matter (WM) cortico-cortical connections will mature, with interhemispheric (commissural) connections starting to develop shortly before intra-hemispheric (association) connections (35 weeks and 38 weeks of gestation, respectively) (Kostović and Jovanov-Milosević, 2006). Commissural connections connecting the two hemispheres support inter-hemispheric communication. The largest commissural pathway within the cerebral cortex is the corpus callosum, which is involved in the integration of motor, perceptual, and cognitive functions. Association fibres originate and terminate within the same hemisphere, positioned in an anterior-posterior orientation. Long association tracts connect regions between lobes, and some of the major association tracts include the arcuate fasciculus (connecting the temporal and inferior parietal cortices to the frontal lobe), uncinata fasciculus (connecting the limbic system within the temporal lobe to inferior portions of the frontal lobe), cingulum (originating from the temporal pole, forming a ‘belt’ around the corpus callosum, and terminating in the orbitofrontal cortex), and inferior longitudinal fasciculus (connecting the occipital and temporal lobes). All are involved in higher cognitive development, including language, memory, and socio-emotional outcomes.

The subplate zone is a transient layer 4–5 times the size of the cortical plate at the beginning of the third trimester (Kostović and Jovanov-Milosević, 2006), and from 35 weeks of gestation, a gradual decrease in the subplate zone is seen. Cortical afferents will develop connections through the subplate zone, with thalamocortical afferents ‘waiting’ in the subplate zone before forming connections with cortical layers (Figure 1.1).



**Figure 1.1.** Transient fetal organisation of the developing cerebral wall during the a. early preterm phase, b. late preterm phase.

Growth of the cortical afferents: thalamocortical afferents are in red and callosal fibres in blue. Insets illustrate laminar organisation of transient zones of the cerebral wall (from pia to ventricle). CP, cortical plate; SP, subplate zone; VZ, ventricular zone; Cal, callosal fibres; WM, white matter. Adapted from (Kostović and Jovanov-Milosević, 2006).

Additionally, and on a microscopic level, the subplate is a major site of synaptogenesis, important for regulating the maturation of synaptic transmission (Kanold and Shatz, 2006). It is also crucial for fibre structure organisation and cortical circuitry formation in the developing neocortical network (Kostović et al., 2014). Subplate cells participate in axonal connections in both local circuits, exhibited as dense axonal arborisation within the subplate, as well as long-distance circuits with projections to the cortical plate (Luhmann et al., 2009). Subplate neurons contain heterogenous neuronal populations characterised by significant diversity in their morphology, neurotransmitter type, and connectivity. These include neurons that receive glutamatergic synaptic inputs arising from neocortical regions, as well as GABAergic synaptic inputs originating from local GABA interneurons (Bystron et al., 2008). Whilst the subplate will eventually disappear, the majority of its neurons will survive as interstitial neurons of the subcortical (gyral) WM (Judaš et al., 2010). Therefore, subplate cells play an important role in the generation of synchronised network activity during this fetal stage of increased plasticity, that will have long-lasting effects on the neocortical network.

During a time when the human brain is undergoing its most rapid phase of growth, it also exhibits heightened sensitivity to its environment and an increased vulnerability to insult (Volpe, 2009a). Notably, preterm birth occurs during this dynamic and vulnerable stage of brain development, potentially altering maturational trajectories and leaving the brain highly susceptible to developmental delays and structural alterations.

### 1.2.2 Possible factors affecting brain development during the third trimester in VPT neonates

There are two major causes for such delayed and altered development. Firstly, perinatal brain injury, a common occurrence in preterm infants that could occur either before or after delivery, is

likely to affect ongoing fetal and/or postnatal developmental events and their physiological timing. Secondly, developmental delay might be caused by abnormal exposure to certain environments and compounds, such as external stimuli and the use of drugs and procedures for life-saving clinical measures (Penn et al., 2016). These two mechanisms work together to further worsen neurological outcomes, which in turn have life-long implications on the cognitive and behavioural development of preterm individuals.

### 1.2.2.1 Perinatal brain injury

#### *Haemorrhage*

Infants born very prematurely are at a high risk of haemorrhages, which tend to originate in the capillary network of the germinal matrix, a brain region located on the head of the caudate nucleus that is at its thickest at 24 weeks of gestation and almost disappears by 37 weeks (Ballabh, 2010; Ballabh, 2014). This periventricular brain region is especially susceptible to burst blood vessels due to thin and fragile vessel walls and fluctuations in cerebral blood flow (Berger and Söder, 2015). Such haemorrhages might be confined to the germinal matrix, which are known as germinal matrix haemorrhage (GMH), and have an incidence rate of 25–30% of preterm births (Inder, 2006).

A more severe haemorrhage, known as intraventricular haemorrhage (IVH), occurs when the ependyma (lining of the ventricle) is damaged, and blood enters the ventricle. Severe IVH occurs in only around 4–5% of preterm infants with very low birth weight (VLBW, <1500g), with this number increasing to 20–30% in preterm infants born before 26 weeks of gestation or weighing below 750g (Volpe, 2009a).

An additional brain region susceptible to haemorrhage during the preterm period is the cerebellum, and cerebellar haemorrhage is also thought to originate from the germinal matrix (Volpe, 2009b). Incidence of this lesion is dependent on degree of prematurity, with infants born <750 g showing an incidence rate of 17%, whilst only 2% of those born 750–1499g exhibit cerebellar haemorrhage (Limperopoulos et al., 2005a).

### *White matter injury*

Periventricular white matter injury (PWMI) involves a spectrum of injuries ranging from focal lesions, including periventricular leukomalacia (PVL), to diffuse myelin alterations, often referred to as diffuse PWMI (Kinney and Back, 1998; Volpe, 2001). While the burden of PVL has decreased dramatically with improvements in neonatal intensive care (Hamrick et al., 2004), diffuse PWMI is now thought to be the most common type of injury in the preterm brain (Back, 2017).

PVL occurs as a result of ischaemia and inflammation, both common in preterm infants (Khwaja and Volpe, 2008), and refers to a localised lesion, usually around the upper-outer angles of the lateral ventricles. Most often, PVL is microscopic in size ('non-cystic PVL') and will eventually develop into glial scars. Macroscopic ('cystic') PVL, which could grow to several millimetres in size, is observed in less than 5% of infants with VLBW (Volpe, 2009a).

Diffuse PWMI is characterised by alterations to typical myelin development, especially in the proximity of the lateral ventricles, which in turn leads to long-term irreversible damage to the WM surrounding this area (Haynes et al., 2003). During the period when infants are at greatest risk for PWMI (24 to 32 weeks of gestation), oligodendrocyte progenitors (pre-OL) are predominant in the cerebral WM. These cells have an enhanced vulnerability to hypoxic-ischemic conditions common in infants born prematurely (Volpe, 2009a). As a result, pre-OLs experience an arrested development and are unable to differentiate into cell-myelinating oligodendrocytes required for WM growth (Back and Miller, 2014). Cells in the oligodendroglial lineage that arise both before and after pre-OLs are less susceptible to hypoxia-ischemia (Back et al., 2002). Therefore, axons preparing to myelinate are more susceptible to ischemic injury when compared with both unmyelinated and myelinated axons (Alix et al., 2012). This might help explain why infants are at a greater risk for PWMI during this period. Additionally, the activation of astrocytes and microglia may also be compromised in response to ischemic-hypoxic conditions, which in turn leads to further damage and injury (Raybaud et al., 2013; Volpe, 2009a).

The potential consequences of these processes in preterm samples include a thin corpus callosum, white matter signal abnormalities, enlarged lateral ventricles, and volumetric deficits in multiple cortical regions, especially in the parieto-occipital cortex, which lies next to WM regions most susceptible to PVL and PWMI (Inder et al., 1999; Inder et al., 2005; Inder et al., 2003).

#### 1.2.2.2 Extrauterine environments

Notably, altered neuroanatomical development occurs not only secondary to endogenous injuries, but also in response to the neonatal environment. Newborn preterm infants are typically exposed to stressful procedures and environments in the neonatal intensive care unit (NICU), which are likely to have bright lighting and increased noise levels. The level of exposure to auditory and visual stimuli the infant experiences has been of particular concern, however studies investigating associations between sensory input and brain development have produced inconclusive results.

Previous literature has suggested a reduction of sensory exposure, such as noise levels, is required for optimal brain development (Brown, 2009; Graven, 2000). Conversely, a more recent study found that preterm infants who were cared for in private rooms exhibited delayed neurological maturation when compared to those assigned to a bedspace in an open ward (Pineda et al., 2014). The same group also reported that private rooms had more silence than the open ward, highlighting the need for further research into the potential effects of sensory exposure in the NICU (Pineda et al., 2017a).

Sensory experiences in the NICU have also been used as part of interventions aiming to improve outcomes of preterm infants. Despite inconsistent findings, there is some evidence supporting the use of sensory exposure for improved development, including tactile (e.g. skin-to-skin), auditory (e.g. maternal voice, music), and visual (e.g. cycled light) stimuli (Pineda et al., 2017b). For example, preterm infants exposed to music in the NICU are shown to exhibit significantly increased maturation in specific WM tracts, including the uncinate fasciculus (UF), as well as larger amygdala volumes, two regions known to be involved in emotional processing (Sa de Almeida et al.,

2020). Results from these studies suggest that the content of sensory input, as well as levels of exposure, could differentially alter brain development in the preterm neonate.

During their time in the NICU, preterm infants will often undergo painful, albeit vital, procedures, and infants exposed to such procedures are more likely to display worse development of neural pathways, and in turn worse behavioural outcomes (Ranger et al., 2014). Neonatal procedural pain and early stressors affect brain structure and function (Vinall and Grunau, 2014), including altered thalamic development (Duerden et al., 2018), reduced frontal lobe cortical thickness (Ranger et al., 2013) and altered cerebellar structure (Ranger et al., 2015). Functional pain-perception pathways in preterm infants could be seen as early as 25 weeks of gestation (Bartocci et al., 2006; Slater et al., 2006), and one biological mechanism believed to facilitate the receptiveness of the developing cortex to external environments are the thalamocortical axons, which become sensory-driven in function during the third trimester (Kostović and Judas, 2010).

Medications such as morphine have also been associated with altered brain development in preterm individuals. Preterm neonates exposed to morphine had smaller cortical volumes in several brain regions when compared to those who were not treated with morphine (Steinhorn et al., 2015). Sedative medications such as midazolam also showed an association with reduced hippocampal volume and microstructure, and this effect was independent of procedural pain exposure (Duerden et al., 2016). Other medications commonly exposed to preterm infants are glucocorticoids, which although are useful in the treatment of lung problems, have been shown to be associated with impaired growth of the cerebellum (Tam et al., 2011). Taking these findings together, brain structure and function will be affected by not only neonatal pain, but also the medication used to treat it. This aids in highlighting the severity of issues faced by preterm neonates and highlights the need to research such alterations and their behavioural consequences.

Nutritional intake of preterm neonates during their first few weeks in the extrauterine environment has also been associated with brain maturation. The literature has identified a positive association between neonatal energy and lipid intake and measures of brain growth, including increased brain volumes and improved WM development at TEA (Beauport et al., 2017), 5 years (Schneider et al., 2018), and adolescence (Isaacs et al., 2008). More recently, the role of specific

nutrients during this critical period were investigated in relation to WM development during childhood (Sato et al., 2021). The study indicated that whilst protein, lipid, and energy intakes were all associated with WM development, protein intake contributed most to the positive effects of nutrition, as measured by FA increases and RD decreases. No significant associations were found between carbohydrate intake and WM development (Sato et al., 2021). Additionally, breast milk has long been assumed to have beneficial effects on neurocognitive development in preterm children (Anderson et al., 1999). Exposure to breast milk has recently been shown to be positively associated with improved markers of brain development, exhibited by increased FA values within major WM tracts, with patterns of association suggesting a dose effect (Blesa et al., 2019).

### 1.2.2.3 Infection

Maternal infections are common during pregnancy, and infections of the fetus occur in approximately 20-30% of confirmed intrauterine infections. Additionally, chorioamnionitis complicates around a quarter to a third of all births occurring prior to 34 weeks of gestation (Bennet et al., 2018). Postnatal infection is also common in preterm neonates, with one study reporting 25% of preterm infants had confirmed sepsis and 23% had suspected infection (Rand et al., 2016). Previous literature has reported conflicting findings regarding the effect of prenatal infections, such as chorioamnionitis, on altered WM development. Some studies have indicated an association between chorioamnionitis and brain development (Anblagan et al., 2016; Pogribna et al., 2013; Reiss et al., 2022), whilst others have not (Bierstone et al., 2018; Chau et al., 2009), with one literature review indicating that around 30% of studies report an association between chorioamnionitis and perinatal brain injury (Ylijoki et al., 2012). Inconsistent findings could be attributed to methodological differences between the studies, including sample characteristics and brain injury measures. The ongoing improvements to neonatal clinical care could also contribute to inconsistent findings, with the use of certain procedures now considered to be routine care, such as antenatal corticosteroids, shown to diminish associations between chorioamnionitis and brain injury (Kent et al., 2005; Sato et al., 2011). Postnatal infections have more consistently been associated with altered WM development

during infancy (Adams et al., 2010; Chau et al., 2012; Lee et al., 2014; Nijman et al., 2013; Shah et al., 2008) and childhood (Thompson et al., 2021).

Associations between perinatal infections and altered brain development are thought to be mediated by inflammation; systemic infections cause inflammatory responses, which in turn can affect brain development (Cordeiro et al., 2015; Hagberg et al., 2015). Inflammatory responses increase the brain's susceptibility to secondary stress, including hypoxic-ischemic events (Adén et al., 2010; Eklind et al., 2001; Wang et al., 2007). Inflammation itself has been shown to directly cause brain damage; this has been demonstrated in animal models (Normann et al., 2009), as well as in human preterm infants with systemic inflammation (Van Steenwinckel et al., 2014). Such associations explain the positive effects of anti-inflammatory antenatal steroids on the relationship between chorioamnionitis and perinatal brain injury, seen in preterm neonates (Kent et al., 2005; Sato et al., 2011).

As altered neural development in preterm infants might result from both endogenous and exogenous processes, such undesirable outcomes are common in this population. Neuroimaging techniques over the past few decades has allowed the investigation of such alterations, providing increasingly detailed information on altered brain development in very preterm survivors.

### 1.2.3 Brain development during childhood

Parallel to the increasing of insulation in the form of myelin, events surrounding grey matter refinement occur by way of programmed cell death, synaptogenesis, sulcation and gyrification. Following the rapid development of GM and WM macrostructure, the brain expands in size and continues to grow with age, reaching approximately 90% of adult size by age five (Dekaban and Sadowsky, 1978). Whilst cerebral volume plateaus, the structural integrity and organisation of the GM and WM continues to develop and reorganise throughout the remainder of childhood, adolescence, and early adulthood. These are described in the following sections which summarise results of neuroimaging studies (Section 1.3).

## 1.3 Neuroimaging findings in preterm birth

### 1.3.1 Structural MRI

#### 1.3.1.1 Structural MRI techniques

Structural MRI is a neuroimaging technique that can provide a detailed anatomical image of the brain. MRI signal acquired varies across different tissue types (e.g., GM, WM) due to their different compositions. An image is represented by a 3D matrix of voxels, each containing a value to represent the level of intensity. Intensity is calculated from the frequency of the raw data collected and is displayed as shades of grey. Brain volumes can be measured with structural MRI through methods that range from manual processing to fully automated. Volumes could be calculated using manual segmentation of regions of interest, ideally carried out by more than one observer.

Automatic structural magnetic resonance (MR) processing techniques can involve the registration of images using spatial normalisation, to allow the comparison of specific regions. Voxel-based morphometry (VBM) is an automated technique that utilises spatial normalisation to detect regionally specific differences in brain tissue composition on a voxel-by-voxel basis (Ashburner et al., 2003; Ashburner and Friston, 2000). Once images are spatially normalised, brains can be segmented into particular tissue types, such as GM, WM, and CSF, by identifying voxel intensities (Good et al., 2001). Deformation-based morphometry (DBM) builds on VBM by using the deformation fields that are computed as part of the spatial normalisation process, that store information on the extent of warping and intensity differences between an image and template. DBM is therefore able to characterise differences in relative positions of brain structures (Ashburner et al., 1998; Rueckert et al., 2003; Rueckert et al., 1999). Similarly, tensor-based morphometry (TBM) also uses information from deformation fields but is also able to detect local shape differences (Ashburner and Friston, 2000; Chung et al., 2001).

Additionally, cortical surface can be measured through tessellation techniques, that divide surfaces into triangles in order to capture their metric and topological properties (Dale et al., 1999; Fischl et al., 1999). This allows not only the quantification of surface area, but also the measurement

of cortical thickness, which is calculated as the closest distance between the cortical surface and the GM/WM border (Fischl and Dale, 2000).

### 1.3.1.2 Structural brain development

#### *Structural MRI findings in neonatal brain development*

The brain has been shown to exhibit great increases in total volume during the third trimester (28–40 weeks of gestation), in both fetuses and preterm newborns (Dimitrova et al., 2021; Gholipour et al., 2011; Huppi et al., 1998b; Kuklisova-Murgasova et al., 2011; Makropoulos et al., 2016).

Between 27 and 44 weeks of gestation, the absolute volume of cortical GM increases by 10.4% per week, the cerebellum by 9.9% and subcortical structures between 4% and 6% (Dimitrova et al., 2021). The relative volume of cortical GM (i.e., proportional to the rest of the brain) also increases over this period, representing around 25% of the total brain volume in the early preterm period, which increases to around 34% at term-equivalent age (TEA) (Makropoulos et al., 2016). More recent findings have indicated increases in the relative cortical GM volume of 36% to 44% between 37 and 44 weeks of gestation (Dimitrova et al., 2021). The same study investigated subcortical structures, with findings indicating an increase in the relative volume of lentiform nucleus, decrease in the relative volume of caudate nucleus, and no change in the relative volume of thalamus (Dimitrova et al., 2021). The cerebellum, in particular, has been shown to demonstrate an especially high growth rate, with MRI findings indicating a 3.5-fold increase from 28 to 40 weeks of gestation (Limperopoulos et al., 2005b), representing around 7% of the total brain volume by 44 weeks (Dimitrova et al., 2021).

Cortical surface area and cortical sulci maturation also show a dramatic increase after 30 weeks of gestation (Dubois et al., 2008), with peak rate of gyrification occurring at around 30 weeks of gestation, before subsequently slowing nearer to the time of birth (Wright et al., 2014). Distinguishing differences between growth trajectories of various cortical metrics, recent studies have indicated that whilst volume continues to increase after TEA, mean curvature increases until 38 weeks of gestation, before plateauing (Batalle et al., 2019; Fenchel et al., 2020).

WM volume also undergoes considerable change over the perinatal period, and MR studies have highlighted a significant increase in WM absolute volume during the third trimester (Dubois et al., 2008; Huppi et al., 1998b). Despite this increase in volume, studies using both manual and automatic segmentation techniques indicate around 60–70% relative WM volume in the early preterm period (Moeskops et al., 2013) and 46–48% at term (Anbeek et al., 2008; Makropoulos et al., 2016). More recent findings have indicated a decrease in WM relative volume from 48% at 37 weeks to 38% at 44 weeks of gestation (Dimitrova et al., 2021).

### *Structural MRI findings in childhood brain development*

During childhood, total GM volume increases with age and peaks during pre-adolescence, followed by a decrease in GM volume (Giedd et al., 1999; Mills et al., 2016). More specifically, frontal and parietal GM volume peaks at 11 years, whilst temporal lobe GM peaks at 16 years, and occipital lobe GM increases linearly with no evidence of peak or decrease. Similarly, cortical thickness will reach its peak by around 10 years, with higher order cortical regions, such as the dorsolateral PFC and cingulate cortex, reaching peak thickness last (Shaw et al., 2008). WM volume, in contrast, increases steadily into the second and third decades of life (Mills et al., 2016). Several mechanisms could cause such increases in volume and thickness, including axon density, cross-section, axon calibre, and overall fibre architecture.

The development of specific brain regions has been studied in parallel to the emergence of behaviour in children and adolescents. In particular, brain regions known to be implemented in socio-emotional behaviour, such as limbic structures and the PFC, show significant development during late childhood and adolescence (Albaugh et al., 2017b; Casey et al., 2008). The development of such brain regions facilitates complex functions, such as emotion regulation and self-consciousness (Somerville et al., 2013). A delay in cortical maturation has been shown to be associated with socio-emotional difficulties in children and adolescents, including subclinical anxious and depressive symptoms (Ducharme et al., 2014; Newman et al., 2016). These results demonstrate the importance of studying age-dependent GM developmental trajectories in relation to mental health outcomes.

### *Structural MRI findings following very preterm birth*

Preterm birth is associated with altered cerebral volumes, with smaller volumes reported in widespread cortical GM in preterm neonates when compared to term-born controls at TEA. Brain tissue volumes exhibit a positive relationship with GA, and infants born earlier and with lower birth weight show the largest deviations from normative brains (Dimitrova et al., 2021). Volume reductions have been reported in preterm compared to term neonates in specific regions, including parietal, occipital, and temporal cortices, cerebellum, and the brainstem (Alexander et al., 2019; Dubois et al., 2021a; Galdi et al., 2020; Inder et al., 2005; Peterson et al., 2003). One study of a large cohort of neonates born between 27 and 42 weeks, all imaged at TEA, found both positive and negative correlations between GA and specific regional brain volumes when covariates such as post-menstrual age at scan, birthweight, and sex were considered (Knickmeyer et al., 2017). A more recent study investigating cortical GM volumes in preterm neonates failed to find gestational age-dependent differences in total cortical GM volumes, although it did report larger regional GM volumes in those born earlier, specifically in primary visual, motor, and somatosensory cortices (Alexander et al., 2019). The researchers speculate a possible mechanism for this increased cortical development could involve increased sensory input with greater time ex-utero. Future research could support these novel findings in order to explain such differences.

A vulnerability to alterations as a result of preterm birth has also been observed in deep GM, including the thalami and basal ganglia (Boardman et al., 2006; Dubois et al., 2021a; Srinivasan et al., 2007). Such alterations, specifically reduced thalamic volume, are related to reduced cortical volumes encompassing widespread regions within the frontal, temporal, parietal, and occipital lobes (Ball et al., 2012). Additionally, decreased cortical surface area and cortical folding complexity are also seen in extremely preterm neonates at TEA (Ajayi-Obe et al., 2000; Kapellou et al., 2006).

Similar findings have been identified in older preterm children, with reduced cortical volumes and surface area apparent in widespread GM, including regions of sensorimotor, frontal, and temporal lobes (Gimenez et al., 2006b; Kesler et al., 2008; Peterson, 2003; Søsnes et al., 2015). Decreased GM

volumes are reported in preterm children and adolescents in the cerebellum, basal ganglia, amygdala, fusiform gyrus, insula, thalamus, and the hippocampus (Aanes et al., 2015; Boardman et al., 2010; Counsell and Boardman, 2005; Nosarti et al., 2002; Nosarti et al., 2008; Nosarti et al., 2014; Peterson et al., 2000; Sølsnes et al., 2016), as well as altered hippocampal shape (Thompson et al., 2014). The lateral ventricles, on the other hand, are reported to be larger in preterm children (Sølsnes et al., 2016).

In addition to GM, WM structure is also altered in preterm-born individuals compared to term-born controls. Structural MRI has long been used in preterm neonates to detect the presence of cerebral WM abnormalities, such as cysts, loss of WM volume, ventriculomegaly, and corpus callosal thinning/myelination (Cooke and Abernethy, 1999; Inder et al., 2003; Stewart et al., 1999). More recent quantitative voxel-based morphometric analyses have identified that at TEA, when compared to controls, preterm neonates show smaller cerebral WM volumes (Alexander et al., 2019; Thompson et al., 2019), especially seen in the corpus callosum (Thompson et al., 2011). These alterations are apparent not only during the perinatal period, but also in preterm children and adolescents (de Kieviet et al., 2012b; Gimenez et al., 2006a; Nosarti et al., 2008; Rademaker et al., 2004), with males appearing particularly vulnerable to adverse effects of preterm birth (Kesler et al., 2008; Reiss et al., 2004).

### *Methodological considerations*

When comparing MR images at TEA of neonatal groups of different gestational ages, one methodological issue concerns neonates' postmenstrual age at scan. Some studies have reported an association between neonates' GA and age at scan, citing reasons such as prolonged need for critical care for infants born at the low end, and later birth for infants born at the high end, of the GA range (Alexander et al., 2019; Dubois et al., 2021b). Therefore, it is custom to control for both GA and age at scan in statistical models.

## 1.3.2 Diffusion MRI

### 1.3.2.1 Diffusion Weighted Imaging

Diffusion MRI (dMRI) assesses water molecular motion in tissue and enables the microstructural properties of human brain tissue to be assessed. Water diffusion could be affected by its physiochemical properties (e.g., viscosity and temperature) as well as its structural components (e.g., intracellular organelles, membranes). dMRI works on the premise that in an unrestricted environment, water will diffuse to a similar extent in all directions (isotropic diffusion). On the other hand, in tissues that have an ordered structure, water molecular displacement will vary depending on the tissue structure and orientation (anisotropic diffusion) (Beaulieu, 2002). For example, coherent organisation of long neuronal axons within WM tracts favours diffusion along, rather than across, the length of the axons. If a WM tract is affected as a result of illness or insult, its diffusion characteristics will be altered in terms of the molecular motion and direction of diffused water particles.

In order to extract diffusion information, first an image with no diffusion attenuation ( $b = 0$ ) is obtained. Diffusion-encoded gradients are applied to sensitise the MR signal to the magnitude of diffusion within the brain. The degree of diffusion weighting for each gradient, known as the  $b$  value, will vary depending on factors such as the amplitude and duration of the gradient. Signal obtained in these images is dependent on displacement of water *along the direction in which the diffusion gradient was applied* (therefore it is said to be ‘rotationally-variant’). Through the application of several diffusion-weighted gradients in various directions, it is possible to produce a rotationally invariant estimates of tissue diffusivity. In diffusion weighted imaging (DWI), total net diffusion in a voxel can be represented by apparent diffusion coefficient (ADC) and calculated from Equation 1 (Le Bihan et al., 1986).

$$D = -\frac{1}{b} \ln \left( \frac{S}{S_0} \right)$$

**Equation 1.** Equation for calculating apparent diffusion coefficient.  $S$  and  $S_0$  are signal measured with and without diffusion weighting and  $b$  reflects the degree of diffusion-weighting applied, determined on the timing, duration, and amplitude of the gradient.

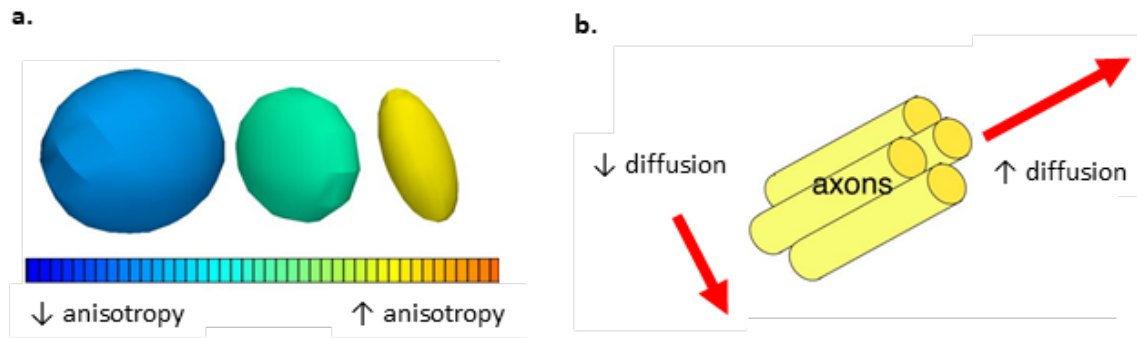
### 1.3.2.2 Diffusion Tensor Imaging

The most common method of modelling water diffusivity is through the Diffusion Tensor model (diffusion tensor imaging, DTI) (Pierpaoli et al., 1996). (Basser et al., 1994). Within each voxel, the tensor ( $D$ ) is represented by a 3 x 3 symmetric matrix used to describe the diffusion profile (Equation 2). The three diagonal elements give the diffusivities along the x-, y-, and z- axes, whilst the off-diagonal elements give the correlation between them. As  $D$  has six independent elements, it requires a minimum of six diffusion-weighted images and one non-diffusion weighted image in order to characterise the diffusion tensor.

$$D = \begin{bmatrix} D_{xx} & D_{xy} & D_{xz} \\ D_{xy} & D_{yy} & D_{yz} \\ D_{xz} & D_{yz} & D_{zz} \end{bmatrix}$$

**Equation 2.** 3x3 matrix used to represent diffusivity along three orthogonal axes of the tensor.

The diffusion tensor can be visualised as an ellipsoid representing probability of diffusion from the origin (Figure 1.2). In isotropic diffusion, this probability is equal in all directions and the tensor is represented as a sphere. In anisotropic diffusion, the orientation of the tensor ellipsoid will align with the underlying tissue microstructure. The ellipsoid can be calculated from  $D$ , using the orthogonal eigenvalues ( $\lambda_1$ ,  $\lambda_2$  and  $\lambda_3$ ) – rotationally-invariant, scalar metrics representing the diffusivities along the three principal axes of the tensor. Eigenvectors are also calculated, which define the orientation of the eigenvalues (Pierpaoli and Basser, 1996; Tournier et al., 2011). The largest eigenvalue,  $\lambda_1$ , defines the orientation of the tensor. In anisotropic tissues, such as cerebral WM, the largest eigenvalue will be the one representing the diffusion coefficient along the dominant fibre orientation.



**Figure 1.2.** a) Three examples of diffusion tensors, illustrate differences in tensor anisotropy and orientation. b) Illustration of anisotropic diffusion, in a coherently oriented tissue. Increased diffusion measured parallel and decreased perpendicular to axons in fibre tract. Adapted from (O'Donnell and Westin, 2011).

Mean diffusivity (MD) describes the directionally averaged diffusivity of water molecules and is calculated using Equation 3.  $\lambda_1$  represents axial diffusivity (AD), or the estimated magnitude of diffusion parallel to the principal axis of diffusion (along the main fibre orientation). When averaged,  $\lambda_2$  and  $\lambda_3$  represent radial diffusivity (RD), which is the estimated magnitude of diffusion across the direction of the fibres, perpendicular to  $\lambda_1$ .

$$MD = \frac{\lambda_1 + \lambda_2 + \lambda_3}{3}$$

**Equation 3.** Mean diffusivity (MD) is calculated by finding the mean of all three eigenvalues.

A widely used DTI metric is fractional anisotropy (FA), which measures the degree to which diffusion within the voxel is isotropic, i.e., the degree to which diffusion along one axis occurs preferentially over others (Pierpaoli and Basser, 1996). FA is calculated with Equation 4, and varies between 0 and 1, whereby 0 indicates isotropic, spherical tensor and 1 corresponds to the anisotropic limit. Higher FA represents greater proportion of water moving parallel to WM fibres than perpendicular to them (Pierpaoli and Basser, 1996), and is characteristic of well-developed WM tracts.

$$FA = \frac{\sqrt{3((\lambda_1 - \bar{\lambda})^2 + (\lambda_2 - \bar{\lambda})^2 + (\lambda_3 - \bar{\lambda})^2)}}{\sqrt{2(\lambda_1^2 + \lambda_2^2 + \lambda_3^2)}}$$

**Equation 4.** Equation used to calculate fractional anisotropy (FA) from the three eigenvalues ( $\lambda_1$ ,  $\lambda_2$  and  $\lambda_3$ ).

DTI models have been criticised due to the average smoothing effect that presumes some homogeneity within a voxel. Image resolution in DTI typically ranges between 1 and 3 mm and each voxel can contain many thousands of axons. Therefore, DTI is not suitable for modelling multiple fibre orientations ('crossing fibres') within a voxel, and instead provides an average of these, therefore oversimplifying the underlying neuroanatomy. As voxels containing crossing fibres are present in up to 90% of all voxels (Jeurissen et al., 2013), this forms a major limitation of DTI and means that the retrieval of specific information about tissue microstructure from such measures are controversial and limited (Le Bihan, 2013).

#### *DTI findings in neonatal brain development*

As WM tracts develop, water becomes hindered in its movement, especially in the perpendicular direction to the tract. This is influenced by myelination, but the presence of changing diffusivities prior to myelination suggests additional contributing factors, including an increase in axon diameter and increases in the early wrapping of oligodendroglia around the axons (Huppi et al., 1998a). Specifically, a decrease in AD over the neonatal period reflects a reduction in interaxonal space (Takahashi et al., 2000) as well as an increase in axonal number or size (Song et al., 2002a; Song et al., 2002b). Decreases in RD, on the other hand, indicate changes in myelin that result in a reduced permeability of the tract (Suzuki et al., 2003). The implications of these two processes leads to a decrease in MD, whilst FA increases (Kimpton et al., 2021; McKinsty et al., 2002; Neil et al., 1998; Partridge et al., 2004), with increasing age. Therefore, low MD and high FA represents more highly organised tracts during the neonatal period.

In addition to assessing the microstructure of specific white matter tracts, studies have also utilised DTI metrics in order to model the network topology of the brain, or the ‘connectome’ (Fornito and Bullmore, 2015). For example, findings have indicated neonates display well-connected and efficient networks, that show increased efficiency with age and become more segregated as neonates approach TEA (Ratnarajah et al., 2013; Zhao et al., 2019). Due to the rapid increase of connections during the third trimester, both between and within networks, it is thought that extra-uterine stressors and sub-optimal conditions are likely to influence the development of these connections.

### *DTI findings in childhood brain development*

WM develops over childhood primarily through the myelination of axons, subsequently influencing neurotransmission. Age-related increases in FA and decreases in MD have been reported in typical neurodevelopment, thought to reflect increased organisation of WM (Barnea-Goraly et al., 2005; Lebel et al., 2008; Schmithorst et al., 2002; Snook et al., 2005). DTI studies have also indicated that the rate of FA increase is relatively stable over late childhood and early adolescence (Krogsrud et al., 2016).

Spatially, WM follows a posterior-to-anterior gradient of development (Asato et al., 2010), and so last to mature are the fibre pathways connecting the frontal cortex, undergoing a protracted development over adolescence into adulthood (Lebel and Beaulieu, 2011). Coinciding with the timing of these frontal pathways’ maturation is adolescence and pubertal changes, suggesting hormonal influences on WM development (Asato et al., 2010; Barnea-Goraly et al., 2005). These morphological developments lead to changes in functional brain circuitry, which in turn will impact behaviour.

Such age-dependent brain-behavioural interactions have been described in DTI studies investigating sub-clinical behavioural outcomes in children ranging from preschool age to adolescence (Albaugh et al., 2017a; Andre et al., 2020). Diffusion characteristics of specific WM tracts have been shown to change with age and have shown age-dependent interactions with behavioural problems. For instance, children with behavioural difficulties have been found not to exhibit changes in FA values between childhood and adolescence, whilst those who are more well-

adjusted show have demonstrated age-dependent FA increases. These effects have been observed in WM tracts associated with socio-emotional processing, including the UF (Andre et al., 2020), superior longitudinal fasciculus (SLF), and inferior longitudinal fasciculus (ILF) (Albaugh et al., 2017a). Therefore, alterations in the development of WM microstructure may result in delayed or altered socio-emotional development, highlighting the importance of studying age-dependent WM developmental trajectories in relation to behavioural outcomes.

### *DTI findings following very preterm birth*

Findings from DTI studies have indicated altered microstructural development following VPT birth. When compared to term-born controls, preterm infants exhibited increased FA and MD in the cortical GM at TEA, with such microstructural alterations showing direct associations with GA and birth weight (Ball et al., 2013b; Bouyssi-Kobar et al., 2018). Preterm infants also exhibit altered microstructural characteristics of WM tracts, with findings indicating decreased FA and increased MD in widespread WM association, projection, and commissural tracts (Alexandrou et al., 2014; Anjari et al., 2007; Batalle et al., 2017; Boardman et al., 2010; Dimitrova et al., 2020; Huppi et al., 1998a; Neil et al., 1998; Pannek et al., 2013; Thompson et al., 2019). Studies investigating specific tracts found similar alterations, most commonly in the corpus callosum, thalamic connections, and corticospinal tract (CST) (Ball et al., 2013a; Groppo et al., 2012; Hasegawa et al., 2011; Thompson et al., 2012), and more recently, in the cerebellar peduncles (Machado-Rivas et al., 2021). Such alterations in WM microstructure in the form of increased diffusivities (MD, RD and AD) and decreased FA are also shown to be associated with white matter injury in preterm infants (Adams et al., 2010; Counsell et al., 2006; Liu et al., 2012; Miller et al., 2002; Thompson et al., 2012; van Pul et al., 2012a), highlighting the effects of perinatal brain injury on WM microstructure.

Group differences have also been reported in older preterm populations, with studies identifying significant alterations in WM microstructure when compared to term-born controls. Many studies have identified both decreased FA and increased MD and ADC in preterm children and adolescents (Constable et al., 2008; Dodson et al., 2017; Dubner et al., 2019; Duerden et al., 2013;

Groeschel et al., 2014; Jo et al., 2012; Kelly et al., 2016a; Li et al., 2015a; Mullen et al., 2011; Murray et al., 2016; Pieterman et al., 2018; Travis et al., 2015; Travis et al., 2019; Young et al., 2018). At the same time, some studies have found no differences in DTI metrics between VPT and term-born controls (Bruckert et al., 2019; Sølsnes et al., 2016). Finally, research has also identified increased FA and decreased diffusivity measures in preterm children (Dodson et al., 2017; Tokariev et al., 2019). Such conflicting results of DTI studies could result from differences in study samples, imaging methods and analysis techniques. As discussed above (section 1.3.2.2: Diffusion Tensor Imaging), the DTI model is criticized for its inability to account for crossing fibres within voxels. It is possible that increases in FA might reflect a reduced number of crossing fibres, and not necessarily increased maturity in these tracts (Groeschel et al., 2014), and therefore careful interpretation of FA results should be applied, and if possible, supplemented with additional diffusivity measures such as RD and AD.

Connectome studies have identified altered network architecture in preterm children, with findings indicating an effect of GA on reduced efficiency, worse organisation, decreased communication capacity, and diminished directional strength of brain connectivity (Fischi-Gomez et al., 2014; Kim et al., 2014; Thompson et al., 2016; Young et al., 2018).

### 1.3.2.3 Advanced dMRI analyses

#### *Neurite orientation dispersion and density imaging*

More advanced diffusion imaging techniques include neurite orientation dispersion and density imaging (NODDI), which measures WM microstructure in terms of the fraction of tissue comprising axons and dendrites ('neurite density index', NDI), as well as the degree of dispersion (bending and fanning) of neurite structures ('orientation dispersion index', ODI), within each voxel (Zhang et al., 2012). These metrics allow a more distinct characterisation of WM microstructure, with NDI providing information on axon density and myelination, whilst ODI quantifies the coherence of axons, allowing the distinction between voxels containing crossing fibres to those with a single fibre orientation.

As neonates mature, their dendritic structure develops with an increase in cellular density and complexity (Kostović and Jovanov-Milosević, 2006). Studies measuring age-related changes of NODDI within the cortex can inform us of the timings of such processes. A recent study found increases in ODI throughout the cortical GM before reaching a plateau at 38 weeks gestational age (Batalle et al., 2019). NDI, on the other hand, was reported to show a decreasing trend before 38 weeks of gestation in the middle frontal, cuneus, temporal, and occipital gyri, whilst increasing in somatosensory areas and occipital and orbitofrontal cortices through to 47 weeks of gestation (Batalle et al., 2019). The writers infer from the findings that dendritic arborisation takes place predominantly prior to 38 weeks, whilst increases in cellular and organelle density continues after this period. In neonatal WM, NODDI parameters also increase with age, with both ODI and NDI showing positive associations with PMA between 25 and 43 weeks of gestation (Kimpton et al., 2021). Further, a study utilising both DTI and NODDI metrics in order to characterise network topologic development found increases in efficiency over the neonatal period (Batalle et al., 2017).

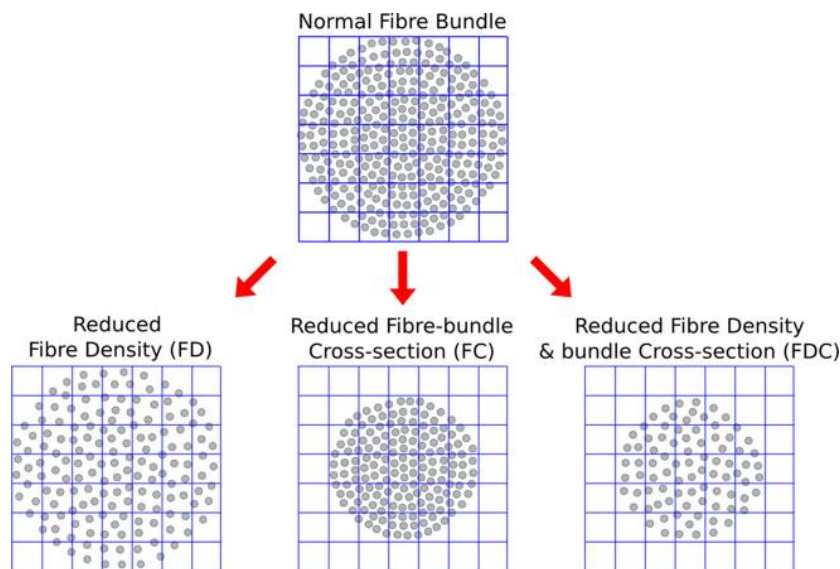
One study investigating NODDI parameters in preterm children identified microstructural alterations when compared with term-born controls, including increased ODI in widespread WM regions encompassing major association, projection, and commissural tracts (Kelly et al., 2016b).

### *Fixel-based analysis*

In recent years, more advanced diffusion MRI models have allowed for the distinction of multiple fibre populations in a single voxel (Tournier et al., 2011). A fixel refers to a single *fibre* population within a *voxel*, and fixel-based analysis (FBA) can identify specific fibre pathways, even in regions containing crossing fibres (Raffelt et al., 2017). One diffusion characteristic of interest here is the total intra-axonal volume of axons within a given fixel, which is a quantity related to a WM tract's 'ability to relay information'.

Figure 1.3 illustrates different ways in which total intra-axonal volume of a fibre bundle may vary. Firstly, fibre density (FD) illustrates altered tissue microstructure whereby decreases in volume can be seen *within-voxel*. Intra-axonal volume will be determined by both the number of axons within

the tract as well as axon diameter, which is thought to modulate transmission speed, timing and firing rate (Perge et al., 2012). Secondly, fibre cross-section (FC) depicts tissue macrostructure through quantifying the number of voxels the fibre bundle occupies. Thirdly, differences in fibre density and cross-section (FDC) will occur when WM is altered in both its microstructure within-voxel and macrostructure across the entire tract. FDC is considered as a comprehensive measure related to total intra-axonal volume within a pathway, and therefore most likely to reflect differences in ‘ability to relay information’ (Raffelt et al., 2017). Figure 1.3 is a schematic representation of these diffusion metrics.



**Figure 1.3.** A schematic representation of a white matter cross-section (grey circles represent axons, the grid represents imaging voxels).

White matter deficit might manifest as decreases in: fibre density (FD), which captures the intra-axonal compartmental volume; fibre cross-section (FC), which estimates the spatial extent occupied by the tract perpendicular to its direction; and fibre density & cross-section (FDC), which takes into account both FD and FC to produce a comprehensive measure related to total intra-axonal volume within a pathway (Raffelt et al., 2017).

The following metrics may be calculated with FBA. Firstly, fibre density (FD) is an estimate of the density of axons within a fibre population in a voxel, measured through an estimation of the intra-axonal volume fraction of fibres aligned with corresponding direction. Increased FD could indicate increased axon diameter or increased number of axons within a given space (Genc et al., 2018), whilst a decrease could be due to a loss of axons (Gajamange et al., 2018). Secondly, fibre

cross-section (FC) refers to a morphological measure of the cross-sectional area in the direction perpendicular to the orientation of a voxel. Each subject's FC is calculated in relation to the template, and so a  $FC > 1$  represents a larger fibre bundle in the subject than in the template. Thirdly, fibre density and cross-section (FDC) represents a combined measure of changes in both microscopic density (FD) and macroscopic morphology (FC), calculated as FD multiplied by FC (Raffelt et al., 2017).

Findings from studies of preterm neonates have identified associations between age at scan and FBA metrics over the neonatal period. A recent study identified positive correlations between neonates' age (38–47 weeks of gestation) and FD, FC, and FDC in various WM tracts. Tracts where associations were found between all three metrics and age at scan included the corpus callosum and ILF. Associations with FD only were reported in the forceps minor and major, corona radiata, inferior fronto-occipital fasciculus, and SLF. Associations with FC only were reported in the CST and cerebellum (Pecheva et al., 2019).

Pecheva and colleagues (2019) also investigated the relationship between FBA metrics and GA at birth, reporting associations between increased prematurity and decreased FD, FC and FDC. Associations with FC were indicated in more WM tracts than with FD. These results are supported by findings of significant differences in FBA metrics between VPT and full-term neonates at TEA (Pannek et al., 2018). Preterm infants exhibited reduced FD, FC, and FDC in all three metrics in the corpus callosum, whilst reduced FD only were apparent in the fornix. Reductions in FC only were more widespread, including optic radiations, cingulum, cerebral & cerebellar peduncles and SLF. Distinctions between VPT and full-term controls have been identified in older children, with similar findings of more widespread deficits in FC compared to FD in the VPT group (Kelly et al., 2020).

### *Methodological considerations*

Structural brain alterations following VPT birth might be caused by specific medical factors, rather than an inevitable consequence of preterm birth (Boardman et al., 2007). Such factors might include the presence of respiratory illness (Boardman et al., 2007), intrauterine growth restriction

(Zimine et al., 2002), sex (Ball et al., 2017; Pecheva et al., 2019), and drug administration (Modi et al., 2001; Murphy et al., 2001). Research has also highlighted an exacerbated level of altered WM microstructure in preterm infants and children with inflammatory conditions and lung disease (Alexandrou et al., 2014; Bonifacio et al., 2010; Dubner et al., 2019; Shim et al., 2012). Therefore, research in the preterm field is required to take such clinical variables into consideration, by investigating direct associations between variables and WM structural development (e.g., Barnett et al., 2018; Pecheva et al., 2019).

To summarise, preterm birth has long-term consequences affecting both GM and WM micro- and macrostructure. It is still unclear whether these occur due to brain reorganisation, WM dysmaturity or instead the downstream effects of injury, and future longitudinal imaging research in this area will give us insights into the developmental trajectories of such structural alterations.

### 1.3.3 Functional MRI

#### 1.3.3.1 Functional MRI techniques

The immense structural development occurring during the third trimester, or the period between VPT birth and TEA, has implications for the functional organisation of the brain, both during this period and later in the individual's life. Functional magnetic resonance imaging (fMRI) is a neuroimaging technique that provides information about neural activity through an indirect mechanism of measuring blood oxygenation levels (Kwong et al., 1992). Specifically, fMRI is sensitive to the relative changes in concentrations of deoxyhaemoglobin, that occur in response to neuronal activation, by exploiting their different magnetic properties (Ogawa et al., 1992). This is referred to as the blood oxygen level dependent (BOLD) contrast, an indirect marker of the temporal pattern of neural activity. This marker smooths and delays the original neural activity, and therefore has been said to suffer from limited temporal resolution (Kim et al., 1997). BOLD activity may be measured within spatially isolated regions-of-interest, or the connectivity of two regions. Functional connectivity is measured through the temporal correlation of spatially distant regions' BOLD activity,

and GM regions that show temporally correlated BOLD signal fluctuations are assumed to have related neural activity, i.e., they are functionally connected. fMRI could be used to measure BOLD activity both in the absence of any stimulation during a ‘resting-state’ study, as well as in response to a stimulation during ‘task-based’ studies (Biswal et al., 1995).

### 1.3.3.2 Resting-state functional MRI

fMRI studies performed without stimulation or task have discovered that the “resting brain” contains very distinct patterns of spontaneous low frequency activity. Resting state networks (RSNs) might be studied with resting-state fMRI (rs-fMRI) by identifying prominent resting-state FC (rs-FC) patterns in the whole brain. RSNs have distinct spatial patterns and time courses and are present even in sleep and under sedation (Fukunaga et al., 2006; Greicius et al., 2008). In adults, RSNs correspond to activation patterns in the active brain during tasks (Smith et al., 2009). One explanation for this points to several ‘task-like behaviours’ performed at rest, such as future preparation, learning consolidation and rehearsal (Buckner and Vincent, 2007). The default mode network (DMN), one of the more commonly studied RSNs, is active during rest and is thought to be actively implicated during internal or introspective thoughts (Raichle, 2015).

#### *Resting-state fMRI findings in neonatal brain development*

RSNs develop over time in neonates and children, with the strengthening of connections between spatially remote regions resulting in more cohesive and connected circuits. Even so, functional RSNs that are comparable to networks seen in adults have been identified in the neonatal brain, and fetal research has indicated an age-dependent increase in rs-FC in both interhemispheric (Thomason et al., 2013) and intrahemispheric (Thomason et al., 2015) connections. By TEA, there is evidence of functional networks confined to primary sensory and motor brain regions (Doria et al., 2010; Fransson et al., 2011; Fransson et al., 2007; Lin et al., 2008), whilst the development of full RSNs in infancy was shown to be primitive or incomplete (Eyre et al., 2021; Gao et al., 2013; Gao et al., 2009; Smyser et al., 2010). Therefore, primary networks such as the visual and auditory networks

develop before higher-order spatially-distant networks (Keunen et al., 2017), and this pattern is mimicked in developmental milestones, whereby infants grasp basic sensory functions within the first few years of life (e.g., Adams et al., 2004) whilst higher order cognitive functions develop well into early adulthood (Casey et al., 2000). For example, development of DMN by infancy is debated, with some identifying no rs-FC patterns resembling the DMN (Eyre et al., 2021; Smyser et al., 2010), whilst others have suggested otherwise (Doria et al., 2010).

### *Resting-state fMRI findings in childhood brain development*

In general, the development of cognitive abilities arises not solely from a particular brain area, but instead from networks of activity spanning multiple brain regions (Petersen and Sporns, 2015). Over childhood and adolescence, these functional networks reconfigure, showing strengthening of connectivity within RSNs (de Bie et al., 2012; Sherman et al., 2014). Earlier studies reported that, whilst rs-FC between anatomically proximate ROIs decreased, long-range connections gradually increased (Fair et al., 2009; Supekar et al., 2009). This suggests that, with time, children display a dampening of non-specific local activity and strengthening of long-range links, indicating specialised networks that facilitate cognitive development (Uddin et al., 2011).

More recently, however, studies have indicated variation in trajectories of networks responsible for different functional tasks. For example, sensorimotor networks are already well-developed in childhood, showing little change between childhood and adulthood (Gu et al., 2015). Alternatively, the overall connectivity of networks associated with higher-order cognitive abilities, including the DMN (Fan et al., 2021), salience network (SN) (Uddin et al., 2011) and dorsal attention network (DAN) (Rohr et al., 2018), show increases in strength and efficiency with age. These increases in network rs-FC, specifically in the DMN and DAN, are shown to be associated with improved attentional skills in childhood (Rohr et al., 2018). Therefore, more recent theories suggest that whilst network structure does continue to evolve after late childhood, such developments are not primarily distance-dependent, but instead coincide with the development of specific cognitive abilities (Grayson and Fair, 2017).

Altered connectivity within functional networks has been implicated in the development of psychiatric and neurocognitive disorders (Menon, 2011). For example, the DMN and SN have been shown to play an important role in the development of autism (Menon and Uddin, 2010), and detection of aberrant connections may indicate biomarkers of vulnerability for psychopathology in the developing brain (Menon, 2013). The functional connectivity of specific brain regions has also been studied from a developmental point of view, with the bilateral amygdalae showing particular importance for the development of emotion-related functions. Although structurally mature by the age of five (Giedd et al., 1996), the amygdalae's functional expression and regulation goes through major changes over childhood and adolescence, which in turn allow it to function as a major hub for processing affective and biologically salient cues (Pessoa and Adolphs, 2010). Its functional connectivity with other cortical and subcortical structures has been reported to be weaker in children than adults, suggesting increased amygdalae integration and segregation with age (Qin et al., 2012). Functional networks involving the amygdalae have been shown to undergo hierarchical changes during this developmental stage (Casey et al., 2019), and these are thought to underlie the changes in emotional reactivity and regulation throughout this developmental period.

### *Resting-state fMRI findings following very preterm birth*

Studies assessing rs-fMRI in preterm neonates have highlighted similar overall RSN topography to FT infants, although networks display aberrant developmental trajectories. At TEA, preterm infants exhibit networks that are less segregated and integrated (Bouyssi-Kobar et al., 2019; Scheinost et al., 2016b), and show reduced complexity of intrinsic rs-fMRI activity (Smyser et al., 2016), when compared to term-born neonates. Differences in specific, well-established networks have also been detected in this population, with precursors of the DMN being detected in term, but not preterm, neonates (Smyser et al., 2010). Such differences in network maturation supports findings of structural brain development in this cohort.

Whilst reduced rs-FC is common in preterm infants compared to controls (Eyre et al., 2021; Kwon et al., 2015; Smyser et al., 2016), increased rs-FC at TEA is reported within the lateral motor

network. One cause for this could include extrauterine exposure during a period of heightened sensorimotor plasticity, which modulates parieto-motor connectivity and leads to abnormally increased connectivity within this region (Eyre et al., 2021). Although some studies identified more prominent alterations in higher-order association networks compared to primary networks (Smyser et al., 2016), more recent work has suggested these are equally affected (Eyre et al., 2021), and this discrepancy could be due to differences in approach to RSN definition, network mapping and inclusion criteria.

As discussed earlier in this chapter, thalamocortical connections that develop throughout the third trimester (Kostović and Jovanov-Milosević, 2006) are disrupted by VPT birth, which results in not only structural (Ball et al., 2013a), but also functional alterations in VPT infants (Smyser et al., 2016). Altered thalamus rs-FC with both higher-order cortical regions (Toulmin et al., 2015) and subcortical regions, including the bilateral amygdalae (Scheinost et al., 2016a), have been reported in this population. Ball and colleagues (2016) extended these findings by identifying disrupted rs-FC between additional deep GM nodes, namely the basal ganglia, and high-order cortical regions. Similarly, smaller rs-fMRI magnitudes have also been reported between the left amygdala and both subcortical and cortical regions in VPT infants compared to FT controls (Rogers et al., 2017). These findings support the notion that subcortical GM is particularly vulnerable to developmental alterations following preterm birth, and that subcortical-cortical connections are especially affected. Further, rs-FC alterations are more pronounced in those infants with increased levels of white matter injury and dependent on severity of, and proximity to, injury (Damaraju et al., 2010; Lubsen et al., 2011; Wheelock et al., 2018; Wilke et al., 2014).

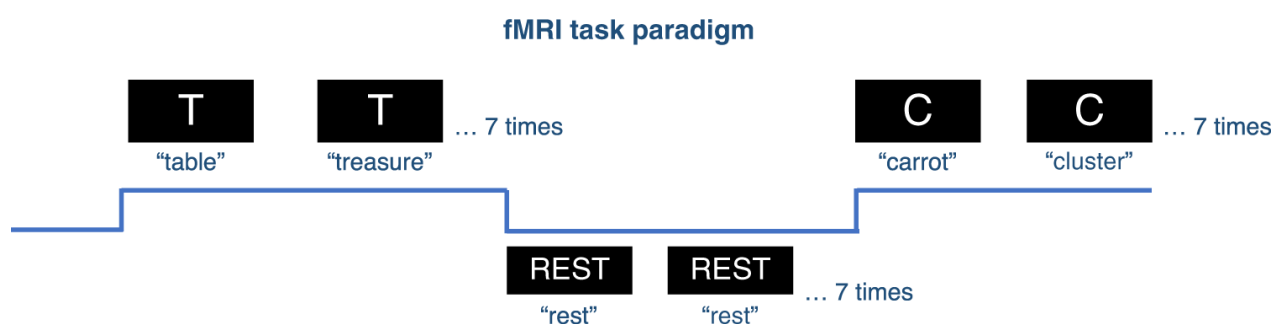
Limited research has suggested that cohorts of VPT children also display reduced rs-FC both between and within RSNs when compared to term-born controls (Damaraju et al., 2010; Lubsen et al., 2011; Wheelock et al., 2018; Wilke et al., 2014), however, this area requires further investigation. In a recent analysis of the bilateral amygdalae rs-FC, Johns and colleagues (2019) found a significant increase between the amygdalae and both the parietal lobe and the left superior temporal gyrus, in VPT adolescents compared to term-born controls.

Resting-state connectivity has been shown to be a reliable method for assessing large-scale brain networks in neonates and children. Moreover, task-based and resting-state fMRI used in conjunction could be used to test comprehensively brain function associated with outcome behaviours.

### 1.3.3.3 Task-based functional MRI

#### *Task-based fMRI techniques*

Task-based studies can measure neural functional activity in response to specific tasks, by comparing activity during ‘on’ (experimental) and ‘off’ (baseline) conditions, implicating certain hemodynamic responses in specific mental operations required to complete the task (Soares et al., 2016) (Figure 1.4). Such studies could measure both regional BOLD activity as well as functional connectivity.



**Figure 1.4.** Graphic representation of a ‘verbal fluency’ task-based MRI paradigm. During this task, participants are asked to overtly generate a word starting with a letter visually presented to them (‘experimental condition’). During the ‘baseline’ condition, participants are visually presented with the word ‘rest’ and are instructed to read ‘rest’ aloud. Taken from (Kanel et al., 2021a) (Appendix A).

#### *Task-based fMRI findings in neonatal brain development*

Task-based fMRI studies have utilised the stimulation of various senses and measured BOLD responses in the young infant brain, whose hemodynamic responses are shown to mature alongside structural development (Arichi et al., 2012). BOLD activation patterns have been analysed in infants, both preterm-born and full-term, in response to sensory input. Brain-behaviour associations are seen

in relation to various types of sensory development by TEA, including olfactory (Arichi et al., 2013), tactile (Allievi et al., 2016; Arichi et al., 2010), visual (Born et al., 1998; Erberich et al., 2003; Lee et al., 2012), auditory (Anderson et al., 2001), and motor (Erberich et al., 2006). Differences in developmental timings have also been shown between primary brain networks. For example, the auditory cortex responds to sensory stimulation at an earlier age than does the visual system (Anderson et al., 2001; Born et al., 2000; Ment and Constable, 2007).

### *Task-based fMRI findings in childhood brain development*

fMRI studies have investigated the neural underpinnings of a range of cognitive abilities during childhood. An increased ability to plan, organise, and problem solve, as well as improved attention and memory, is observed by adolescence. The prefrontal cortex is thought to play an important role in these developments and is shown to be implicated in various task-based fMRI paradigms that require higher-order cognitive skills (Taylor et al., 2012). In addition to the frontal lobe, tasks that require more specific cognitive abilities have been associated with various brain regions. Presented here are examples task-based fMRI findings of such cognitive abilities, namely working memory and cognitive control.

Findings from a recent meta-analysis of child neuroimaging studies reported that, during working memory tasks, children show activations in well-established memory regions seen in adult neuroimaging studies, including posterior parietal and frontoparietal regions. Additionally, children show activations in regions not typically part of the working memory network, such as the insula (Yaple and Arsalidou, 2018). Further, involvement of the hippocampal region during working memory tasks has been reported to decrease with age (von Allmen et al., 2014). Taking these findings together, it is possible that specialised memory-related networks develop over time in individuals, but more studies with smaller age ranges are needed to address this hypothesis.

Developmental studies have increasingly focussed on the development of specific cortical and subcortical neural systems that underlie increases in cognitive control needed for the regulation of motivational behaviour (Cohen-Gilbert and Thomas, 2013). Task-based fMRI studies using emotional

cues have indicated age-related changes that may aid in explaining such behavioural developments during childhood and adolescence. For example, with age, amygdala functional connectivity decreases with another subcortical region, the ventral striatum, which in turn leads to improved cognitive control to emotional cues (Heller et al., 2016). Further, between early to late childhood, amygdala-PFC functional connectivity is shown to ‘switch’ from being positively coupled to exhibiting a negative connectivity (Gee et al., 2013). At the same time, amygdala reactivity decreases over time, and these two findings support the theorised regulatory role of the PFC (Silvers et al., 2017). When assessing the behavioural correlates of these neurodevelopmental changes, the authors found this ‘valence switch’ to be directly related to emotion regulation, possibly providing a neurobiological basis for improvements in emotional processing during this developmental period (Gee et al., 2013).

#### *Task-based fMRI findings following very preterm birth*

Task-based fMRI studies involving preterm children have highlighted altered activation in several prefrontal regions during working memory tasks (Murner-Lavanchy et al., 2014; Taylor et al., 2012), as well as weaker deactivation of the right temporal lobe (Tokariev et al., 2019). Task-based fMRI studies have also identified altered functional connectivity in VPT children when compared with full-term controls. During language-related tasks, VPT children and adolescents display increased interhemispheric connectivity, as well as a tendency to employ altered neural systems for auditory language function compared to term-born controls (Gozzo et al., 2009; Myers et al., 2010; Wilke et al., 2014), which might represent a delay in maturation of neural networks, or the engagement of alternative circuits.

#### 1.3.3.4 Other methods of assessing brain function

fMRI techniques have been criticized due to their poor temporal resolution, consequence of the latency and longevity of the haemodynamic response. An additional measure of neuronal activity either during tasks or at rest is magnetoencephalography (MEG), which quantifies magnetic fields

produced by dendrites of neurons during synaptic transmission. MEG quantifies oscillatory features of neural networks, including timing, amplitude, phase, and frequency, with high temporal resolution both during tasks and at rest (Buzsáki and Draguhn, 2004; Gross et al., 2013). Other than providing better temporal resolution than fMRI techniques, MEG is also quiet during scanning and therefore might be more applicable in paediatric cohorts (Taylor et al., 2012), especially those who are prone to anxiety, such as VPT children (Treyvaud et al., 2013). Additionally, multimodal approaches such as the integration of fMRI and MEG techniques can utilise haemodynamic and electromagnetic measures to provide estimates of brain activation with accurate temporal and spatial localisation (Dale and Halgren, 2001).

One study using MEG at rest has indicated global reductions in resting state phase connectivity in VPT children when compared to controls (Ye et al., 2016). Specifically, altered connectivity was identified in thalamocortical networks, confirming previous fMRI findings highlighting reduced thalamocortical connectivity in the preterm population (Ball et al., 2013a). Additional altered connectivity was identified in networks encompassing regions associated with cognitive control, working memory and visuo-spatial abilities (Ye et al., 2016). Further applications of MEG techniques investigating neural correlates of behavioural outcomes in VPT children are discussed in Chapter 2.

Events occurring during the preterm period, a vulnerable critical period, may impact brain development at this time, which in turn could have long-lasting effects on the long-term development of neural structure and function. MRI has the potential to offer a significant insight into the complex pattern of the neurobiological mechanisms that underlie human brain development. Importantly, such research might not only be able to offer a new perspective for understanding how the brain adapts following VPT birth, but also the early detection of brain alterations, paving the way for preventative methods that deter such unfavourable long-term outcomes.

For a review of neuroimaging studies investigating differences in specific brain mechanisms between preterm and term-born adults, please refer to Kanel et al. (2021a) (Appendix A).

# Chapter 2: Cognitive and socio-emotional outcomes and neurodevelopment in preterm children and adolescents

Individuals who have survived preterm birth face a range of neurodevelopmental and behavioural difficulties (Delobel-Ayoub et al., 2009), with research showing that VPT children are three times as likely to experience impairments across multiple domains, including motor disorders, cognitive delay, language delay, and emotional/behavioural adjustment problems (Woodward et al., 2009). These developmental delays are apparent even after accounting for sociodemographic risk (Pritchard et al., 2014; Schieve et al., 2016), and have various real-world implications, including worse academic achievement (Hutchinson et al., 2013; Johnson et al., 2009) and worse language and mathematical abilities (Aarnoudse-Moens et al., 2009b). Later in life, preterm adults display lower education levels, have lower net income, and are more likely to be receiving welfare support (Kroll et al., 2017; Mathiasen et al., 2009). This section will focus on altered cognitive development and socio-emotional behavioural problems faced by preterm children, as well as the neurodevelopmental correlates of such difficulties, including findings from both functional and structural MRI research.

## 2.1 Cognitive development and its neural correlates in preterm children

### 2.1.1 Cognitive development in preterm individuals

#### 2.1.1.1 General Cognition

Conceptualisations of intelligence include a general intelligence factor, as well as narrower, more specific abilities (e.g., verbal comprehension and visuospatial reasoning) (Sternberg, 2000). One commonly used method of assessing relative intelligence is the Intelligence quotient (IQ), a score derived from several standardised tests. General intelligence, as assessed by IQ tests, has been shown to predict academic achievement (Freberg et al., 2008; Mayes et al., 2009).

Previous research has highlighted an impaired general intellectual development in preterm-born children, who show average IQ scores that are 0.7–0.8 SD (roughly 12 points) lower than those of controls (Bhutta et al., 2002; Kerr-Wilson et al., 2012). This gap increases with decreasing GA, with IQ estimated to decrease by 1.5 points per week for those born before 33 weeks of gestation (Johnson, 2007). These cognitive deficits remain stable throughout childhood (Anderson, 2014; Mangin et al., 2017) and adulthood (Kroll et al., 2019), and are reported to be more pronounced in males (Nagy et al., 2021; Stålnacke et al., 2019). Subtle cognitive alterations experienced by preterm children can be assessed using neuropsychological measures for specific cognitive constructs.

#### 2.1.1.2 Attention

Core cognitive abilities are critical for the functioning of other cognitive domains, such as learning new skills and knowledge. One such ability is attention, or the capacity to selectively focus, maintain alertness, hold information, and transfer focus between activities. Attention constitutes a foundation for the development of higher-order cognition, and correlates positively with real-world outcomes such as school performance (Muris, 2006). One neuropsychological model of attention (Petersen and Posner, 2012; Posner et al., 2013) sub-divides attention into three subcomponents: alerting, or the capacity to acquire and maintain a state of alert arousal; orienting which allows one to

prioritise sensory input by focusing attention to relevant stimuli; and executive control which involves the regulation of thoughts, feelings and behaviours (see section 2.1.1.4). Self-regulation (alerting and orienting), which occurs as a response to external stimuli, is present from very early in life, whilst the more voluntary, endogenously-controlled executive network begins to mature at around preschool age (Rueda et al., 2015). Attention can be assessed through various tasks; for example, a visual search task requires the participant to find targets in a display of non-targets as quickly as possible (Manly, 2002). Both accuracy and speed provide information about attentional abilities.

VPT children tend to struggle with top-down control of attention, with up to 41% of the studied samples displaying impaired attentional development (Anderson et al., 2011b; Delane et al., 2017; Murray et al., 2014). Studies have identified impairments in all three domains of attention, which are also associated with GA (Anderson et al., 2011b; Mulder et al., 2009; van de Weijer-Bergsma et al., 2008). Although some attentional difficulties are exhibited by preterm adolescents (Wilson-Ching et al., 2013), there is also evidence to suggest that preterm children might ‘catch-up’ to their term-born counterparts by adolescence (Mulder et al., 2009; Nosarti et al., 2006). Nevertheless, attentional problems are considered one of the most common difficulties for preterm individuals.

### 2.1.1.3 Memory

Memory abilities could be subdivided into long-term and immediate memory (known as ‘working memory’). Long-term memory refers to the vast store of knowledge and a record of prior events, where information is held indefinitely (Atkinson and Shiffrin, 1968; Cowan, 2008). Working memory is the ability to hold information in order to process and manipulate it (Baddeley, 1992). It is directly associated with fluid intelligence (Engle et al., 1999) and depends in part on the ability to control attention (Unsworth and Engle, 2007). One model of working memory suggests it is made up of three subcomponents: phonological loop for maintaining verbal information, visuospatial sketchpad for visual and spatial memory, and the central executive for coordinating storage and processing (Baddeley et al., 1974). Working memory is thought to have an active role in the retrieval of information from the long-term memory store, suggesting these two entities are not completely

separate (Baddeley, 1996). One common and quick method of assessing working memory is the digit span task, whereby participants are asked to repeat a set of digits, either as heard or in reverse order (Wechsler, 2014).

Deficits in both working and long-term memory functioning have been reported to be 2.1 to 3.5 times more likely in preterm children than term-born controls (Omizzolo et al., 2014). Working memory development is of particular interest in preterm research, and studies have identified deficits in this domain using both visual (Baron et al., 2010; Rose et al., 2011) and verbal (Aarnoudse-Moens et al., 2009b; Hutchinson et al., 2013; Mulder et al., 2009) modalities. This suggests that both the phonological loop and the visuospatial sketchpad may be affected in preterm children. Results from studies of preterm adolescents suggest they may experience fewer working memory deficits than younger preterm groups. Although there is some evidence of worse performance on a few working memory tasks, preterm adolescents performed comparably to controls on most tests of working memory (Rushe et al., 2001; Saavalainen et al., 2007). As discussed in the previous section, preterm children might be able to ‘catch-up’ to their term-born peers by late childhood and overcome some of their difficulties. This is supported by findings indicating preterm individuals perform better on working memory tasks in early adolescence than at eight years (Curtis et al., 2002).

#### 2.1.1.4 Processing Speed

Processing speed, or the time required to interpret and respond to incoming information, is an additional core cognitive ability that is directly associated with both working memory and fluid intelligence (Cowan, 1997; Fry and Hale, 2000). It has been postulated that increased information processing efficiency leads to better working memory as faster rates of processing might reduce decay and interference in working memory (Cowan et al., 1998), and processing speed is thought to account for some of the increases seen in working memory capacity with age (Pickering, 2001). Processing speed may be assessed through reaction times to computerised tasks that require participants to respond to the appearance of a target stimulus (Fan et al., 2005)

Preterm individuals exhibit slower processing speed compared to their term-born peers from infancy to adolescence, especially during tasks with increased complexity (Rose and Feldman, 1996; Rose et al., 2002). Such deficits in processing speed, together with working memory difficulties, are thought to account for deficits in IQ scores in preterm children (Rose and Feldman, 1996). Previous research has indicated that slower overall processing speed was explained by a greater proportion of extremely slow responses (de Kieviet et al., 2012a). This observation suggests that despite being capable of making fast and adequate responses, preterm children may find difficulties in making them continuously, causing so-called ‘lapses of attention’ that may interfere with daily life in situations that demand continuous concentration.

#### 2.1.1.5 Executive Functions

Executive functions (EF) are a set of cognitive skills needed for purposeful, goal-oriented behaviour, including, but not limited to, self-regulation, attention, working memory, planning, shifting, and monitoring of performance (Anderson and Reidy, 2012). These skills allow an individual to override automatic responses and engage in goal-directed cognition (Mesulam, 2002). They were shown to be vital for real-life outcomes, including academic performance and social interactions in full-term (Best et al., 2011; Bull and Scerif, 2001; Martinussen and Tannock, 2006; Moriguchi, 2014) and preterm (Aarnoudse-Moens et al., 2013; Kroll et al., 2017) populations. One model of EF proposes three dissociable and unitary processes: working memory, shifting, and inhibition (Garon et al., 2008; Miyake et al., 2000). This model is supported by factor analyses yielding a similar three-factor structure resembling the original concepts (Lehto et al., 2003). This section will focus on shifting and inhibition only, since working memory was addressed separately in section 2.1.1.3.

Shifting, also known as cognitive flexibility, refers to the ability to switch between mental tasks in a flexible manner. This can be assessed using tasks in which an initial set of rules is learned (e.g. associating a stimulus with a particular response), followed by a second phase, in which a new set of rules that conflicts with the first is introduced (Garon et al., 2008). Response inhibition, in contrast, refers to the ability to restrain a prepotent motor response that interferes with a required goal-

directed action. Tasks that index response inhibition typically require participants to focus on one feature of the stimulus and ignore other, conflicting, features (Garon et al., 2008).

Preterm children and adolescents are at a higher risk of developing deficits in EF, with this risk increasing for those with more extreme prematurity (Taylor and Clark, 2016). Findings relying on parental reports of EFs have been contradictory, with some showing significant differences (Burnett et al., 2018) and others reporting no differences between preterm and control children (O'Meagher et al., 2017). However, studies utilising behavioural tasks directly assessing EF performance indicate that preterm children perform worse than term-born controls across various tasks assessing different domains of EF (Aarnoudse-Moens et al., 2012; Aarnoudse-Moens et al., 2009a; Anderson and Doyle, 2004; Baron et al., 2012; Bayless and Stevenson, 2006; Taylor et al., 2004; Woodward et al., 2011). Such deficits remain stable after accounting for IQ differences between the two groups (Burnett et al., 2013; Luu et al., 2011a). Research investigating task shifting performance differences has identified a significant deficit of 0.5 SD (95% CI: 0.3–0.7) in preterm children compared to controls (Aarnoudse-Moens et al., 2009a). Preterm children also showed inhibitory task performance of 0.3 SD below controls (95% CI: 0.0–0.5) (Anderson, 2014; Mulder et al., 2009). However, there is evidence to suggest that group differences in response inhibition decrease between the preschool period and early adolescence, suggesting children can ‘catch-up’ to their term-born counterparts over time (Aarnoudse-Moens et al., 2012).

#### 2.1.1.6 Language skills

Language abilities are necessary for daily interpersonal communication, and language skills have been shown to influence social functioning in adolescents (Durkin and Conti-Ramsden, 2007). Academic achievement is also closely related to language development, with language-impaired children displaying worse performance on reading accuracy and comprehension (Botting et al., 2006) and going on to achieve fewer educational qualifications by the end of secondary school compared to term-born controls (Conti-Ramsden et al., 2009). Language development can be categorised into expressive (production) and receptive (comprehension) language (Bates et al., 1995), and covers a

range of skills such as semantics and phonological awareness. Semantics, assessed as vocabulary in children, is shown to predict later intelligence development (Bornstein and Haynes, 1998). Finally, phonological awareness refers to the ability to understand speech sounds, and can be assessed through word games such as phoneme isolation, which requires participants to isolate individual sounds within words (Wagner et al., 1999). Phonological awareness is shown to be predictive of reading skills (Wocadlo and Rieger, 2007).

Previous research has suggested the presence of language impairments in VPT children, when compared to full-term controls, from infancy to adolescence (Vohr, 2014). Delayed development is seen in both receptive and expressive language domains (Barre et al., 2011; Foster-Cohen et al., 2010; Vieira and Linhares, 2011; Wolke et al., 2008), and in task-specific abilities of semantics and grammar (Reidy et al., 2013). Deficits in phonological awareness skills have also been reported in preterm children (Hasler and Akshoomoff, 2019; Mullen et al., 2011; Mürner-Lavanchy et al., 2018), although these did not consistently survive statistical corrections for multiple comparisons. Conversely, a recent study of preterm children (EPT, VPT and MPT) failed to find any deficits in language abilities, both receptive and expressive, when compared to term-born controls (Pérez-Pereira et al., 2020).

#### 2.1.1.7 Environmental contributing factors

Clinical variables at the time of birth might contribute to cognitive deficits later in life in the VPT population. Clinical risk associated with preterm birth, which includes a wide range of perinatal complications, has been associated with brain alterations, which in turn are shown to predict adverse neurodevelopment (Barnett et al., 2018; Pecheva et al., 2019; Spittle et al., 2021). Studies have also reported direct links between perinatal complications and later attentional deficits (Montagna et al., 2020) and executive functioning (Nagy et al., 2021; Stålnacke et al., 2019). Additionally, preterm infants exposed to an increased number of NICU ‘stressors’ (procedures ranging from nappy changes to intubation) were more likely to display deficits in motor skills at TEA (Smith et al., 2011).

Socio-demographic and family characteristics are also shown to be associated with cognitive outcomes of preterm children. Lower levels of maternal education, a proxy for SES, is related to cognitive deficiency (Beaino et al., 2011; Potijk et al., 2013; Wong and Edwards, 2013) and impaired executive functioning (O'Meagher et al., 2017) in this population. Coming from a higher socio-economic background is associated with better cognitive outcomes (Duncan and Magnuson, 2012; Sarsour et al., 2011). One possible reason for this could be due to increased resources in high-SES families that better nurture children's skills and talents. Further, studies investigating the effects of familial variables on preterm children's cognitive development indicate that having a large number of siblings is detrimental to general cognition (Beaino et al., 2011), whilst decreased parental sensitivity is associated with executive functioning (Zvara et al., 2019). These variables are likely to have an effect on the level of emotional involvement and cognitive stimulation experienced by the child, which are important for the behavioural skills required for cognitive development (Bernier et al., 2012).

Ethnicity is also related to SES, showing associations with both wealth (Bhutta et al., 2020; Gibson-Davis et al., 2021) and academic attainment (Richardson et al., 2020). Varying parenting styles are observed in people from different ethnic and cultural backgrounds, with certain parenting practices, such as disciplinary methods, shown to be differentially favoured in individual communities (Hill, 2006; Silveira et al., 2021). In fact, different parenting practices have been shown to be beneficial for academic achievement in different ethnicities (Hearne and Christie-Mizell, 2018), highlighting the interplay between these factors and the importance of considering ethnicity, together with SES and family characteristics, when investigating cognitive development in children. Additionally, ethnic disparities in cognitive development could also be, at least in part, attributed to the stress and hardship so often experienced by minority ethnic groups, which may alter the biological responses to stress that in turn impact cognitive functioning (Levy et al., 2016).

Ethnicity has been studied in relation to neurodevelopmental outcomes in preterm-born toddlers (Freeman Duncan et al., 2012; Greene et al., 2012). These studies, both based in the United States, suggest that infants of Hispanic white race/ethnicity had significantly lower language and motor scores than African-American Black and non-Hispanic White infants. Furthermore, a more

recent literature review including studies conducted in Europe, Australia, and the United States, indicated that non-White ethnicity was predictive of global cognitive impairment in VPT children under five years (Linsell et al., 2015). Despite known disparities between ethnicities, in terms of SES, family characteristics, and stressors experienced, very little is known about possible causal mechanisms linking ethnicity to cognitive development in very preterm samples (Beauregard et al., 2018).

#### 2.1.1.8 Methodological considerations

Most studies investigating preterm childhood cohorts tend to have exclusion criteria such as the presence of perinatal brain injury (e.g., PVL), or an IQ score of less than 80. This has implications on the generalisability of the findings described here, as it means that studies are more likely to underestimate the population's levels of impairment (Anderson, 2014). Further, study participation and follow-up attrition levels are not random, as those children with increased impairments, as well as those coming from more socially disadvantaged families, are less likely to take part. Therefore studies are likely to underreport the severity of cognitive deficits in this population, skewing the results (Callanan et al., 2001).

Furthermore, using normative measures, such as IQ test scores, means that results are likely to be affected by the Flynn effect, whereby normative scores increase with time, which could lead to an underestimation of the developmental delay experienced by atypically developing groups. Therefore, it might be more accurate to compare such groups to locally matched control groups, as opposed to assessing them in relation to test norms (Anderson et al., 2010).

Finally, task impurity refers to how well a task can estimate the skill it sets out to assess, without tapping into similar underlying functions that draw on different processes. Some measures of specific cognitive constructs used in preterm children might be considered as 'impure', as they depend on multiple processes. One such example is the Tower of London task (e.g., Anderson and Doyle, 2004) that theoretically assesses planning, an EF construct. In practice, however, this task requires various other EF skills, including comprehension of instructions, inhibition, working memory, visual

perception, and sustained attention. Therefore, performance on such a task might reflect deficits in any of the subcomponents, rather than a specific deficit in planning (Anderson and Reidy, 2012).

#### 2.1.1.9 Catch up of outcomes after VPT birth

As mentioned in the previous sections, some studies have reported no cognitive difficulties in preterm adolescents, showing comparable performance to full-term controls in various cognitive domains from as early as 12 years (e.g., Aarnoudse-Moens et al., 2012; Saavalainen et al., 2007). It has been suggested this indicates that preterm children can ‘catch-up’ to their term-born peers. However, overall findings are far from conclusive, as several studies have highlighted persisting cognitive deficits in preterm samples in adolescence and adulthood (e.g., Brydges et al., 2018; Kroll et al., 2017; Linsell et al., 2018; Wilson-Ching et al., 2013).

Different methodologies used in these studies could be responsible for such non-convergent results. Alternatively, it is possible that such discrepancies are a product of differences between cohort characteristics. Environmental social factors, including socioeconomic background and ethnicity, are shown to influence the ability of preterm children to catch-up to full-term children in cognitive domains (Luu et al., 2011b). As many of the cross-sectional studies in this field have not included environmental and social factors (e.g., SES and ethnicity), either reporting them or including as covariates, a comparison of results from catch-up studies might lead to biased conclusions.

Other individual differences might also help explain non-convergent results regarding preterm individuals’ abilities to catch up to their term born peers in cognitive outcomes. In a recent review, long-term outcomes were shown to be predicted by children’s early cognitive scores: those performing very poorly were not likely to catch up, whilst those scoring within the normal range tended to show an accelerated development relative to term-born controls (Vollmer and Stålnacke, 2019). Loss to follow-up in longitudinal studies of preterm children with cognitive impairments is a recognised issue (Callanan et al., 2001), which could bias results as those lost to follow up may have different neurodevelopmental profiles than those who are assessed. Returning participants tend to come from less deprived socio-economic groups (MacBean et al., 2019; Piedvache et al., 2021) and as

SES is a predictor of neurocognitive performance (Hackman and Farah, 2009) followed-up samples may be biased towards including high-performing preterm individuals that are more likely to catch-up to full-term controls than the complete preterm population.

Future longitudinal studies of cognitive development in preterm children and adolescents should take into consideration environmental social factors that are likely to influence preterm children's catch-up abilities. Through the use of stratified sampling, for example, catch-up abilities may be investigated in samples that are more representative of the wider population, thus limiting biased results. It is likely that a combination of social environmental factors, together with clinical variables, determine preterm children's cognitive development trajectories (Doyle et al., 2015; Martínez-Nadal and Bosch, 2021).

## 2.1.2 Neural correlates of cognitive development in VPT neonates and children

### 2.1.2.1 Structural alterations and cognitive outcomes

Cross-sectional studies involving preterm children and adolescents have repeatedly highlighted an association between impaired general cognition and reduced volumes in widespread cortical, subcortical, and cerebellar GM regions (Abernethy et al., 2004; Allin et al., 2001; Giménez et al., 2006; Isaacs et al., 2004; Nosarti et al., 2008; Peterson et al., 2000; Reiss et al., 2004; Zubiaurre-Elorza et al., 2012a). Associations between GM volume and specific cognitive outcomes have been reported in VPT children, including between hippocampal volume and memory skills (Isaacs et al., 2000), left parietal lobe volume and mathematical skills (Isaacs et al., 2001), right ventral extrastriate cortex and visuospatial processing (Isaacs et al., 2003), and widespread regions including the anterior cingulate cortex and temporal cortex, and attentional abilities (Lean et al., 2017).

Altered WM microstructure has also been investigated in relation to neurodevelopmental abilities in preterm children. Neurodevelopmental impairments in preterm toddlers have been related to altered FA in projection and association tracts, including the corpus callosum (Counsell et al., 2008). Similar associations have been identified in school-aged children and adolescents, with increased FA and decreased diffusivity values in various WM tracts being associated with better

cognitive outcomes, including IQ (Dubner et al., 2019; Kennedy et al., 2021; Skranes et al., 2007; Vollmer et al., 2017; Wang et al., 2013; Young et al., 2019; Yung et al., 2007), executive functions (Vollmer et al., 2017), language skills (Andrews et al., 2010; Bruckert et al., 2019; Feldman et al., 2012; Mullen et al., 2011; Mürner-Lavanchy et al., 2018; Travis et al., 2016), attention (Loe et al., 2013; Murray et al., 2016), working memory (Loe et al., 2018), visuospatial processing (Skranes et al., 2007; Tokariev et al., 2019), and mathematical abilities (Collins et al., 2019).

Similar results have been identified with advanced MR analytical approaches such as NODDI, with studies identifying associations between lower NDI and poorer neurodevelopmental outcomes, including lower IQ scores (Kelly et al., 2016b; Young et al., 2019) and worse semantic (Mürner-Lavanchy et al., 2018) and mathematical performance (Collins et al., 2019).

Additionally, whole-brain WM connectivity networks have been investigated in preterm children in relation to cognitive outcomes. One study indicated that, although no associations were found between global network measures and neurodevelopmental outcomes, those with impaired IQ exhibited reduced connectivity strength within specific regional sub-networks (Thompson et al., 2016). Similarly, Fischi-Gomez et al. (2014) reported an association between FA-based structural connectivity in widespread connections and simultaneous information processing abilities.

Longitudinal neuroimaging studies in preterm samples have investigated neonatal brain structure, usually assessed at around TEA, in relation to later childhood outcomes. GM structure at TEA has been related to childhood cognitive outcomes, with one study finding an association between altered neonatal corpus callosum shape (i.e., more circular) and delayed cognitive development at two years (Thompson et al., 2012). Recently, neonatal subcortical and insular volumes at TEA have been associated with childhood cognitive outcomes in the preterm population. Results have indicated specific associations between insula and putamen volume and mathematic abilities, whilst the insula only was associated with working memory (Ullman et al., 2015). A more recent study confirmed such findings by reporting a positive association between neonatal regional tissue volumes of fronto-insular, inferior parietal and middle occipital cortices and cognitive outcomes in childhood, with the most pronounced association portrayed in the insula and inferior frontal gyrus (Ullman et al., 2015). The growth of deep GM between the early preterm period and TEA has also been shown to relate to

later cognitive outcomes, with findings indicating that caudate and putamen growth is predictive of cognitive and language development in VPT children (Young et al., 2015).

Neonatal WM structure as well as presence and severity of white matter abnormalities (e.g., cystic lesions and signal abnormalities) have also been related to later cognitive outcomes. The presence of WM abnormalities in preterm neonates (as rated by an expert) has been shown to be associated with lower IQ scores, and deficits in verbal comprehension (Iwata et al., 2012), working and long-term memory (Omizzolo et al., 2014), executive functioning (Woodward et al., 2012), and phonological awareness (Reidy et al., 2013).

Altered neonatal microstructural properties of widespread WM, including reduced FA and increased diffusivities, have been associated with later worse neurodevelopmental outcomes in preterm children, including cognitive development (Ball et al., 2017; Boardman et al., 2010; Counsell et al., 2008; Duerden et al., 2015; Pogribna et al., 2014; Ullman et al., 2015; van Kooij et al., 2012) and language abilities (Aeby et al., 2013; Barnett et al., 2018; Dubner et al., 2020; Lee et al., 2021; Mullen et al., 2011; Salvan et al., 2017). Specific associations were also identified in the neonatal structural connectivity of thalamocortical connections and cognitive development later in life (Ball et al., 2015). Slower rates of change of diffusion characteristics over the first two years of life are also predictive of worse cognitive and language development in VPT children (Young et al., 2017).

Despite many studies highlighting a positive association between FA and improved neurocognitive development, some studies found no such associations (Bruckert et al., 2019; Tokariev et al., 2019; Young et al., 2018). There are a few possible explanations for these discrepancies, ranging from basic methodological issues such as variability in group sizes, to more nuanced ones such as heterogeneity in preterm cohorts both in terms of neonatal complications and behavioural outcome. Additionally, some studies have found a negative relationship between FA values and outcomes such as language (Dubner et al., 2020; Feldman et al., 2012; Travis et al., 2015). A decrease in FA could in some cases indicate crossing fibres rather than altered diffusion characteristics of a single WM fibre.

In order to distinguish between these different potential causes of altered FA, future research can therefore benefit from analysis techniques (such as fixel based analysis) that allow for a

differentiation between multiple fibres within a voxel. Recently, FBA has been utilised to analyse associations between diffusion characteristics and cognitive outcomes in preterm children. Neonatal FBA metrics in the corpus callosum and CST showed an association with cognitive development at 1 year (Pannek et al., 2020), whilst childhood diffusion characteristics in visual, sensorimotor, and thalamocortical WM tracts showed an association with math computation ability in preterm and term-born school-aged children (Collins et al., 2021).

#### 2.1.2.2 Functional alterations and cognitive outcomes

Findings indicating brain-behaviour associations in preterm children suggest that cognitive impairments are generally reflected in functional alterations of the brain, and that these are apparent from a very early age. Studies investigating associations between functional connectivity and general cognitive outcomes have utilised longitudinal methodologies to specifically investigate rs-FC of thalamocortical networks and childhood cognitive development. For example, the thalamus-salience network connectivity at one year predicted cognitive development of receptive and expressive language, visual reception, and working memory performance at two years (Alcauter et al., 2014). Similarly, a recent study found an association between rs-FC of the thalamus and sensory-motor cortex at TEA and cognitive and language composite scores at 2 years (Toulmin et al., 2021).

Cross-sectional studies of preterm children and adolescents have identified altered regional BOLD activity and functional connectivity, and their associations with diminished language outcomes. For example, VPT children displayed weaker bilaterality between the superior temporal gyrus (STG) language regions and worse performance on verbal comprehension tests (Wilke et al., 2014). Further, findings from studies utilising a task-based fMRI paradigm indicate altered neural alterations during language processing. One study reported that, although preterm adolescents exhibited similar associations to full-term controls between accuracy on a semantics task and BOLD activation in the left middle temporal gyri, they also displayed altered associations between accuracy and functional connectivity of frontal and temporal language areas (Schafer et al., 2009). Preterm

adolescents also showed an association between altered functional connectivity of the STG during a passive language task and performance on receptive language tasks (Myers et al., 2010).

The literature mentioned in this section has highlighted that, even in the absence of cognitive performance differences between preterm and term-born children, neural signatures associated with behavioural outcomes may differ between the two groups. Such findings could indicate compensatory neural processes, whereby preterm individuals rely on different neural pathways in order to adequately perform a given task (Daamen et al., 2014).

## 2.2 Socio-emotional development and neurodevelopmental correlates in preterm children

### 2.2.1 Socio-emotional development in preterm individuals

In comparison to adult disorders, childhood and adolescent psychiatric disorders are less likely to meet clear-cut diagnostic criteria (Cummings et al., 2014). For this reason, paediatric psychopathology research tends to focus on dimensional socio-emotional constructs and traits to identify atypical psychological development. Socio-emotional development refers to a set of skills that allows individuals to efficiently deal with emotions and successfully interact and communicate within a social context (Montagna and Nosarti, 2016). Emotional competence is the ability to successfully express emotions, understand emotions of self and others, and regulate emotional expressiveness. At around preschool age, children begin to successfully regulate their emotions, as well as understand others' emotional states (Denham, 1998; Hyson, 2004). Social competence refers to the social interaction effectiveness of a child (Fabes et al., 2006), and can be split into three skills: developing positive relationships, coordinating and communicating actions and feelings, and recognising and regulating emotions in social settings. Social competence is learnt in early childhood through relationships and experiences in contexts such as the home environment (Dykas and Cassidy, 2011) and educational settings (Bierman, 2011). Finally, self-regulation can be considered as an additional socio-emotional construct, although it is very similar to, and required for the development

of, both social and emotional competence. Self-regulation can be compartmentalised into three distinct abilities: emotion regulation, behaviour regulation, and cognitive/attentional regulation (Weissberg et al., 2013). This set of skills helps us to organise the various concepts of social and emotional development. However, they are highly inter-related and will greatly affect each other's development (Campbell et al., 2016).

The importance of socio-emotional development in childhood is highlighted by its ability to predict later real-life outcomes, including levels of education, employment, criminal activity, and substance abuse (Ahmad et al., 2021; Jones et al., 2015). Further, socio-emotional characteristics in childhood, including temperamental traits such as negative affect and behavioural inhibition, low self-regulation, and poorer social processing skills also predict the development of a spectrum of psychopathological disorders such as anxiety and depression disorders later in life (Cisler et al., 2010; Dodd et al., 2020; Hirshfeld-Becker et al., 2008; Robson et al., 2020; Troller-Renfree et al., 2019). Such pathways to psychiatric problems are already present in infancy, with research indicating that children who later develop such difficulties show increased rates of socio-emotional difficulties from as early as 12–36 months of age (Briggs-Gowan and Carter, 2008).

Aspects of altered socio-emotional development typically observed in VPT children includes diminished social competence and self-esteem, emotion dysregulation, shyness, and timidity (Fitzallen et al., 2020; Montagna and Nosarti, 2016). These traits remain stable throughout VPT individuals' lives (Bohnert and Breslau, 2008 ; Hall and Wolke, 2012; Taylor et al., 2015). Such difficulties can result in a clinical diagnosis, with findings showing VPT children are more likely to meet criteria for mental health disorders (Yates et al., 2020). Alternatively, difficulties can emerge as sub-clinical problems, highlighting the importance of a dimensional approach when describing psychological impairments in this population (i.e., psychopathology is understood as a set of difficulties that lie on a continuum). Difficulties in specific constructs can be captured using a variety of assessments that summarise grouped behaviours to identify problematic areas.

### 2.2.1.1 Internalising and externalising problems

Two commonly used indicators of developmental psychopathology are the socio-emotional constructs of internalising and externalising problems. Internalising symptoms include anxiety, sadness, social withdrawal, and fearfulness, whilst externalising symptoms include overactivity, poor impulse control, noncompliance, and aggression (Achenbach and Edelbrock, 1981; Werry and Quay, 1971). Internalising problems are thought to stem from an over-regulation of negative emotions that become maladaptive. Externalising problems are thought to result in part from the under-regulation, or poor self-regulation, of emotions and behaviours (Cicchetti and Toth, 2014). These two difficulties are not mutually exclusive, and it is understood that a child or adolescent could very well be depressed or anxious, while also displaying hostile, antisocial behaviour (Merrell, 2001). The presence of these symptoms in childhood and adolescence is related to an increase in psychiatric diagnoses later in life (Cicchetti and Cannon, 1999).

The preterm literature has investigated internalising and externalising profiles of preterm-born children and adolescents. These have been studied using parent-reported and teacher-reported questionnaires such as the Infant Toddler Social and Emotional Assessment (ITSEA), which assesses socio-emotional development (with scores for internalising, externalising, dysregulation, and competence) in toddlers (Briggs-Gowan et al., 2004). The Child Behaviour Checklist (CBCL), a measure for school-aged children, includes subscales for internalising (anxious/depressed, withdrawn/depressed, and somatic complaints) and externalising symptoms (aggression and rule-breaking) (Achenbach and Rescorla, 2000). Compared to term-born controls, studies using the CBCL and ITSEA have identified increased internalising symptoms, yet similar externalising symptoms, in preterm children (Loe et al., 2013; Samuelsson et al., 2017) and toddlers (Spittle et al., 2009). However, the presence of externalising symptoms in preterm children is disputed, with other studies using the CBCL highlighting increased level of this dimension in MPT children (Arpi and Ferrari, 2013; Potijk et al., 2012).

### 2.2.1.2 Temperament

A further socio-emotional construct is temperament, which is made up of a group of related traits that are relatively stable over time and across situations (Rothbart and Bates, 1998).

Temperament is defined as individual differences in emotional reactivity and self-regulation (Rothbart and Derryberry, 1981). Emotional reactivity is the tendency to experience frequent and intense positive and negative emotional arousal (Spinrad et al., 2004). Negative affectivity (NA) is a temperamental trait primarily responsible for emotional reactivity, and high levels of this factor index a proneness to experience negative emotions, such as fear, anxiety, sadness, anger, guilt, and a sense of rejection (Putnam et al., 2001). NA is common to both anxiety and depression disorders (Lonigan et al., 1994; Ormel et al., 2013), and when present in childhood, could predict the later development of both subclinical internalising problems (Gartstein et al., 2012) and clinical psychopathology (Carthy et al., 2010; Forbes et al., 2017; Laceulle et al., 2014). An additional temperamental trait is self-regulation (also known as effortful control), which refers to the process of initiating, maintaining, or modulating arousal intensity (Putnam et al., 2001; Thompson, 1994) and has been implicated in the development of anxiety disorders in children (Carthy et al., 2010; Cisler et al., 2010).

Temperament has been extensively studied in preterm children, and although some studies have reported increased levels of negative affectivity (Caravale et al., 2017; Lejeune et al., 2015), other studies observed no differences in this temperamental trait between preterm and term-born children (Voigt et al., 2013). Conflicting results have even been reported within the same study when considering different measures of negative affectivity (Voigt et al., 2013). Preterm children have also been reported to display lower levels of self-regulatory behaviour (Spittle et al., 2009; Wolf et al., 2002), and a recent study indicated that the decreased levels of effortful control in preterm children were similar to those of children who had undergone institutional deprivation (Reyes et al., 2020). Finally, a specific temperamental profile of increased NA and decreased EC has been shown to predict internalising and externalising problems in VPT children, highlighting the importance of temperamental development in this cohort (Cassiano et al., 2019; Martins et al., 2021).

### 2.2.1.3 Social development

As previously mentioned, poor social competence during childhood and adolescence is reported to be a prominent risk factor for the development of adult psychiatric disorders (Cannon et al., 1997; van Os et al., 2010). For example, theory of mind (ToM), an important aspect of social cognition that allows a person to correctly infer the mental states of others, has been shown to be directly associated with psychiatric disorders (Fett et al., 2011; Hezel and McNally, 2014). Emotion recognition is an additional social processing skill that requires a person to correctly recognise facial emotional content, critical for social functioning. This ability has been shown to be consistently disrupted in a range of psychiatric disorders such as depression and anxiety, whereby patients fail to correctly identify facial expressions and tend to view them as sadder than controls (Anderson et al., 2011a; Bourke et al., 2010; Simcock et al., 2020).

The ability to recognise facial emotions emerges as early as 7 months (Bayet et al., 2014), and shows considerable improvements with age throughout childhood and adolescence (Theurel et al., 2016). The developmental trajectories of the recognition of different facial expressions vary, although the literature reports conflicting findings regarding the timings of these developments. For example, whilst some studies have reported that the recognition of anger is mostly developed by middle childhood (Gosselin, 1995; Lawrence et al., 2015), others have suggested this is developed at a later age (Montirosso et al., 2010; Rodger et al., 2015; Thomas et al., 2007). These inconsistent findings could be due to methodological differences, i.e., different methods of collecting emotion recognition data (e.g. free labelling vs expression matching, or the use of context to aid interpretation) requiring different levels of abilities (Theurel et al., 2016). Other findings, such as that disgust is one of the most difficult expressions to recognise in children, are more widely accepted (Widen and Russell, 2013).

Impaired social skills and social withdrawal are exhibited by preterm children and adolescents (Johnson and Wolke, 2013). These difficulties have been reported through parent-reported social competence questionnaires that indicate significantly worse scores for preterm children than full-term

controls (Hille et al., 2001; Korzeniewski et al., 2017; Ritchie et al., 2015; Samuelsson et al., 2017). Social development might also be assessed in preterm children with standardised tasks that, for instance, tap into social attention and social cognition (Dean et al., 2021). Social attention might be assessed through eye tracking, and preterm infants have been shown to display decreased visual attentional preference towards social stimuli, a well-known indicator of later poor social communication development (Imafuku et al., 2017). Social cognition might be assessed with tasks that probe ToM skills and require the ability to identify nonverbal social cues from a range of stimuli, including facial expressions, social scenarios, and animated shapes. Preterm children performed worse on such tasks by displaying less appropriate descriptions of moving shapes (Williamson and Jakobson, 2014), less accurate responses to an emotion recognition task of angry faces (Mossad et al., 2020), and more misattribution errors of social scenarios (Mossad et al., 2021). These findings indicate that children born preterm exhibit impairments in the ability to infer the mental states of others through social cues. It is likely that such impairments in social processing skills underlie the difficulties VPT children often experience in establishing and maintaining social contacts.

#### 2.2.1.4 Environmental contributing factors

Environmental factors both at the time of birth and throughout a child's life might play an important role in the development of socio-emotional difficulties. Perinatal factors shown to affect the later development of socio-emotional outcomes in preterm infants include physical contact with a parent during the first few months in the NICU, which is associated with improved outcomes (Browne, 2004). Further, painful procedures experienced by preterm neonates are shown to increase the likelihood of developing emotional problems in childhood (Voigt et al., 2013). One explanation for this could be an altered cortisol reaction to socio-emotional stress, which was found in preterm infants experiencing greater pain-related stress (Provenzi et al., 2016).

Parental well-being and parent-child relationships are also known to significantly predict preterm children's socio-emotional outcomes. This is especially true during the postnatal period, during which parental attachment is reported to be of lower quality in parents of preterm neonates

than full-term controls (Ruiz et al., 2018). These deficits are shown to have detrimental effects on infants' emotion regulation abilities (Provenzi et al., 2017). Additionally, NICU-related parental stress is associated with the later socio-emotional difficulties in preterm children (Woodward et al., 2014). This parental stress is shown to mediate the relationship between procedure-related neonatal pain and later socio-emotional development (Voigt et al., 2013). Maternal well-being throughout the child's life will also greatly affect children's emotional development, with research highlighting associations between both increased maternal depressive (Huhtala et al., 2014) and anxiety (Lean et al., 2020) symptoms and the well-being of preterm children. One possible mechanism for this could be parenting styles, which are altered in those experiencing mental health difficulties (Crosby Budinger et al., 2013), and are shown to have a strong effect on child emotion regulation abilities (Clark et al., 2008). Finally, a recent study found that family dysfunction, based on the McMaster Model of Family Functioning (Epstein et al., 2003), was associated with socio-emotional and psychiatric outcomes in VPT children (Lean et al., 2020). Interestingly, this same study did not find an association between social risk and outcomes in preterm children, although this relationship was evident in full-term controls.

Environmental factors outside of the home are also thought to affect psychological outcomes in preterm individuals. Preterm children are more likely to experience problems in creating and maintaining close relationships than term-born controls, and these difficulties are associated with increased emotional problems (Ritchie et al., 2018). They are also more often bullied than their term-born peers, which is also related to increased levels of emotional problems (Wolke et al., 2015). Recently, research has investigated the effects of peer victimisation (a form of bullying) on psychological outcomes in VPT children, with findings indicating a positive correlation with psychotic experiences in early adulthood (Liu et al., 2021).

#### 2.2.1.5 Methodological considerations

When considering the socio-emotional difficulties in preterm children it is important to consider their cognitive profiles. Previous literature has identified an association between cognitive

development and psychiatric disorders in this cohort (Johnson et al., 2010), as well as a mediating effect of general cognition on the development of poorer emotional development and social functioning (Bayless et al., 2008; Månsson et al., 2014). For example, altered attention orienting skills could lead to impaired gaze-following (a skill requiring ToM) and subsequent difficulties in socio-communicative abilities (Karmiloff-Smith et al., 2012). Similarly, multisensory processing affecting speech could have consequences on social interactions (Stevenson et al., 2014; Wickremasinghe et al., 2013). However, cognitive deficits do not entirely account for difficulties in socio-emotional development entirely, as suggested by research highlighting that such difficulties remain even after controlling for altered neurodevelopment and impaired cognition (Delobel-Ayoub et al., 2009; Johnson and Marlow, 2011).

Further, data collection might be exposed to some methodological biases, especially when reporting on questionnaire answers from different respondents, including parents, teachers, or the children themselves. For example, results from within the same study indicated that whilst preterm adolescents reported they experience less emotional problems than controls, their parents reported increased levels compared to parents of controls (Dahl et al., 2006).

## 2.2.2 Neural correlates of socio-emotional development in preterm neonates and children

### 2.2.2.1 Structural alterations and socio-emotional outcomes

Results of several cross-sectional studies have highlighted associations between altered GM volumes and social and emotional development in preterm samples. Firstly, emotional competence has been shown to relate to GM measures in preterm children, with internalising problems showing associations with both total GM volume and relative percentage volume of right temporal lobe in MPT children (Rogers et al., 2014). Both internalising and externalising problems were associated with reduced cortical thickness of frontal regions in VPT children (Zubiaurre-Elorza et al., 2012b). Secondly, deficits in social competence in the form of poorer social adjustment scores have been related to smaller caudate volumes in preterm adolescents (Nosarti et al., 2005). Peer problems have

also been related to brain volumes, showing associations with smaller hippocampal volume in preterm children (Rogers et al., 2012) and larger fusiform gyrus volumes in preterm adolescents (Healy et al., 2013).

Diffusion MRI studies in clinical and healthy paediatric populations have reported associations between socio-emotional outcomes and diffusion characteristics of well-characterised WM tracts implicated in socio-emotional processing. For example, findings have indicated associations between alterations in the ILF and inferior fronto-occipital fasciculus (IFOF) and facial affect recognition (Genova et al., 2015; Unger et al., 2016). Additionally, diffusion characteristics of the UF have been implicated in emotion regulation (Eden et al., 2015) and general socio-emotional processing (Von Der Heide et al., 2013).

Cross-sectional studies in preterm children have identified associations between increased emotional difficulties and decreased FA in widespread WM, including association tracts (e.g., cingulum, IFOF, ILF, and SLF), projection fibres (e.g., the anterior thalamic radiation and CST) and commissural fibres (such as the corpus callosum, forceps major, and minor) (Kelly et al., 2016b; Loe et al., 2013). Emotional problems in VPT children have been related to both increased ODI in corpus callosum, and decreased NDI in widespread WM, including the corpus callosum, UF, IFOF and ILF (Kelly et al., 2016b). Socialising difficulties have also been related to WM microstructure in VPT children, with studies reporting associations between social processing deficits and decreased FA values in widespread WM, including the external capsule and superior fasciculus (Skranes et al., 2007). Similar findings were reported within tracts connecting the cingulate and precuneus, two major hubs of the DMN, and those connecting the cortico-basal ganglia-thalamo-cortical loop (Fischi-Gomez et al., 2014). The cortico-basal ganglia-thalamo-cortical loop plays an important role in the development of EFs (Cummings, 1993) that allow simultaneous processing of cognitive, sensorimotor, and motivational information (Groenewegen et al., 2009).

One longitudinal study has shown that structural MRI at TEA predicted socio-emotional outcomes in childhood, and specifically increased bilateral amygdalae volume were associated with emotion dysregulation in the form of elevated fear responses in 12-month-old preterm infants (Cismaru et al., 2016). More recently, the developmental trajectories of GM volumes between birth

and school-age were also shown to be related to internalising problems in a VPT sample, with associations highlighted between anxiety disorders and slower volume growth of the whole brain, as well as specific regions including the amygdala, hippocampi, and orbitofrontal cortex (Gilchrist et al., 2021).

Longitudinal studies have also reported on associations between neonatal WM development and later socio-emotional outcomes. Earlier studies utilised qualitative reporting of WM abnormalities at TEA and related these with later emotion regulation impairment (Clark et al., 2008) and poorer socio-emotional competence (Jones et al., 2013; Spittle et al., 2009). More recent DTI studies have identified associations between altered neonatal diffusion characteristics and impairments in childhood socio-emotional competence. For example, higher ADC in the right orbitofrontal cortex at TEA was associated with peer problems at five years (Rogers et al., 2012), whilst altered cingulum diffusion characteristics at TEA were associated with socio-emotional competence scores at two years, both in the forms of increased diffusivities (AD) (Lee et al., 2021) and increased FA (Rogers et al., 2016). Increased FA in the cingulum at TEA has also been associated with a composite measure of socio-emotional difficulties, including estimations of internalising symptoms and social competence, at five years (Brenner et al., 2021). Although higher FA might reflect larger numbers of WM fibres and/or greater level of myelination, it might also be indicative of smaller axonal diameter, reduced branching, and fewer crossing fibres, which are more likely to be causes of impaired development (Jeurissen et al., 2013). Further research could investigate similar relationships with other relevant WM tracts, including association fibres such as the UF and IFOF.

#### 2.2.2.2 Functional alterations and socio-emotional outcomes

Few cross-sectional studies have investigated functional alterations in preterm children and their associations with socio-emotional development. In VPT adolescents, altered rs-FC between the bilateral amygdalae and the posterior cingulate was associated with emotional difficulties (Johns et al., 2019).

Task-based MEG has also been employed in studies with VPT individuals. During a theory of mind task, VPT children aged 7-13 showed decreased activations in regions involved in false belief processing such as the right inferior frontal gyrus and the temporal-parietal junction (TPJ) (Mossad et al., 2017). VPT children also recruited the left TPJ, whilst controls recruited the right TPJ. This might be explained with evidence suggesting children's tendency, with age, to go from bilateral TPJ activation during theory of mind tasks to selectively recruiting the right TPJ. It is possible that older VPT children would display more right lateralised activations, as seen in a cohort of VPT adults performing the same task (Mossad et al., 2016). Task-based functional connectivity, measured through MEG, has also been investigated during an implicit emotion face processing task in VPT children. Results indicated reduced functional connectivity for angry and fearful faces in networks that include the amygdalae, superior temporal sulci, and anterior cingulate gyrus (Mossad et al., 2020). In a more recent study that employed both fMRI and MEG techniques, activity was measured during a social attribution task, which utilises ToM skills (Klin, 2000; Schultz et al., 2003), in VPT children. fMRI results indicated participants activated typical ToM regions, including the frontal gyri and left superior and inferior parietal lobules (Mossad et al., 2021). MEG results indicated a brain-behaviour association between task performance and connectivity in one network that included the frontal cortex, subcortical regions, and the temporal gyrus, and a socio-cognitive network that included classic ToM regions such as the angular gyrus, frontal regions, and the temporal gyrus.

Only one preterm cohort, thus far, has been investigated for longitudinal associations between neonatal rs-FC and later socio-emotional development. One study indicated that rs-FC of the amygdalae at TEA and was associated with internalising symptoms at two years (Rogers et al., 2017). The authors found specific associations between amygdalae-insula rs-FC and depressive symptoms, and amygdalae-cingulate rs-FC and anxiety symptoms. A more recent study from the same cohort, which included both preterm and term-born infants, identified associations between rs-FC of the ventral attention network (including right ventrolateral prefrontal and right lateral parietal cortices) and the DMN (Sylvester et al., 2018a) and behavioural inhibition at two years. Finally, in the same cohort, researchers highlighted the contribution of participants' SES as well as neonatal striatum rs-

FC in the development of behavioural inhibition difficulties and externalising symptoms at two years (Ramphal et al., 2020).

### 2.2.3 Summary and Future Research

Neuroimaging research has allowed the identification of specific patterns of altered structural and functional neurodevelopment in preterm-born children and adolescents that might explain impairments in various behaviours that span across cognitive and socio-emotional development. Nevertheless, much work is still needed to identify specific neural alterations implicated in the development of impaired outcomes. Early identification of such difficulties could aid in targeting emerging socio-emotional difficulties and their downstream consequences, for example, through preventative techniques.

The relationship between cognitive development and WM diffusion characteristics in VPT children has been extensively documented. However, due to methodological issues inherent to DTI, including the inability to detect voxels with crossing fibres, these findings could usefully be supplemented with methodologies that allow the distinction of multiple fibre bundles within a voxel. Although findings of associations between cognitive development and WM connectivity have been supported with studies using NODDI analyses, these should also be interpreted with caution as NODDI parameters have been called into question, with some suggesting their assumptions are oversimplified (Jelescu et al., 2016). For example, the NODDI model assumes that neurite density and the mean diffusivity of tissue are directly related, an assumption which recent findings suggest is invalid (Lampinen et al., 2017). Therefore, more advanced diffusion MRI models that allow for the distinction of multiple fibre populations in a single voxel, such as FBA, should be utilised to investigate WM development in the preterm population, and its associations with cognitive outcomes.

Further, despite the existence of research dedicated to understanding socio-emotional development in very preterm born children, the underlying neural substrates associated with this population's increased vulnerability to developing socio-emotional difficulties remain unclear. Pinpointing altered neurodevelopment already present at birth that could predict such behavioural

difficulties during childhood might help implement preventative strategies and therapies. Therefore, further research would need to determine associations between childhood socio-emotional outcomes and infants' structural brain connectivity, specifically in tracts known to be involved in socio-emotional processing, as has been done in the cingulum, for example (Brenner et al., 2021). This is also true for neonatal functional connectivity, which has been investigated in only one preterm cohort, and only in association with behaviours during the toddler years. It is currently unclear whether such associations are also present with children's behaviour at school age.

For a review of neuroimaging studies investigating associations between specific brain mechanisms and behavioural outcomes in preterm adults, please refer to Kanel et al. (2021a) (Appendix A).

# Chapter 3: Aims & Thesis Overview

## 3.1 Aims and Hypotheses

Very preterm birth is accompanied by alterations in grey and white matter development, as well as deficits in socio-emotional and cognitive outcomes. This thesis aims to investigate the relationships between brain structure and function and behavioural outcomes in very preterm children.

### 3.1.1 Neonatal connectivity and childhood socio-emotional development

The aims and hypotheses of the studies in Chapters 5 and 6 were based on the data collected before the beginning of my PhD by other team members (please see ‘Funding and COVID-19 impact statement’ for further details). Data collected at Timepoint 2 (see Section 4.2) included parental questionnaires focussing on children’s socio-emotional outcomes. I performed factor analysis in order to study children’s latent socio-emotional profiles and investigate their association with neonatal brain development. Methods for determining adequate sample size for factor analysis are described in Section 4.2.2.3. Available neuroimaging data at TEA included DTI metrics of specific WM tracts, as well as resting-state functional MRI data. For these studies, I chose to analyse the microstructural characteristics of WM tracts and resting state functional connectivity of regions reported in the literature to be associated with socio-emotional outcomes in paediatric samples (Eden et al., 2015; Genova et al., 2015; Von Der Heide et al., 2013).

#### 3.1.1.1 Structural connectivity and socio-emotional outcomes

The aim of this study was to assess associations between diffusion characteristics of WM tracts implicated in socio-emotional processing assessed at TEA and socio-emotional development in very preterm children. I tested the hypothesis that fractional anisotropy and radial diffusivity in white matter tracts implicated in socio-emotional processing (i.e., UF, IFOF, ILF and SLF) at TEA would be associated with the later development of socio-emotional difficulties in very preterm children.

### 3.1.1.2 Functional connectivity and socio-emotional outcomes

The first aim of this study was to investigate resting-state functional connectivity of the bilateral amygdalae in neonates born VPT and to explore associations with childhood socio-emotional development. This brain region was chosen based on previous findings indicating its associations with socio-emotional development in preterm children (Johns et al., 2019; Rogers et al., 2017). I tested the hypothesis that altered neonatal resting-state functional connectivity of the bilateral amygdalae is associated with socio-emotional development in very preterm children. Exploratory analyses were further conducted to explore function–structure associations between connectivities related to socio-emotional outcomes, as seen in Chapters 5 and 6.

### 3.1.2 Childhood structural connectivity and behavioural development

The first aim of this study was to investigate diffusion characteristics of WM in VPT children in relation to term-born controls. I tested the hypothesis that VPT children would exhibit altered WM diffusion characteristics, when compared to full-term controls, as measured by both fixel-based and voxel-based analyses. The second aim of this study was to investigate associations between WM structure and behavioural outcomes in VPT and term-born controls. I tested the hypothesis that cognitive and socio-emotional outcomes would be associated with WM diffusion characteristics in very preterm children. I also tested the hypothesis that this brain-behaviour associations would be altered in VPT children in comparison to term-born controls.

## 3.2 Thesis outline

**Chapters 1** provides an overview of preterm birth and its impact on neonatal brain development, and the use of MRI to study neonatal populations.

**Chapter 2** provides an overview of cognitive and behavioural outcomes in preterm children, as well as their structural and functional neural correlates.

**Chapter 4** presents methodologies implemented for the collection of data from the ePrime study, a large neonatal neuroimaging study of very preterm infants, followed-up three times during childhood (at 22 months, 4-7 and 8-10 years).

**Chapter 5** explores the relationship between white matter diffusion characteristics using DTI metrics at term-equivalent age and childhood socio-emotional outcomes in a cohort of 151 very preterm children.

**Chapter 6** explores the relationship between resting-state functional connectivity of the bilateral amygdalae at term-equivalent age and childhood socio-emotional outcomes in a cohort of 129 very preterm children.

**Chapter 7** presents the application of fixel-based and voxel-based analyses to a child population to assess diffusion characteristics of white matter tracts and their differences between very preterm and term-born children, as well as their associations with cognitive outcomes.

**Chapter 8** summarises key findings in this thesis and outlines potential future work.

**Appendix A** includes a literature review of neuroimaging studies identifying neurobiological correlates of cognitive and behavioural development in preterm adults.

# Chapter 4: General Methods

## 4.1 Evaluation of Preterm Imaging study (ePrime): Baseline and follow-up assessments (Timepoints 0 & 1)

### 4.1.1 Participants

Participants in this study were originally recruited as part of the ePrime study (Eudra: CT 2009-011602-42), a large neonatal neuroimaging study that recruited preterm newborns between 2010 and 2013 from hospitals within the North and Southwest London Perinatal Network. Inclusion criteria were being born before 33 weeks GA (including VPT & EPT neonates), and infants' mothers aged over 16 years and not a hospital patient. Exclusion criteria included major congenital malformation, prior MRI, care in centre where preterm MRI was routine, metallic implants, parents unable to speak English or subject to child protection proceedings.

Altogether, 3619 neonates admitted to neonatal units at 14 London Hospitals were screened; 788 did not meet the inclusion criteria, leaving 1831 eligible infants. Six hundred and sixty-two infants were recruited, 151 withdrew before imaging, and recruitment closed once 511 neonates were successfully recruited onto the ePrime study. One family withdrew, leaving a total of 510 infants (Edwards et al., 2018).

### 4.1.2 Clinical and socio-demographic data collection

As part of neonatal data collection, perinatal clinical and socio-demographic data were collected, with permission, from the Standardized Electronic Neonatal Database. Demographic characteristics of the 510 participants can be seen in Table 4.1.

**Table 4.1.** Infant demographic and clinical characteristics at Timepoint 0

Characteristics	ePrime sample (n=510)
Sex: Male, n (%)	253 (49.5)
Gestational age at birth (weeks), median (IQR)	30 (27, 31)
Birth weight (g), mean (SD)	1306.1 (397.7)
Gestational age at scan (weeks), median (IQR)	43 (41, 44)
Twin or triplet birth, n (%)	153 (29.9)

IQR = Interquartile range; SD = standard deviation.

Socio-demographic data collected included maternal age when leaving full time education, collected at enrolment, through a parental questionnaire. This variable was binarized into two categories: higher educational level (leaving full-time education ages >19 years) and lower education level (leaving full-time education ages ≤19 years), as in the UK this cut-off coincides with the completion of graduate studies (Belfield et al., 2018). Further, family SES was evaluated with the Index of Multiple Deprivation (IMD) score, determined by parents' postcode at the time of infant's birth (Department for Communities and Local Government, 2011; <https://tools.npeu.ox.ac.uk/imd/>). The IMD measures social risk by comparing each neighbourhood to all others in the country and is based on seven domains of deprivation (with varying weighting, as follows): income (22.5%), employment (22.5%), education skills and training (13.5%), health and disability (13.5%), barriers to housing and services (9.3%), living environment (9.3%) and crime (9.3%). Family socio-demographic characteristics of the 510 participants can be seen in Table 4.2.

**Table 4.2.** Family socio-demographic characteristics at Timepoint 0

Characteristics	ePrime sample (n=510)	
IMD quintiles, n (%)	1 (least deprived)	91 (17.8)
	2	82 (16.0)
	3	129 (25.2)
	4	135 (26.4)
	5 (most deprived)	73 (14.3)
Maternal age upon leaving formal education, n (%)	≤16 years	49 (9.6)
	17-19 years	76 (14.9)
	≥19 years	348 (68.1)
	Still in full-time education	16 (3.1)
	Not stated	21 (4.1)

IMD = Index of Multiple Deprivation.

Parental ethnicity was also collected. Where possible, we report maternal and paternal ethnicity. However, when paternal ethnicity was not available, we report maternal ethnicity only (Table 4.3). Ethnicity was grouped according to classification by the Office of National Statistics (ONS): White (English/Welsh/Scottish/Northern Irish/British, Irish, Any other White background); Mixed/Multiple ethnic groups (White and Black Caribbean, White and Black African, White and Asian, Any other Mixed/Multiple ethnic background); Asian/Asian British (Indian, Pakistani, Bangladeshi, Chinese, Any other Asian background); Black/African/Caribbean/Black British (African, Caribbean, Any other Black/African/Caribbean background); Other ethnic group (Arab, Any other ethnic group).

**Table 4.3.** Participants' ethnicity at baseline assessment.

<b>Ethnicity</b>	<b>Child's ethnicity based on both parents' ethnicity (n=400)</b>	<b>Child's ethnicity based on maternal ethnicity* (n=105)</b>
White	194 (48.50)	57 (54.25)
Mixed/Multiple ethnic groups	43 (10.75)	29 (27.62)
Asian/Asian British	98 (24.5)	18 (17.14)
Black/African/Caribbean/Black British	65 (16.25)	1 (0.95)

Ethnicity was grouped according to ONS classification; number (%)

\* Paternal ethnicity not reported.

Six participants had no parental ethnicity data.

#### 4.1.3 Neonatal Sickness Score

Clinical data regarding the participants' health during the perinatal period were also collected. These included the following: preeclampsia and pregnancy induced hypertension, antenatal hypertension, placental abruption or antenatal haemorrhage, premature rupture of membranes, urinary tract infection, gestational diabetes, oligohydramnios, polyhydramnios, drug abuse, in vitro fertilization, bacterial infection (all y/n), mode of delivery (vaginal/elective/emergency), sex, gestational age (GA; weeks and days), birth weight (grams), multiple pregnancy (singleton/multiple), antenatal steroid administration (no/partial/full course), twin-to-twin transfusion, chorioamnionitis,

intrauterine growth restriction, surfactant administration (surf), treatment for patent ductus arteriosus, surgical treatment for necrotising enterocolitis, formula feeding, feeding on maternal expressed breast milk (all y/n), days on mechanical ventilation (vent), days on continuous positive airway pressure (cPAP), and days on parenteral nutrition (TPN).

In order to summarise the twenty-eight perinatal clinical variables obtained from all ePrime participants (n=511), a Principal Component Analysis (PCA) was performed using Promax rotation. The Kaiser-Meyer-Olkin Measure of Sampling Adequacy was .73 and the Bartlett's Test of Sphericity was significant ( $\chi^2 = 3597.79$   $p < 0.01$ ) showing that the sample was adequate for a PCA (Preacher and MacCallum, 2003). All variables were coded so that higher values reflected greater clinical risk. Communalities were checked, and as all were above .2, no items were removed (Costello and Osborne, 2005). The result of the analysis produced one factor comprising five items all pertaining to neonatal sickness: GA, TPN, cPAP, vent and surf, and explained 72% of the variance of all variables. The reliability of the scale was also good ( $\alpha=.86$ ).

#### 4.1.4 Neonatal MRI data collection (Timepoint 0)

Out of 511 successfully recruited infants, 507 underwent successful MRI scans at TEA, or between 38–44 weeks GA. MR imaging was performed on a 3-Tesla system (Philips Medical Systems, Best, The Netherlands) using an eight-channel phased array head coil on a neonatal intensive care unit. During the scans, ear protection was used (President Putty, Coltene Whaledent, Mahwah, New Jersey, USA; MiniMuffs, Natus Medical, San Carlos, California, USA), and the following parameters were monitored: pulse oximetry, temperature, and heart rate. Some parents of infants (87%) chose sedation to be administered for the scans, for which Chloral hydrate (25–50 mg kg<sup>-1</sup>) was used.

Details of MR images acquired are as follows. High-resolution anatomical images were acquired with pulse sequence parameters: T2 weighted fast-spin echo imaging: TR = 8670 ms, TE = 160 ms, flip angle 90°, slice thickness 2 mm with 1 mm overlapping slices, in-plane resolution 0.86x0.86mm; T1 high resolution volume (3D MPRAGE): TR = 17 ms, TE = 4.6 ms, flip angle 13°, slice thickness

0.8 mm, in-plane resolution 0.82x0.82mm. Diffusion MRI data were acquired in the transverse plane in 32 non-collinear directions with the following parameters: TR = 8000 ms, TE = 49 ms, voxel size: 2mm isotropic, b-value: 750 s/mm<sup>2</sup>, sense factor of 2, 1 non-diffusion-weighted image,  $b = 0$ . Whole brain functional imaging was performed using a T2\* gradient echo planar image acquisition (sequence parameters: TR = 1500 ms; TE = 45 ms; flip angle = 90°; field-of-view: 200 mm; matrix: 80 × 80 (voxel size: 2.5 × 2.5 × 4 mm), 256 volumes (total scan time = 6 min 24 s).

#### 4.1.5 Brain injury classification

ePrime participants were classified into three groups (major injury / minor injury / no injury) based on qualitative rating of their neonatal MRI at TEA. Data on these groups are shown in Table 4.4. Major injury was defined as cystic periventricular leukomalacia or more severe, higher-grade haemorrhages (causing enlarged ventricles and parenchymal infarction). Minor injury was determined using a qualitative scale developed by Inder and colleagues (Inder et al., 2003). Participants belonging to the major injury group were excluded from follow-up analyses in the following chapters.

**Table 4.4.** Classification of brain injury in the ePrime sample

<b>Brain injury classification, n (%)</b>	<b>Neonatal sample with MRI at TEA (n=507)</b>
Major	40 (7.89)
Minor	265 (52.27)
None	202 (39.84)

#### 4.1.6 Neuropsychological and behavioural functioning at 18-22 months (Timepoint 1)

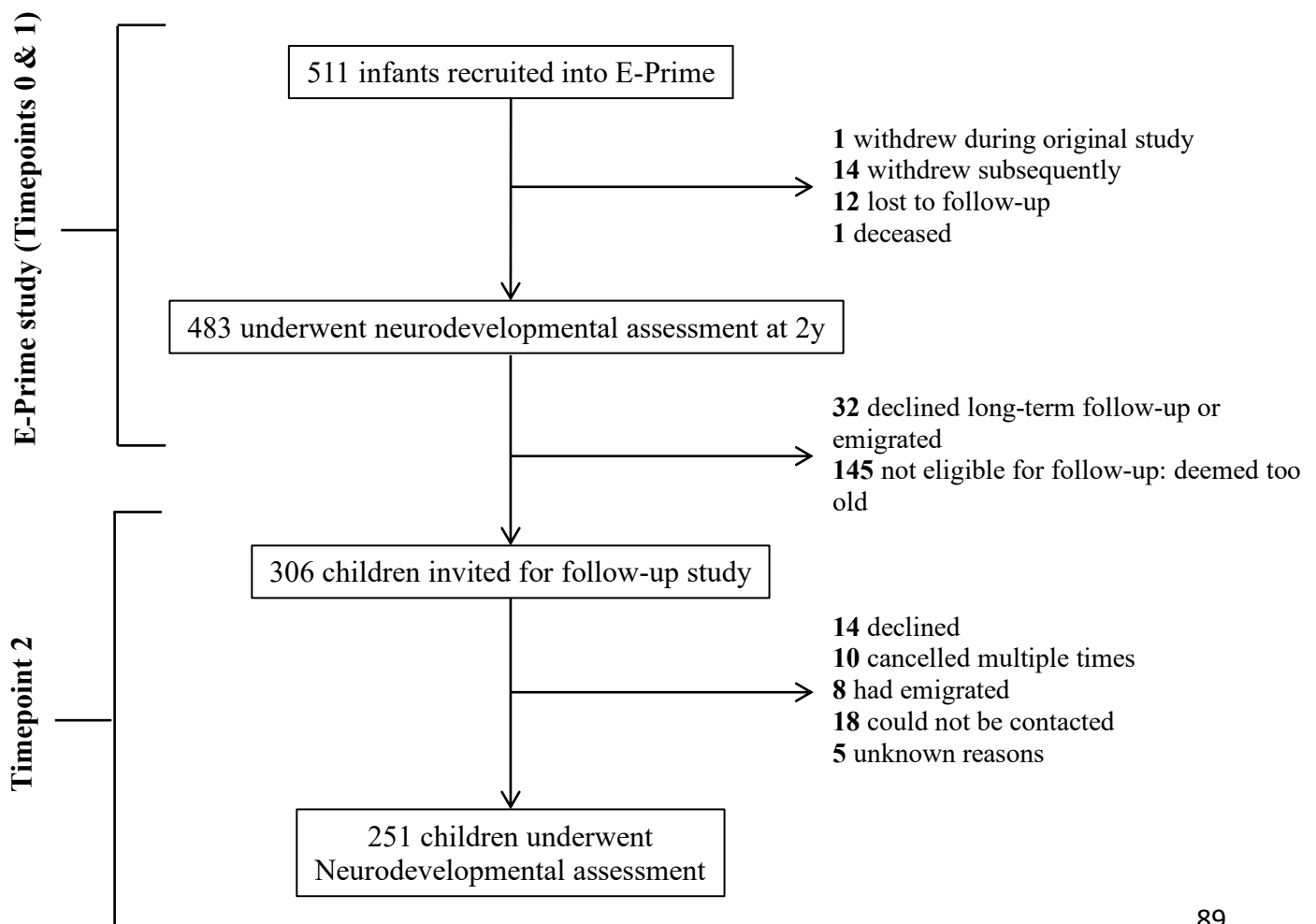
Out of the 511 recruited infants, 483 toddlers aged 18–22 months completed the Bayley Scales of Infant Development-III (Bayley, 2006), and parents filled out questionnaires assessing general development, language (PARCA-R (Johnson et al., 2008)) and autism symptoms (M-CHAT (Robins et al., 2001)).

## 4.2 Follow-up assessment at Timepoint 2

### 4.2.1 Participants

From 4 years of age, a convenience sample of children was recruited from families who accepted invitations to undergo further examination and testing (Kleine et al., 2020; Montagna et al., 2020). This study was approved by Stanmore Ethics Committee (14/LO/0677) in compliance with the national legislation and the code of ethical principles for Medical Research Involving Human Subjects of the World Medical Association (Declaration of Helsinki). Written informed consent was obtained from all the children's carer(s). Mean age of children seen at Timepoint 2 was 5.02 years (SD = 0.79; range = 4.18–7.17).

Invitations for follow-up were sent in chronological order of birth to all children who were eligible for testing based on their age ( $n = 306$ ). Of those, 55 (18%) were not assessed due to various reasons (see Figure 4.1). Clinical and socio-demographic characteristics of the 251 participants can be seen in Tables 4.5 and 4.6.



**Figure 4.1.** Recruitment flow chart at Timepoints 0, 1 & 2  
TEA = term-equivalent age; PMA = post-menstrual age

**Table 4.5.** Childhood demographic and clinical characteristics at Timepoint 2

Characteristics	Follow-up sample (n=251)
Sex: Male, n (%)	132 (52.8)
Gestational age at birth (weeks), median (IQR)	30 (27, 31)
Birth weight (g), mean (SD)	1309.0 (394.1)
Gestational age at scan (weeks), median (IQR)	43 (41, 44)
Twin or triplet birth, n (%)	83 (33.2)

IQR = Interquartile range; SD = standard deviation.

**Table 4.6.** Family socio-demographic characteristics at Timepoint 2

Characteristics	Follow-up sample (n=251)	
IMD quintiles, n (%)	1 (least deprived)	58 (23.1)
	2	39 (15.5)
	3	57 (22.7)
	4	64 (25.5)
	5 (most deprived)	32 (12.7)
Maternal age upon leaving formal education, n (%)	≤16 years	21 (8.4)
	17-19 years	41 (16.3)
	≥19 years	175 (69.7)
	Still in full-time education	5 (2.0)
	Not stated	9 (3.6)

IMD = Index of Multiple Deprivation.

Parental ethnicity (collected at Timepoint 0) is summarised for participants followed-up at Timepoint 2. Where possible, we report maternal and paternal ethnicity. However, when paternal ethnicity was not available, we report maternal ethnicity only (Table 4.7).

**Table 4.7.** Participants' ethnicity at Timepoint 2.

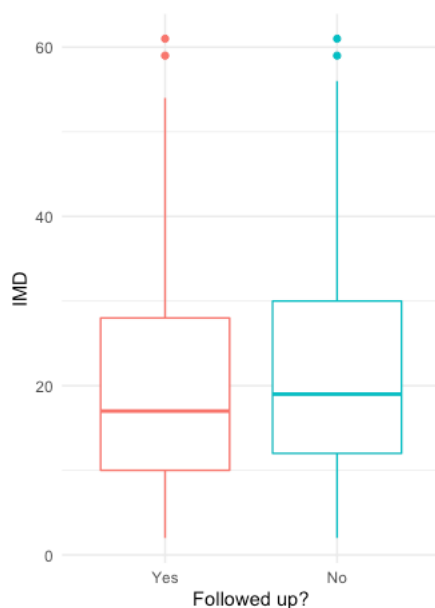
Ethnicity	Child's ethnicity based on both parents' ethnicity (n=197)	Child's ethnicity based on maternal ethnicity* (n=51)
White	106 (53.8)	34 (66.7)
Mixed/Multiple ethnic groups	22 (11.2)	1 (2.0)
Asian/Asian British	39 (19.8)	8 (15.7)

Ethnicity was grouped according to ONS classification; number (%)

\* Paternal ethnicity not reported.

Three participants had no parental ethnicity data.

The following sample representativeness comparisons assessed differences between children taking part in follow-up assessment at Timepoint 2 ( $n = 251$ ) and those not included in follow-up analyses ( $n = 260$ ). Non-parametric tests showed that the two groups did not differ in terms of their GA at birth in weeks ( $W = 32226$ ,  $p = 0.817$ ), birth weight ( $W = 32586$ ,  $p = 0.979$ ), or sex (Chi-square = 0.532,  $p = 0.466$ ). Samples also did not differ significantly in terms of ethnicity, when analyses were based on either both parents' ethnicity (Chi-square = 6.081,  $p = 0.193$ ) or maternal ethnicity only (Chi-square = 9.113,  $p = 0.059$ ). However, there was a significant difference in IMD scores between the two groups, with the followed-up group being less socially deprived than the group who was not followed-up, i.e., high SES ( $W = 28918$ ,  $p = 0.031$ ) (Figure 4.2).

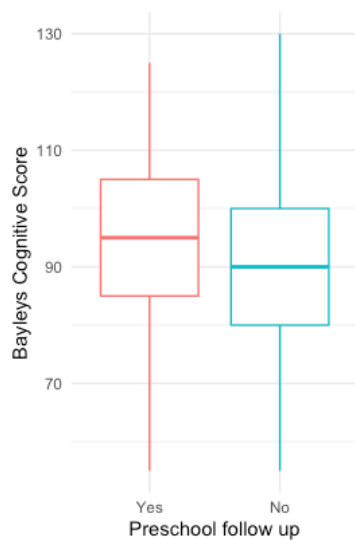


**Figure 4.2.** Boxplot showing IMD differences between those children who were, and were not, followed up at Timepoint 2.

IMD = Index of Multiple Deprivation

Of the infants who were assessed at 20 months ( $n = 483$ ), those who were subsequently followed up at Timepoint 2 ( $n = 241$ ), performed significantly better on the Bayley's cognitive tests

(collected at Timepoint 1) than those who were not subsequently followed up ( $n = 242$ ) ( $W = 30534$ ,  $p < 0.001$ ) (Figure 4.3).



**Figure 4.3.** Boxplot showing cognitive score differences between children included and excluded from follow-up analyses at Timepoint 2.

## 4.2.2 Neuropsychological and behavioural assessment

In order to assess cognitive performance and behavioural competence, children took part in a neurodevelopmental battery including both neuropsychological tests and parental questionnaires assessing cognitive performance and behavioural competence (all measures are described in Table 4.8).

### 4.2.2.1 Cognitive development

The Wechsler Preschool and Primary Scale of Intelligence IV (WPPSI-IV, (Wechsler, 2012)) was administered to all children in order to assess general intellectual development. Executive functions were assessed through a variety of games including the Attention Network Task (Fan et al., 2002; Rueda et al., 2004) for inhibition, Digit Span (Wechsler, 2003) for working memory, Dimension Change Card Sorting (Zelazo, 2006) for shifting and Track-It (Fisher et al., 2013) for sustained attention.

Behavioural aspects of executive functions were also assessed using the parents-rated questionnaire Behaviour rating inventory of executive functions – Preschool edition (BRIEF-P) (Gioia et al., 1996; Gioia et al., 2000).

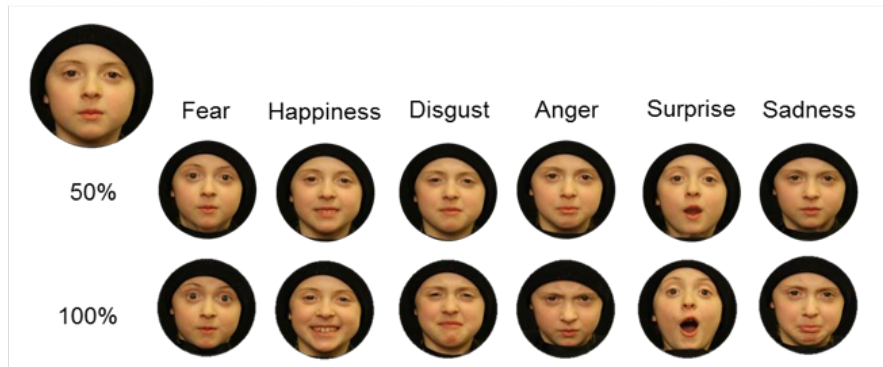
#### 4.2.2.2 Behavioural development

Parents completed questionnaires that referred to children's socio-emotional abilities. Social impairment was assessed using the Social Responsiveness Scale-2 (SRS-2 (Constantino and Gruber, 2012)), and behavioural problems were investigated using the Strengths and Difficulties Questionnaire (SDQ) (Goodman and Goodman, 2009; Goodman, 2001). The SDQ is a questionnaire primarily used to detect children with mental health difficulties and to estimate prevalence of disorders in specific populations, in various settings including clinical, community and research. The SDQ is highly correlated with the Rutter questionnaire (Goodman, 1997) and the Child Behaviour Checklist (Achenbach, 1991; Goodman and Scott, 1999), and has high diagnostic accuracy in both the general population (Goodman et al., 2000) and preterm samples (Johnson et al., 2014). Further, parent-rated temperamental traits were collected using the Children's Behaviour Questionnaire – Very Short Form (CBQ-VSF) (Putnam and Rothbart, 2006; Rothbart et al., 2001). Subscales of the very short CBQ have been shown to correlate with the following behavioural outcomes: a) negative affect and internalising/emotional problems; b) surgency and externalising problems and c) effortful control and attention, externalising, social problems, and executive function measures. Empathy was assessed using the empathy questionnaire (EmQue) (Rieffe et al., 2010). The EmQue has been shown to correlate with the Prosocial Behaviour subscale of the SDQ, as well as an Empathy Task that examines children's responses to emotional displays by the experimenter (Rieffe et al., 2010), based on a previous task displaying pain by (Zahn-Waxler et al., 1992). Inattentive and hyperactivity symptoms were assessed using the ADHD rating scale IV preschool version (DuPaul et al., 1998; McGoey et al., 2007).

Performance-based social competence was investigated using the Penny Hiding Game for assessment of Theory of Mind (San José Cáceres et al., 2014). Further, an emotion recognition task was created especially for children, based on an emotion recognition task used in adults (Gao and Maurer, 2009, 2010). The use of different intensities in an emotion recognition task to detect subtle differences in performance has been used in previous literature (Horning et al., 2012; Kessels et al.,

2014). Morphs were created using Phantamorph software (<http://www.fantamorph.com/index.html>).

Figure 4.4 shows an example of 6 different emotions at 2 different intensities.



**Figure 4.4.** Example of stimuli used in the emotion recognition task.

Children were presented with images of children's faces (either original or those created with Phantamorph) and asked to sort each face into a 'house'. Houses consisted of a plastic box, each with a schematic face on it. Examples of these faces are shown in Figure 4.5.



**Figure 4.5.** Examples of stimuli used to label 'houses' in the emotion recognition task.

The task was divided into two blocks, with the first comprising 8 pictures for each of the following emotions: happiness, surprise, and fear, and the second block comprising 8 pictures for each of the following emotions: sadness, anger, and disgust. Each block also contained 4 pictures representing neutral facial expressions, for a total of 8 neutral stimuli. Before starting, the experimenter introduced the game with the following: *'Each box represents a house, inside of which people are telling stories. In one house they tell happy stories, in another they tell scary stories, as well as disgusting, sad, angry, and surprising stories [point to appropriate house]. In the neutral house, no one is telling any stories. Now more people arrive. Your job is to find the right house for*

them – they can only go to the house if they have the same feeling as the people inside of that house’.

Pictures are then presented, one by one, and the child identifies which house each stimulus belongs to.

Lower accuracy scores on the emotion recognition task correlated with higher SRS-2 T-scores, indicating increased social difficulties (Social Information Processing ( $r = -0.261$ ;  $p < 0.001$ ), Social Communication ( $r = -0.201$ ;  $p = 0.003$ ), Social Motivation ( $r = -0.201$ ;  $p = 0.003$ ), Restricted Interests and Repetitive Behaviour ( $r = -0.228$ ;  $p = 0.001$ ), Social Communication Index ( $r = -0.234$ ;  $p = 0.001$ ) and Total score ( $r = -0.237$ ;  $p < 0.001$ ). Crucially, the task was most strongly associated with social information processing, suggesting it successfully assessed the key construct it was designed to, in paediatric samples.

**Table 4.8.** Measures used in follow-up analyses at Timepoint 2

Measure	Description
General Intellectual functioning	WPPSI-IV A cohort of intelligence tests that calculate a general intelligence score (full-scale IQ), as well as five Primary Index subscales of narrow abilities including: verbal comprehension, visual-spatial abilities, fluid reasoning, processing speed and working memory index. Raw scores are transformed into scaled scores according to age-appropriate norms.
Executive functions	ANT Adapted from a flanker task (Eriksen and Eriksen, 1974) which assesses ability to deal with conflict and inhibit automatic responses (or ‘executive attention’). The child was asked to press the right or left button according to the direction of a central animal to catch it. The central animal was surrounded by smaller animals who faced the same or opposite direction (congruent or incongruent trials).
	Digit Span Children asked to remember progressively increasing series of numbers and to repeat numbers once in same order and once in reversed order (adapted from WISC-IV).
	DCCS Task evaluating ability of child to shift between two different tasks. At the beginning of each task the child is required to focus on a specific dimension and to categorise items accordingly. In the post-switch phase, the child had to inhibit attention to that dimension and to sort the items based on another feature (e.g., matching some cards on the colour of the pictures and then matching the same cards on the shape of the pictures).
	Track-it In this task, children are asked to track a single target object moving among a set of two heterogeneous distracter objects that are following a random trajectory. After some time, the objects faded away and the child indicates the square from where the target object disappeared (tracking accuracy, measure of sustained attention).
	BRIEF-P A standardised and ecologically valid questionnaire evaluating real-world adaptive executive functions in children. The outputs comprise five executive function domains: Inhibit, Shift, Emotional Control, Working Memory and Plan/Organise. These five domains combine to form three indexes (Inhibitory Self-Control, Flexibility and Emergent Metacognition). Raw scores are transformed into scaled scores according to age-appropriate norms.
Social competence	Penny Hiding Game Task involving the child hiding a penny in one hand and asking another person to guess the location of it, to test the understanding of theory of mind without involving verbal abilities. The Penny Hiding game gives a graded measure of social skills in the number and type of errors. Successful performance requires both hiding an object from the other person’s view and hiding information from the opponent’s mind (i.e., misleading them).

Emotion recognition task		An emotion recognition task created with static stimuli from the validated Dartmouth database of children's faces (Dalrymple et al., 2013). Four boys and four girls were chosen from the database and 6 emotions (happy, surprise, fear, anger, disgust, and sadness) plus neutral faces were used. For every emotion, two levels of intensity were created by morphing a neutral face with the emotional face of the same model, to create, for example, 50% and 100% happy faces. The total number of correct responses the child made was added up to produce an emotion recognition score.
	SRS-II	A quantitative standardised parent-rated measure of autistic traits that detects deficiencies in reciprocal social behaviour. This questionnaire assesses social impairment, and the two outputted subscales align well with DSM-V criteria of autism spectrum disorders: a) Social Communication and Interaction, and b) Restricted Interests and Repetitive Behaviour. Raw scores are transformed into T-scores and the questionnaire is normed for children.
Behavioural problems	SDQ	A validated parent-rated screening questionnaire for behavioural problems. Behaviours are summarised for subscales including negative (emotional symptoms, conduct problems, hyperactive/inattentive and peer problems) as well as positive (prosocial behaviours) outcomes.
	CBQ	A validated parent-rated questionnaire which assesses children's (ages 3-7) temperament and summarises results into three broad scales: negative affectivity, effortful control and surgency.
	EmQue	This parent-rated questionnaire summarises empathy-related behaviours into three subscales: emotion contagion, attention to others' emotions and prosocial responses to others' emotions.
	ADHD Rating Scale IV	A parent-rated, norm-referenced questionnaire that requires respondent to rate the frequency of occurrence of ADHD symptoms according to the diagnostic criteria defined by the DSM-V (Association, 2013) and provides a total score and two separate subscales (Inattention and Hyperactivity/Impulsivity).

ANT = Attention Network Task; BRIEF-P = Behaviour Rating Inventory of Executive Function – Preschool edition; CBQ = Children's Behaviour Questionnaire (very short version); DCCS = Dimension Change Card Sort; EmQue = Empathy questionnaire; SDQ = Strengths and Difficulties Questionnaire; SRS-II = Social Responsiveness Scale II; WPPSI-IV = Wechsler Preschool & Primary Scale of Intelligence – Fourth edition.

#### 4.2.2.3 Factor analysis

In order to summarise the 12 socio-emotional outcomes variables, maximum-likelihood factor analysis with Varimax rotation was performed (more information is provided in Chapter 5 Methods). The statistical literature suggests an N:variable ratio of at least 10 (Everitt, 1975), and therefore, a sample size of 151 participants and 12 variables was an appropriate for this type of analysis.

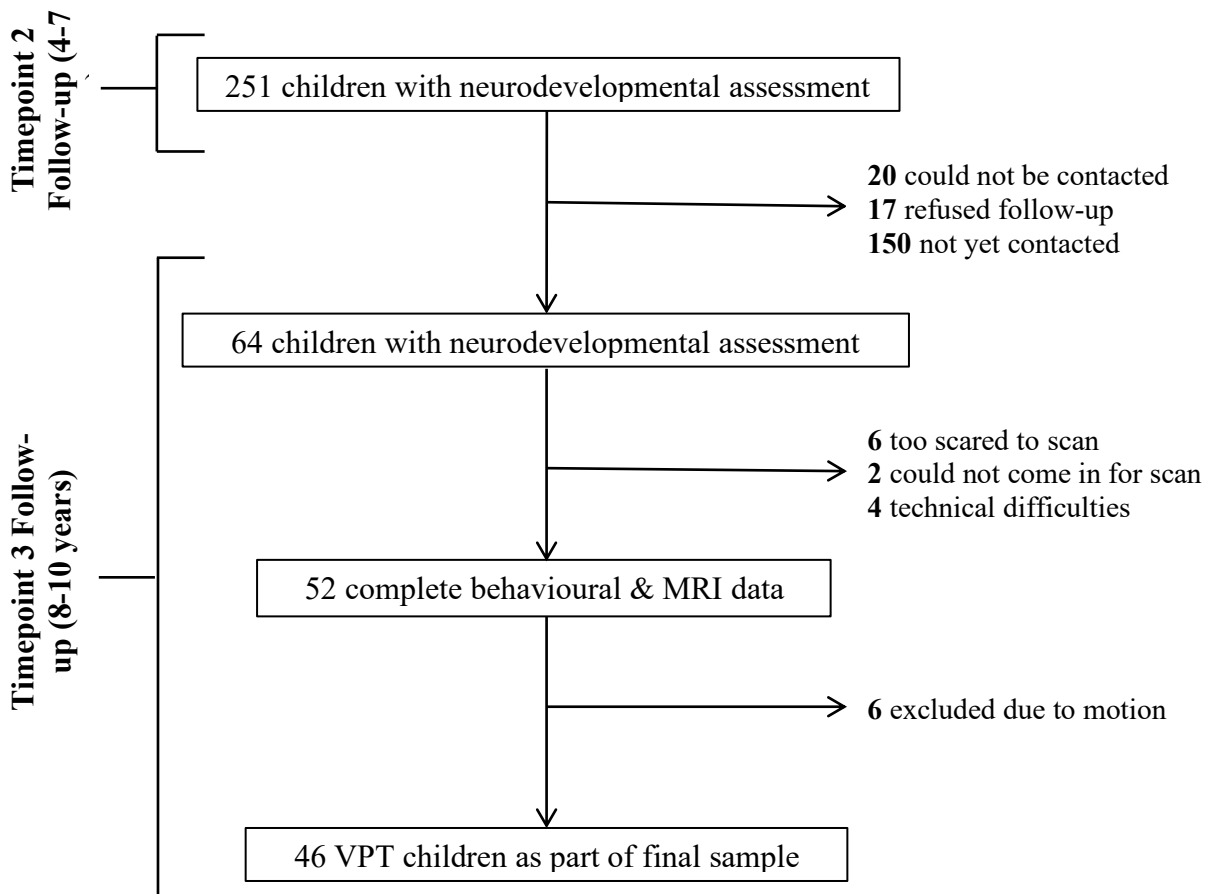
### 4.3 Follow-up assessment at Timepoint 3

#### 4.3.1 Participants

At around 8 years, ePrime participants were invited back to take part in follow-up assessments including behavioural data collection and an MRI scan at the Evalina Newborn imaging Centre at St. Thomas hospital, London. In addition to this, full-term control participants were

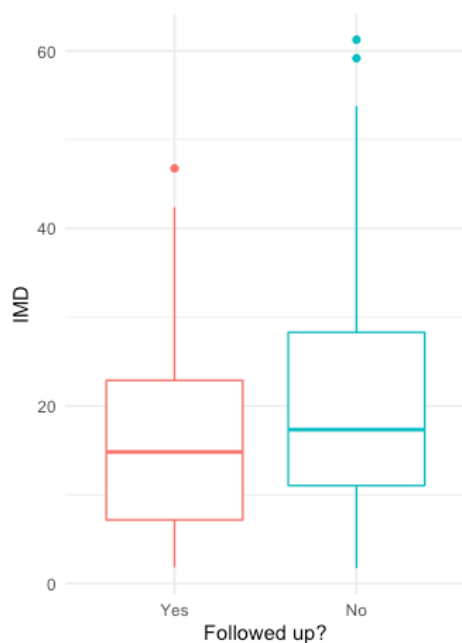
recruited from the community, both from local schools and from within the university. This study was approved by Stanmore Ethics Committee (18/LO/0048) in compliance with the national legislation and the code of ethical principles for Medical Research Involving Human Subjects of the World Medical Association (Declaration of Helsinki). Written informed consent was obtained from all the children’s carer(s).

Invitations for follow-up were sent to families of ePrime children who took part in the follow-up assessment at Timepoint 2, in chronological order of birth (n = 251). At the time of writing, 101 families have been attempted to get in contact with. Of those, 81 were successfully contacted, of which 17 refused to take part due to various reasons including not wanting an MRI scan (7), the child having severe medical problems (3), not having enough time to partake (1), and not wanting to come in during COVID-19 (1). 5 families did not give a reason for not wanting to take part. This left 64 ePrime participants in the preterm experimental group. Recruitment details are summarised in Figure 4.6. Demographic characteristics of the 64 participants are displayed in Table 4.9. Mean age of children seen at Timepoint 3 was 8.50 years (SD = 0.62; range = 7.5–10.5).



**Figure 4.6.** Recruitment flowchart at Timepoint 3.  
VPT = very preterm

The following sample representativeness comparison assesses differences between children who took part in the follow-up at Timepoint 3 ( $n = 64$ ; median age = 8.5) and those not yet followed-up after Timepoint 2 ( $n = 187$ ). Please note that Timepoint 3 recruitment is still ongoing, aiming to assess all children seen at Timepoint 2. The two groups did not differ significantly in terms of their GA at birth ( $W = 6074.5, p = 0.858$ ), birth weight ( $W = 6253.5, p = 0.5912$ ), sex (Chi-square = 0.002,  $p = 0.964$ ), or WPPSI IQ scores at Timepoint 2 ( $W = 6303.5, p = 0.168$ ). Samples also did not differ significantly in terms of ethnicity, when analyses were based on either both parents' ethnicity (Chi-square = 1.064,  $p = 0.901$ ) or maternal ethnicity only (Chi-square = 1.015,  $p = 0.908$ ). However, there was a significant difference in IMD scores between the two groups, with the followed-up group coming from less deprived backgrounds than those who were not followed-up, i.e., high SES ( $W = 4950, p = 0.039$ ) (Figure 4.7).



**Figure 4.7.** Boxplot showing IMD differences between those children who were, and were not, followed-up at Timepoint 3.

In addition to the preterm group, full-term control participants were recruited from the community, with inclusion criteria being full-term birth (38-42 weeks). Control participants were recruited through advertising the study on a university fortnightly circular for research volunteer recruitment, as well as in local school's notice boards. Altogether 46 control participants were recruited, and their demographic characteristics are displayed in Table 4.9.

**Table 4.9.** Childhood demographic and clinical characteristics at Timepoint 3.

<b>Characteristics</b>	<b>All children (n=110)</b>	<b>Preterm group (n = 64)</b>	<b>Control group (n = 46)</b>
Sex: Male, n (%)	50 (43.8)	33 (51.6)	17 (37.0)
Gestational age at birth (weeks), median (IQR)	32.50 (29.14, 39.57)	30.07 (27.96, 32.00)	40.00 (39, 40.85)
Age at assessment (years), median (IQR)	8.50 (8.25, 10.58)	8.46 (8.25, 8.83)	8.75 (8.10, 9.15)
IMD quintiles, n (%)	1 (least deprived)	35 (31.8)	20 (31.3)
	2	21 (19.1)	12 (18.8)
	3	24 (21.8)	17 (26.6)
	4	29 (26.4)	13 (20.3)
	5 (most deprived)	4 (3.6)	2 (3.1)

IMD = Index of Multiple Deprivation; IQR = Interquartile range.

Participants' ethnicity was collected again for all children at Timepoint 3. These are displayed in Table 4.10.

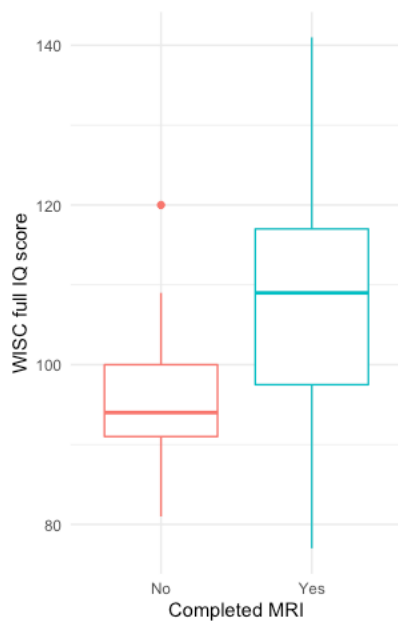
**Table 4.10.** Participant ethnicity at Timepoint 3.

<b>Ethnicity</b>	<b>All children (n=104)</b>	<b>Preterm group (n=64)</b>	<b>Control group (n = 40)</b>
White	70 (67.3)	36 (52.9)	34 (85.0)
Mixed/Multiple ethnic groups	10 (9.6)	6 (9.4)	4 (10.0)
Asian/Asian British	15 (14.4)	13 (20.3)	2 (5.0)
Black/African/Caribbean/Black British	9 (8.7)	9 (14.1)	0 (0.0)

Ethnicity was grouped according to ONS classification; number (%)  
Six control participants had no ethnicity data.

Of the 110 children recruited into the study (64 preterm, 46 control), ten were too scared to complete the MRI scan (6 preterm), two were unable to complete due to clinical issues (including

severe autism and cerebral palsy), and three had incomplete scans due to technical difficulties, leaving a total of 95 completed MRI scans (53 preterm, 41 control participants). Children who underwent MRI did not differ significantly from those who did not in terms of their age ( $W = 782, p = 0.547$ ), sex (Chi-square = 0.032,  $p = 0.859$ ) or group (i.e., preterm vs controls) (Chi-square = 0.997,  $p = 0.318$ ). However, the two groups did perform differently on the WISC, with the children who underwent MRI having significantly higher full-scale IQ scores compared to those who did not ( $W = 319, p = 0.002$ ) (Figure 4.8).



**Figure 4.8.** Boxplot showing differences in WISC scores between children who underwent childhood MRI and those who did not, at Timepoint 3.

## 4.3.2 Childhood behavioural data collection

### 4.3.2.1 Neurobehavioural tests

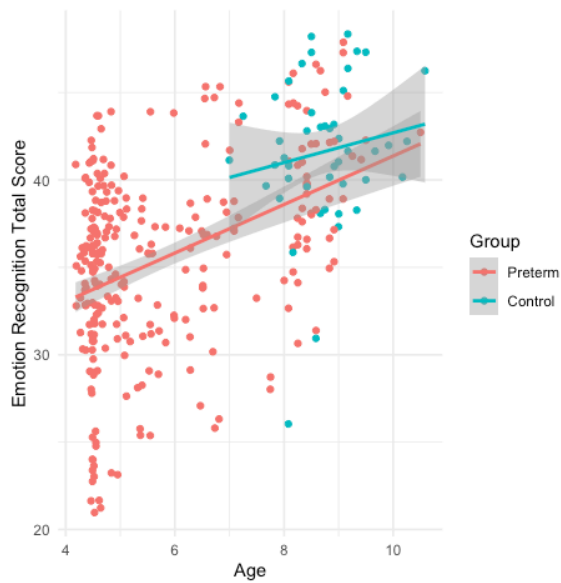
For full descriptions of all neurobehavioural tests at follow-up at Timepoint 3 please refer to Table 4.12. Participants completed the Wechsler Intelligence Scale for Children (WISC-IV) (Wechsler, 2003), most commonly on the same day as the MRI scan. When that was not possible, the WISC was administered within one week of the MRI scan. The WISC-IV provides a score for Full Scale IQ, as well as four subscales: Verbal Comprehension, Visuo-spatial skills, Working Memory and Processing Speed.

Emotion regulation abilities were assessed using a newly created task called the Unsolvable Puzzle task, based on previous literature (Smiley and Dweck, 1994). In this task, children were asked to complete a relatively simple puzzle of 16 pieces, in two and a half minutes. The first time this puzzle was given to the children, it had two pieces missing, therefore leaving the children unable to successfully complete the task. After 2 ½ minutes, the examiner stops the child and explains to them a mistake has been made, then proceeds to give the child the correct puzzle. For the second puzzle, the child is given an unlimited amount of time to finish the puzzle. Throughout the task, participants' facial expressions are recorded using a video camera.

Finally, children completed an emotion recognition task, originally created for the follow-up assessments at Timepoint 2, described above. To investigate the impact of age on emotion recognition, emotion recognition accuracy was plotted against age as a function of group (very preterm and control). Scores from data collected at Timepoint 2 and Timepoint 3 were combined for the very preterm group. A significant main effect of age was found for emotion recognition scores, but there was no significant interaction between group and age (Table 4.11). Figure 4.9 shows a positive relationship between age and ability to correctly recognise facial expressions.

**Table 4.11.** Statistical analyses of the effect of age and group (very preterm and control) on Emotion Recognition scores

<b>Predictor</b>	<b>Estimate</b>	<b>T value</b>	<b>p-value</b>
Age	1.267	4.837	<0.001*
Group	7.215	0.589	0.556
Age * Group	-0.415	-0.294	0.769



**Figure 4.9.** Scatterplot of Emotion Recognition Total scores against age, by group.

#### 4.3.2.2 Parental questionnaires

For full descriptions of all parental questionnaires please refer to Table 4.12. Parents completed questionnaires probing children’s executive functions as well as socio-emotional development. The following questionnaires were used: Behaviour Rating Inventory of Executive Function (BRIEF) (Gioia et al., 2000), Strengths and Difficulties Questionnaire (SDQ) (Goodman, 1997); Social Responsiveness Scale (SRS) (Constantino and Gruber, 2002); Temperament in Middle Childhood Questionnaire (TMCQ) (Simonds and Rothbart, 2004); Emotion Regulation Checklist (ERC) (Cicchetti, 1997); Spence Children's Anxiety Scale (SCAS) (Nauta et al., 2004) and State-Trait Anxiety Inventory for adults (STAI; assessing parents) (Spielberger et al., 1977).

**Table 4.12.** Neurobehavioural tests and parental questionnaires used in follow-up assessment at Timepoint 3

	Measure	Description
General intellectual functioning	WISC-IV	A cohort of intelligence tests that calculate a general intelligence score (full-scale IQ), as well as five Primary Index subscales of narrow abilities including: verbal comprehension, visual-spatial skills, processing speed and working memory index. Raw scores are transformed into scaled scores according to age-appropriate norms.
Executive functions	BRIEF	A standardised and ecologically valid questionnaire evaluating real-world adaptive executive functions in children. The outputs comprise five executive function domains: Inhibit, Shift, Emotional Control, Working Memory and Plan/Organise. These five domains combine to form

		three indexes (Inhibitory Self-Control, Flexibility and Emergent Metacognition). Raw scores are transformed into scaled scores according to age-appropriate norms.
Social competence	Emotion recognition task	An emotion recognition task created with static stimuli from the validated Dartmouth database of children's faces (Dalrymple et al., 2013). Four boys and four girls were chosen from the database and 6 emotions (happy, surprise, fear, anger, disgust, and sadness) plus neutral faces were used. For every emotion, two levels of intensity were created by morphing a neutral face with the emotional face of the same model, to create, for example, 50% and 100% happy faces. The total number of correct responses the child made was added up to produce an emotion recognition score.
	Unsolvable Puzzle task	Task created based on previous studies (Smiley and Dweck, 1994). During completion of the Unsolvable puzzle task, facial expressions are recorded and analysed using the Noldus FaceReader, which automatically quantifies facial expressions ( <a href="https://www.noldus.com/human-behavior-research/products/facereader">https://www.noldus.com/human-behavior-research/products/facereader</a> ).
	SRS-II	A quantitative standardised parent-rated questionnaire of autistic traits that detects deficiencies in reciprocal social behaviour. This questionnaire measures social impairment, and the two outputted subscales align well with DSM-V criteria of autism spectrum disorders: a) Social Communication and Interaction, and b) Restricted Interests and Repetitive Behaviour. Raw scores are transformed into T-scores and the questionnaire is normed for children.
Behavioural problems	SDQ	A validated parent-rated screening questionnaire for behavioural problems. Behaviours are summarised for subscales including negative (emotional symptoms, conduct problems, hyperactive/inattentive and peer problems) as well as positive (prosocial behaviours) outcomes.
	TMCQ	A validated parent-rated questionnaire which assesses children's (ages 7-10) temperament and summarises results into three broad scales: negative affectivity, effortful control and surgency.
	SCAS-P	Normed & validated parent-rated questionnaire of anxiety disorders, with output scores for six sub-scales each tapping into a specific aspect of child anxiety, corresponding with classification of anxiety disorders by DSM-IV: separation anxiety, generalised anxiety, social phobia, panic/agoraphobia, obsessive-compulsive disorder, and fear of physical injuries.
	ERC	A validated parent-rated questionnaire assessing children's self-regulation, or ability to manage and cope with emotions, in children between ages 6 to 12. Final subscales comprised of: a) emotion regulation (expression of emotions, empathy, and emotional self-awareness) and b) emotional lability/negativity (lack of flexibility, anger dysregulation and mood lability).
Parental characteristics	STAI	Questionnaire assessing levels of anxiety in parents/carers of children, with outputs including state and trait anxiety. State anxiety measures a transitory emotional state at the exact moment of answering questions, which fluctuates over time. Trait anxiety refers to how participants feel in general and indicates a person's proneness to responding anxiously to stressful situations; it has been shown to be stable over time.

BRIEF = Behaviour Rating Inventory of Executive Function; ERC = Emotion Regulation Checklist; SCAS = Spence Children's Anxiety Scale; SDQ = Strengths and Difficulties Questionnaire; SRS-II = Social Responsiveness Scale II; STAI = State-Trait Anxiety Inventory; TMCQ = Temperament in Middle Childhood Questionnaire; WISC-IV = Wechsler Intelligence Scale for Children – fourth edition.

#### 4.3.3 Childhood MRI data collection

MR images were acquired on a Philips 3 Tesla Achieva (Philips Medical Systems, Best, The Netherlands) system at the Evalina Newborn Imaging Centre using a 32-channel phased array head coil. Throughout the scan, pulse oximetry, heart rate and breathing were monitored. Children were given paediatric earplugs, which were placed in the external auditory meatus, as well as noise

cancelling headphones. During the scan, children watched a TV show of their choice on Netflix or Amazon Prime. Decorative boards (in ‘space’ theme) were put up surrounding the MRI scanner (Figure 4.10).



**Figure 4.10.** Image of MRI scanner and decorative boards used as part of the follow-up at Timepoint 3.

High resolution 3D T1 and T2 weighted imaging were acquired, as well as a FLAIR for clinical reporting. MPRAGE T1-weighted images were acquired using: TR = 7.894 ms, TE = 3.595 ms, TI = 900 ms; flip angle = 8°, field of view = 240 x 220 x 160 mm<sup>3</sup> with an isotropic resolution of 1 x 1 x 1 mm<sup>3</sup>. The data were acquired with a SENSE factor of 1.5 along the first PE direction and 2 along the second PE direction. T2-weighted axial sequences were acquired using: TR = 11135 ms, TE = 90 ms, flip angle = 90°, field of view = 220 x 220 x 150.7 mm<sup>3</sup> with a resolution of 1.1 x 1.1 x 2.2 mm<sup>3</sup>. The data were acquired with a SENSE factor of 1.9. T2-weighted Sagittal sequences were acquired using: TR = 11135 ms, TE = 90 ms, flip angle = 90°, field of view = 200 x 180.4 x 150.7 mm<sup>3</sup> with a resolution of 1.1 x 1.1 x 2.2 mm<sup>3</sup>. The data were acquired with a SENSE factor of 1.9. An experienced neonatologist qualitatively rated the T2/FLAIR MRI structural scan of each child, and significant findings were reported to parents and GP of the child.

Participants also underwent a diffusion sequence, which included 12 non-collinear directions with b value 0 s/mm<sup>2</sup>, 32 directions with b value 700 s/mm<sup>2</sup>, and 64 directions with b value 2500 s/mm<sup>2</sup> using the following parameters: TR = 3800 ms, TE = 94 ms, flip angle = 90°, field of view = 240 x 240 x 50 mm<sup>3</sup>, and voxel size = 2 x 2 x 2 mm<sup>3</sup>. The data were acquired with a SENSE factor of 1.5.

# Chapter 5: Neonatal white matter microstructure and emotional development in children who were born very preterm

This section is presented as a published journal article and is an exact copy of the following publication:

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7

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57 **Abstract**

58 Children born very preterm (<33 weeks of gestation) are at a higher risk of developing socio-emotional  
59 difficulties compared to those born at term. In this longitudinal study, we tested the hypothesis that diffusion  
60 characteristics of white matter tracts implicated in socio-emotional processing assessed in the neonatal  
61 period are associated with socio-emotional development in 151 very preterm children previously enrolled  
62 into the Evaluation of Preterm Imaging study (Eudra: CT2009-011602-42). All children underwent diffusion  
63 tensor imaging at term-equivalent age and fractional anisotropy (FA) was quantified in the uncinate  
64 fasciculus, inferior fronto-occipital fasciculus, inferior longitudinal fasciculus and superior longitudinal  
65 fasciculus. Children's socio-emotional development was evaluated at preschool age (median=4.63 years).  
66 Exploratory factor analysis conducted on the outcome variables revealed a 3-factor structure, with latent  
67 constructs summarised as: 'emotion moderation', 'social function' and 'empathy'. Results of linear  
68 regression analyses, adjusting for full-scale IQ and clinical and socio-demographic variables, showed an  
69 association between lower FA in the right uncinate fasciculus and higher 'emotion moderation' scores ( $\beta=-$   
70  $0.280$ ;  $p<0.001$ ), which was mainly driven by negative affectivity scores ( $\beta=-0.281$ ;  $p=0.001$ ). Results  
71 further showed an association between higher full-scale IQ and better social functioning ( $\beta=-0.334$ ,  
72  $p<0.001$ ). Girls had higher empathy scores than boys ( $\beta=-0.341$ ,  $p=0.006$ ). These findings suggest that early  
73 alterations of diffusion characteristics of the uncinate fasciculus could represent a biological substrate  
74 underlying the link between very preterm birth and emotional dysregulation in childhood and beyond.

75  
76 **Significance Statement**

77 Children born very preterm are at a higher risk of developing socio-emotional difficulties compared to those  
78 born at term. Our study showed that early alterations of diffusion characteristics of the uncinate fasciculus in  
79 very preterm babies assessed at term-equivalent age were associated with emotional dysregulation in  
80 childhood. The identification of early biological substrates linked to emotional development could create  
81 opportunities for the prevention and targeting of emerging emotional problems in order to enhance  
82 children's mental health.

83

84 **Introduction**

85 Children who were born very preterm (<33 weeks of gestation) are at heightened risk of experiencing  
86 socio-emotional difficulties, which include diminished social competence and reduced ability to self-  
87 regulate their emotions and behaviours (Spittle et al., 2009; Jones et al., 2013; Witt et al., 2014; Montagna  
88 and Nosarti, 2016). Socio-emotional difficulties in childhood have been associated with the later emergence  
89 of psychiatric symptoms (Woodward et al., 2017; Thomson et al., 2019).

90 Our current understanding of the aetiology of socio-emotional difficulties associated with very preterm  
91 birth is limited. Possible underlying causes include altered neurodevelopment, implicating brain structural  
92 and functional connectivity (Counsell et al., 2014; Duerden et al., 2015; Keunen et al., 2017; Dimitrova et  
93 al., 2020). However, studies directly investigating the association between brain alterations and children's  
94 socio-emotional outcomes following very preterm birth are scarce (Fischi-Gomez et al., 2014; Mossad et al.,  
95 2017; Urbain et al., 2019). Only a few investigations to date have used a longitudinal design to identify  
96 neural features present in the neonatal period that are associated with later socio-emotional problems  
97 (Rogers et al., 2012), and studies have predominantly focused on resting state functional connectivity. These  
98 studies have suggested associations between alterations in neonatal functional amygdala connectivity and  
99 internalizing symptoms, and between alterations in ventral attention-default mode network connectivity and  
100 behavioural inhibition in preterm born toddlers (Rogers et al., 2017; Sylvester et al., 2018). Given that  
101 functional connectivity is constrained by the anatomical structure of the human cerebral cortex (Honey et al.,  
102 2009), investigating relationships between neonatal white matter diffusion characteristics and later socio-  
103 emotional outcomes may further add to our understanding of how the brain's emerging architecture  
104 contributes to shaping very preterm children's development.

105 Socio-emotional processing is underpinned by integrated activity across an extended socio-emotional  
106 network (Catani et al., 2013). Therefore, structural connectivity alterations within this system may represent  
107 a neural substrate of social-emotional impairments. Emotional disorders have been characterised by white  
108 matter diffusion characteristic alterations in several tracts, including the uncinate fasciculus (UF), which  
109 connects the temporo-amygdala-orbitofrontal network, the inferior fronto-occipital fasciculus (IFOF), which

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110 connects the dorsolateral and inferolateral frontal cortex with the occipital and posterior temporal cortex, the  
111 inferior longitudinal fasciculus (ILF), which links occipital and temporal lobes and the superior longitudinal  
112 fasciculus (SLF) which connects parietal to frontal cortical regions (Jenkins et al., 2016; Wang et al., 2016).

113 These different tracts have been studied in relation to various behavioural outcomes, such as memory  
114 and cognition (Riley et al., 2010; Chen et al., 2020; Koshiyama et al., 2020), but also to specific aspects of  
115 socio-emotional processing: the UF with emotion regulation (Von Der Heide et al., 2013; Eden et al., 2015),  
116 the IFOF and ILF with the ability to decode human facial emotions (Philippi et al., 2009; Unger et al.,  
117 2016), and the SLF with emotional empathy (Parkinson and Wheatley, 2014).

118 Differences in the diffusion characteristics of these tracts between very preterm and term-born  
119 individuals have also been investigated, with previous studies showing inconsistent results, such as reduced  
120 fractional anisotropy (FA) values in the UF (Mullen et al., 2011; Travis et al., 2015; Vollmer et al., 2017;  
121 Young et al., 2018), both increased (Dodson et al., 2017) and decreased FA values in the IFOF (Salvan et  
122 al., 2014; Vollmer et al., 2017; Young et al., 2018), decreased FA values in the ILF (Travis et al., 2015;  
123 Vollmer et al., 2017; Young et al., 2018) and SLF (Young et al., 2018), and no group differences in the SLF  
124 (Vollmer et al., 2017). Further, very preterm infants and children also display increased diffusivities when  
125 compared to term-born controls, including mean diffusivity (MD), radial diffusivity (RD) and axial  
126 diffusivity (AD) (e.g., (Young et al., 2018; Lautarescu et al., 2020; Brenner et al., 2021).

127 The current longitudinal investigation aimed to test the hypothesis that diffusion characteristics of white  
128 matter tracts implicated in socio-emotional processing assessed at term equivalent age are associated with  
129 socio-emotional development during the preschool years in children who were born very preterm.

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## **Materials and Methods**

### **1.1 Participants**

136 511 participants were enrolled into the Evaluation of Preterm Imaging study (ePrime, Eudra: CT  
137 2009-011602-42) (Edwards et al., 2018). They were recruited at birth in 2010-2013 from hospitals within

138 the North and Southwest London Perinatal Network. Inclusion criteria were birth before 33 weeks  
139 gestational age (GA) and maternal age over 16 years. Exclusion criteria included the presence of major  
140 congenital malformation, prior magnetic resonance imaging (MRI), metallic implants, parents unable to  
141 speak English, or being subject to child protection proceedings. Infants underwent MRI at term-equivalent  
142 age, defined as 38-44 weeks GA (mean = 42.24 (SD = 1.41)). At 4-7 years of age children were invited to  
143 the Centre for the Developing Brain, St Thomas' Hospital, London, for a neurodevelopmental assessment.  
144 Invitations for follow-up were sent in chronological order of birth to all children who were past their fourth  
145 birthday. The study closed on September 1<sup>st</sup> 2019. Written informed consent was obtained from participants'  
146 carer(s) following procedures approved by the Stanmore Research Ethics Committee (14/LO/0677). The  
147 study was carried out in accordance with the Code of Ethics of the World Medical Association (Declaration  
148 of Helsinki).

149 Figure 1 provides detailed recruitment information. To summarise, fifty-five children invited for follow-up  
150 study were not assessed at 4-7 years for the reasons listed in Figure 1. A further one hundred children were  
151 excluded from the final analyses, due to incomplete assessment data (n=46), motion artefacts on MRI  
152 (n=38) or significant focal perinatal brain injury (n=16), defined as periventricular leukomalacia,  
153 hemorrhagic parenchymal infarction and other ischemic or hemorrhagic lesions (Barnett et al., 2018), but  
154 not including punctate lesions or diffuse excessive high signal in white matter on T2 weighted images. The  
155 final sample consisted of 151 very preterm born participants who had T1 and T2 weighted MRI and  
156 diffusion MRI (dMRI) at 38-44 weeks term-equivalent and subsequently participated in the follow-up  
157 assessment at 4-7 years.

158  
159 **Figure 1.**

## 161 **2.2 Procedure**

### 162 **2.2.1 Perinatal clinical and socio-demographic data**

163 Perinatal clinical and socio-demographic data were collected, with permission, from the  
164 Standardized Electronic Neonatal Database. Index of Multiple Deprivation (IMD) score was computed from

165 the postcode of the parent at the time of infant birth (Department for Communities and Local Government,  
166 2011; <https://tools.npeu.ox.ac.uk/imd/>) and provided a proxy for family socio-economic status. The IMD  
167 measures social risk by comparing each neighbourhood to all others in the country and is based on seven  
168 domains of deprivation (with varying weighting, as follows): income (22.5%), employment (22.5%),  
169 education skills and training (13.5%), health and disability (13.5%), barriers to housing and services (9.3%),  
170 living environment (9.3%) and crime (9.3%). Maternal education was defined as age upon leaving full-time  
171 education, split into two groups a) at or before 19 years, b) after 19 years (Kleine et al., 2020).

### 172 173 2.2.2 MRI acquisition and analysis

174 A paediatrician experienced in MRI procedures supervised all MR imaging. Pulse oximetry,  
175 temperature, and electrocardiography data were monitored throughout the session. Silicone-based putty  
176 (President Putty, Coltene Whaledent, Mahwah, NJ, USA), as well as neonatal earmuffs (MiniMuffs, Natus  
177 Medical Inc., San Carlos, CA, USA), were used for ear protection. Oral chloral hydrate (25–50 mg kg<sup>-1</sup>)  
178 was administered to infants whose parents chose sedation for the procedure.

179 MR imaging was performed on a 3-Tesla system (Philips Medical Systems, Best, The Netherlands)  
180 sited on the neonatal intensive care unit using an eight-channel phased array head coil. High-resolution  
181 anatomical images were acquired with pulse sequence parameters: T2 weighted fast-spin echo imaging: TR  
182 = 8670 ms, TE = 160 ms, flip angle 90°, slice thickness 2 mm with 1 mm overlapping slices, in-plane  
183 resolution 0.86x0.86mm. dMRI data were acquired in the transverse plane in 32 non-collinear directions  
184 with the following parameters: TR = 8000 ms, TE = 49 ms, voxel size: 2mm isotropic, b-value: 750 s/mm<sup>2</sup>,  
185 sense factor of 2, 1 non-diffusion-weighted image,  $b = 0$ .

186 Diffusion-weighted images were visually inspected in 3 orthogonal planes for the presence of motion  
187 artefact and corrupt diffusion weighted volumes were excluded before tensor fitting. All participants  
188 included in analyses had 5 or fewer excluded volumes. Non-brain tissue was removed using BET (version  
189 2.1; <http://fsl.fmrib.ox.ac.uk/fsl/fslwiki/BET>) (Smith, 2002; Jenkinson et al., 2012), images were corrected  
190 for eddy current artefacts using *eddy\_correct* (Andersson and Sotiropoulos, 2016), and tensor model was  
191 fitted using *dtifit* from FSL (FMRIB, Oxford, <http://fsl.fmrib.ox.ac.uk>).

192 Tract-specific analysis (TSA) (Yushkevich et al., 2008) was used to derive dMRI measures for selected WM  
 193 tracts, as described in detail in Pecheva et al., (2017). TSA is a WM analysis method that creates skeleton  
 194 models of individual WM tracts onto which diffusion data can be projected for statistical analysis. All  
 195 subjects were registered to a study-specific template using a tensor-based algorithm (Zhang et al., 2006).  
 196 Following registration, tracts of interest were delineated from the template using deterministic tractography  
 197 based on the FACT approach (Mori et al., 1999). Whole-brain tractography was seeded from a white matter  
 198 mask, defined by thresholding the template FA map at 0.1, and regions of interest were drawn manually  
 199 according to the protocol described by (Wakana et al., 2007), by a single rater (DP) [Table 1]. The following  
 200 tracking parameters were used: maximum angle threshold of 45 degrees, step size of 0.5 mm and minimum  
 201 FA threshold of 0.1. From the tractography, a surface skeleton representation with clearly-defined tract  
 202 boundaries was derived for each white matter pathway. TSA samples data to be projected onto each point of  
 203 the skeleton by searching for the maximum FA value along the unit normal from that point to the tract  
 204 boundary. This is done for each subject. The data projection step serves two main purposes. Firstly, it is a  
 205 dimensionality reduction step which increases sensitivity, similar to smoothing (Yushkevich et al., 2008).  
 206 Furthermore, as tract FA values tend to be higher in the centre of a tract, projecting the maximum FA value  
 207 accounts for residual misalignments and improves inter-subject correspondence by forcing a comparison  
 208 between tract centres across subjects (Smith et al., 2006).

209

210 **Table 1. ROI placements used to delineate tracts.**

Tract	Inclusion ROI 1	Inclusion ROI 2	Exclusion ROI
UF	Entire temporal lobe identified in coronal plane at level where frontal and temporal lobe are no longer connected.	All projections into frontal lobe.	Fibres which project into anterior limb of external capsule and posteriorly.
IFOF	Occipital lobe selected in coronal plane identified halfway between posterior edge of cingulum and posterior of the brain.	Entire hemisphere in coronal plane at level of the genu of CC identified in mid-sagittal slice.	Fibres crossing medially through anterior commissure.
ILF	Entire hemisphere selected in coronal plane at posterior edge of cingulum	Entire temporal lobe identified in the coronal plane at level where frontal	Fibres that track medially into fornix and CC.

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	identified at mid-sagittal slice	and temporal lobe are no longer connected.	
SLF	Identified in coronal plane at lowest axial level in which fornix can be identified as a single structure.	Projections passing through coronal plane at level of splenium of CC identified in mid-sagittal slice.	Fibre that project into external capsule.

211

212 From the tractography results, a medial surface was determined for the UF, IFOF, ILF and SLF. The medial  
 213 surface simultaneously defined the tract skeleton and boundary (Yushkevich and Zhang, 2013). Diffusion  
 214 data from every subject was then projected onto the skeleton. TSA sampled data to be projected onto each  
 215 point of the skeleton by searching along the unit normal from that point to the tract boundary (Pecheva et al.,  
 216 2017). FA values were calculated for each tract. Examples of surface representation of tracts are shown in  
 217 Figure 2.

218

219 **Figure 2.**

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221

222 **2.2.3 Neurodevelopmental outcomes**

223 The Wechsler Preschool and Primary Scale of Intelligence (WPPSI-IV) (Wechsler, 2012) was used  
 224 to estimate children's full-scale IQ. Parents completed the Strengths and Difficulties Questionnaire (SDQ)  
 225 (Goodman, 1997), a behavioural screening measure for general childhood psychopathology, comprising 25  
 226 items categorised into five subscales: emotional symptoms, conduct problems, hyperactivity/inattention,  
 227 peer relationship problems and prosocial behaviour.; the Children's Behaviour Questionnaire – Very Short  
 228 Form (CBQ) (Putnam and Rothbart, 2006) which assesses the child's temperament using 36 items  
 229 summarised into 3 broad scales (negative affectivity, effortful control and surgency); the Empathy  
 230 Questionnaire (EmQue) (Rieffe et al., 2010), a 20 item questionnaire which measures empathy-related  
 231 behaviours in young children, summarised into three scales: emotion contagion, attention to others' emotions  
 232 and prosocial responses to others' emotions; and the Social Responsiveness Scale (SRS-2) (Constantino and  
 233 Gruber, 2012), an assessment of social impairments associated with autism-spectrum behaviours, which

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234 provides subscale scores for social awareness, social cognition, social communication, social motivation,  
235 restricted interests and repetitive behaviours.

236 To measure facial emotion recognition abilities, a new task was created based on (Gao and Maurer,  
237 2009), which used static stimuli from the validated Dartmouth database of children's faces (Dalrymple et al.,  
238 2013). Four boys and four girls were chosen from the database and 6 emotions (happy, surprise, fear, anger,  
239 disgust and sadness) plus neutral faces were used. The task consisted of two testing blocks, whereby the first  
240 of these included pictures showing happy, surprised and fearful expressions, and the second contained  
241 pictures showing sad, disgusted and angry expressions, with both blocks including neutral faces. Stimuli  
242 were presented singly, and participants were asked to identify which emotion each image was representing.  
243 Accuracy was measured based on the correct identification of emotions. Male and female models were  
244 allocated evenly between the emotion and neutral expressions. For every emotion, two levels of intensity  
245 were created by morphing a neutral face with the emotional face of the same model, to create, for example,  
246 50% and 100% happy faces. The use of different intensities has been shown to promote the detection of  
247 subtle differences in abilities to recognise emotions (Horning et al., 2012; Kessels et al., 2014). Fantamorph  
248 software was used to create these morphed images (<http://www.fantamorph.com/index.html>), by manually  
249 positioning points on the anatomical landmarks in the photograph of each face. Distortions caused by the  
250 morphing process in the eye and mouth regions were edited using Photoshop. In total, there were 56 stimuli  
251 ([2 intensity levels x 6 emotions x 4 models] + [2 neutral expressions x 4 models]). The task created here has  
252 no working memory load, and therefore only participant's accuracy is measured. The total number of correct  
253 responses the child made was added up to produce an emotion recognition score.

254 Lower accuracy scores on the emotion recognition task correlated with higher SRS-2 T-scores,  
255 indicating increased social difficulties (Social Information Processing ( $r=-0.261$ ;  $p<0.001$ ), Social  
256 Communication ( $r=-0.201$ ;  $p=0.003$ ), Social Motivation ( $r=-0.201$ ;  $p=0.003$ ), Restricted Interests and  
257 Repetitive Behaviour ( $r=-0.228$ ;  $p=0.001$ ), Social Communication Index ( $r=-0.234$ ;  $p=0.001$ ) and Total  
258 score ( $r=-0.237$ ;  $p<0.001$ ). Crucially, the task was most strongly associated with social information  
259 processing, suggesting it successfully measured the key construct it was designed to, in paediatric samples.

260

261 **2.3 Statistical Analyses**

262 Twenty-eight perinatal clinical variables obtained from all ePrime participants (n=511) were  
263 summarised using Principal Component Analysis (PCA) applying Promax rotation, using SPSS 26.  
264 Maternal variables were: preeclampsia and pregnancy induced hypertension, antenatal hypertension,  
265 placental abruption or antenatal haemorrhage, premature rupture of membranes, urinary tract infection,  
266 gestational diabetes, oligohydramnios, polyhydramnios, drug abuse, in vitro fertilization, bacterial infection  
267 (all y/n), and mode of delivery (vaginal/elective/emergency). Infant variables were: sex, gestational age  
268 (GA; weeks and days), birth weight (grams), multiple pregnancy (singleton/multiple), antenatal steroid  
269 administration (no/partial/full course), twin-to-twin transfusion, chorioamnionitis, intrauterine growth  
270 restriction, surfactant administration, treatment for patent ductus arteriosus, surgical treatment for  
271 necrotising enterocolitis, formula feeding, feeding on maternal expressed breast milk (all y/n), days on  
272 mechanical ventilation, days on continuous positive airway pressure (cPAP), and days on parenteral  
273 nutrition (TPN). All variables were coded so that higher values reflected greater clinical risk. Communalities  
274 were checked, and as all were above .2, no items were removed (Costello and Osborne, 2005).

275 R using R studio was used to perform all following analyses, using a non-random experimental  
276 design. Maximum-likelihood factor analysis with Varimax rotation was performed using the *stats* v3.6.2  
277 package. Factor analysis included the following outcome variables: four SDQ subscales (emotional  
278 symptoms, conduct problems, peer relationship problems and prosocial behaviour), three CBQ subscales  
279 (negative affectivity, surgency and effortful control), three EmQue subscales (emotion contagion, attention  
280 to others' feelings and prosocial actions); the SRS-2 social communication index (SCI) and accuracy on the  
281 emotion recognition task. All neurodevelopmental subscale scores were standardised. Factors were extracted  
282 based on the criterion of having eigenvalues >1 and examination of scree plots. Factor scores were then used  
283 in subsequent analyses.

284 In order to find the best predictors of children's socio-emotional outcomes, best-fit linear models  
285 were selected using an automated model selection process, using the *glmulti* package (Calcagno and de  
286 Mazancourt, 2010). Prior to model selection, multicollinearity between the chosen tracts was assessed by  
287 calculating a variance inflation factor (VIF) for each tract, which consists of comparing the overall model

288 variance to the variance of a model that includes only that single independent tract. Two variables with VIF  
 289  $\geq 10$  were excluded from subsequent analyses (Hair, 2009), i.e. FA values of the left and right IFOF. For  
 290 each socio-emotional outcome (Emotion moderation, Social function & Empathy), model comparison was  
 291 performed using Akaike Information Criterion (AIC) (Akaike, 1974) and 8450 models were compared.  
 292 Variables included in each model were: FA values of the left UF, ILF and SLF; right UF, ILF and SLF;  
 293 postmenstrual age at scan (PMA), corrected age at follow-up assessment, IQ, IMD, maternal education, sex  
 294 and neonatal sickness index. Linear regression was then performed to study the association between  
 295 predictor variables included in the best-fit model and socio-emotional factor scores.

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### 300 **Results**

301 Participants' characteristics are summarised in Table 2. Results of PCA performed to summarise  
 302 perinatal clinical variables showed one factor that explained 72% of their variance. The Kaiser-Meyer-Olkin  
 303 measure of sampling adequacy was 0.73, Bartlett's test of sphericity was significant ( $\chi^2=3597.79$ ,  $p<0.01$ ),  
 304 and all factor loadings were above 0.2. Factor weights were between .767 and .898 for GA, days on TPN,  
 305 days on cPAP, days on mechanical ventilation and surfactant administration. This factor was labelled as  
 306 'neonatal sickness index'. Internal reliability assessed using Cronbach's alpha was good ( $\alpha=.86$ ).

307 Children who were included in the final analyses had lower neonatal sickness index scores ( $t=2.721$ ,  
 308  $p=0.007$ ) and higher IQ scores ( $t=-3.449$ ,  $p=0.001$ ) compared to those who were not included. Results were  
 309 similar after exclusion of non-participating children with significant focal perinatal brain injury on neonatal  
 310 MRI (neonatal sickness index score:  $t=2.903$ ,  $p=0.004$ ; IQ:  $t=-2.752$ ,  $p=0.006$ ).

311

312 **Table 2. Participants' characteristics (n=151)**

GA at birth (weeks), median (IQR)	30.29 (28.79-31.79)
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Birth weight (grams), median (IQR)	1275 (980-1570)		
PMA at MRI (weeks), mean ( $\pm$ SD)	42.22 (0.79)		
CA at assessment, median (IQR)	4.63 (4.1 -5.16)		
Female, number (percentage)	71 (47%)		
IQ score, mean ( $\pm$ SD)	108.03 (17.00)		
IMD score quintiles	1 (Least Deprived)	36	23.8%
	2	26	17.2%
	3	37	24.5%
	4	35	23.2%
	5 (Most Deprived)	17	11.3%
Maternal education $\geq$ 19 years, number (percentage)	117 (77.5%)		

313

314 **a) Socio-emotional outcomes**

315 Descriptive statistics for children's socio-emotional outcome measures are shown in Table 3.

316

317 **Table 3. Descriptive statistics for outcome measures**

SDQ emotional symptoms, median (IQR)	1 (0-3)
SDQ conduct problems, median (IQR)	1 (0-3)
SDQ peer relationship problems, median (IQR)	1 (0-2)
SDQ prosocial behaviour, median (IQR)	8 (6-9)
CBQ negative affectivity, mean ( $\pm$ SD)	4.284 (0.659)
CBQ surgency, mean ( $\pm$ SD)	5.133 (0.641)
CBQ effortful control, mean ( $\pm$ SD)	4.494 (0.485)
EmQue emotion contagion, median (IQR)	0.17 (0-0.5)
EmQue attention to others' feelings, mean ( $\pm$ SD)	1.299 (0.381)
EmQue prosocial, mean ( $\pm$ SD)	1.076 (0.399)
SRS Social Communication Index, mean ( $\pm$ SD)	47.037 (8.169)

318

319 Exploratory factor analysis conducted on the 12 socio-emotional outcomes showed a 3-factor  
 320 structure. The Kaiser-Meyer-Olkin measure of sampling adequacy was 0.76, Bartlett's test of sphericity was  
 321 significant ( $\chi^2=469.977, p<0.001$ ), and all factor loadings were above 0.4. The three latent constructs  
 322 accounted for 42% of the variance in socio-emotional outcomes and are graphically displayed in Figure 3.  
 323 These are summarised as: Factor 1 or 'emotion moderation', characterised by positive loadings (between .48  
 324 and .93) for CBQ negative affectivity and CBQ effortful control scores. Factor 2 or 'social function', which  
 325 loads onto higher SDQ emotional symptoms, SDQ conduct problems, SDQ peer relationship problems  
 326 scores and SRS-2 SCI; as well as lower scores on SDQ prosocial behaviour, EmQue prosocial actions and  
 327 CBQ surgency (between -.67 and .74); indicating more emotional and behaviour problems, heightened  
 328 antisocial behaviour and more socialising difficulties. Factor 3 or 'empathy' is defined by positive loadings  
 329 for EmQue emotion contagion and EmQue attention to others' scores (both .56), indicating a higher degree  
 330 of empathic displays. Emotion recognition scores did not substantially load onto any of the factors.

331  
 332 **Figure 3.**  
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334

335 **b) Diffusion properties of white matter tracts**

336 Mean FA values of the UF, IFOF, ILF and SLF, are shown in Table 4.

337 **Table 4. Diffusion properties of WM tracts**

Tract	Left FA, mean ( $\pm$ SD)	Right FA, mean ( $\pm$ SD)
UF	0.165 (0.015)	0.169 (0.015)
IFOF	0.209 (0.019)	0.207 (0.017)
ILF	0.207 (0.021)	0.198 (0.019)
SLF	0.162 (0.014)	0.188 (0.016)

338

339 **c) Best-fit predictors of socio-emotional outcomes**

340 Best-fit predictors of 'emotion moderation' were right UF FA values and full-scale IQ (AIC value =  
 341 387.387). Lower FA values in the right UF were associated with higher 'emotion moderation' scores ( $B=-$   
 342 0.280,  $p<0.001$ ) (Figure 4). In order to aid interpretation, post-hoc analyses decomposed the 'emotion

343 moderation' factor into the two variables that loaded onto it (CBQ negative affectivity and CBQ effortful  
 344 control scores). Results showed that the association between right UF FA values and 'emotion moderation'  
 345 was mainly driven by their relationship to negative affectivity scores ( $\beta=-0.281$ ;  $p=0.001$ ). UF FA values  
 346 were not significantly associated with effortful control scores ( $\beta=-0.126$ ;  $p=0.150$ ).

347 Best-fit predictors of 'social function' were sex, corrected age at assessment and full-scale IQ (AIC  
 348 value = 407.210). Higher full-scale IQ was associated with better social functioning (i.e., lower 'social  
 349 function' factor scores;  $\beta=-0.334$ ,  $p<0.001$ ). Best-fit predictor of 'empathy' was sex and IMD (AIC value =  
 350 346.983). Girls had higher 'empathy' scores than boys ( $\beta=-0.319$ ,  $p=0.006$ ). FA values of the WM tracts  
 351 implicated in emotion processing were not associated with 'social function' and 'empathy'.

352 Results of regression analyses for the three outcome models (Emotion moderation, Social function &  
 353 Empathy) including best-fit predictors remained significant after applying Bonferroni correction, correcting  
 354 for the six WM tracts (adjusted p value for significance =0.008) (Table 5).

355  
 356 **Table 5. Regression analyses for socio-emotional factors**

Outcome	Data Structure	Predicting Variable	Beta	p value
Emotion Moderation	Normal distribution	Right UF FA	-0.280	<0.001*
		Full-scale IQ	-0.129	0.104
Social Function	Normal distribution	Sex	0.279	0.048
		Corrected age at assessment	-0.103	0.138
		Full-scale IQ	-0.334	<0.001*
Empathy	Normal distribution	Sex	-0.341	0.006*
		IMD	-0.110	0.083

357

358 **Figure 4.**

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363 **Discussion**

364 This study found that white matter diffusion characteristics in the uncinate fasciculus assessed at term  
365 equivalent age in very preterm infants were associated with childhood 'emotion moderation' scores, which  
366 summarise a latent factor reflecting both increased negative affectivity and enhanced effortful control.  
367 Negative affectivity refers to a reactive temperamental trait that is characterised by an overall negative  
368 outlook of oneself and the surrounding world (e.g., frustration, anger, sadness). Effortful control is  
369 conceptualised as an umbrella term referring to a child's capacity to focus and shift attention, intentionally  
370 inhibit a response, and respond to low-intensity stimulation and reward (Rothbart et al., 2003). The two  
371 traits, negative affectivity and effortful control, could be compared to constructs used to describe adult  
372 personality, Neuroticism and Constraint/Conscientiousness, respectively (Digman, 1990). Summary scores  
373 for negative affectivity and effortful control tend to be negatively correlated in community samples (Putnam  
374 et al., 2006), hence the factor described here as 'emotion moderation', which combines high negative  
375 affectivity and enhanced effortful control, may look unintuitive at first. This factor could be interpreted as  
376 reflecting an adaptive strategy, whereby children use regulatory skills in order to moderate the impact of  
377 reactive systems, i.e., negative emotionality (Rothbart and Bates, 1998; Nigg, 2006). In line with this  
378 hypothesis, Eisenberg and colleagues (Eisenberg et al., 2001) showed that negative emotionality and low  
379 regulation were maladaptive, while Belsky et al. (Belsky et al., 2001) found that high levels of  
380 orienting/effortful control moderated the impact of children's negative affectivity on behavioural outcomes.

381 Lower FA values in the right UF assessed at term were associated with higher 'emotion moderation'  
382 scores in childhood. When this factor was decomposed into the two variables that loaded onto it (negative  
383 affectivity and effortful control) we found that this association was driven by the relationship between right  
384 UF FA values and negative affectivity. Anatomically, the UF is sited within the limbic system, and  
385 connects the 'temporo-amygdala-orbitofrontal network' (Catani et al., 2013), which has been suggested to  
386 play a pivotal role in 'affective tagging' (Von Der Heide et al., 2013), i.e., the assignment of emotional tone,  
387 such as positive and negative feelings, to the representations stored in the anterior temporal lobe (Olson et  
388 al., 2013). Diffusion characteristics of the UF have been previously implicated in a variety of psychiatric

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389 disorders (Von Der Heide et al., 2013) including anxiety disorder (Phan et al., 2009) and major depression  
390 (Cullen et al., 2010) and have also been associated with early adversity and future psychological  
391 vulnerability to stress (Hanson et al., 2015). A study in major depression investigating diffusion  
392 characteristics and resting state functional connectivity of the UF showed structural alterations together with  
393 functional orbitofrontal cortex-amygdala inhibition, suggesting this dysconnectivity pattern was mediated by  
394 “top-down” influences from the frontal cortex to the amygdala (Zheng et al., 2018). We speculate that early  
395 diffusion characteristics of the UF may be associated with difficulties in top-down regulation, leading to  
396 children’s inability to down-regulate amygdalar activity, resulting in the tendency to attribute negative  
397 feelings to certain contexts and situations, and in the overexpression of negative affect.

398 Furthermore, although our results did not show a direct association between UF FA values and effortful  
399 control, and the UF has not been selectively implicated in effortful/cognitive control in the published  
400 literature (Noble et al., 2013), it may nevertheless be relevant to effortful control in the context of emotions,  
401 with a previous study showing an association between UF integrity and emotional control in children with  
402 traumatic brain injury (Johnson et al., 2011).

403 Results showed a laterality effect, with only the right UF FA values being associated with ‘emotion  
404 moderation’ scores. These findings are in line with previous research, which demonstrated lateralisation of  
405 emotional processes. According to the valence hypothesis (Hellige, 2001), the processing of negative  
406 emotions preferentially engages the right side of the brain, whereas positive emotions are preferentially  
407 processed by the left side. This hypothesis is supported by functional MRI results showing participants are  
408 better at discriminating sad faces when visual stimuli are displayed in the left visual field (i.e., right  
409 hemisphere) and better at discriminating happy faces when displayed in the right visual field (i.e., left  
410 hemisphere) (Adolphs et al., 2001; Rodway et al., 2003). The valence hypothesis is also supported by  
411 research showing that direct stimulation of the right amygdala induced unpleasant emotions, whereas  
412 stimulation of the left amygdala induced both pleasant and unpleasant emotions (Lanteaume et al., 2006).  
413 Further, differences between the two hemispheres in terms of volume and number of streamlines for UF  
414 subcomponents have been previously observed (Park et al., 2004; Hau et al., 2017), suggesting left-  
415 lateralised dorso-lateral and right-lateralised ventro-medial UF subcomponents.

416 Diffusion characteristics of any of the neonatal white matter tracts studied here were not associated with  
417 'social function' and 'empathy' factor scores. 'Social function' was characterised by higher factor loadings  
418 for subscales evaluating social problems, and lower factor loadings for prosocial behaviour, therefore higher  
419 'social function' scores reflected increased overall social difficulties. Better 'social function' was associated  
420 with higher full-scale IQ, supporting previous literature highlighting the importance of cognitive  
421 development for successful social adaptation (Watson et al., 1999; Adolphs, 2001). These results could be  
422 important for translational research, as they suggest that an enhancement of children's cognitive abilities  
423 could increase their understanding of social interactions (Soto-Icaza et al., 2015), leading to a more  
424 successful psychosocial adjustment. Furthermore, both social and emotional skills are thought to be  
425 intertwined with cognitive processes, with theoretical models postulating that emotions arise from  
426 evaluations of the goal relevance of a stimulus, and that other people are the most goal-relevant stimuli in  
427 one's life (Olsson and Ochsner, 2008). Such framework could explain the inclusion of 'SDQ emotional  
428 problems' in our 'social function' factor.

429 Girls had higher 'empathy' scores than boys, indicating a better ability to empathise with the experiences  
430 of others. Sex differences in empathy have been widely documented in previous research (Auyeung et al.,  
431 2009), and are thought to be reinforced by gender-based expectations of parents, teachers and caregivers  
432 (Stern and Karraker, 1989).

433 Limitations of the present study include a lack of full-term control participants, which limits the  
434 generalisability of our findings only to those children born very preterm. In addition, the very preterm pre-  
435 schoolers who were followed-up in our study came from a relatively high socio-economic background  
436 (23.8% belonged to the least deprived IMD quintile) and had a higher mean full-scale IQ and lower  
437 'neonatal sickness index' scores compared to non-returners. Therefore, the current sample includes those  
438 children with a more favourable outcome and may not be representative of the overall ePrime sample and  
439 the wider very preterm population. Taking this into consideration, our results may be generalisable only to  
440 relatively high functioning very preterm children.

441 An added limitation of the current study is that dMRI was acquired using a b value of  $750\text{s}/\text{mm}^2$  with 32  
442 non-collinear directions. Further, the diffusion metric FA is not suitable for modelling crossing fibres and is  
443 more susceptible to partial volume effects, limiting our ability to delineate the SLF in its entirety.

444 Another limitation is the omission of the cingulum in our analyses, as this tract has been associated with  
445 emotion processing and psychiatric symptomatology (Bubb et al., 2018). Cingulum tractography was not  
446 performed because TSA determines the tract skeleton by thinning the tract down to a medial surface, and  
447 therefore tube-like structures (such as the cingulum) are ill-suited for this methodology.

448 Results linking neonatal white matter alterations with the tendency to overexpress negative emotions  
449 about oneself and the surrounding world in childhood, contributes to the growing body of research  
450 attempting to use an infant's connectivity profile to predict its function in the future. This has been recently  
451 demonstrated by a study that used children's connectivity fingerprints before they could read to predict their  
452 functional responses in a brain region hypothesised to be implicated in word recognition (i.e., the visual  
453 word form area) after they had learnt to read 3 years later (Saygin et al., 2016). The ability to predict typical  
454 and atypical patterns of emotional development would create opportunities for the early targeting of  
455 emerging emotional problems and their downstream consequences, including emotional disorders. This  
456 could be achieved through preventative therapies, such as emotion regulation training, that would help  
457 children to deal with potential stressors and enhance their mental health (WHO, 2004; Brown et al., 2012).

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- 674 **Figure 1.** Recruitment flow chart; TEA = term-equivalent age; PMA=post-menstrual age.
- 675
- 676 **Figure 2.** Example of right sagittal and bilateral axial surface representation of tracts: a) Uncinate Fasciculus, b)  
 677 Inferior Fronto-Occipital Fasciculus, c) Inferior Longitudinal Fasciculus, d) Superior Longitudinal Fasciculus.
- 678
- 679 **Figure 3.** a) Scree plot representing eigenvalues, used to determine number of factors to retain. b) Heatmap indicating  
 680 factor loadings on Emotion Moderation, Social Function and Empathy.
- 681
- 682 **Figure 4.** a) Scatterplot showing negative relationship between right UF FA values and Emotion moderation scores (1  
 683 outlier removed, total n = 150). b) Scatterplot showing negative relationship between IQ scores and Social function  
 684 scores (1 outlier removed, total n = 150). c) Boxplot showing sex differences in Empathy scores. Outliers were  
 685 defined as values more than 1.5 times the value of the interquartile range beyond the quartiles.
- 686
- 687 **Table 1.**
- 688 Definitions of ROIs drawn manually to delineate white matter tracts. UF = Uncinate Fasciculus; IFOF = Inferior  
 689 Fronto-Occipital Fasciculus; ILF = Inferior Longitudinal Fasciculus, SLF = Superior Longitudinal Fasciculus; CC =  
 690 Corpus Callosum.
- 691
- 692 **Table 2.**
- 693 Participants' clinical and socio-demographic characteristics. CA = corrected age at assessment; GA = gestational age;  
 694 IMD = Index of Multiple Deprivation; IQR = interquartile range; MRI = magnetic resonance imaging; PMA = post-  
 695 menstrual age at neonatal MRI; SD = standard deviation
- 696
- 697 **Table 3.**
- 698 Descriptive statistics for children's outcome measures. Raw values are shown. CBQ = Children's Behaviour  
 699 Questionnaire; EmQue = Empathy Questionnaire; IQR = interquartile range; SD = standard deviation; SDQ =  
 700 Strengths and Difficulties Questionnaire; SRS = Social Responsiveness Scale.
- 701
- 702 **Table 4.**

703 Descriptive statistics for diffusion properties of WM tracts implicated in emotion processing. UF = Uncinate  
704 Fasciculus; IFOF = Inferior Fronto-Occipital Fasciculus; ILF = Inferior Longitudinal Fasciculus, SLF = Superior  
705 Longitudinal Fasciculus.

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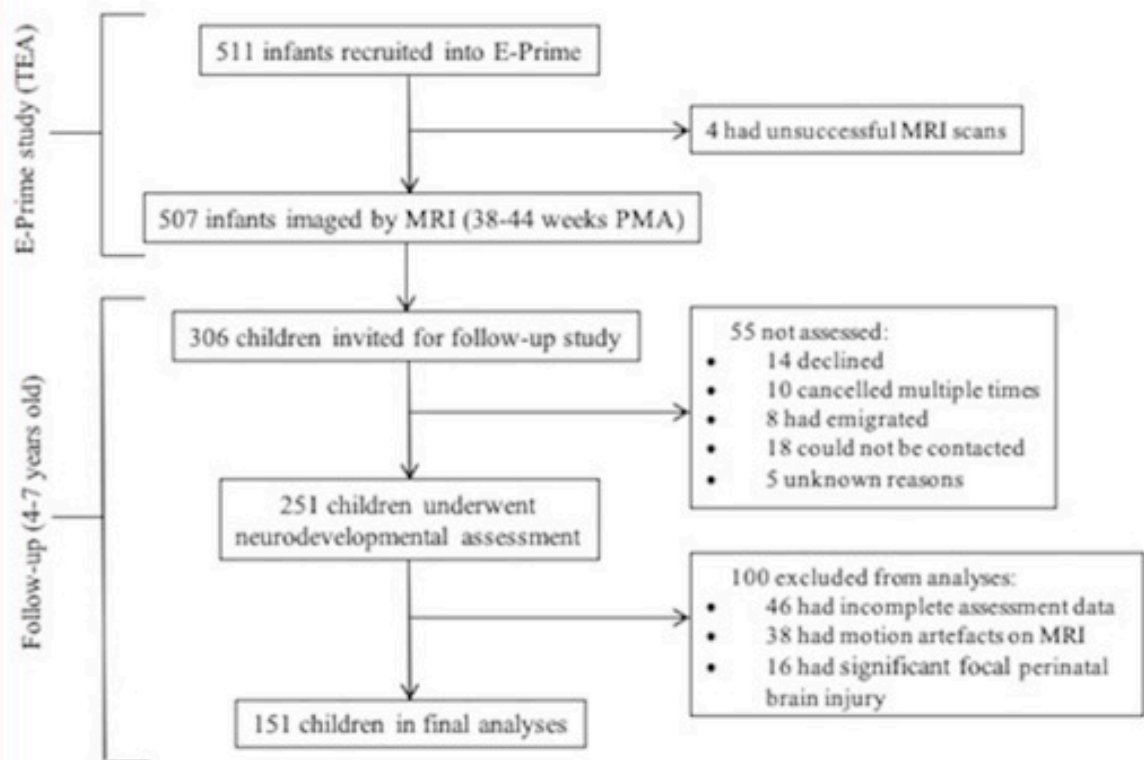
707 **Table 5.**

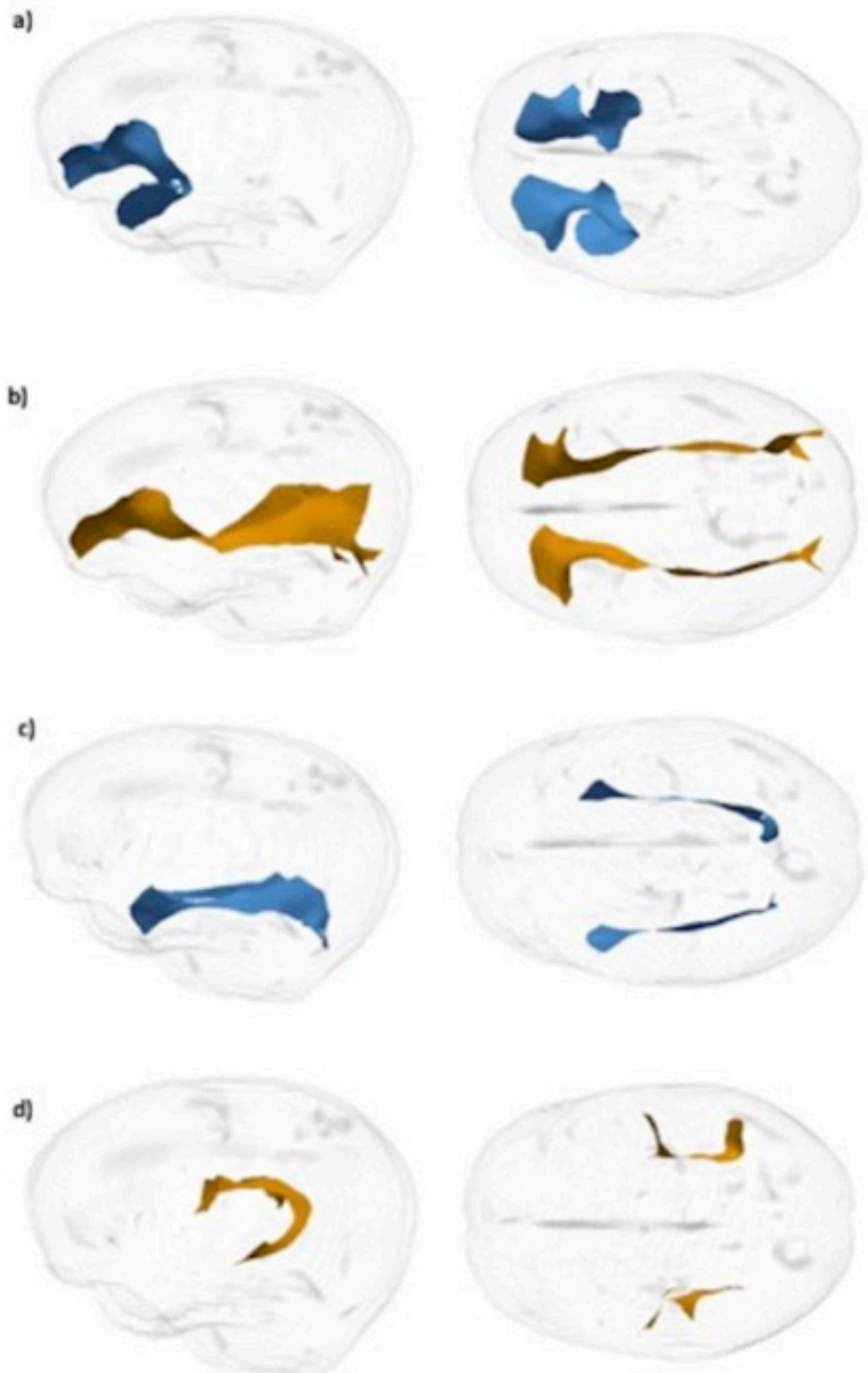
708 Results from regression analyses for socio-emotional factors including best-fit predictors.

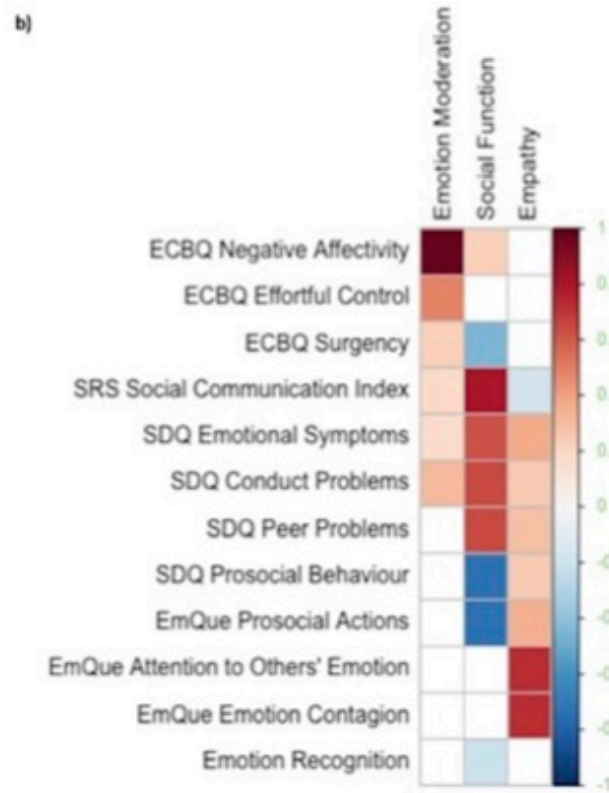
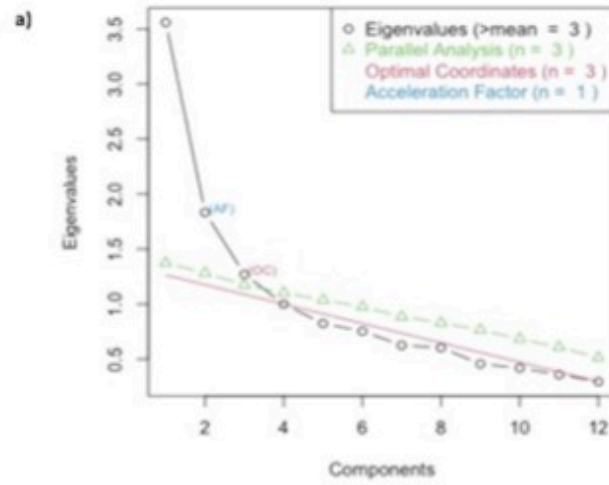
709 \*Analyses significant after applying Bonferroni correction (adjusted p value for significance = 0.008).

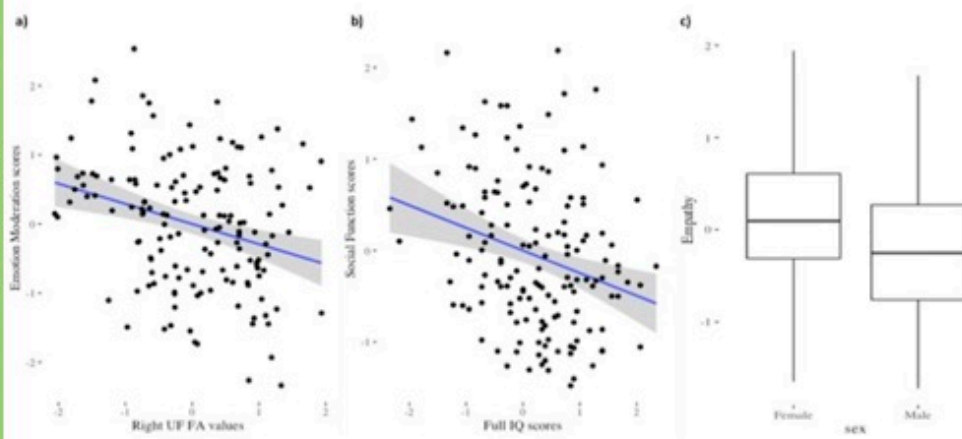
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## 5.1: Additional analyses

### 5.1.1 Exploring effects of brain injury on DTI metrics and outcomes

#### 5.1.1.1 Statistical analyses

For brain injury group classification and data on group sample sizes, please see Section 4.1.5. Neonatal diffusion characteristics and childhood socio-emotional outcomes were compared between brain injury groups. ANOVAs were performed on all WM tract DTI metrics investigated (FA and RD for UF, ILF, and SLF), as well as socio-emotional outcomes including: CBQ subscales (Negative Affectivity, Effortful Control, Surgency), SDQ subscales (Emotional Symptoms, Conduct Problems, Peer Problems, Prosocial Behaviour), SRS Social Communication Index, EmQue subscales (Emotion Contagion, Attention to Others' Feelings, Prosocial Actions), and Emotion Recognition score. Where a significant group interaction was found after correcting for multiple comparisons, post-hoc Tukey tests were performed to determine specific significant between-group differences.

#### 5.1.1.2 DTI metrics

Table 5.1 shows mean DTI metric values (FA and RD) for selected WM tracts (UF, ILF, SLF), for each of the three brain injury groups (major injury, minor injury, and no injury).

**Table 5.1.** DTI metrics in selected WM tracts for brain injury groups.

White Matter Tract	DTI Metric	Mean (SD)		
		Major injury (n = 35)	Minor injury (n = 210)	No injury (n = 162)
Right UF	FA	0.17 (0.01)	0.17 (0.02)	0.17 (0.02)
	RD	1.18 (0.07)	1.20 (0.07)	1.19 (0.07)
Left UF	FA	0.17 (0.02)	0.16 (0.02)	0.17 (0.02)
	RD	1.19 (0.07)	1.21 (0.07)	1.19 (0.07)
Right ILF	FA	0.19 (0.03)	0.19 (0.02)	0.20 (0.02)
	RD	1.27 (0.13)	1.23 (0.09)	1.20 (0.08)
Left ILF	FA	0.20 (0.03)	0.20 (0.02)	0.21 (0.02)
	RD	1.19 (0.11)	1.17 (0.08)	1.15 (0.08)
Right SLF	FA	0.18 (0.02)	0.19 (0.02)	0.19 (0.02)
	RD	1.15 (0.09)	1.18 (0.07)	1.15 (0.07)
Left SLF	FA	0.16 (0.02)	0.16 (0.02)	0.17 (0.02)

	RD	1.15 (0.09)	1.18 (0.07)	1.16 (0.07)
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ILF = Inferior Longitudinal Fasciculus; SLF = Superior Longitudinal Fasciculus; UF = Uncinate Fasciculus

Table 5.2 shows results of ANOVAs among injury groups (major vs minor vs no injury) on DTI metrics. Results were considered significant after correcting for multiple comparisons (adjusted  $p$ -value = 6 tracts x 2 DTI metrics = 0.05 / 12 = 0.0042).

**Table 5.2.** ANOVA and post-hoc analyses results of DTI metrics between brain injury groups

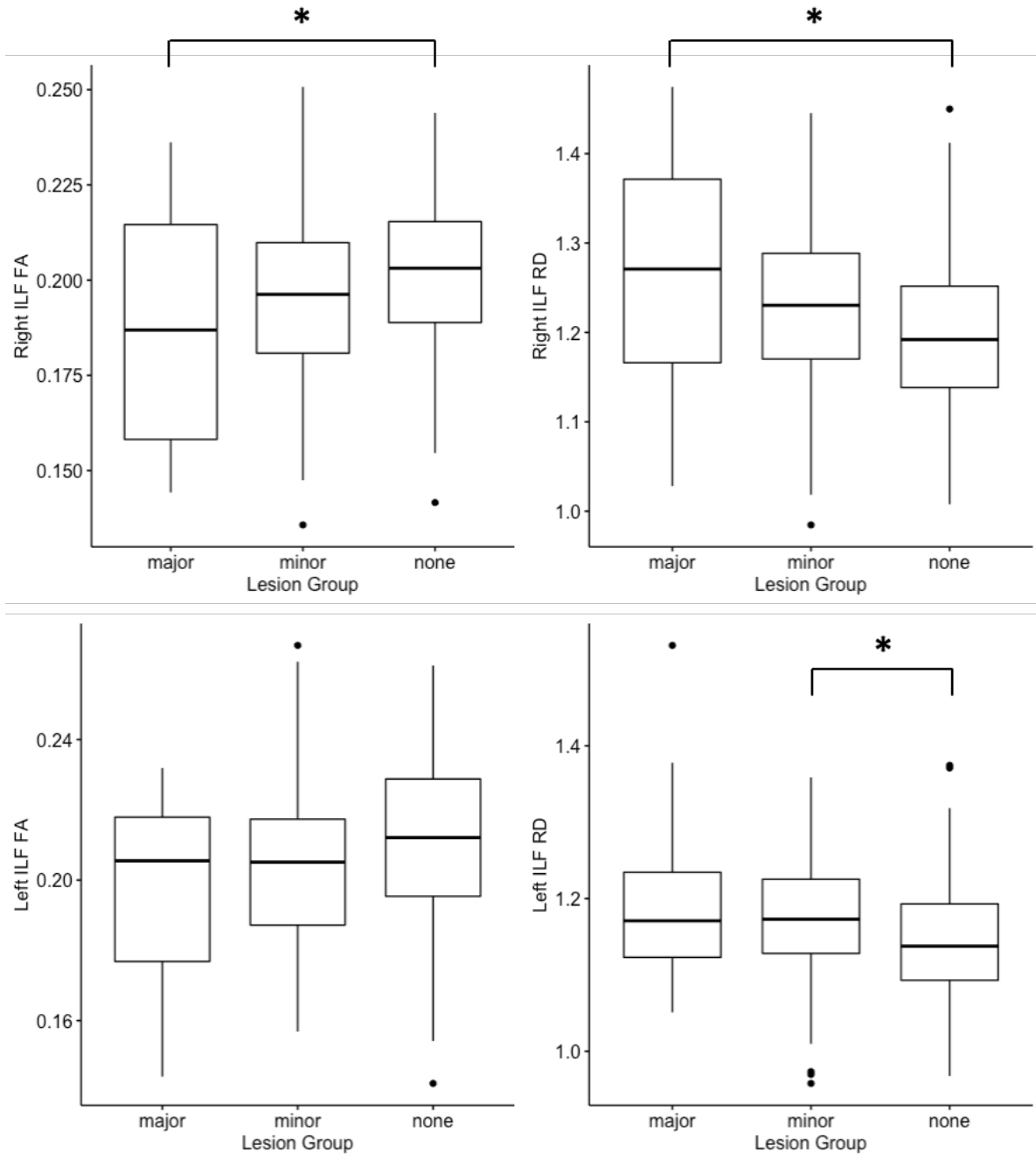
<b>3-group ANOVA results</b>				
<b>White Matter Tract</b>	<b>DTI Metric</b>	<b>F†</b>	<b>Effect-size (<math>\eta_p^2</math>)</b>	<b><math>p</math>-value</b>
Right UF	FA	4.564	0.022	0.011
	RD	1.981	0.010	0.139
Left UF	FA	4.523	0.022	0.011
	RD	3.074	0.015	0.047
Right ILF	FA	9.582	<b>0.045</b>	<b>&lt;0.001*</b>
	RD	12.217	<b>0.057</b>	<b>&lt;0.001*</b>
Left ILF	FA	6.659	<b>0.032</b>	<b>0.001*</b>
	RD	7.573	<b>0.036</b>	<b>&lt;0.001*</b>
Right SLF	FA	6.589	<b>0.032</b>	<b>0.002*</b>
	RD	5.005	0.024	0.001
Left SLF	FA	6.841	<b>0.033</b>	<b>0.001*</b>
	RD	4.311	0.021	0.014

ILF = Inferior Longitudinal Fasciculus; SLF = Superior Longitudinal Fasciculus; UF = Uncinate Fasciculus.

† Degrees of freedom = 2, 404

$\eta_p^2$  = Partial Eta Squared;  $\eta_p^2$  = 0.01 indicates a small effect size;  $\eta_p^2$  = 0.06 indicates a medium effect size;  $\eta_p^2$  = 0.14 or higher indicates a large effect size.

\* Results in **bold** significant after multiple corrections (adjusted  $p$ -value = 0.0042).



**Figure 5.1.** Boxplots depicting post-hoc brain injury group mean differences on DTI metrics. \*Post-hoc analyses showing significant group mean differences.

DTI metrics of the right ILF (FA and RD) were significantly different between participants with major lesions and those with no reported brain lesions at TEA. Children with major brain injury had significantly lower FA and higher RD values than children with no brain injury in the right ILF. RD values in the bilateral ILF were significantly different between participants with minor lesions and

those with no reported brain lesions at TEA. These findings represent the importance of assessing various degrees of brain injury in investigations of brain development in preterm children.

### 5.1.1.3 Socio-emotional outcomes

Children who had major brain injury on neonatal MRI were excluded from the factor analyses, however the three groups (major injury, minor injury, and no injury) were compared in terms of individual socio-emotional outcome variables. Of the 251 participants followed-up at 4-7 years, 17 (7%) had a major brain lesion, 142 (57%) had a minor brain lesion, and 92 (37%) had no brain lesions. Mean group socio-emotional outcome scores are displayed in Table 5.3, as well as ANOVA results.

**Table 5.3.** Results from analyses of socio-emotional outcomes between the three brain injury groups

Variable	Mean (SD)			3-group ANOVA:	
	Major injury (n = 17)	Minor injury (n = 142)	No injury (n = 92)	F*	p-value
CBQ Negative Affectivity	4.19 (0.72)	4.25 (0.67)	4.30 (0.61)	0.768	0.465
CBQ Effortful Control	4.49 (0.48)	4.43 (0.50)	4.53 (0.48)	0.804	0.449
CBQ Surgency	4.84 (0.53)	5.09 (0.63)	5.09 (0.72)	0.343	0.710
SDQ Emotional Symptoms	2.29 (2.05)	1.72 (1.79)	1.51 (1.59)	1.010	0.336
SDQ Conduct Problems	2.32 (2.32)	1.88 (1.73)	1.51 (1.43)	1.774	0.172
SDQ Peer Problems	2.84 (2.02)	1.51 (1.52)	1.12 (1.61)	4.679	0.010
SDQ Prosocial Behaviour	6.79 (2.15)	7.50 (1.84)	7.83 (1.97)	1.399	0.249
SRS Social Communication Index	53.40 (10.60)	47.30 (7.94)	47.30 (8.87)	1.404	0.248
EmQue Emotion Contagion	0.55 (0.40)	0.33 (0.32)	0.39 (0.45)	2.593	0.077
EmQue Attention to Others' Feelings	1.27 (0.33)	1.29 (0.38)	1.27 (0.40)	0.082	0.921
EmQue Prosocial Actions	0.89 (0.44)	1.07 (0.37)	1.07 (0.43)	0.317	0.728
Emotion Recognition Score	32.90 (6.18)	33.70 (6.67)	33.60 (6.43)	0.120	0.887

No between group differences were significant after Bonferroni Correction (p-threshold = 0.05 / 12 = 0.004).

\* Degrees of freedom = 2, 222

There were no significant differences in the socio-emotional outcome scores between children with major injury, minor injury, and those with no injury at TEA.

## 5.1.2 Exploring associations between radial diffusivity and outcomes variables

### 5.1.2.1 Reasons for the inclusion of RD analyses

Elevated RD values reflect increased perpendicular diffusivity within an imaging voxel, and analyses of changes in RD provide more specific information on perpendicular diffusivity in WM than analyses of FA. Early animal studies suggested RD alterations reflect changes in myelination of axons (Song et al., 2003; Song et al., 2002b; Song et al., 2005). A more recent animal study found that, whilst FA was sensitive to axonal integrity, RD was significantly associated to myelin compactness (Tu et al., 2016). However, during the period prior to TEA, in WM regions that are not yet myelinated, increases in RD might indicate a delayed wrapping of oligodendrocytes around the axon that occurs pre-myelination (Counsell et al., 2006).

### 5.1.2.2 Methods

For methods on DTI data collection and processing, please see Chapter 5, Section ‘MRI acquisition and analysis’. Methods and analysis of socio-emotional outcomes are described in Chapter 5 Section ‘Neurodevelopmental outcomes’. Statistical analyses mirrored methods used in Chapter 5, Section ‘Statistical analyses’. Briefly, an automated model selection process selected best-fit linear models for each socio-emotional outcome factor, through model comparison using AIC. Variables in each model included RD values of WM tracts investigated (left and right UF, ILF, and SLF), PMA, corrected age at follow-up at Timepoint 2, IQ, IMD, maternal education, sex, and neonatal sickness index. Linear regression was then performed to study the association between predictor variables included in best-fit model and socio-emotional factor scores. Results of regression analyses were considered significant after applying Bonferroni correction, correcting for the six WM tracts x 2 DTI metrics (adjusted p-value for significance = 0.004)

### 5.1.2.3 General Linear Models including RD

#### *Best-fit predictors of socio-emotional outcomes*

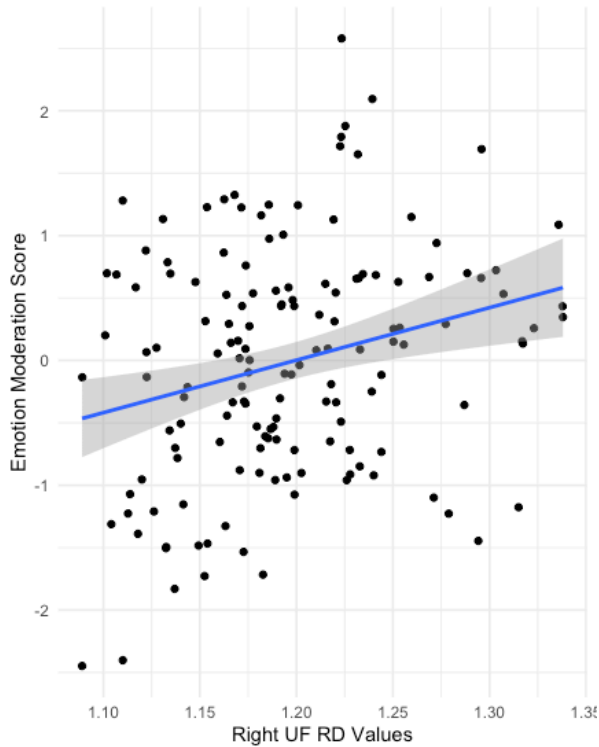
Results of best fit model selection and subsequent regression analyses for the three outcome models (*Emotion Moderation, Social Function & Empathy*) are shown in Table 5.4.

**Table 5.4.** Regression analyses for best-fit predictors of socio-emotional factors

Outcome	Predicting Variable	Beta	<i>p</i> -value
Emotion Moderation	<b>Right UF RD</b>	<b>5.850</b>	<b>&lt;0.002*</b>
	Left SLF RD	-6.441	0.032
	Right SLF RD	4.586	0.096
	Full-scale IQ	-0.151	0.056
Social Function	Sex	0.279	0.048
	Corrected age at assessment	-0.103	0.138
	<b>Full-scale IQ</b>	<b>-0.334</b>	<b>&lt;0.001*</b>
Empathy	Right UF RD	3.545	0.006
	Right ILF RD	-1.678	0.084
	<b>Sex</b>	<b>-0.379</b>	<b>0.002*</b>
	IMD	-0.112	0.074

\* *p*-value significant after correcting for multiple comparisons (adjusted *p* = 0.004)

Best-fit predictors of *Emotion Moderation* were right UF RD values, left SLF RD values, right SLF RD values, and full-scale IQ (AIC value = 406.865). Higher RD values in the right UF were significantly associated with higher *Emotion Moderation* scores ( $\beta=5.850, p=0.002$ ) (Figure 5.1). Post-hoc results showed that the association between right UF RD values and *Emotion Moderation* was mainly driven by their relationship with Negative Affectivity scores ( $\beta=4.483; p=0.001$ ). UF RD values were not significantly associated with Effortful Control scores ( $\beta=2.474; p=0.077$ ).



**Figure 5.2.** Scatterplot showing positive relationship between right UF RD values and emotion moderation scores (two outliers removed, total  $n = 149$ ).

Best-fit predictors of *Social Function* scores were sex, corrected age at assessment and full-scale IQ (AIC value = 387.387). Higher full-scale IQ was associated with better social functioning (i.e., lower *Social Function* scores;  $\beta = -0.334$ ,  $p < 0.001$ ). Best-fit predictors of *Empathy* scores were sex, IMD, right UF RD, and right ILF RD (AIC value = 343.391). Girls had higher ‘empathy’ scores than boys ( $\beta = -0.379$ ,  $p = 0.002$ ). RD values for the WM tracts implicated in emotion processing were not significantly associated with *Social Function* or *Empathy* scores.

#### 5.1.2.4 Re-analysing FA results with stricter $p$ threshold as a result of additional models

Results from original analyses with FA remained significant after correcting for 6 extra models (new adjusted  $p$ -value = 0.004): lower FA values in the right UF were associated with higher ‘emotion moderation’ scores ( $\beta = -0.280$ ,  $p < 0.001$ ).

# Chapter 6: Neonatal amygdala resting-state functional connectivity and socio-emotional development in very preterm children

## 6.1 Introduction

Children born very preterm are more likely to experience socio-emotional problems compared to their term-born peers, including atypical social development, emotion dysregulation and internalising problems (Healy et al., 2013; Johnson et al., 2010; Jones et al., 2013; Treyvaud et al., 2013).

Behavioural difficulties may be investigated in the context of altered neurodevelopment following very preterm birth, as the immature nervous system is vulnerable to injury and abnormal development (Volpe, 2009a). Very preterm infants and children display significant functional connectivity alterations in terms of strength and network complexity when compared to term-born controls (Bouyssi-Kobar et al., 2019; Eyre et al., 2021; Scheinost et al., 2016b; Smyser et al., 2016; Wheelock et al., 2021). Indeed, such functional connectivity alterations in preterm neonates have been associated with the subsequent development of childhood cognitive and behavioural outcomes (Ball et al., 2017; Ramphal et al., 2020; Sylvester et al., 2018a).

Of particular interest with respect to socio-emotional development are the amygdalae, bilateral limbic regions that are central to the brain's emotional processing networks (LeDoux, 2003; LeDoux, 2000; Pessoa and Adolphs, 2010; Price, 2003). Very preterm children and adolescents compared to term-born controls exhibit altered structural and functional amygdalae development, showing smaller

amygdalae volumes (Cismaru et al., 2016) and reduced connectivity (Johns et al., 2019; Mossad et al., 2020; Scheinost et al., 2016a). Using a longitudinal design, a recent study showed that resting state functional connectivity (rs-FC) between the left amygdala and several regions (including the medial PFC, posterior cingulate and anterior insula) measured at term-equivalent age in very preterm infants predicted internalising symptoms at 2 years of age (Rogers et al., 2017).

To the best of our knowledge, no study has yet focussed on rs-FC in preterm neonates in association to childhood socio-emotional development. This study investigates neonatal amygdalae rs-FC and its association with childhood socio-emotional development.

Additionally, I explored function-structure associations between amygdalae rs-FC and the relevant diffusion characteristics of the UF that were previously shown to relate to socio-emotional outcome (outcome of Kanel et al. (2021b), Chapter 5 of the current thesis).

## 6.2 Materials and methods

### 6.2.1 Participants

511 infants were originally recruited in 2010-2013 as part of the Evaluation of Preterm Imaging study (ePrime, EudraCT 2009-011602-42)(Edwards et al., 2018), from hospitals within the North and Southwest London Perinatal Network. Inclusion criteria were birth <33 weeks' gestational age (GA) and maternal age over 16 years. Exclusion criteria were the presence of major congenital malformation, prior MRI, metallic implants, parents unable to speak English, or being subject to child protection proceedings. Infants underwent MRI at TEA, defined as 38-44 weeks GA.

Complete resting-state fMRI data were available for 298 neonatal scans after removal of incomplete or corrupt data. Infants with PMA at scan  $\geq 45$  weeks were excluded, as well as those with major destructive brain lesions, defined as periventricular leukomalacia, haemorrhagic parenchymal infarction and other ischemic or haemorrhagic lesions (Barnett et al., 2018), but not including punctate lesions.

251 children were invited for a neurodevelopmental follow-up assessment at the Centre for the Developing Brain, St Thomas' Hospital, London, between the ages of 4 and 7. Complete follow-up behavioural data were available for 151 children. The final sample consisted of 129 very preterm born participants (mean GA = 30.3 weeks (24–32.9)) with neonatal resting-state functional, T1, and T2 weighted MRI at TEA (mean age at scan = 42.2 weeks (SD = 1.44)) and subsequent childhood follow-up assessment (mean age at assessment = 4.64 years (SD = 4.18–7.17)).

Written informed consent was obtained from participants' carer(s) following procedures approved by the National Research Ethics Committee (14/LO/0677). The study was carried out in accordance with the Code of Ethics of the World Medical Association (Declaration of Helsinki).

### 6.2.2 Perinatal socio-demographic and clinical data

Perinatal socio-demographic and clinical data were collected, with permission, from the Standardised Electronic Neonatal Database. Index of Multiple Deprivation (IMD) score, a proxy for socioeconomic status, was computed from parental postcode at the time of infant birth (Department for Communities and Local Government, 2011; <https://tools.npeu.ox.ac.uk/imd/>). The IMD measures social risk by comparing each neighbourhood to all others in the country and is based on seven domains of deprivation: income, employment, education skills and training, health and disability, barriers to housing and services, living environment and crime. Maternal education was defined as age upon leaving full-time education, divided into two categories: a) at or before 19 years, b) after 19 years (Kleine et al., 2020). Clinical data were summarised into a 'neonatal sickness index' (please refer to Kanel et al. (2021b) for further details) which consisted of the following five variables: GA, days on total parenteral nutrition, days on continuous positive airway pressure, days on mechanical ventilation and surfactant administration. Higher values reflected greater clinical risk.

Sample characteristics for the original neonatal sample and follow-up subsamples, with available behavioural and MRI + behavioural data, are shown in Table 6.1. The current complete sample (resting-state fMRI + behavioural data) did not differ from the baseline neonatal sample (complete resting-state fMRI data, n = 298) in terms of GA ( $t = 0.727$ ,  $p = 0.468$ ), PMA ( $t = -0.607$ ,  $p = 0.544$ ),

neonatal sickness index ( $t = -0.112, p = 0.911$ ), IMD ( $t = 1.360, p = 0.175$ ), sex ( $\chi^2 = 0.16, p = 0.691$ ), or maternal education ( $t = 1.87, p = 0.062$ ). The current complete sample also did not differ from the behavioural follow-up subsample in terms of age at childhood assessment ( $t = -1.221, p = 0.231$ ) or full-scale IQ ( $t = 0.124, p = 0.902$ ).

**Table 6.1.** Socio-demographic sample characteristics

	<b>Baseline (MRI) sample (N=298)</b>	<b>Follow-up (behavioural) sample (N=151)</b>	<b>Complete (MRI + behavioural) sample (N=129)</b>
GA (weeks), median (range)	30.43 (23.57–32.86)	30.14 (24–32.86)	30.3 (24.00–32.90)
PMA (weeks), mean (SD)	42.12 (1.53)	42.22 (1.42)	42.2 (1.44)
Neonatal sickness index, median (range)	-0.29 (-1.34–2.55)	-0.32 (-1.34–2.05)	-0.29 (-1.34–2.05)
IMD score quintiles, n (%)	1 (Least Deprived)	60 (20.1)	36 (23.8)
	2	43 (14.4)	26 (17.2)
	3	61 (20.5)	37 (24.5)
	4	66 (22.1)	35 (23.2)
	5 (Most Deprived)	68 (22.8)	17 (11.3)
Maternal education $\geq 19$ years, number (%)	200 (67.11)	117 (77.5)	95 (73.64)
Female (number, %)	146 (49.0)	69 (45.7)	61 (47.3)
Age at assessment (years), median (range)		4.63 (4.18–7.17)	4.64 (4.18–7.17)
Full-scale IQ at assessment, mean (SD)		108.03 (17.00)	108.00 (16.60)

*MRI = magnetic resonance imaging; GA = gestational age; PMA = postmenstrual age at scan; IMD = index of multiple deprivation*

## 6.2.3 MR imaging data

### 6.2.3.1 MRI acquisition

Infants underwent MR imaging at TEA on a 3-Tesla system (Philips Medical Systems, Best, The Netherlands) sited on the neonatal intensive care unit using an eight-channel phased array head coil. A paediatrician experienced in MRI procedures supervised the care of the infant during MR imaging. Pulse oximetry, temperature, and electrocardiography data were monitored throughout the session. Silicone-based putty (President Putty, Coltene Whaledent, Mahwah, NJ, USA), as well as neonatal earmuffs (MiniMuffs, Natus Medical Inc., San Carlos, CA, USA), were used for ear

protection. Oral chloral hydrate ( $25\text{--}50\text{ mg kg}^{-1}$ ) was administered to infants whose parents chose sedation for the procedure (87% of infants were sedated). Whole brain functional imaging was performed using a T2\* gradient echo planar image acquisition (sequence parameters: TR = 1500 ms; TE = 45 ms; flip angle =  $90^\circ$ ; field-of-view: 200 mm; matrix:  $80 \times 80$  (voxel size:  $2.5 \times 2.5 \times 4$  mm), 256 volumes (total scan time = 6 min 24 s). High-resolution anatomical images were acquired with pulse sequence parameters: T2 weighted fast-spin echo imaging: TR = 8670 ms, TE = 160 ms, flip angle  $90^\circ$ , slice thickness 2 mm with 1 mm overlap, in-plane resolution  $0.86 \times 0.86$  mm.

### 6.2.3.2 Image preprocessing

MR images were visually inspected to detect and exclude those with visible motion artefacts. Functional images then underwent single-subject independent component analysis (ICA) using FSL MELODIC (Beckmann and Smith, 2004) followed by FIX (Salimi-Khorshidi et al., 2014) for automatic de-noising and artefact removal. ICA was performed following removal of the first 6 volumes (allowing for T1 equilibration), motion correction with MCFLIRT, high-pass filtering (125s cutoff, 0.008 Hz) and automatic dimensionality estimation. No slice timing correction or spatial smoothing was applied at this stage. The standard FIX processing steps were modified to allow for standard-space masking using a population-specific neonatal template with tissue priors (Serag et al., 2012). The FIX algorithm was trained on hand-classified fMRI datasets, collected on the same scanner, from a sample of 40 preterm subjects aged 28-44 weeks GA, including both low-motion and high-motion subjects (see Ball et al. (2016), for further details).

Components were automatically classified as signal or noise (as described in Ball et al. (2016)), after which the unique variance of each noise component as well as the full variance of the motion parameters and derivatives were regressed out of the data (Griffanti et al., 2014; Satterthwaite et al., 2013). Standardised DVARS, a framewise data quality index (Power et al., 2012), was calculated before and after applying FIX. DVARS was significantly reduced following FIX clean-up ( $t(315) = 9.01$ ,  $p < .001$ ). Finally, datasets with more than two standard deviations above the mean number of volumes were detected as corrupted, as implemented by FSL Motion Outliers (calculated from DVARS), were

removed, resulting in a final sample of 298 infants, of whom 129 (who had complete behavioural follow-up data) were included in further analysis.

Cleaned functional images from the remaining sample were resampled to 2mm isotropic voxels and registered to a study-specific T2-weighted template using boundary-based registration. The template was generated from a subset of 161 participants using Advanced Normalization Tools (ANTs) software as described in Lautarescu et al. (2021). Data were spatially smoothed with a 4mm full-width half-maximum Gaussian kernel.

### 6.2.3.3 Seed-based connectivity

Seed-based connectivity refers to the correlation between voxels within one region of interest (or ‘seed’) and the rest of the brain. It requires a priori determination of the seed, usually based on a specific hypothesis. As discussed in the introduction, the amygdalae have been shown to be implicated in the development of socio-emotional outcomes in very preterm children (Rogers et al., 2017). Therefore, here we focus on their specific connectivity to the rest of the brain through a seed-based approach.

For each participant, the mean raw signal timeseries were extracted from the left and right amygdalae, respectively, as defined by the neonatal Automated Anatomical Labelling (AAL) atlas (Shi et al., 2011; Tzourio-Mazoyer et al., 2002). First-level general linear models (GLM) were constructed using FSL FEAT (Woolrich et al., 2001). separately for the left and right amygdalae, entering the mean seed timeseries as a regressor. Global signal regression was included to improve the specificity of positive signal correlations by adding mean whole-brain timeseries as an additional covariate.

## 6.2.4 Neurodevelopmental outcomes

Participants completed the Wechsler Preschool and Primary Scale of Intelligence (WPPSI-IV) (Wechsler, 2012) to estimate their full-scale IQ, and a facial emotion recognition task developed in-house (described in detail in Kanel et al. (2021b)). In short, this task used static stimuli from the Dartmouth database of children’s faces (Dalrymple et al., 2013), consisting of four boys and four girls

displaying six emotions (happy, surprise, fear, anger, disgust and sadness) and neutral expressions. Each emotion had two levels of intensity: either 100% (the original) or 50% (a morphed image of the emotional face with a neutral face). Children were asked to correctly determine which emotion each image was representing, and the total number of correct responses were added up to create a total emotion recognition score.

The following parental behavioural questionnaires were administered: the Strengths and Difficulties Questionnaire (SDQ) (Goodman, 1997), measuring general childhood psychopathology (25 items categorised into five subscales: Emotional Symptoms, Conduct Problems, Hyperactivity/Inattention, Peer Relationship Problems, and Prosocial Behaviour); the Children's Behaviour Questionnaire – Very Short Form (CBQ-VSF) (Putnam and Rothbart, 2006), assessing children's temperament, summarised into three broad scales (Negative Affectivity, Effortful Control, and Surgency); the Empathy Questionnaire (EmQue) (Rieffe et al., 2010), measuring empathy-related behaviours, summarised into three scales: Emotion Contagion, Attention to Others' Emotions, and Prosocial Actions; and the Social Responsiveness Scale (SRS-2) (Constantino and Gruber, 2012), assessing social impairments associated with autism-spectrum behaviours, which provides subscales for Social Communication/Interaction (SCI) and Restricted Interests and Repetitive Behaviour (RRB).

### 6.2.5 Statistical Analyses

Statistical analyses were performed in R (R Core Team, 2013) and FSL FEAT. Factor analyses included data on 151 participants with complete neurodevelopmental data, using the following socio-emotional outcome variables: four SDQ subscales (Emotional Symptoms, Conduct Problems, Peer Relationship Problems and Prosocial Behaviour), three CBQ subscales (Negative Affectivity, Effortful Control and Surgency), three EmQue subscales (Emotion Contagion, Attention to Others' Emotions and Prosocial Actions); the SRS-2 SCI subscale and accuracy on the emotion recognition task. The resulting three factors (*Emotion Moderation, Social Function & Empathy*) were used in subsequent analyses (see Kanel et al. (2021b)).

For each factor, two general linear models were built (for left and right amygdalae, separately), probing the association between whole-brain amygdalae rs-FC and each socio-emotional outcome factor controlling for sex, neonatal sickness index, PMA at scan, and socioeconomic status (i.e., IMD) (as maternal age at leaving education and IMD were correlated ( $r = -0.15$ ,  $p = 0.05$ ), we chose IMD as a measure of social risk). Z-scores were used for all continuous variables. Whole-brain activation was determined by a voxelwise z-threshold of 3.1 and a cluster significance threshold of  $p = 0.05$  (whole-brain family-wise error corrected). Clusters were labelled according to the Automated Anatomical Labelling (AAL) atlas (Shi et al., 2011; Tzourio-Mazoyer et al., 2002).

Where a significant association was found between a socio-emotional outcome factor and amygdalae rs-FC, post-hoc analyses were carried out to investigate associations between cluster-specific connectivity (i.e., mean extracted Beta values from the significant clusters) and individual variables contributing to the relevant socio-emotional outcome factor. We repeated all analyses after removal of outliers in terms of both behavioural outcomes and Beta rs-fMRI values, defined as values more than 1.5 times the value of the interquartile range beyond the quartiles. A Bonferroni-corrected significance threshold of  $p = .05 / 6 = .008$  (accounting for two lateralities and three outcome factors) was used for all follow-up analyses.

Finally, due to previous findings showing an association between neonatal fractional anisotropy in the right uncinate fasciculus and childhood *Emotion Moderation* scores in the same participant sample (Kanel et al., 2021b), structure-function associations were explored by calculating Spearman's rank order correlations between mean fractional anisotropy of the uncinate fasciculus and amygdalae rs-FC Beta values from specific clusters spatially located in brain regions known to be structurally connected to the amygdalae via the uncinate fasciculus (Von Der Heide et al., 2013).

## 6.3 Results

### 6.3.1 Socio-emotional factors

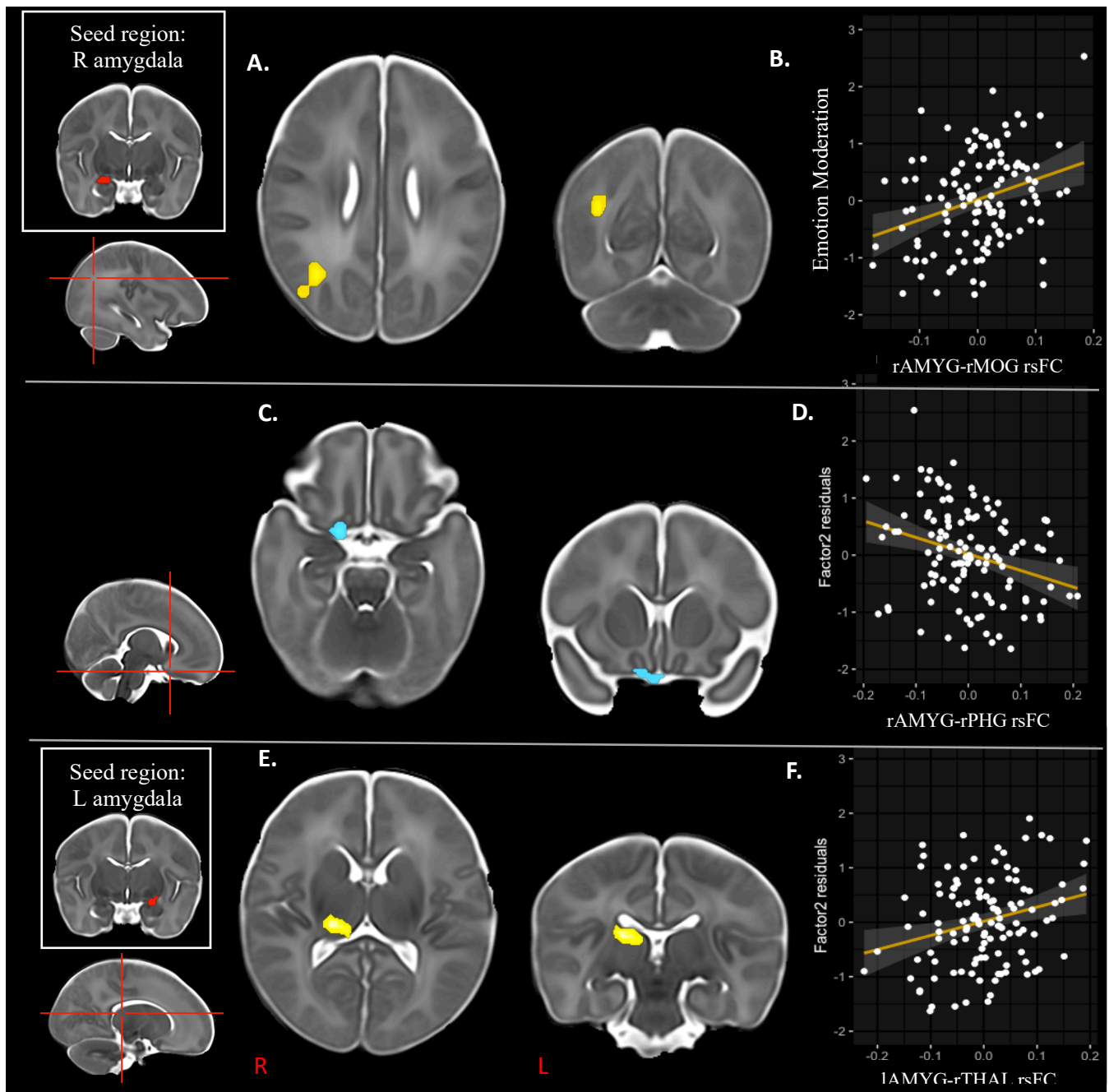
As previously reported, factor analyses conducted on socio-emotional outcome variables revealed a 3-factor structure: *Emotion moderation*, *Social Function & Empathy* (Kanel et al., 2021b). *Emotion Moderation* had positive loadings for CBQ-VSF Negative Affectivity and CBQ-VSF Effortful Control scores; *Social Function* included positive loadings for higher SDQ Emotional Symptoms, SDQ Conduct Problems, SDQ Peer Relationship Problems scores and SRS-2 SCI; as well as negative loadings for SDQ Prosocial Behaviour, EmQue Prosocial Actions and CBQ-VSF Surgency; and *Empathy* had positive loadings for EmQue Emotion Contagion and EmQue Attention to Others' Emotions scores. Emotion recognition scores did not substantially load onto any of the factors. A high score for *Emotion Moderation* indicates a more negative affect, as well as a stronger ability to effortfully control emotions. A high score for *Social Function* indicates more socialising difficulties, and a high score for *Empathy* indicates more displays of empathy in the child.

### 6.3.2 Association between neonatal amygdala connectivity and socio-emotional factors

#### 6.3.2.1 *Emotion Moderation*

After outlier deletion and Bonferroni-correction, significant associations were identified between neonatal rs-FC of the right amygdala with two distinct clusters, depicted in whole brain voxel-wise maps, and childhood *Emotion Moderation* scores (Figure 6.1). Neonatal rs-FC of the right amygdala with a cluster with local maxima in the right middle occipital gyrus (MOG), extending to the right angular gyrus, was positively associated with *Emotion Moderation* scores ( $n = 120$ ,  $\beta = 3.546$ ,  $p = 0.001$ ). Neonatal rs-FC of the right amygdala with a cluster in the right parahippocampal gyrus (PHG) extending to the right orbitofrontal cortex (OFC), the bilateral olfactory cortex, left gyrus rectus and right superior temporal pole, was negatively associated with *Emotion Moderation* scores ( $n = 123$ ,  $\beta = -2.743$ ,  $p = 0.003$ ) (Table 6.2).

A positive association was identified between neonatal rs-FC of the left amygdala with a cluster in the right thalamus and childhood *Emotion Moderation* scores ( $n = 122$ ,  $\beta = 2.848$ ,  $p = 0.003$ ) (Figure 6.1, Table 6.2).



**Figure 6.1.** Whole brain voxel-wise statistical maps (whole-brain family-wise error corrected) and regression partial plots, depicting significant associations between amygdalae rs-FC and *Emotion Moderation* scores. Right amygdala (rAMYG) - Right middle occipital gyrus (rMOG): **A.** statistical map of rMOG cluster; **B.** association between rAMYG-rMOG and *Emotion Moderation* score. rAMYG - right parahippocampal gyrus (rPHG): **C.** statistical map of rPHG cluster; **D.** association between rAMYG-rPHG and *Emotion Moderation* score. Left amygdala (lAMYG) – right thalamus (rTHAL): **E.** statistical map of rTHAL cluster; **H:** association

between IAMYG-rTHAL and *Emotion Moderation* score. All regression partial plots were created after outlier deletion. Yellow = positive associations, blue = negative associations.

**Table 6.2.** Neonatal amygdalae resting state functional connectivity and childhood *Emotion Moderation* scores.

Amygdala seed laterality	Max Z	Location	Cluster size	Coverage	Association
Right	4.32	R middle occipital gyrus	40	R angular gyrus, R middle occipital gyrus	Positive
Right	4.33	R parahippocampal gyrus	55	B olfactory cortex, R orbitofrontal cortex, L gyrus rectus, R superior temporal pole	Negative
Left	4.27	R thalamus	41		Positive

Results remained significant after Bonferroni correction and outlier deletion

Seed: left or right amygdalae. Max Z: Fisher's Z-transformed correlation measure at cluster peak.

Location: AAL area associated with cluster peak. Cluster size: number of voxels within cluster. Coverage: AAL areas included in cluster extent. Association: direction of association between rs-FC and '*Emotion Moderation*' outcome. R = right, L = left, B = bilateral.

In order to aid interpretation of contributing variables driving the association between childhood *Emotion Moderation* scores and neonatal amygdalae rs-FC, we further analysed the two variables that meaningfully loaded onto the *Emotion Moderation* factor into (CBQ-VSF Negative Affectivity and Effortful Control scores) and ran further regression analyses, adjusting for sex, neonatal sickness, PMA and IMD (retaining a significance threshold of  $p = .008$ ).

After correcting for multiple comparisons, all three clusters identified in the *Emotion Moderation* analysis were also significantly associated with Negative Affectivity scores, i.e., rs-FC of the right amygdala with the right MOG and right PHG, and rs-FC between the left amygdala and the right thalamus (Table 6.3). After removing outliers, all associations between amygdalae rs-FC and Negative Affectivity scores remained significant.

**Table 6.3.** Associations between Negative Affectivity scores and mean amygdalae rs-FC in significant clusters

Amygdala seed	rs-FC cluster	Beta	p-value
Right	Right middle occipital gyrus	2.206	<0.001
Right	Right parahippocampal gyrus	-2.623	<0.001
Left	Right thalamus	2.119	<0.001

All models control for sex, PMA, neonatal sickness index & IMD  
 All analyses significant after Bonferroni correction (adjusted p-value threshold = 0.008).  
 rs-FC = Resting-state functional connectivity

Only rs-FC of the right amygdala with the right PHG was significantly associated with Effortful Control scores, after controlling for multiple comparisons (Table 6.4). This association was no longer significant after outlier removal.

**Table 6.4.** Associations between Effortful Control scores and mean amygdalae rs-FC in significant clusters

Amygdala seed	rs-FC cluster	Beta	p-value
Right	Right middle occipital gyrus	1.030	0.059
Right	Right parahippocampal gyrus	-1.836	0.003*
Left	Right thalamus	1.429	0.011

All models control for sex, PMA, neonatal sickness index & IMD

\*Analyses significant after Bonferroni correction (adjusted p-value threshold = 0.008).

rs-FC = Resting-state functional connectivity

### 6.3.2.2 Social Function

No significant associations were found between *Social Function* scores and neonatal amygdalae rs-FC.

### 6.3.2.3 Empathy

No significant associations were found between *Empathy* scores and neonatal amygdalae rs-FC.

## 6.3.3 Structure-function relationship

No significant correlations were found between participants' fractional anisotropy values in the right UF and Beta values representing rs-FC between the right amygdala and right PHG (putatively connected to the amygdalae via the UF (Von Der Heide et al., 2013)) ( $r_s = -.1, p = .2748$ ).

## 6.4 Discussion

The amygdalae are central to the brain's emotional processing networks (LeDoux, 2003; LeDoux, 2000; Pessoa and Adolphs, 2010; Price, 2003) and investigating its functional connectivity early in life is critical for understanding the socio-emotional development of children who are vulnerable to affective disorders. Here we studied rs-FC of the amygdalae at TEA and childhood emotional outcomes following very preterm birth. We show that both stronger and weaker amygdalae rs-FC with cortical areas (middle occipital gyrus), and other sub-cortical regions that form the limbic system (parahippocampal gyrus and thalamus) was associated with specific aspects of emotion regulation in middle childhood. As emotion regulation is potentially modifiable (Tang et al., 2017), establishing criteria to identify target groups for intervention has the potential to contribute to supporting very preterm children's mental health.

### 6.4.1 *Emotion Moderation*

In this work, emotional development was summarised by a factor labelled '*Emotion Moderation*', consisting of higher Negative Affectivity and Effortful Control scores. Negative Affectivity encompasses emotions such as anger, fear, anxiety, shame and disgust, and reflects a disposition to experience aversive affective states (Watson et al., 1988). Effortful control refers to a self-regulatory temperamental trait which facilitates the modulation of reactivity by focusing attention or inhibiting/activating a behavioural response (Eisenberg et al., 2011; Rothbart et al., 2011). Higher values reflect better Effortful Control ability. Although the combination of positive loadings of both Negative Affectivity and Effortful Control onto the *Emotion Moderation* factor may seem counterintuitive in the first instance, we have previously suggested that this factor may reflect an adaptive strategy, in that preterm children could employ regulatory skills to moderate the impact of reactive system (Kanel et al., 2021b). Effortful Control has been suggested to act as a buffer against the development of psychiatric problems, by allowing individuals to use effective emotional responses to counter negative distortions or perceived threats (Loukas and Murphy, 2007). Indeed, children who score high on Effortful Control have been showed to have better social competence and prosocial

behaviour, whereas those who score low tend to display negative emotionality (Calkins and Dedmon, 2000; Eisenberg et al., 2001), although findings from the literature have been inconsistent (Eisenberg et al., 1998; Murray and Kochanska, 2002).

We would like to propose an alternative interpretation to the *Emotion Moderation* construct. Early definitions of internalising problems include difficulties based on overcontrolled symptoms that manifest when individuals attempt to maintain maladaptive control or regulation of internal emotional and cognitive states (Cicchetti and Toth, 2014; Merrell, 2008). Further, as part of Rothbart & Bates' conceptualisation of this trait (Rothbart and Bates, 1998), Effortful Control is formed by two regulatory processes: attentional control, or the ability to focus and shift attention (Derryberry and Reed, 2001) and inhibitory control, or the ability to appropriately inhibit behaviour (Eisenberg et al., 2011). These two processes should be considered separately when considering the role of Effortful Control in internalising problems (Liu and Bell, 2020). Specifically, response inhibition has been positively associated with internalising problems (Moore et al., 2008; Murray and Kochanska, 2002; Oosterlaan and Sergeant, 1998), possibly because what appears to be good inhibitory control may in fact reflect an overall inhibited, shy behaviour as a consequence of fear and anxiety (Derryberry and Rothbart, 1997; Eggum-Wilkens et al., 2015). In their developmental model, Aksan and Kochanska (2004) posit that a fearful temperament in early childhood could facilitate the development of effortful inhibition in the future. Our study used the CBQ-VSF (Putnam and Rothbart, 2006) to measure Effortful Control, which focuses on complying to rules and exercising caution – typical of the cooperative and compliant shy child (Rudasill and Konold, 2008). Importantly, the combination of high Negative Affectivity *and* Effortful Control possibly due to an inhibited, shy personality resulting from fear and anxiety, may capture the behavioural profile of a typical preterm child: more internalised, less extroverted, shyer and more cautious (Allin et al., 2006; Eryigit-Madzwamuse et al., 2015; Hack et al., 1995; Hertz et al., 2013; Schmidt et al., 2008), in line with the definition of 'preterm phenotype' (Arpi and Ferrari, 2013; Johnson and Marlow, 2011).

#### 6.4.2 Neonatal amygdala rs-fMRI & childhood *Emotion Moderation*

We found that *Emotion Moderation* scores in childhood were associated with neonatal rs-FC between the right amygdala and two regions: PHG (negative association) and right MOG (positive association). *Emotion Moderation* scores were also positively related to rs-FC between left amygdala and right thalamus. Post-hoc analyses revealed these associations were mainly driven by Negative Affectivity scores.

The association of *Emotion Moderation* scores with rs-FC between right amygdala and a cluster with local maxima in PHG, and including OFC and temporal pole, is of particular interest given the importance of these regions in partially overlapping networks of the limbic system supporting emotion, memory (Catani et al., 2013; Leppänen and Nelson, 2009) and emotional memory (Greenberg et al., 2005; Smith et al., 2006). Functional connectivity between amygdalae and PHG has also been studied as a predictor of emotion regulation in school-aged children (Pagliaccio et al., 2015). The OFC modulates the amygdalae's response to external stimuli (Quirk et al., 2003) through inhibitory influences (Rempel-Clower, 2007). Therefore, connectivity between the OFC and amygdalae is important in evaluating the affective significance of events (Rudebeck et al., 2013; Salzman and Fusi, 2010). This regulatory mechanism may also apply to internal stimuli, as suggested by findings indicating an association between decreased amygdalae-OFC connectivity and increased anger (Fulwiler et al., 2012), negative affect (Banks et al., 2007), and anxiety (Hahn et al., 2011).

Decreased functional connectivity between the amygdalae and OFC (Cheng et al., 2018) and temporal pole (Cullen et al., 2014; Ramasubbu et al., 2014) has been reported in depression. Similarly, weaker amygdalae-PHG connectivity has been observed in individuals with depression (Chen et al., 2008; Cullen et al., 2014; Zeng et al., 2012) and anxiety disorder (Hariri et al., 2002). Taken together, our results suggest that rs-FC alterations in a network including amygdalae, PHG, and OFC might represent an underlying biological mechanism linking preterm birth, impairments in processes involving emotion-regulation, and the vulnerability to develop anxiety problems (Papini et al., 2016). Such altered rs-FC patterns in very preterm infants can already be observed at term

equivalent age and could be used as a connectivity fingerprint to predict later socio-emotional outcomes.

At a structural brain level, our findings are supported by diffusion MRI studies, which have shown an association between altered neonatal white matter microstructure in the right OFC and childhood socio-emotional problems (Rogers et al., 2012). Further, the current results are in line with our previous work which assessed the relationship between neonatal diffusion characteristics of the uncinate fasciculus (UF) and childhood *Emotion Moderation* scores (Kanel et al., 2021b). Anatomically, the UF connects cortical and subcortical regions including the amygdalae, PHG, OFC, and temporal pole (Von Der Heide et al., 2013). Importantly, both Negative Affectivity and Effortful Control contributed to the association between *Emotion Moderation* scores and amygdala-PHG connectivity, suggesting that it is indeed the combination of these two temperamental traits that is particularly sensitive to changes in early connectivity between these regions.

Connectivity between the right amygdala and right MOG, extending to angular gyrus, was positively associated to childhood *Emotion Moderation* scores; an association which appeared to be driven by an underlying association with Negative Affectivity. In line with this, Scheinost et al. (2016a) previously showed that very preterm neonates exhibited stronger functional connectivity between the right amygdala and right occipital lobe compared to term-born controls. Of note, the angular gyrus is part of the default mode network (DMN), which has been implicated in affective regulation associated with anxiety and mood (Sylvester et al., 2018b). Enhanced rs-FC between the amygdalae and several DMN brain regions has been observed in internalising disorders (Li et al., 2016; Li et al., 2015b), and has been further associated with altered self-referential thought processes and negative rumination (Buckner et al., 2008; Li et al., 2015b). These findings could aid the interpretation of the observed association between amygdala-DMN rs-FC and Negative Affectivity scores in our sample.

Finally, we found a positive association between left amygdala-right thalamus rs-FC and childhood *Emotion Moderation* scores, with this association once again being driven primarily by Negative Affectivity scores. It has been postulated that sensory information is relayed through thalamic connections to the amygdalae for emotional appraisal (Jones, 2000), and animal studies have

highlighted regulatory mechanisms of the thalami on the amygdalae and the importance of this connection for negative emotions and memories (Li et al., 2010; Penzo et al., 2015). A direct connection between the amygdalae and thalami has also been identified in humans (Abivardi and Bach, 2017), and altered connectivity between the two regions has been associated with social impairments and depressive symptoms in adolescents with autism (Guo et al., 2016). The interhemispheric pattern observed here (i.e., increased rs-FC between left amygdala and right thalamus and higher *Emotion Moderation* scores) is surprising; however, future research could elucidate these findings by considering previous observations of volumetric hemispheric asymmetries of both the amygdalae and the thalami following preterm birth (Cismaru et al., 2016; Lao et al., 2016).

### 6.4.3 Neonatal structural and functional associations

Our current and previous results (Kanel et al., 2021b) suggest that both structural and functional connectivity between right amygdala and right PHG could be useful for gaining insight into typical and atypical socio-emotional development. However, when investigating the relationship between the two modalities, we did not observe a significant association between functional and structural connectivity of the right amygdala and right PHG at TEA, despite both being separately associated with later *Emotion Moderation* scores. Although the anatomical structure of the human cerebral cortex constrains function (Honey et al., 2009), structure-function couplings are not always evident and exhibit age-related changes (Baum et al., 2020). For example, the DMN was found to show disproportionately large increases in structure-function coupling over childhood and young adulthood when compared to other functional systems (Baum et al., 2020). Further, while high level agreement of structure-function connectivity within the DMN has been reported in adults (Horn et al., 2014), such clear associations are not observed in children, who despite exhibiting adult-like DMN functional connectivity, display weak structural connectivity (Supekar et al., 2010). Such age-dependent patterns of structure-function connectivity could explain our results of non-significant association between functional and structural connectivity between right amygdala and right PHG at term.

#### 6.4.4 Limitations

A limitation to the current study is that amygdalae connectivity was only measured at one time point at TEA. A recent study in term-born infants indicated that whilst some connections between the amygdalae and both subcortical (e.g. caudate, putamen, thalamus) and limbic regions (e.g. hippocampus, parahippocampus) were already present just after birth, some adult-like amygdalae rs-FC patterns (including connections with prefrontal and parietal cortices) developed over the first year of life (Salzwedel et al., 2019). Future research in preterm samples could further elucidate longitudinal changes in amygdalae rs-FC in the first few years of life. Another limitation is that our study did not include a control group, which limits the ability to draw conclusions as to the specificity of these results to preterm cohorts.

Differences in IMD between the baseline sample, who showed a relatively even distribution between the five IMD quintiles and the final sample, with only 10% of participants belonging to the ‘most deprived’ IMD quintile, may also limit our findings. This suggests that those participants who were not followed-up in childhood were likely to be at higher social risk than those who were assessed (Teixeira et al., 2021).

Another limitation of this study is the use of sedation in some of the infants prior to the MRI scan. The use of sedation with chloral hydrate in neonates (used in the current study) has been reported to have no significant effect on rs-FC or global cerebral blood flow (Arichi et al., 2012; Ball et al., 2016; Doria et al., 2010). Nevertheless, the use of sedatives that alter consciousness might affect neural activity, and in turn alter functional networks (Zhang et al., 2019). Indeed, previous studies in healthy adults have reported an effect of the sedative Midazolam on rs-FC (Kiviniemi et al., 2005; Liang et al., 2015). Sedation status might ultimately alter rs-FC pattern identification due to its influence on participants’ level of head motion, known to alter functional neural patterns recorded (Power et al., 2012; Van Dijk et al., 2012). Since the time of data collection for the current study (2010-2013), protocols for motion-resistant image acquisition have been further developed to allow increased completion rates and decreased motion artefacts within neonatal imaging (Hughes et al.,

2017). Additionally, novel processing techniques have allowed optimised motion correction of highly confounded neonatal fMRI data (Fitzgibbon et al., 2020). When this study was conducted, sedation with chloral hydrate was the current practice when performing MRI in neonates, while this is no longer the case in contemporary research.

## Conclusions

The current rs-FC study complements our previous structural findings of a relationship between neonatal amygdalae connectivity and childhood emotional development. In particular, the important regulatory effects of specific brain regions (including the orbitofrontal cortex, parahippocampal gyrus, and thalamus) on the reactive amygdalae are highlighted here. Communication within the limbic system and between the limbic system and the cortex is important for higher-order cognitive affective functions, such as emotion regulation, which has direct implications on psychiatric outcomes (Buhle et al., 2014; Kohn et al., 2014; Paschke et al., 2016). Our results suggest that the functional connectivity associated with socio-emotional outcomes in very preterm children are already evident at the earliest stages of life. These findings could be used as a connectivity fingerprint to predict later socio-emotional outcomes, which in turn could inform preventative therapies aimed at preventing and targeting emerging emotional disorders.

# Chapter 7: Investigating white matter structure and behavioural outcomes in very preterm and term-born children

## 7.1 Introduction

Very preterm children tend to exhibit altered behavioural development when compared with full-term controls, encompassing both cognitive and socio-emotional outcomes. This population displays an impaired general intellectual development, showing average IQ scores that are 0.7–0.8 SD lower than those of controls (Bhutta et al., 2002; Kerr-Wilson et al., 2012). Specific cognitive deficits have also been reported in the literature, encompassing verbal comprehension (Barre et al., 2011; Foster-Cohen et al., 2010; Reidy et al., 2013), processing speed (Rose and Feldman, 1996; Rose et al., 2002), and working memory abilities, in both visuo-spatial (Baron et al., 2010; Rose et al., 2011) and verbal (Aarnoudse-Moens et al., 2009b; Hutchinson et al., 2013; Mulder et al., 2009) modalities.

Additionally, VPT children are more likely to experience socio-emotional problems compared to full-term children, typically exhibiting diminished social competence and self-esteem, emotion dysregulation, shyness, and timidity (Fitzallen et al., 2020; Montagna and Nosarti, 2016).

Temperament refers to a set of stable individual traits that determine emotional reactivity and regulation, and is an important measure of socio-emotional development, as it has been shown to predict later clinical and subclinical psychopathology (Carthy et al., 2010; Cassiano et al., 2019; Forbes et al., 2017; Gartstein et al., 2012; Laceulle et al., 2014; Martins et al., 2021). Very preterm children have been shown to display significantly different temperamental profiles to their term-born peers, including increased NA and decreased EC levels (Caravale et al., 2017; Lejeune et al., 2015).

Behavioural deficits in preterm children might be at least partly explained by altered neurodevelopment as described in Chapter 2. DTI studies report group differences between preterm and term-born children in WM microstructure, with many identifying decreased FA and increased diffusivities in preterm children and adolescents compared to term controls (Constable et al., 2008; Dodson et al., 2017; Dubner et al., 2019; Duerden et al., 2013; Groeschel et al., 2014; Jo et al., 2012; Kelly et al., 2016a; Li et al., 2015a; Mullen et al., 2011; Murray et al., 2016; Pieterman et al., 2018; Travis et al., 2015; Travis et al., 2019; Young et al., 2018). However, some conflicting results have been reported showing no alterations in DTI metrics (Bruckert et al., 2019; Sølvsnes et al., 2016), as well as increased FA and decreased diffusivities in preterm children (Dodson et al., 2017; Tokariev et al., 2019). Altered FA values could be interpreted in different ways and may reflect several inter- and intra- tract variations (Travis et al., 2015). These include factors such as number of crossing fibres within the voxel and myelin content of individual fibre populations. Distinguishing amongst these interpretations of FA could be problematic and may require additional neuroimaging techniques.

Neuroimaging studies have also investigated the direct association between WM structure and behavioural outcomes. Preterm children exhibit associations between increased FA and decreased diffusivity values in widespread WM and higher IQ scores (Dubner et al., 2019; Kennedy et al., 2021; Skranes et al., 2007; Vollmer et al., 2017; Wang et al., 2013; Young et al., 2019; Yung et al., 2007). More specifically, higher FA and lower diffusivity values have been associated with better language skills (Andrews et al., 2010; Bruckert et al., 2019; Feldman et al., 2012; Mullen et al., 2011; Mürner-Lavanchy et al., 2018; Travis et al., 2016), working memory (Loe et al., 2018), and visuospatial processing abilities (Skranes et al., 2007; Tokariev et al., 2019). Conflicting results are also reported here, with some studies finding no such associations (Bruckert et al., 2019; Tokariev et al., 2019; Young et al., 2018), whilst others have found a negative relationship between FA values and language development (Dubner et al., 2020; Feldman et al., 2012; Travis et al., 2015). Additionally, DTI studies have reported associations between decreased FA and increased emotional difficulties (Kelly et al., 2016b; Loe et al., 2013) and social processing deficits (Skranes et al., 2007). As part of this PhD I have reported an association between neonatal WM DTI metrics and childhood temperament in a cohort of VPT individuals (Kanel et al., 2021b).

FBA is a diffusion imaging technique that allows for a differentiation between multiple fibres within a voxel. A ‘fixel’ refers to a single fibre population within a voxel, and through FBA, total intra-axonal volume of individual fibres may be calculated, thought to relate to the WM tracts’ ability to relay information (Raffelt et al., 2017; Tournier et al., 2011). This metric considers both the microstructure (fibre density, FD) and macrostructure (fibre cross-section, FC) of WM tracts. Recent studies utilising FBA have reported significantly altered tract microstructure and macrostructure in widespread WM in preterm neonates (Pannek et al., 2018) and children (Kelly et al., 2020), when compared to full-term controls. Brain-behaviour associations have also been investigated, with neonatal FBA metrics showing an association with cognitive development in preterm toddlers (Pannek et al., 2020), whilst FBA metrics correlated with math computation ability in a group of preterm and term-born children (Collins et al., 2021). So far, no studies have investigated associations between FBA metrics and cognitive and socio-emotional outcomes in preterm and full-term children.

In the current study, my aim was to explore white matter structure, as measured by FBA, and behavioural outcomes in VPT and term-born children. I tested the hypothesis that VPT children perform worse on IQ tests and display altered temperamental traits, when compared to term-born controls. I also hypothesised that VPT children would exhibit altered WM structure, displaying a smaller total intra-axonal volume (i.e., smaller microstructure and macrostructure), when compared to full-term controls. Further, I investigated brain-behaviour associations between WM structure, as measured by FBA, and behavioural outcomes in VPT and term-born children. Specifically, I tested the hypothesis that WM total intra-axonal volume would show a positive association with cognitive outcomes, as well as favourable temperamental outcomes, in all participants, and that the VPT group will show altered brain-behaviour associations, when compared to full-term controls. Finally, I repeated all WM analyses using voxel-based DTI analysis. Based on previous literature, I hypothesised VPT children would display decreased FA and increased RD compared to full-term controls. I also tested the hypothesis that this pattern of decreased FA and increased RD would be associated with worse cognitive and socio-emotional outcomes.

## 7.2 Methods

### 7.2.1 Participants

Preterm children were recruited from a cohort of 251 very preterm neonates originally recruited as part of a large study called the Evaluation of Preterm Imaging study (ePrime, Eudra: CT 2009-011602-42) (2018). They were recruited at birth in 2010-2013 from hospitals within the North and Southwest London Perinatal Network. Inclusion criteria were birth before 33 weeks gestational age (GA) and maternal age over 16 years. Exclusion criteria included the presence of major congenital malformation, prior magnetic resonance imaging (MRI), metallic implants, parents unable to speak English, or being subject to child protection proceedings.

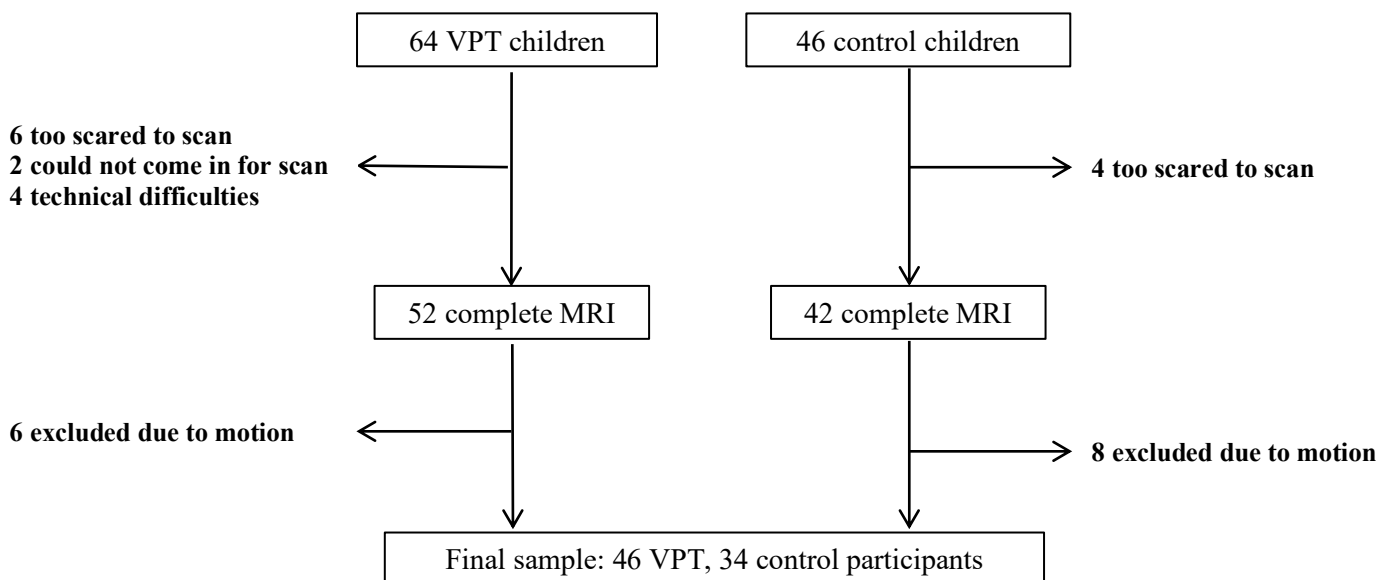
At 8–10 years, children were invited back for follow-up assessments and an MRI scan at the Centre for the Developing Brain, St Thomas' Hospital, London, as part of the follow-up at Timepoint 2. Invitations were sent in chronological order of birth to all children past their eighth birthday, and this study is currently ongoing. Written informed consent was obtained from participants' carer(s) following procedures approved by the Stanmore Research Ethics Committee (18/LO/0048). The study was carried out in accordance with the Code of Ethics of the World Medical Association (Declaration of Helsinki). At the time of writing, 64 VPT children were successfully recruited for assessments. Of those, 52 completed a full MRI scan.

Additionally, full-term control children were recruited from the community. Inclusion criterion was birth occurring between 38-42 weeks gestational age. Exclusion criteria included disabilities, clinically diagnosed psychological and physical disorders, and previous procedures that included the insertion of metal objects, such as a mesh. Altogether 46 control participants were recruited, and 42 completed a full MRI scan.

Statistical analyses indicated that children who underwent MRI ( $n = 94$ ) did not differ significantly from those who did not ( $n = 16$ ) in terms of their age ( $W = 782, p = 0.547$ ), sex (Chi-square = 0.032,  $p = 0.859$ ) or group (i.e., preterm vs controls) (Chi-square = 0.997,  $p = 0.318$ ). However, those children who underwent MRI did show significantly higher total IQ scores than those who did not ( $W = 319, p = 0.002$ ).

A further 14 children were excluded due to having motion artefacts in their diffusion MRI (details of which are in the following section). The number of children excluded due to excessive motion did not differ significantly between the two groups (Chi-square = 0.242,  $p = 0.622$ ). Also, excluded children did not differ to those included in terms of their age ( $W = 570.5$ ,  $p = 0.767$ ), sex (Chi-square = 2.075,  $p = 0.150$ ), or IQ score ( $W = 761$ ,  $p = 0.101$ ).

The final sample consisted of 80 children (46 very preterm, 34 control) who had complete T1-weighted MRI and dMRI, as well as complete neuropsychological assessments, at 7–10 years (median = 8.50 (IQR = 8.17–8.92)). Figure 7.1 provides a summary of excluded participants.



**Figure 7.1.** Inclusion/exclusion flowchart for follow-up at Timepoint 3.  
VPT = very preterm

## 7.2.2 Procedure

### 7.2.2.1 Socio-demographic data

IMD score was computed from the parents' postcode (Department for Communities and Local Government, 2011; <https://imd-by-postcode.opendatacommunities.org/imd/2019>) and provided a proxy for family SES. The IMD measures social risk by comparing each neighbourhood to all others in the country and is based on seven domains of deprivation (with varying weighting, as follows):

income (22.5%), employment (22.5%), education skills and training (13.5%), health and disability (13.5%), barriers to housing and services (9.3%), living environment (9.3%) and crime (9.3%).

Participants' ethnicity data were also collected, and grouped according to classification by the Office of National Statistics (ONS) (2016) (for further details please see Section 4.1.2).

#### 7.2.2.2 MRI data acquisition

MR images were acquired on a Philips 3 Tesla Achieva (Philips Medical Systems, Best, The Netherlands) system at the Evalina Newborn Imaging Centre using a 32-channel phased array head coil. Children were given paediatric earplugs, which were placed in the external auditory meatus, as well as noise cancelling headphones.

High resolution 3D T1 and T2 weighted imaging were acquired, as well as a FLAIR for clinical reporting. MPRAGE T1-weighted images were acquired using: TR = 7.894 ms, TE = 3.595 ms, TI = 900 ms; flip angle = 8°, field of view = 240 x 220 x 160 mm<sup>3</sup> with an isotropic resolution of 1 x 1 x 1 mm<sup>3</sup>. The data were acquired with a SENSE factor of 1.5 along the first PE direction and 2 along the second PE direction.

Participants also underwent a diffusion sequence, which included 108 diffusion-weighted volumes: 12 non-collinear directions with b value 0 s/mm<sup>2</sup>, 32 directions with b value 700 s/mm<sup>2</sup>, and 64 directions with b value 2500 s/mm<sup>2</sup> using the following parameters: TR = 3800 ms, TE = 94 ms, flip angle = 90°, field of view = 240 x 240 x 50 mm<sup>3</sup>, and voxel size = 2 x 2 x 2 mm<sup>3</sup>. The data were acquired with a SENSE factor of 1.5.

#### 7.2.2.3 MRI data processing

##### *Structural MR images*

Structural images were processed using FreeSurfer, software allowing the segmentation of subcortical structures (Dale et al., 1999; Reuter et al., 2010). FreeSurfer pipeline includes motion correction, removal of non-brain tissue, intensity normalisation, topology correction and the

parcellation of cerebral cortex using geometric information. Using volumetric segmentation, intracranial volumes (ICV) for each participant were calculated (Buckner et al., 2004).

### *Diffusion MR images: preprocessing*

Images were primarily analysed using FMRIB's Diffusion Toolbox (FSL, Oxford, [fsl.fmrib.ox.ac.uk/fsl/fslwiki/FDT](http://fsl.fmrib.ox.ac.uk/fsl/fslwiki/FDT)). Non-brain tissue was removed with BET (Smith, 2002), images were corrected for susceptibility induced distortions using *topup* (Andersson et al., 2003; Smith et al., 2004), and eddy current artefacts using *eddy* (Andersson and Sotiropoulos, 2016). Diffusion-weighted images were then visually inspected by an expert in neonatal neuroimaging in 3 orthogonal planes for the presence of motion artefact and corrupt diffusion weighted volumes were excluded. All participants included in analyses had 21 or fewer excluded volumes (< 20% volumes motion corrupted). An average number of volumes deleted per participant was 12.2, just over 10% of the total 107 diffusion volumes (VPT average = 12.9, control average = 11.6). Number of discarded diffusion volumes did not differ significantly between VPT and control groups ( $W = 1157.5, p = 0.7409$ ).

### *Diffusion MRI: Fixel-based analysis*

After exclusion of corrupted volumes, images were re-processed with *eddy* and *topup*, and then processed with MRTrix3 (version 3.0\_RC3) (Tournier et al., 2019) using steps from multi-shell, multi-tissue constrained spherical deconvolution (CSD) in order to perform fixel-based analysis (FBA) (Raffelt et al., 2017). Briefly, images were corrected for bias fields (Tustison et al., 2010), underwent global intensity normalisation, and upsampled voxel size to 1.25 mm. We then performed 3-tissue CSD (Jeurissen et al., 2014), which estimates the orientation of fibres (fibre orientation distributions, FOD) in each voxel by using an average response function from all images (Tournier et al., 2007; Tournier et al., 2004). Each child's FOD image was registered to a group average FOD template, created from a subset of 40 subjects (20 VPT, 20 control) without focal brain injury. Those who's brain images were used for the template ( $n = 40$ ) did not differ from the rest ( $n = 40$ ) in terms of their age ( $W = 683.5, p = 0.264$ ), sex (Chi-square = 2.506,  $p = 0.113$ ), or WISC scores ( $W = 931, p = 0.209$ ).

The following metrics were calculated. a) Fibre density (FD): an estimate of the density of axons within a fibre population in a voxel; b) Fibre cross-section (FC): a morphological measure of the cross-sectional area in the direction perpendicular to the orientation of a fixel. Each subject's FC is calculated in relation to the template, and so a  $FC > 1$  represents a larger fibre bundle in the subject than in the template. C) Fibre density and Cross-section (FDC): a combined measure of changes in both microscopic density (FD) and macroscopic morphology (FC), calculated as FD multiplied by FC (Raffelt et al., 2017).

Whole brain tractography was performed on the FOD templates, with spherical-deconvolution informed filtering of tractograms (SIFT) (Smith et al., 2013), required for statistical analysis using the connectivity-based fixel enhancement (CFE) method (Raffelt et al., 2015).

#### *Diffusion MRI: Voxel-based analyses*

All analyses were performed using MRtrix3 and based on methodology originally performed by Mito and colleagues (2018). Diffusion tensor metrics were derived for each subject's pre-processed DWI data (Veraart et al., 2016). FA & RD maps were generated in individual subjects' space, and then transformed to the population template space by using the subject-to-template warps generated during the FOD registration step for FBA. Statistical analyses were then performed in template space on voxel-wise metrics (FA & RD).

#### 7.2.2.4 Neurodevelopmental outcomes

Participants completed the Wechsler Intelligence Scale for Children (WISC-IV) (Wechsler, 2003), a cohort of tests that calculate a general intelligence score. The WISC-IV outputs a score for full-scale IQ, as well as several subscales that represent the major components of intelligence. These include Verbal Comprehension Index (VCI), Perceptual Reasoning Index (PRI), Working Memory Index (WMI), and Processing Speed Index (PSI). Raw scores are transformed into scaled scores according to age-appropriate norms.

VCI includes the following subtests: Similarities measures verbal reasoning and the development of concepts; Vocabulary measures word knowledge and verbal concept formation;

Comprehension measures an individual's ability to understand complex questions and formulate answers. PRI includes the following subtests: Block Design assesses ability to understand complex visual information; Picture Concepts assesses ability to categorise items; Matrix Reasoning measures non-verbal problem solving. WMI includes the following subtests: Digit Span measures verbal short-term memory and attention; Letter-Number Sequencing measures ability to hold verbal information in memory while manipulating it. PSI includes the following subtests: Coding measures speed of processing but is also affected by learning, short-term memory, and concentration; Symbol Search measures processing speed but is also affected by visual-motor coordination and concentration.

Parents also completed a questionnaire probing children's socio-emotional development. The Temperament in Middle Childhood Questionnaire (TMCQ) (Simonds and Rothbart, 2004) is a validated measure assessing children's temperament and summarises outcomes into three subscales: Negative Affectivity (NA), Effortful Control (EC), and Surgency (Surg). See Section 4.3.2.2, Table 4.12, for more information on this measure.

### 7.2.3 Statistical analyses

In order to analyse differences in cognitive outcomes (WISC subscale scores for: VCI, PRI, WMI, and PSI), ANOVAs were run with group as independent variable, controlling for age and sex. Results were corrected for multiple testing using Bonferroni correction with an adjusted  $p$ -value threshold (4 WISC subscales:  $p = 0.05 / 4 = 0.125$ ). In order to explore differences in socio-emotional outcomes (TMCQ subscale scores for: NA, EC, Surg), ANOVAs were performed with group as independent variable, controlling for age and sex. Results were corrected for multiple testing using Bonferroni correction with an adjusted  $p$ -value threshold (3 TMCQ subscales:  $p = 0.05 / 3 = 0.0167$ ).

At each voxel, FBA metrics (FD, FC and FDC) were compared between the VPT and control groups using a general linear model (GLM) in template space. All comparisons were adjusted for age and sex, and comparisons of FC and FDC were also adjusted for ICV. Connectivity-based smoothing and statistical inference were performed using CFE (Raffelt et al., 2015). Non-parametric permutation testing (5000 permutations) generated a family-wise error rate (FWE)-corrected  $p$ -value for every

individual voxel. Voxels were considered statistically significant at  $p < 0.05$ , FWE rate corrected. Average FD, FC, and FDC were obtained from regions including all significant voxels of between-group analyses.

Voxel-based brain-behaviour associations were examined using separate GLMs assessing associations between the WISC subscales (VCI, PRI, WMI, PSI) and whole-brain FD, FC, and FDC at each voxel. Associations were also investigated between the TMCQ subscales (NA, EC, Surg) and whole-brain FD, FC, and FDC at each voxel. All comparisons were adjusted for age and sex, and comparisons of FC and FDC were also adjusted for ICV. Contrasts of interest included positive and negative main effect of outcome (in all participants), as well as interactions between outcome and group. We corrected our results for multiple testing using Bonferroni correction. For the WISC subscales, four GLMs were run, with an adjusted  $p$ -value threshold of 0.0125, and voxels were considered statistically significant at a  $p < 0.0125$ , FWE-corrected. For the TMCQ subscales, three GLMs were run, and voxels were considered statistically significant at  $p < 0.0167$ , FWE-corrected. Average FD, FC, and FDC were obtained from regions, including all significant voxels of brain-behaviour associations.

Voxel-based statistical analyses utilised the same GLMs as those used for FBA, and were performed using threshold-free cluster enhancement with default parameters ( $dh = 0.1$ ,  $E = 0.5$ ,  $H = 2$ ) (Smith and Nichols, 2009). Between group analyses compared DTI metrics (FA and RD) between VPT and control groups. Brain-behaviour associations were examined for whole-brain FA and RD, using GLMs for four WISC subscales (adjusted  $p$ -value = 0.0125) and three TMCQ subscales (adjusted  $p = 0.0167$ ), adjusting for age and sex. Contrasts included main effect of outcomes and interactions between outcome and group. Mean DTI metrics were obtained from voxels within regions of significant between-group differences and brain-behaviour associations.

## 7.3 Results

### 7.3.1 Participant characteristics

Characteristics of participants included in the final sample are summarised in Table 7.1.

**Table 7.1.** Participants' characteristics

Characteristic		All participants (n = 80)	Preterm group (n = 46)	Term group (n = 34)	Between-group analyses
GA at birth (weeks), median (IQR)		32.36 (28.86– 40.00)	29.36 (27.68– 30.93)	40 (39.04– 40.82)	–
Age at assessment, median (IQR)		8.50 (8.17–8.92)	8.46 (8.25– 8.90)	8.67 (8.08– 9.00)	$t = -0.444, p = 0.659$
Female, n (%)		46 (57.5%)	25 (54.35)	21 (61.76)	$\chi^2 = 0.189, p = 0.664$
Full IQ score, mean ( $\pm$ SD)		109.69 (13.51)	106.59 (14.08)	113.89 (11.63)	$t = -2.534, p = 0.013$
IMD score quintiles, n (%)	1 (Least Deprived)	26 (32.50)	15 (32.60)	11 (32.35)	–
	2	13 (16.25)	8 (17.40)	5 (14.71)	–
	3	17 (21.25)	12 (26.09)	5 (14.71)	–
	4	21 (26.25)	9 (19.57)	12 (35.29)	–
	5 (Most Deprived)	3 (3.75)	2 (4.35)	1 (2.94)	–
Ethnicity, n (%)	White	51 (63.75)	27 (58.70)	24 (70.59)	–
	Mixed/Multiple ethnic groups	8 (10.00)	5 (10.87)	3 (8.82)	–
	Asian/Asian British	10 (12.50)	9 (19.57)	1 (2.94)	–
	Black/African/ Caribbean/Black British	5 (6.25)	5 (10.87)	0 (0.00)	–

IMD = Index of Multiple Deprivation; IQR = Interquartile range; SD = standard deviation  
Ethnicity was grouped according to ONS classification; 6 Participants had missing ethnicity data.

Seventy-seven out of 80 participants had complete socio-emotional outcome data. The removal of 3 participants did not significantly alter mean GA at birth ( $p = 0.704$ ), age at assessment ( $p = 0.806$ ), sex ( $p = 0.747$ ), full-scale IQ ( $p = 0.251$ ), IMD score ( $p = 0.435$ ), or ethnicity ( $p = 0.819$ ). Data on these 77 participants are shown in Table 7.2.

**Table 7.2.** Characteristics of participants with available socio-emotional data.

Characteristic		All participants (n = 77)
GA at birth (weeks), median (IQR)		32.43 (28.86–40.00)
Age at assessment, median (IQR)		8.50 (8.25–8.91)
Female, n (%)		44 (57.1%)
Full IQ score, mean ( $\pm$ SD)		109.35 (13.61)
IMD score quintiles, n (%)	1 (Least Deprived)	24 (31.2)
	2	13 (16.9)
	3	17 (22.1)
	4	20 (26.0)
	5 (Most Deprived)	3 (3.9)
Ethnicity, n (%)	White	49 (63.6)
	Mixed/Multiple ethnic groups	8 (10.4)
	Asian/Asian British	10 (13.0)
	Black/African/Caribbean/Black British	5 (6.5)

IMD = Index of Multiple Deprivation; IQR = Interquartile range; SD = standard deviation

Ethnicity was grouped according to ONS classification; number (%); 5 participants had missing ethnicity data.

### 7.3.2 Between-group behavioural outcomes

No significant differences in cognitive outcomes were observed after correcting for multiple comparisons using Bonferroni correction (adjusted  $p$ -value threshold = 0.0125) (Table 7.3).

**Table 7.3.** Statistical analyses of group differences in WISC scores

Variable	Outcome	Group mean (SD)		F value	$p$ -value
		Preterm	Control		
WISC (n = 80)	VCI	107 (12.1)	112 (12.8)	3.189	0.078
	PRI	105 (14.6)	113 (14.5)	5.267	0.025
	WMI	100 (16.1)	106 (12.7)	3.139	0.080
	PSI	104 (13.8)	109 (12.6)	3.768	0.056

PRI = Perceptual Reasoning Index; PSI = Processing Speed Index; VCI = Verbal Comprehension Index; WMI = Working Memory Index.

No significant differences in temperamental traits were observed after correcting for multiple comparisons using Bonferroni correction (adjusted  $p$ -value threshold = 0.0167) (Table 7.4).

**Table 7.4.** Statistical analyses of group differences in TMCQ scores

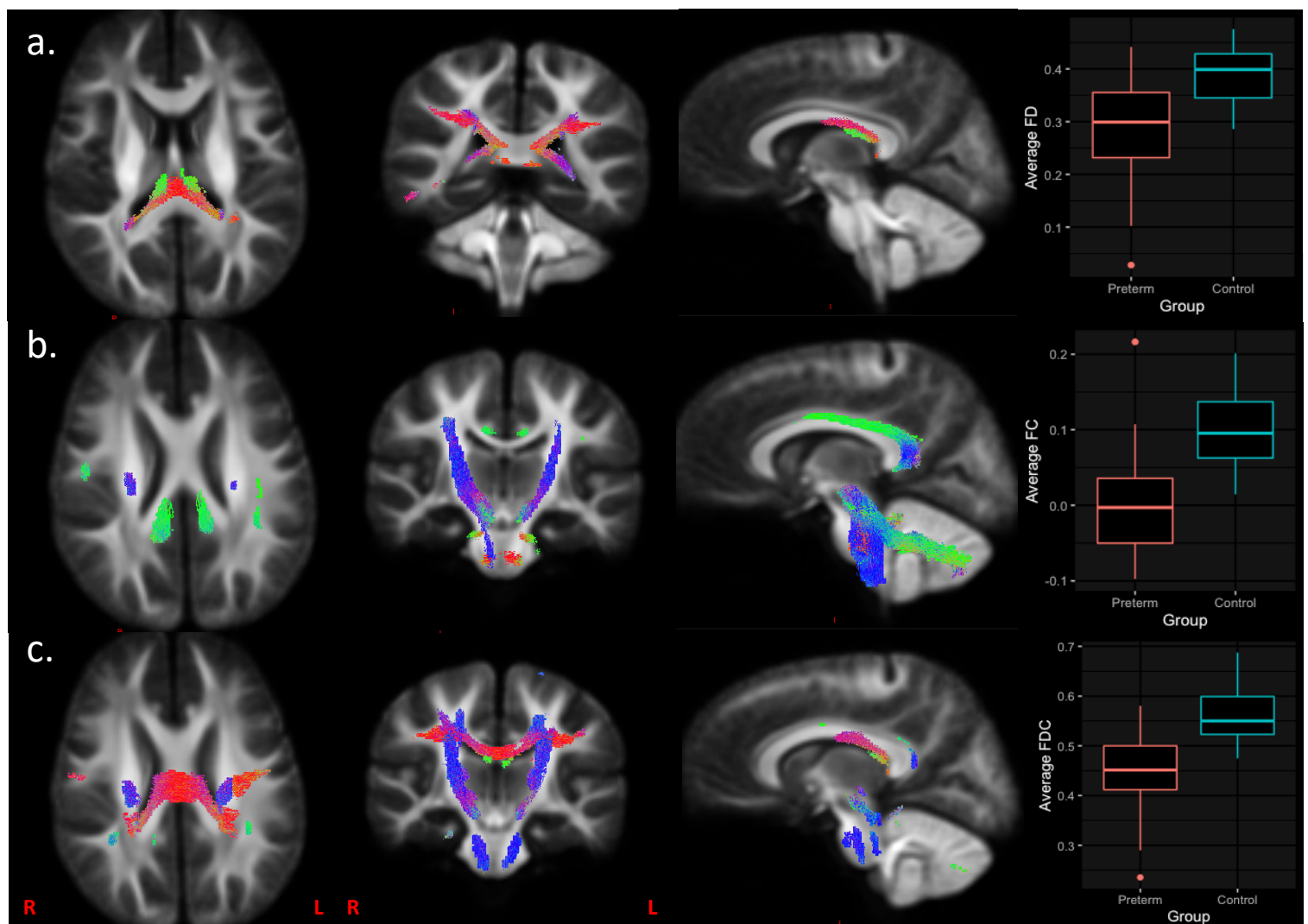
Variable	Outcome	Group mean (SD)		F value	$p$ -value
		Preterm	Control		
TMCQ (n = 77)	NA	2.38 (0.7)	2.20 (0.5)	1.621	0.207
	EC	3.32 (0.5)	3.49 (0.4)	2.624	0.109

Surg	3.19 (0.5)	3.08 (0.4)	1.141	0.289
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EC = Effortful Control; NA = Negative Affectivity; Surg = Surgency; TMCQ = Temperament in Middle Childhood Questionnaire.

### 7.3.3 Between-group FBA differences

VPT children had significantly lower FD, FC and FDC than control children in several WM tracts (all  $p_{FWE} < 0.05$ ). Figure 7.2 shows between-group differences in FBA metrics. Table 7.5 includes all WM regions with significant fixels of different FBA metrics between the two groups.



**Figure 7.2.** Between group differences (VPT < full-term) in a. fibre density (FD); b. fibre cross-section (FC); and c. fibre density & cross-section (FDC), controlling for age and sex (as well as ICV for FC and FDC).

Generated by cropping whole-brain template-derived tractogram such that it included only streamline segments that pass through significant fixels ( $p < 0.05$ , family-wise error rate-corrected). Streamline segments were coloured by direction (anterior-posterior = green; superior-inferior = blue; left-right = red). Figures show boxplots representing group differences in the relevant metric within significant regions.

**Table 7.5.** White matter regions including significant fixels in between-group FBA models

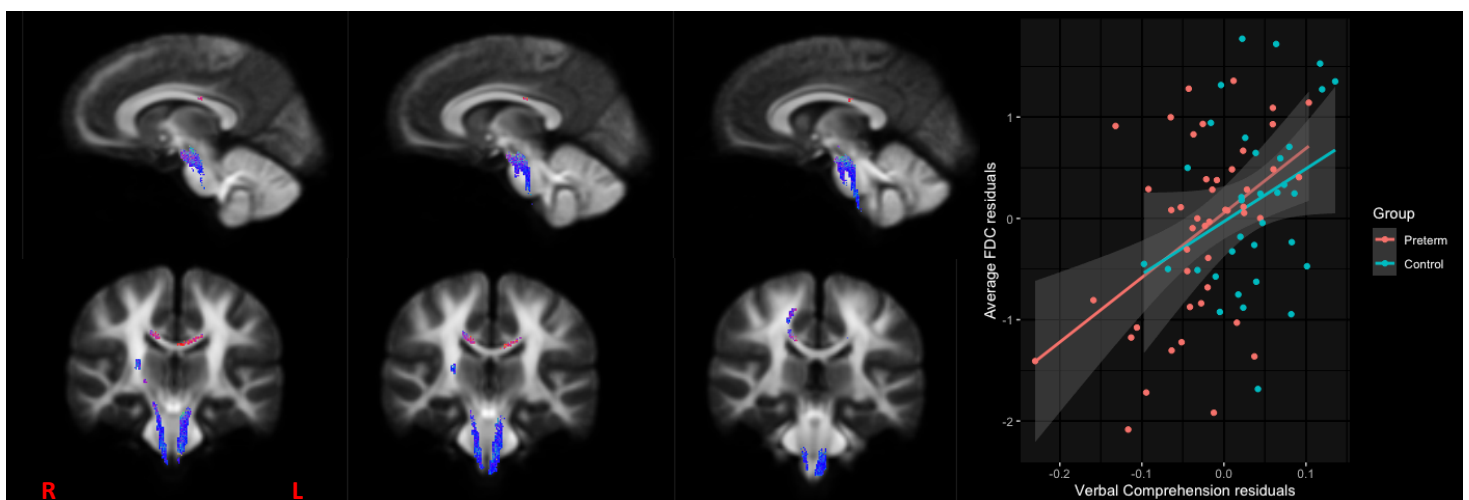
FBA metric (covariates)	Direction	WM regions
FD (age, sex)	VPT<FT	Bilateral: Fornix, anterior commissure, body and splenium of the corpus callosum, tapetum; right superior longitudinal fasciculus
FC (age, ex, ICV)	VPT<FT	Bilateral: superior longitudinal fasciculus, corticospinal tract, middle cerebellar peduncle, superior cerebellar peduncle, cingulum
FDC (age, sex, ICV)	VPT<FT	Bilateral: Forceps minor, anterior corona radiata, fornix, anterior commissure, corticospinal tract, cerebral peduncle, superior longitudinal fasciculus, body and splenium of the corpus callosum; right: uncinate fasciculus/inferior longitudinal fasciculus, cingulum, cerebellum, superior cerebellar peduncle.

FC = fibre cross-section; FD = fibre density; FDC = fibre density & cross-section; FT = full-term group; ICV = intracranial volume; VPT = very preterm group.

### 7.3.4 Brain-cognition associations between FBA metrics and cognitive outcomes

#### 7.3.4.1 Verbal Comprehension

After controlling for age, sex and ICV, verbal comprehension scores were significantly positively associated with FDC in fixels located in the corpus callosum and corticospinal tract (CST) (all  $p_{FWE} < 0.0125$ , Figure 7.3).



**Figure 7.3.** Spatial maps depicting associations between FDC values and verbal comprehension scores, after controlling for age, sex and ICV.

Figures were generated by cropping the whole-brain template-derived tractogram such that it included only streamline segments that pass through significant fixels ( $p < 0.0125$ , family-wise error rate-corrected). Streamline segments were coloured by direction (anterior-posterior = green; superior-inferior = blue; left-right = red). Scatterplot shows partial plot correlation between verbal comprehension scores and FDC values averaged over all significant fixels, for the two separate groups, corrected for age, sex and ICV.

No significant associations were found between VCI scores and FC or FD (all  $p_{FWE} \geq 0.0125$ ).

There was no significant interaction between VCI-FBA metric association and group.

#### 7.3.4.2 Perceptual Reasoning

No significant associations were found between PRI scores and FC, FD, or FDC (all  $p_{FWE} \geq 0.0125$ ). There was no significant interaction between PRI-FBA metric association and group.

#### 7.3.4.3 Working Memory

No significant associations were found between WMI scores and FC, FD, or FDC (all  $p_{FWE} \geq 0.0125$ ). There was no significant interaction between WMI-FBA metric association and group.

#### 7.3.4.4 Processing Speed

No significant associations were found between PSI scores and FC, FD, or FDC (all  $p_{FWE} \geq 0.0125$ ). There was no significant interaction between PSI-FBA metric association and group.

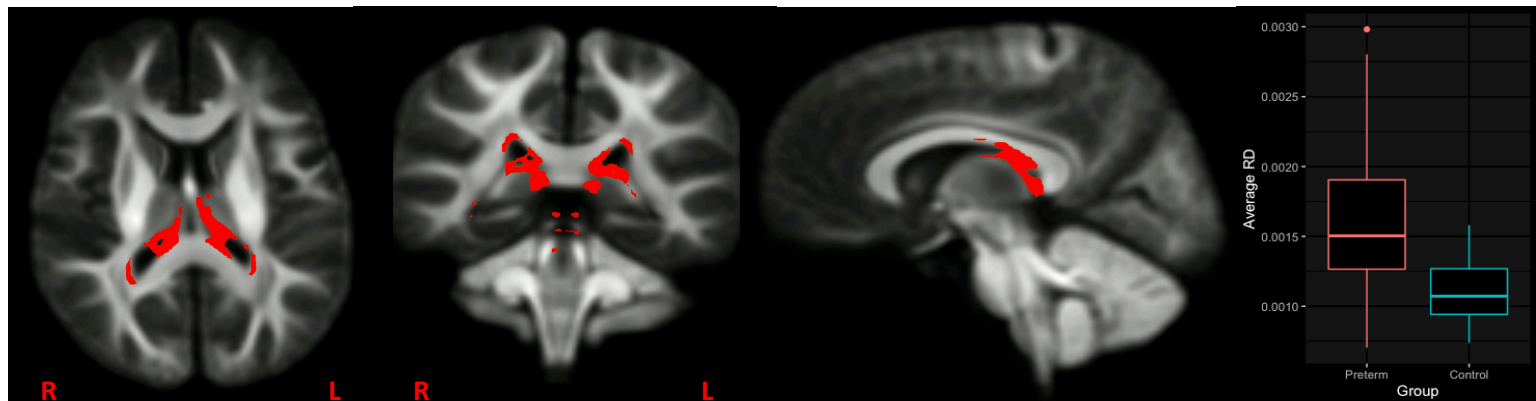
### 7.3.5 Brain-behaviour associations between FBA metrics and temperamental traits

No significant associations were found between NA, EC, and Surg scores and FC, FD, or FDC (all  $p_{FWE} \geq 0.0167$ ). There were no significant interactions between temperamental trait-FBA metric association and group.

### 7.3.6 Voxel-based DTI analyses

#### 7.3.6.1 Between-group analyses

No significant differences in FA values were found between the VPT and control groups. VPT children had significantly higher RD than control children in WM tracts listed in Table 7.6, displayed in Figure 7.4 (all  $p_{FWE} < 0.05$ ).



**Figure 7.4.** Voxel-based analyses of radial diffusivity (RD). Significant regions (shown in red) indicate significantly higher RD in VPT compared to full-term groups, after controlling for age and sex. Figures show boxplots representing group differences in RD within significant regions.

**Table 7.6.** Voxel-wise RD differences between VPT children and controls.

DTI metric (covariates)	Direction	WM regions
RD (age, sex)	VPT<FT	Bilateral: Fornix, stria terminalis, body of the corpus callosum, tapetum

FT = full-term group; RD = radial diffusivity; VPT = very preterm group.

#### 7.3.6.2 DTI brain-behaviour associations

No significant associations were found between DTI metrics (FA and RD) and any of the behavioural outcomes: WISC subscales (VCI, PRI, WMI, PSI) and TMCQ subscales (NA, EC, Surg).

## 7.4 Discussion

This study investigated associations between white matter structure and behavioural outcomes in VPT and term-born children. We found no significant differences in cognitive or socio-emotional outcomes between the VPT and control groups. Fixel-based diffusion imaging analyses indicated axonal reductions in VPT children when compared with full-term controls in several WM tracts, in the form of decreased FD, FC, and FDC. Voxel-based analyses also revealed increases in RD in the preterm group in overlapping WM tracts. Finally, we found a positive association between FDC values in the corpus callosum and CST and verbal comprehension scores, in the whole participant sample (VPT and full-term children). We did not find a moderation of this brain-behaviour association by preterm group status. Results indicated no associations between FBA metrics and temperamental traits. DTI analyses revealed no associations between FA or RD and behavioural outcomes.

### 7.4.1 Behavioural differences

In the current study we did not observe significant differences between the preterm and term-born control groups in terms of Verbal Comprehension, Perceptual Reasoning, Working Memory, or Processing Speed scores when correcting for multiple comparisons. Therefore our results are not in line with previous findings indicating significantly worse performance of preterm children on various cognitive tests measuring general intelligence (Anderson, 2014; Mangin et al., 2017), working memory (Aarnoudse-Moens et al., 2009b; Omizzolo et al., 2014), language abilities (Barre et al., 2011; Reidy et al., 2013), processing speed (Rose et al., 2002), and visuo-spatial skills (Ornstein et al., 1991; Torrioli et al., 2000). Further, our results indicated no differences in temperamental traits between VPT and control children, contrary to findings from studies indicating increased negative affect (Caravale et al., 2017; Lejeune et al., 2015) and decreased self-regulatory behaviours (Spittle et al., 2009; Wolf et al., 2002) in preterm children.

In terms of processing speed, previous research has indicated that performance differences between VPT and term-born children in this domain are primarily due to a greater proportion of

extremely slow responses, as opposed to generally lower average processing speed (de Kieviet et al., 2012b), resulting in difficulties when attempting to maintain a high level of efficiency with increased task complexity. Given the short and relatively easy nature of the processing speed tasks within the WISC-IV, this may explain the lack of group differences in this domain.

As stated in Chapter 4, VPT children followed-up at Timepoint 2, and those who completed a full MRI scan at Timepoint 3, showed higher IQ scores when compared to those not followed-up, or with an incomplete MRI scan. Therefore, our results are likely to be skewed and therefore underestimate the cognitive deficits seen in VPT children, possibly explaining the lack of differences with the full-term controls. Furthermore, despite many findings indicating significant differences in cognitive development between preterm and term-born children and adolescents, there is also evidence to suggest these two groups score comparably on various cognitive tests, including vocabulary comprehension, working memory and processing speed tasks (Pérez-Pereira et al., 2020; Saavalainen et al., 2007). It has also been suggested that preterm children might be able to ‘catch-up’ to their term-born peers by late childhood and overcome some of their difficulties. This is supported by findings indicating preterm individuals perform better on working memory tasks in early adolescence than at eight years (Curtis et al., 2002).

Similar to the cohort studied by Perez-Pereira and colleagues (2020), our participants could be considered as ‘low-risk’ as they did not show serious additional medical conditions. Furthermore, the current cohort have a relatively favourable socio-economic background, with around a third of participants coming from regions in England considered to be within the least socially deprived quintile. As coming from a higher socio-economic background is well known to be associated with better cognitive outcomes (Duncan and Magnuson, 2012; Sarsour et al., 2011), this might help explain the lack of cognitive deficits seen in the VPT group. Our results are supported by previous literature indicating that VPT children at both clinical and socio-demographical low risk develop behavioural skills similar to full-term children (Pérez-Pereira and Cruz, 2017; Pérez-Pereira et al., 2014).

These findings might also help explain the lack of differences in temperamental traits between the two groups. Results from Voigt and colleagues (2013) indicated that whilst there was no direct association between preterm birth and temperamental traits in toddlers, environmental variables,

specifically parenting stress, had an influence on toddlers' NA scores. This is supported by previous research highlighting the effects of parenting characteristics on socio-emotional development in VPT children (Gracioli and Linhares, 2019; Vinall and Grunau, 2014). As such parental characteristics, including sensitivity and temperament, are known to be directly influenced by a family's socioeconomic position (Booth et al., 2018; Kalil et al., 2012; McLoyd et al., 1994; Vaccaro et al., 2021), a lack of differences in childhood temperament between the VPT and control groups in this study could also be attributed to the fact that the VPT group who was followed up at Timepoint 3 was less socially deprived than the group who was not followed-up, i.e., had higher SES.

## 7.4.2 Between-group white matter differences

### 7.4.2.1 FBA findings

VPT children exhibited lower FD, FC and FDC in central WM regions compared with full-term controls. Although both FD and FC represent the capacity to transfer information, lower FD represents the fraction of space occupied by axons in every voxel (or intra-axonal volume), while lower FC indicates a smaller cross-sectional area of fibre tracts (Raffelt et al., 2017). The former could be indicative of individual axonal diameters, or the number of axons that occupy the space. An apparent decrease in the volume of intra-axonal compartment (lower FD) is indicative of increased exchange of water between the intra-axonal and extra-axonal spaces, which has been suggested to be caused by lower myelin content (Pannek et al., 2018). Therefore, a decrease in FD in VPT children could suggest lower myelin content in this population compared to full-term controls, in regions including the corpus callosum and fornix.

Further, a difference in FC signifies altered macrostructure, whereby a larger cross-section will be seen in 'thicker' fibre bundles that contain a higher number of neurons compared to 'thinner' bundles (Raffelt et al., 2017). Therefore, our results indicate that VPT children have fewer axons within specific fibre bundles (including the cingulum, SLF, CST, and cerebellar peduncles) compared to full-term controls.

Our results indicate varying spatial specificity for FD and FC differences between preterm and full-term children. Specifically, FD was predominantly affected in the corpus callosum (body and splenium), tapetum, and fornix. This is in line with a recent study showing similar altered FD patterns in preterm children at 7 and 13 years (Kelly et al., 2020). VPT children may have axonal reductions in these developmentally sensitive fibre tracts, known to be rapidly developing during childhood (Lebel and Beaulieu, 2011). The current results showed more group differences in FC, indicating alterations in the CST, middle and superior cerebellar peduncles, cingulum, and SLF. Our results indicate that FC and FDC differences between the two groups remained significant even after controlling for ICV, suggesting that such differences are unlikely to be driven exclusively by whole-brain volume differences.

In a previous study, our group examined diffusion MR images of the current cohort at TEA age using FBA. Whilst not directly comparing the preterm neonates with full-term controls, Pecheva and colleagues (2019) identified associations between FBA metrics and GA, highlighting altered macrostructural (FC) alterations in similar regions to the current study, including tracts within the CST, cerebellum, and pons.

Similar results have been reported in a further cohort of preterm neonates. Pannek and colleagues (2018) identified altered microstructure (FD) in the body of the corpus callosum, whilst brain macrostructure (FC) was altered within the cerebellar peduncles and cingulum, amongst other WM tracts. Similar to Pannek and colleagues, the current study identified reduced FD, but not FC, in the anterior commissure in a preterm cohort when compared to full-term controls. However, due to partial volume effects as described by Raffelt and colleagues (2017), differences in the cross-section of the anterior commissure are likely to manifest as alterations in within-voxel intra-axonal volume (FD), and therefore it is difficult to differentiate between FD and FC alterations in this structure.

Finally, FDC showed reductions primarily in regions showing reductions in FD and FC, including the bilateral fornix, CST, cerebral peduncles, corpus callosum and SLF. FDC is influenced by both microstructural and macrostructural properties, and it has been suggested that this metric, compared to FD or FC alone, is a better representation of ‘the ability to transfer information’ (Raffelt et al., 2017). FDC was also reduced in the right side only within the superior cerebellar peduncle and

cingulum. Increased alterations in preterm individuals on the right, compared to the left, hemisphere is in line with previous literature indicating structural asymmetries of WM tracts in this population. For example, favourable diffusion characteristics, including higher FA and lower diffusivities, are reported in the left CST (Liu et al., 2010; van Pul et al., 2012b) and parietotemporal SLF (Liu et al., 2010). It has been suggested that such structural asymmetries, which are already present at TEA, might be a reflection of advanced myelination in the left hemisphere (Liu et al., 2010). Later maturation of the right hemisphere could therefore mean it is more susceptible to alterations resulting from preterm birth.

#### 7.4.2.2 DTI findings

VPT children displayed higher RD values, when compared to controls, in voxels located within several WM tracts, including the fornix and corpus callosum. RD-based group differences overlapped with regions displaying FD differences, in opposite directions: higher RD was predominantly found in regions where VPT children showed lower FD than controls. Higher RD reflects heightened diffusivity perpendicular to the direction of axonal fibres, which might indicate increased membrane permeability of the axon. As described above, changes in FD are also thought to be indicative of membrane permeability. Taken together, these DTI results further support our findings of increased membrane permeability within specific WM tracts in VPT children compared to full-term controls.

#### 7.4.3 Brain-behaviour associations

The current study found a positive association between scores on a subscale of the WISC-IV (VCI) and FDC in the bilateral CST and in the body of the corpus callosum, in the whole participant group (VPT and full-term children). Previous DTI studies have reported associations between cognition and diffusion characteristics in the CST and corpus callosum in children (Duerden et al., 2015; Kennedy et al., 2021; Moreno et al., 2014; Young et al., 2017). More specifically, our results showed an association between WM structure and verbal comprehension, as no associations were

found between FBA metrics and any of the other WISC-IV subscales. Similar findings have been reported in DTI studies of children, whereby brain-behaviour associations are identified between language abilities and diffusion characteristics in various WM tracts, including the CST and corpus callosum (Andrews et al., 2010; Feldman et al., 2012; Mürner-Lavanchy et al., 2018; Suprano et al., 2020; Young et al., 2017). Recently, FBA has been used to assess associations between WM properties and cognitive outcomes in children. In a VPT cohort, neonatal FBA metrics (FD, FC and FDC) of the corpus callosum and CST were shown to be significantly associated with cognitive outcomes at 1 and 2 years (Pannek et al., 2020), in line with results from the current analyses. Further, in a combined group of VPT and full-term children, math computation was associated with FBA metrics predominantly in the CST and the corpus callosum (Collins et al., 2021).

The development of the corpus callosum has long been implicated in language outcomes, with smaller tract volumes showing associations with lower verbal intelligence measures in preterm children (Caldú et al., 2006; Narberhaus et al., 2008; Nosarti et al., 2004). The corpus callosum is thought to influence language development through its involvement in language network organisation and integration (Bartha-Doering et al., 2021; Friederici and Alter, 2004). The functional relevance of CST for verbal comprehension, however, is less clear, and requires further investigation. Although previous research has indicated specific associations between diffusion characteristics of the CST and verbal comprehension (Jung et al., 2019), it remains possible that effects seen in the current analyses reflect associations with widespread WM, that are more evident in larger tracts.

Associations between FBA metrics and VCI scores were similar in VPT and full-term children. No significant interaction was found between group status and cognitive performance on WM structure. Previous literature has yielded conflicting results for associations between language-related skills and WM structure in preterm children, with some studies reporting altered WM systems in this group (Bruckert et al., 2019; Feldman et al., 2012; Thompson et al., 2020; Travis et al., 2016), whilst others suggest similar associations to full-term children (Andrews et al., 2010; Mürner-Lavanchy et al., 2018).

#### 7.4.4 Limitations and future directions

The VPT children followed-up for the current study had a significantly higher IMD score than those who were not followed up at Timepoint 3 (see Chapter 4). Furthermore, of the children who were followed-up, those who had complete MRI scans showed significantly higher IQ scores than those who did not complete the MRI scan. Therefore, our VPT group includes children coming from a relatively high socio-economic background, with relatively good cognitive development. Therefore, our results may not be generalisable to all VPT children.

Further, the language measure used in the current study is thought to depend on various cognitive processes, including attention, working memory, and the development of complex concepts, and therefore it is difficult to claim an association between diffusion characteristics of these WM tracts and language comprehension only. Future research could focus on determining brain-behaviour associations between WM structure and ‘purer’ language tasks.

The socio-emotional measures used here included temperamental traits as measured by pre-defined subscales from one parental questionnaire, the TMCQ. Whilst these traits have been validated in various populations, parents’ reports are likely to be biased by their own characteristics, and based specifically on parent–child relationship (Kagan and Fox, 2006). A more robust approach of measuring temperament might include the direct observation of children’s behaviour, whereby assessors rate children’s reactions to stimuli that elicit emotional reactivity (e.g., Durbin et al., 2007).

Finally, the current cross-sectional analyses included one time-point for both brain and behavioural data. Future research could employ longitudinal methodologies including multiple time-points, in order to disentangle this relationship further and tap into true developmental effects.

The current FBA findings support previous DTI literature indicating altered WM development in VPT children compared to full term controls. Our results indicate decreased fibre density (i.e., microstructure) in several WM tracts, overlapping with regions of increased RD, which is in line with previous DTI findings in VPT children. Further, the current results supplement these findings by also reporting reduced fibre cross-section (i.e., macrostructure) in this population. Results

from the current FBA study also support previous DTI findings of associations between diffusion characteristics of WM tracts and verbal comprehension in VPT and full-term children. We report here a positive association, suggesting that better verbal outcomes correlate with an improved ability of WM tracts to transfer information. As this ability is shown to be diminished in VPT children (Kelly et al., 2020; Pannek et al., 2018; Pecheva et al., 2019), this may aid in understanding cognitive deficits exhibited by VPT children. The ability to pinpoint such altered WM diffusion characteristics could help in the early detection of cognitive problems so often experienced by this population, allowing for potential preventative measures to be implemented.

# Chapter 8: General Discussion

## 8.1 Overview of thesis

The aim of this thesis was to increase our understanding of white matter development and its associations with behavioural outcomes in VPT neonates and children.

This thesis first investigated associations between neonatal structural and functional connectivity and socio-emotional outcomes in a group of VPT children. In Chapter 5, structural connectivity was quantified using tract-specific DTI metrics, and this was shown to be related to childhood socio-emotional outcome factors. In Chapter 6, neonatal functional connectivity of the amygdalae, measured using resting-state fMRI, was assessed in relation to these same socio-emotional outcomes. While previous research has demonstrated associations between neonatal structural and functional connectivity and cognitive outcomes in childhood, associations with socio-emotional outcomes in VPT children have not been studied as extensively. The present work aimed to explore whether altered brain connectivity in preterm neonates is associated with childhood socio-emotional outcomes.

Chapter 7 explored the differences in diffusion characteristics between VPT and term-born children and their association with behavioural outcomes. Whilst previous research has explored this association in VPT children, this thesis differs in utilising the advanced FBA method, which correlates more specifically with tissue microstructure than traditional diffusion imaging methods. These findings have improved our understanding of alterations in WM structure in VPT children and their associations with cognition.

## 8.2 Summary of findings

### 8.2.1 Socio-emotional profile in VPT children

In both Chapters 5 and 6, socio-emotional outcomes were reflected by three factors: *Emotion Moderation*, *Social Function*, and *Empathy*. In the analysis of each chapter, only *Emotion Moderation* revealed an association with brain connectivity. Results from Chapter 5 demonstrated that those with better cognition were more likely to exhibit good social functioning, indicating *Social Function* was moderated by IQ. This dependency of social functioning on cognition is reflected in previous literature (Adolphs, 2001; Watson et al., 1999). *Empathy*, on the other hand, was seen to be related to sex, with girls demonstrating higher scores on the Empathy Questionnaire than boys, a tendency also in line with previous literature (Auyeung et al., 2009; Mestre et al., 2009). Sex differences in empathy may be heightened by an individual's environment, where influence from parents, teachers, and caregivers is thought to reinforce stereotypical gender roles and expectations. An evolutionary perspective can also be considered, where sex differences in empathy are promoted by differential natural selection and sexual selection pressures (Di Tella et al., 2020). With women bearing costs in the selection of a poorly suited mate – and disproportionate costs in raising children – greater empathy and thus an ability to understand another's feelings and intentions allows for the selection of partners who will be more likely to provide assistance in child rearing (Vongas and Al Hajj, 2015).

Lastly, childhood *Emotion Moderation* was shown to be negatively associated with both structural and functional neonatal connectivity in a VPT cohort, with high scores on this factor indicating a tendency for increased Negative Affectivity and Effortful Control. As discussed in Chapter 6, although the combination of these two temperamental traits may appear counterintuitive, it is possible to interpret *Emotion Moderation* as the *maladaptive* control or regulation of internal emotional and cognitive states (Cicchetti and Toth, 2014; Merrell, 2008). Increased Effortful Control could be predominantly driven by increased inhibitory control, reflecting an overall inhibited and shy behaviour as a consequence of fear and anxiety (Derryberry and Rothbart, 1997; Eggum-Wilkens et al., 2015). Such a temperamental profile corresponds with the 'preterm phenotype' (Arpi and Ferrari, 2013; Johnson and Marlow, 2011) and conforms with a temperament model developed by Robins et

al. (1996) which postulates that individuals can be divided into groups of temperament typologies, namely ‘overcontrolled’ (individuals are shy, compliant, and dependent), ‘under-controlled’ (individuals are active, aggressive, resistant, and demonstrate difficulties regulating emotions), and ‘resilient’ (individuals are compliant, cooperative, display positive emotions and well-developed social skills, and are adaptive in stressful situations). Developed with a sample of American adolescents, this model has since been replicated in other countries and age groups (Asendorpf and van Aken, 1999; Hart et al., 2003; Hart et al., 1997). In revealing the negative association between neonatal connectivity and *Emotion Moderation*, we present a possible biological precursor for the ‘overcontrolled’ temperamental typology, commonly seen in VPT children.

### 8.2.2 Neonatal frontal-temporal connectivity and socio-emotional outcomes

The UF connects the orbitofrontal cortex and parts of the limbic system, including the amygdalae, temporal pole, and parahippocampal gyrus (Von Der Heide et al., 2013). Findings from Chapters 5 & 6 indicate that early alterations of structural and functional connectivity between the anterior temporal lobe and the orbitofrontal region represent a possible biological mechanism underlying the association reported between VPT birth and emotion dysregulation in childhood and beyond. Decreased structural and functional connectivity were independently associated with poorer Emotion Moderation.

The anterior temporal lobe is implicated in the processing of social concepts, including facial emotion recognition and theory of mind (Olson et al., 2007; Simmons et al., 2010; Zahn et al., 2007). Within the anterior temporal lobes, the amygdalae play a key role in socio-emotional processing (Adolphs, 2001) and is involved in evaluating the significance of and arousal from emotional stimuli (Pessoa and Adolphs, 2010; Phelps and LeDoux, 2005). The orbitofrontal cortex plays a role in reward-based decision making and in assigning value to external stimuli (Grabenhorst and Rolls, 2011). Considering the functions of these brain regions, it is possible that their connectivity facilitates the transmission of neural representations of salient stimuli, a process required for the formulation of reactions to these stimuli. Such reactions will be based on an evaluation of the stimuli’s importance, which may include an analysis of its emotional tone or incentive value (Von Der Heide et al., 2013).

The association between anterior temporal – orbitofrontal connectivity and temperament reported in Chapters 5 & 6 may be attributable to the mediating effect of altered stimuli processing. Previous literature has demonstrated associations between temperament and information processing, specifically a relationship between negative affect and altered processing of salient stimuli (Lonigan et al., 2004; Mauer and Borkenau, 2007). Moreover, altered information processing has been shown to be associated with anxiety in children, with anxious individuals exhibiting processing biases towards threatening stimuli (Hadwin and Field, 2010; Hadwin et al., 2006). As such, high *Emotion Moderation* scores, which we may be exhibited as more inhibited, shy, and anxious behavioural responses, could be underpinned by altered processing of representations of emotional stimuli.

Our results indicated an association between connectivity of the anterior temporal and orbitofrontal cortices and socio-emotional outcomes in the right hemisphere only. Asymmetric associations such as this have been demonstrated in previous literature, including associations between the right anterior temporal lobe and emotional memory (Olson et al., 2007) and asymmetric outcomes of temporal atrophy in individuals with frontotemporal dementia (e.g., Thompson et al., 2003). Moreover, a recent review of behavioural studies investigating patients with frontotemporal lobar degeneration suggested a general dominance of the right hemisphere for emotional functions (Gainotti, 2019).

The developmental sequelae of socio-emotional difficulties warrants further investigation, with future studies characterising the mediating effect of information processing on the relationship between altered brain development and behavioural outcomes.

### 8.2.3 White matter development in VPT children

This thesis improves our understanding of WM development in VPT children by identifying altered tracts exhibiting decreases in microstructure and macrostructure when compared to full-term controls. Altered microstructural diffusion characteristics reflected in decreased FD and increased RD in VPT children might indicate elevated membrane permeability, as a result of reduced myelin content. This was mostly seen in commissural WM regions encompassing the fornix and body of the

corpus callosum. Macrostructural alterations exhibited as decreases in FC in the VPT group suggests this population develops ‘thinner’ fibre bundles containing fewer axons when compared to full-term controls. This was specifically seen in projection and association fibres tracts including the cingulum, SLF, CST, and cerebellar peduncles. Alterations in the combined measure of FD and FC, FDC, were also reported in VPT children. This metric is thought to represent total intra-axonal volume more precisely than each of the two metrics alone. Reductions in FDC were found in similar regions to those indicating reduced FD and FC only, including the fornix, corpus callosum, CST, and SLF.

#### 8.2.4 Childhood diffusion characteristics and behavioural outcomes

The accurate interpretation of changes in FA can be problematic as they occur secondary to a variety of inter- and intra-tract mechanisms. The usage of traditional MRI techniques such as DTI can introduce these difficulties in interpretation as it conveys only a limited amount of information on WM tract structure. Indeed, the DTI literature has revealed conflicting results, with both negative and positive associations with language outcomes reported in separate studies (e.g., Bruckert et al., 2019; Mürner-Lavanchy et al., 2018). As such, a more advanced MRI technique, FBA — which can identify multiple specific fibre pathways within a voxel — was employed in analyses in Chapter 7.

Preterm children showed significantly reduced FD, FC and FDC values in central WM when compared to term-born controls. We found that tract microstructure (FD) is likely to be affected by prematurity mainly within the corpus callosum and fornix. Tract macrostructure (FC), on the other hand, showed alterations in more WM tracts, including CST, cerebellar peduncles, cingulum, and SLF. Such differences were in line with previous results from FBA studies of preterm neonates and children (Kelly et al., 2020; Pannek et al., 2018; Pecheva et al., 2019).

Further, total intra-axonal volume (FDC) within the body of the corpus callosum and the CST was associated with verbal comprehension. Neonatal FDC in the corpus callosum and CST has recently been related to cognitive development of VPT toddlers (Pannek et al., 2020), suggesting such associations remain consistent along the lifespan. This is important as it suggests that early alterations in WM development may be indicative of later development and behavioural outcomes. In order to

confirm this hypothesis, future research should focus on assessing similar associations within the same cohort at different timepoints through the use of longitudinal study designs.

Finally, despite performing marginally worse on all subscales of the WISC, VPT children did not show significant differences in performance to term-born controls after controlling for multiple comparisons. This result is reflected in previous literature (e.g., Pérez-Pereira et al., 2020; Saavalainen et al., 2007), although findings have been conflicting, with certain studies observing a significantly worse performance on cognitive tests by VPT children than full-term controls (e.g., Anderson, 2014; Hua et al., 2008; Reidy et al., 2013). Such disparity might be explained by variations in cohort characteristics that ultimately affect their performance. For example, the present cohort of VPT children followed-up as part of the ePrime study were shown to have a lower average IMD score when compared to those not followed-up (Chapter 4). This suggests a sampling bias whereby those children from a relatively higher socioeconomic background are more likely to take part in follow-up studies. The comparable performance on the WISC by this VPT cohort could thus be a product of better cognitive development seen in individuals from higher socio-economic background (Duncan and Magnuson, 2012; Sarsour et al., 2011). Similarly, the fact that the followed-up VPT group was less socially deprived than the group who was not followed-up might also help explain the lack of differences in temperament between the VPT and full-term children. Previous research has reported the influence of SES on behavioural problems (Costello et al., 2003; Piotrowska et al., 2015), and therefore, sampling behaviour from a VPT group with a relatively high socioeconomic background could result in more favourable outcomes compared to those that would have been observed in a more representative group of VPT children.

## 8.3 Limitations

### 8.3.1 Data collection

#### 8.3.1.1 Behavioural measures

The practice of intelligence testing has been criticised for its instruments being biased towards the cultural context in which they have been developed. Cultural differences in lifestyles and child-

rearing practices may affect equal access to knowledge assessed by IQ tests (Cocodia, 2014), which is most often specific to white, Western society (Ford, 2005), and should therefore be taken into account when analysing the results of intelligence tests. One major limitation of the present IQ test analyses is that they did not control for ethnicity. We are therefore unable to conclude whether our results contain bias.

An additional limitation of the measures used in the present thesis concerns the use of parental questionnaires assessing children's socio-emotional development. Parental reporting on their children's social and emotional well-being has been shown to be biased, with parents estimating a child's happiness in relation to their own self-reported happiness (López-Pérez and Wilson, 2015). Further, behavioural competencies are developed in the context of family and community, with cultural differences influencing developmental concepts such as temperament and attachment (Bricker et al., 2004). As such cultural differences may be more apparent in some contexts compared to others, such as at home compared to school settings, gathering information across multiple environments and sources is an important consideration when assessing childhood development (Chen, 2011; Yates et al., 2008). Nevertheless, the parental questionnaires used in the current analyses (see Section 4.2.2.2) have been shown to be valid and reliable tools for behavioural data collection concerning aspects that can be difficult to measure through performance-based testing. Moreover, not only were parental ratings of the SDQ recently shown to be in line with the self-reported behaviour of adolescents, they also provided additional information necessary for the identification of emotional and behavioural difficulties, especially with respect to externalising problems (Theunissen et al., 2019).

However, even participants' own self-reported measures of childhood development are subject to biases, such as response biases and social desirability. Alternative behavioural measures that aim to explore participants' understanding and interpretation of social phenomena might include presenting participants with a scenario of fictional characters, or 'vignettes', and qualitatively analysing their responses and commentary (Jenkins et al., 2010). These methods have been previously shown to engage children, particularly in discussing sensitive topics (Barter and Renold, 2000).

Further objective measures of childhood behaviour include more unbiased, direct observations that are rated by trained assessors. Children's behaviours can be rated in response to

structured situations, such as separation or frustration paradigms, allowing the direct comparisons of regulatory strategies in the face of specific stressors (e.g., McConnell et al., 2003). Unstructured observations might illustrate more natural, day-to-day regulatory challenges (e.g., Fantuzzo and McWayne, 2002). Parent-child interactions might also be assessed with this method in order to characterise behaviour in the home context (Gardner, 2000), whilst observations within school settings might allow researchers to analyse teacher-child interactions (La Paro et al., 2004). The combined use of multiple methods and reporters, that tap into different aspects of childhood development, are likely to provide the most comprehensive assessment of childhood development (Smith-Donald et al., 2007; Wakschlag et al., 2005).

#### 8.3.1.2 Socio-demographic measures

The current thesis used area-based deprivation as a sociodemographic measure, the IMD, which is a useful method of quantifying SES that is UK-specific. As the IMD was calculated on the basis of maternal address at the time of infant birth, families were not required to answer questions about personal matters that may have made them feel uncomfortable, such as income. However, such area-based socio-economic indicators do have their limitations, as they assume a level of homogeneity, despite findings reporting heterogenous income and education levels within a geographic unit (Diez-Roux et al., 2001). Alternative methods of collecting data that are more specific to the individual are available, including systematic categorisations of occupation, annual household income, and more in-depth questionnaires that focus on material affluence, such as the Family Affluence Scale, which includes questions about material possessions, family holidays, and number of rooms in the home (Currie et al., 2008).

The current thesis also collected data on maternal education, which was quantified as the age at leaving school, and was binarized rather than treated as a continuous variable. The binarization – (i) at or before 19 years and (ii) after 19 years - aimed to subdivide the group into those finishing education at secondary school, and those continuing to study at degree level (Belfield et al., 2018). Dichotomization of maternal education represents a limitation of the current study as this non-fine

grade categorisation may lead to loss of information about individual differences and potential overlooking of non-linear relationships, hence loss of measurement reliability (MacCallum et al., 2002). Preferable alternative methods of collecting data on maternal education might include specifying attained educational levels (Bontrone et al., 2021). The use of other systems of maternal education classification, for instance the CASMIN (Comparative Analysis of Social Mobility in Industrial Nations) (Brauns et al., 2003) which uses three educational levels: primary, secondary and tertiary, could allow comparisons of findings between different countries and educational systems.

### 8.3.1.3 Measuring neonatal illness

As detailed in Section 4.1.3, in this work I used a neonatal sickness index computed from clinical data regarding participants' health during the perinatal period. Other validated measures of neonatal critical illness are also available, including scoring systems that use neonatal physiological and/or clinical data. For instance, the Critical Risk Index for Babies (CRIB-I and CRIB-II) were developed in the UK, are simple and rapid to use, and CRIB-II only contains objective parameters, avoiding potential problems of bias (Cockburn et al., 1993; Parry et al., 2003; Tarnow-Mordi et al., 1990). The CRIB-II can successfully predict neonatal mortality in preterm infants (Ezz-Eldin et al., 2015; Faridpour et al., 2020; Rastogi et al., 2010), although it did not perform better than GA or BW in predicting functional disability and is therefore not advised to be used in predicting long-term outcomes (Greenwood et al., 2012). Another set of commonly used measures are two versions of the Score for Neonatal Acute Physiology (SNAP-I and SNAP-II) (Richardson et al., 2001; Richardson et al., 1993). These measures, which were developed in the US, focus on the neonates' physiological wellbeing, and are highly predictive of neonatal mortality in preterm infants (Beltempo et al., 2019; Dammann et al., 2009; Maiya et al., 2001). SNAP-II scores are also used to predict neurodevelopmental outcomes (Dammann et al., 2010), as well as altered brain development (Ranger et al., 2013; Zwicker et al., 2013). A comparison between the CRIB and SNAP measures showed no significant differences in their abilities to predict neonatal mortality, and all were significantly better at predicting mortality than BW alone (Zardo and Procianoy, 2003).

Whilst these illness severity scores are useful tools that allow for standardised comparisons between populations and healthcare providers, their use does have its limitations. The use of an existing score may not represent the most accurate approach of quantifying illness severity within a specific population due to variations in clinical care between different countries and clinical units. Therefore, the use of a particular scoring system should include careful consideration of the measure's specific purpose and population (Dorling et al., 2005). Further, due to constant improvements in neonatal intensive care, these scores were developed at a time that involved different preterm neonatal care to the current practice, as well as differing survival rates. This highlights the need for the formulation of new sickness severity scores that are more in line with current practice, taking into account advances in neonatology (Garg et al., 2018). The neonatal sickness score used in the current analyses is specific to the time and place of birth of the cohort, and therefore to the clinical practice experienced by neonates recruited into in the study.

### 8.3.2 Generalisability of findings

#### 8.3.2.1 Socio-demographic characteristics

As no control groups were included in Chapters 5 & 6, the current findings may not be generalised to term-born children. Previous research has mostly focussed on comparing preterm children to controls in a variable-centred approach, for example through the examination of broad temperamental traits. Whilst these traits are a useful way of categorising behaviour and allow for more manageable data analysis, disadvantages remain. This approach does not consider the multiple temperamental dimensions exhibited by individuals, such that more nuanced individual differences may go unnoticed (Zentner and Shiner, 2012). Through methodologies such as factor analysis, a person-centred approach is possible that considers the individual as the unit of analysis, best understood by considering all variables simultaneously (von Eye and Bergman, 2003). In childhood temperament research, the combination of such variables allows for identification of typologies used to differentiate between individuals (Hart et al., 2003), and may improve our understanding of child behaviour by considering the multifaceted nature of temperament. Here, we utilised multiple variables

and captured a temperamental profile that is in line with both the preterm phenotype, as well as a previous model of temperamental typologies (Hart et al., 2003).

Further, and as previously mentioned, the cohort of preterm children followed-up at both Timepoints 2 and 3 came from less deprived socio-economic groups compared to children who were not followed-up, highlighting a possible sampling bias. The trend of losing the more socially disadvantaged participants to follow-up in longitudinal research has been previously reported in both full-term (Cameron et al., 2017; Eisner et al., 2019) and preterm paediatric samples (MacBean et al., 2019; Piedvache et al., 2021). Indeed, individuals from disadvantaged backgrounds may experience more adverse consequences associated with preterm birth due to a lack of protective factors such as sensitive parenting and improved education (Benavente-Fernández et al., 2019; Wolke, 2019). Therefore, the relative socio-economic advantage of the followed-up VPT cohort is likely to be linked to the observed outcomes in this group (e.g., no differences from full-term controls in terms of cognition or socio-emotional outcomes, see Section 7.3.2) – and thus lead to an underestimation of the difficulties experienced by VPT children as a whole.

The preterm cohort was also limited in its lack of ethnic diversity, with an underrepresentation of children from minority groups. Firstly, non-English speaking families were excluded from the original ePrime study. This was necessary as the use of interpreters would have made it difficult to be certain whether the structured interview was administered appropriately (Edwards et al., 2018). Therefore, results from all ePrime studies can only be generalised to English-speaking families. One way of preventing such biased samples could involve the recruitment of non-English speaking families with the use of validated data collection methods that include versions of standardised measures in multiple languages.

Furthermore, the current analyses included a convenience sample recruited from the ePrime cohort, and therefore the sample is not necessarily representative of the ethnic distribution within the wider preterm population. Previous research has highlighted differences in temperament and psychiatric outcomes among ethnically diverse children (de Boo and Kolk, 2007), with an emphasis on worse outcomes in those experiencing ethnic discrimination (Zare et al., 2018). Future studies

should consider utilising stratified random sampling for a more representative sample of the population, or including ethnicity as a covariate in analyses of behavioural outcomes.

More generally, the wider research community is failing to include individuals from ethnic minorities, with findings indicating that disproportionately fewer individuals from minority groups are invited to participate in research, when considering the prevalence of these groups in the population (Wendler et al., 2006). Therefore, strategies to increase ethnic minority representation in medical research is essential to tackle the root causes of underrepresentation (Redwood and Gill, 2013). Some examples of such design-level changes are limiting exclusion criteria on personal characteristics, such as age or geography, as well as implementing recruitment through as wide a range of routes as possible (Witham et al., 2020).

### 8.3.2.2 Brain injury exclusion

It is important to note the implications of excluding all participants with major lesions for the generalization of our findings to representative samples of very preterm individuals. As reported at the end of Chapter 5, significant differences were seen in the DTI metrics (FA & RD) of the right ILF between those excluded due to major lesions and those with no brain injuries seen at TEA. Therefore, excluding participants with major brain lesions from statistical analyses limits generalizability of findings to those very preterm infants with more favourable neonatal MRI. However, the exclusion of participants with major brain lesions is unlikely to have biased the measurement of socio-emotional outcomes, as these were not different between the three brain injury groups: major injury, minor injury, and no injury.

Future research could aim to include infants with major lesions in their analyses, although this presents several challenges. Primarily, those with a major lesion represent a minority of the population, more likely to show the most pronounced brain alterations (Nosarti et al., 2008), in turn biasing results away from the main body of the population. On a more practical level, the inclusion of major lesions may lead to problems in the registration of brain images (Brett et al., 2001).

## 8.4 Directions for future research

Future research should prioritise recruitment of a representative sample of the community, with a focus on including children from lower socio-economic backgrounds. This would allow for non-biased results that could be better generalised to the wider population. Additionally, in order to better understand the behavioural profiles of VPT children, research in this field could employ similar factor analysis techniques on socio-emotional outcomes in groups of children with varying gestational ages, in order to understand the contribution of preterm birth to differences in behavioural profiles.

Future research could also focus on studying the socio-emotional development of children through data collection from multiple informants, such as parents, teachers, and children themselves, in order to limit bias. It has been suggested that discrepancies between informants' answers may be interpreted as a measurement error (Achenbach, 2011), although these themselves may be uniquely informative on their origin and causes (De Los Reyes, 2011).

Further, the collection of multimodal data would increase our understanding of neurodevelopmental alterations in VPT children through the integration of findings that may not be captured by studies utilising one modality. For example, understanding how specific properties of WM tracts may influence BOLD signals, and vice versa, may offer further insight into the downstream effects of injury in preterm neonates. One example of research using multimodal neuroimaging techniques in a VPT paediatric sample has revealed associations between both structural and functional alterations in the right frontoparietal regions and socio-emotional development (Urbain et al., 2019). This study reported that when observing angry faces, preterm children exhibited diminished functional responses in regions including the right angular gyrus. Structurally, this region also showed reduced cortical thickness in this group, when compared to full-term controls. Thus, reduced functional brain responses associated with altered socio-emotional processing rely on atypical structural brain maturation (Urbain et al., 2019).

Finally, as longitudinal WM development is non-linear (Lebel and Beaulieu, 2011), it is assumed that findings of associations between WM structure and behavioural outcomes are not

constant throughout participants' lives. To understand these relationships and their trajectories, comprehensive longitudinal studies with multiple time points are required. There are difficulties with such studies that often lie beyond the control of even large research teams, such as upgrades to scanners and software midway through, but novel methods of data collection, such as accelerated longitudinal designs (Galbraith et al., 2017) have been proposed, to resolve these issues. Future work should aim to utilise such methods to produce a comprehensive characterisation of the link between brain alterations and behavioural outcomes in typical and atypical developmental populations.

## 8.5 Conclusions

This thesis provides evidence for associations between structural and functional properties of the limbic system at TEA and socio-emotional outcomes in childhood in a VPT cohort. Advanced diffusion MRI techniques are used to characterise specific properties of WM that have rarely been studied before in a group of VPT and term-born children. Imaging results show significant WM structural alterations in VPT children, and importantly, differentiate between regions of altered microstructure, and macrostructure, in this population. Specific WM tracts associated with verbal cognitive outcomes in VPT and term-born children were also characterised.

With improvements in both perinatal neuroimaging protocols and processing methods, research in this field could aim for a more accurate and detailed characterisation of altered neural development in VPT samples, as well as its associations with behavioural outcomes. Early characterisation of such altered development may help identify those children at risk of neurodevelopmental sequelae and highlight possible therapeutic targets for intervention.

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# Appendix A

This section is presented as a published journal article and is an exact copy of the following publication.

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## Advances in functional and diffusion neuroimaging research into the long-term consequences of very preterm birth

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### Abstract

Very preterm birth (<32 weeks of gestation) has been associated with lifelong difficulties in a variety of neurocognitive functions. Magnetic resonance imaging (MRI) combined with advanced analytical approaches have been employed in order to increase our understanding of the neurodevelopmental problems that many very preterm born individuals face as they grow up. In this review, we will focus on two novel imaging techniques that have explored relationships between specific brain mechanisms and behavioural outcomes. These are functional MRI, which maps regional, time-varying changes in brain metabolism and diffusion-weighted MRI, which measures the displacement of water molecules in tissue and provides quantitative information about tissue microstructure. Identifying the neurobiological underpinning of the long-term sequelae associated with very preterm birth could inform the development and implementation of preventative interventions (before any cognitive problem emerges) and could facilitate the identification of behavioural targets for improving the life course outcomes of very preterm individuals.

### Introduction

The period between 24 and 40 weeks of gestation represents a critical phase of human brain development, during which thalamocortical afferents reach the cortical plate. Cerebral connections are then formed via processes that include synaptic formation, dendritic differentiation, layering of cortical neurons and glial proliferation, which are crucial for typical brain development and function [1, 2]. This dynamic stage of development coincides with the time very preterm babies are born (<32 weeks of gestation), when their immature nervous system is vulnerable to injury and altered growth [3].

Magnetic resonance imaging (MRI) is a non-invasive *in-vivo* technique that has been used in the past decades to study brain morphology, tissue structure and neural activity

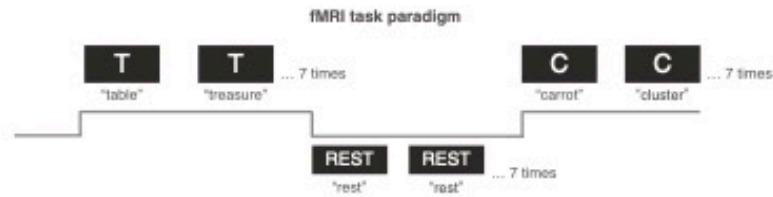
following very preterm birth from infancy to adult life. Widespread alterations in cortical mass, surface area and microstructure [4–6] and appreciable differences in structural and functional whole brain connectivity [7–10] have been described in individuals who were born very preterm compared to term born controls. Such developmental alterations have been repeatedly linked with later neurocognitive function [7, 11–14]. The impaired cognitive abilities that have been associated with very preterm birth encompass executive function [15, 16], attention [17], working memory and processing speed [18]. Such impairments have been found to impact real-life functions, including lower academic achievement [19], diminished adult wealth [20], and employment prospects [21]. Cognitive abilities have been further studied as developmental precursors of psychopathology [22]. Compared to term-born peers, very preterm individuals are more likely to experience difficulties in socio-emotional development [23], and to receive a psychiatric diagnosis in early adulthood [24, 25].

These findings highlight the dynamic interaction between both basic and high order cognitive and affective functions, as for instance, the ability to learn to efficiently deal with emotions requires a skilful coordination of multiple cognitive, perceptual and motor processes [26]. Such functions are believed to be subserved by dynamic interactions

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**Fig. 1** Graphic representation of a verbal fluency paradigm. During this task, participants are asked to overtly generate a word starting with a letter visually presented to them. This phase is regarded as the "experimental" condition. Each letter is presented a fixed number of

times within each block. During the 'baseline' condition, participants are visually presented with the word "rest" and are instructed to read "rest" aloud.

between brain networks, none of which is specifically 'behavioural' or 'cognitive' [27], thus neurodevelopmental alterations in distributed networks associated with very preterm birth may underlie both psychiatric and cognitive sequelae.

In this literature review we will be predominantly focussing on our own work, as well as including the contribution of other groups who have explored the associations between specific brain mechanisms and long-term behavioural outcomes in very preterm individuals. We will center the review on two imaging techniques that are increasing our understanding of the neurodevelopmental problems that many very preterm born individuals face as they grow up. These are functional MRI (fMRI), which maps regional, time-varying changes in brain metabolism that correspond to either rest or mental operations and diffusion-weighted MRI (dMRI), which measures the displacement of water molecules in tissue over time and provides quantitative information about tissue microstructure. We will include both studies of very preterm and of low birth weight individuals, as there is often overlap between these events: the majority of babies who are born preterm are also born with a low birth weight [28].

## Functional MRI

Neuronal activity is accompanied by an increase in blood flow to the local blood vessels and by an increased demand for oxygen, which is delivered to neurons by haemoglobin in capillary red blood cells. An increase in blood flow results in a change in the ratio of oxygenated to deoxygenated haemoglobin which is measured by the blood oxygenation level dependent (BOLD) signal used in fMRI. As oxy-haemoglobin is diamagnetic, i.e., weakly repulsed from magnetic fields, and deoxy-haemoglobin is paramagnetic, i.e., attracted to externally applied magnetic fields, a change in their ratio leads to a susceptibility difference between the blood and its surrounding tissue. Therefore, changes in oxygenation in the blood are

measured as the signal changes. The term 'hemodynamic response' to a specific stimulus reflects the changes in blood flow that accompany the time course of the BOLD signal change, which is delayed from the onset of neural activity by a few seconds. The haemodynamic response is thought to be tightly spatially coupled to electrodynamics which gives the BOLD signal an excellent spatial resolution [29].

During fMRI, several images of the brain are acquired over a period of time, and the fluctuations of BOLD signal are recorded. fMRI can be collected while participants are completing a task in the scanner (i.e., task-based fMRI), while they are viewing a crosshair on the screen or lay still with their eyes closed (i.e., resting-state fMRI). In typical task-based fMRI, the BOLD signal is recorded throughout an entire task, and then subdivided at the analysis stage into different conditions, usually "on" (experimental) and "off" (baseline) trials. By revealing the differential haemodynamic responses associated with each condition, this comparative approach produces results detailing brain regions believed to be implicated in the various mental operations required to complete the task [30].

fMRI limitations include poor temporal resolution due to the latency and longevity of the haemodynamic response. Other functional neuroimaging techniques, such as MagnetoEncephaloGraphy (MEG), derive signals from the dendrites of neurons during synaptic transmission, and are able to capture the dynamics of evoked responses with high temporal resolution [31]. Therefore, integration of MEG and fMRI may offer optimal characterisation of functional brain physiology [32].

An example of a task vs. baseline comparison is shown in Fig. 1, which schematically summarises a well-validated phonemic verbal fluency paradigm we have used in our work [33, 34].

Task-based fMRI studies have highlighted significant differences in regional haemodynamic responses between very preterm adults compared to term-born controls when challenged with a variety of cognitive tasks and often in the absence of observed between group-differences in task performance. This suggests an altered recruitment of brain

regions that are typically involved in specific cognitive operations, but also the presence of compensatory neural processes, whereby very preterm individuals rely on different neural pathways from those observed in controls in order to adequately perform a given task [35, 36]. In this paper, we will summarise the results of fMRI studies that have investigated participants' neural activation associated with learning and memory, executive function and emotion processing.

In order to evaluate learning and memory abilities following very preterm birth in adult life, we have previously used paired associates learning tasks, where participants are requested to encode and recall or recognise specific visual or verbal stimuli [37–39] and will describe one in detail. Brittain et al. [38] compared learning-related changes in haemodynamic response between very preterm adults and controls, conducting a linear trend analysis across four learning/recognition blocks, which probed the investigation of patterns of functional adaptation in relation to visual learning strategies. Results of this study showed that at the behavioural level, the two groups displayed similar learning effects, i.e., they correctly remembered more visual pairs in the fourth compared to the first block of presented images. However, fMRI results showed that the way in which learning took place was different between the groups. During encoding, very preterm adults showed progressively decreasing haemodynamic responses in the hippocampal gyrus and thalamus, while controls displayed an opposite activation pattern, i.e., progressively increasing haemodynamic responses. The thalamus is part of an “extended-hippocampal system” which supports episodic memory and recollective-based recognition [40]. Conversely, very preterm adults showed progressively increasing activation, compared to controls' progressively decreasing activation, in the right superior frontal gyrus, another key episodic memory region that typically displays decreasing activation with repeated stimuli presentations [41]. A failure of suppression of regional brain activity to repeated stimuli has been associated with poorer learning of new information [42]. Taken together, these results suggest a suboptimal engagement of brain areas subserving key memory functions, which may be studied in relation to very preterm children's academic difficulties [18].

Previous fMRI studies investigated executive functions in very preterm adults and controls using verbal fluency and response inhibition tasks. During performance of a phonological verbal fluency task and with increasing cognitive-load, very preterm individuals displayed hyper-activation in cortical (frontal, temporal and parietal) and subcortical (caudate nucleus, insula, and thalamus) regions compared with controls [34, 43]. Similarly, during a task that exercised motor planning, initiation and execution, between-group differences were observed in regions spanning the

cerebellum and the temporal lobe, with very preterm participants showing increased BOLD signal [44].

A study by Daamen et al. (2015) focused on executive attention using flanker stimuli (i.e., processing of incongruent vs. congruent arrows) and did not find between-group differences in haemodynamic response. Gestational age was negatively associated with BOLD signal in the dorsal anterior cingulate cortex [45], which is implicated in monitoring aspects of cognitive control [46]. In another study, Daamen et al. (2014) used fMRI during a working memory task with different cognitive loads and found significant deactivation, or enhanced BOLD signal suppression, in the precuneus and parahippocampal regions in very preterm adults compared to controls [47]. This pattern of deactivation was associated with a slowing of response latencies, which could help account for impaired processing speed in this sample [18].

More recently, fMRI has been used to study the rich dynamics of brain function ‘at rest’ and this is referred to as resting-state fMRI (rs-fMRI). Rs-fMRI measures the spontaneous, low frequency fluctuations in the BOLD signal to characterise synchronous activations in large-scale spatially distinct regions, in order to determine dissociable resting-state networks (RSN) that intrinsically work together during rest [48]. The functional relevance of these RSNs can be deduced from their spatial congruence with networks of regions that display synchronous activation in association with specific cognitive tasks [49], or inter-regional structural connectivity [50]. Rs-fMRI is concerned with the “functional connectivity” of different brain regions, rather than the sole activation of distinct regions that are implicated in performing a specific task (i.e., task-based fMRI). Among the benefits of rs-fMRI over task-based fMRI is that it can be used even in those individuals who are unable to perform an in-scanner task, due to age (e.g., infants) or clinical status (e.g., who may be unable to produce a motor response) [51].

In terms of analytical approaches used in rs-fMRI, Independent Component Analysis is a data-driven method that defines RSNs by subdividing the rs-fMRI sequences into spatial components that have similar temporal patterns. Alternatively, seed-based methods define a region of interest, or “seed region,” and then study how the time series of the BOLD signal in such “seed region” is correlated with the time series of all other voxels in the brain, producing correlation coefficients that define levels of connectivity between the “seed region” and the rest of the brain.

Of the more commonly studied RSNs is the default mode network (DMN), which includes the medial prefrontal, posterior cingulate, parietal, and lateral temporal cortices, as well as the hippocampus. The DMN shows decreased activation during specific goal-directed behaviours, but is actively implicated in internal or introspective thoughts, or

“mind-wandering” [52]. Some studies have described functional connectivity patterns resembling the emerging DMN in very preterm infants [53], whereas others have not [54]. We previously reported dysconnectivity between the DMN and two other key neurocognitive brain networks in very preterm adults compared to full-term controls [55], namely the salience network, whose activity is driven by cognitive and emotional salience, and the central executive network, which is activated by tasks involving attention, working memory and response selection [56]. These results suggest lower coordination between the DMN and networks responsible for task-appropriate attentional focus, which could be further investigated in relation to the well-documented increase in attentional problems in preterm samples [15, 17].

Research in very preterm individuals has further shown altered functional connectivity in relation to various behavioural outcomes, including intelligence [57, 58], visual attention [59], and language abilities [60]. Functional connectivity has also been studied to probe emotional information processing, in order to better understand the biological underpinnings of the socio-emotional difficulties often experienced by preterm born individuals. Previous literature proposes the amygdala as a central node modulating various neural networks important for social cognition, including the ability to recognise facial expressions, which is a crucial skill for successful interpersonal interactions [61]. Papini et al. (2016) used rs-fMRI to study functional amygdalar connectivity in very preterm and control adults [62]. Results showed hypo-connectivity in the very preterm group between the amygdala and the posterior cingulate cortex and precuneus, two core regions of the DMN that are implicated in emotional processing [63]. Furthermore, the ability to recognise angry facial expressions was associated with connectivity between the left amygdala and posterior cingulate cortex in control but not very preterm individuals. These findings suggest a potential mechanism associated with emotion recognition impairments in the very preterm group, possibly resulting from inadequate amygdalar modulation, with implications for social cognition, especially in situations that require the attribution of mental states to others [64]. These results are supported by other studies that show associations between altered amygdala-posterior cingulate cortex functional connectivity in very preterm adolescents and diminished social functioning [65].

A summary of all fMRI studies reviewed here is given in Table 1. Figure 2 graphically shows examples of selected brain regions frequently identified as displaying haemodynamic responses that are both altered in preterm individuals compared to controls and associated with behavioural outcomes.

Taken together, results of most investigations show altered hemodynamic responses in preterm individuals compared to controls, both during on-line task completion and at rest. A potential explanation for such findings involves neural plasticity, which refers to the brain's ability to adapt to environmental changes and to reorganise and recover from injury [66], via two main structural processes that can be regenerative or compensatory [67]. The developing brain is characterised by an early postnatal burst of synaptogenesis, followed by an environment-driven elimination (or “pruning”) of selective synapses [68]. This process continues throughout childhood and facilitates remodelling of neurosynaptic maps [69], while organisation of neural networks is less functionally crystallized than later in adulthood [70]. Such flexibility may be an advantage for the reorganization of functions in the preterm brain, although as shown by some of the fMRI studies reviewed here, functional remapping, as reflected by altered haemodynamic response patterns, may be both adaptive and maladaptive [33, 35, 62].

## Diffusion MRI

dMRI characterizes the direction-dependent diffusion of water molecules in the brain and is contingent on the organisation and density of axonal fibres. The most commonly used dMRI analysis approach is diffusion tensor imaging (DTI). The diffusion tensor model measures microstructural characteristics of white matter by approximating the directional profile of water diffusion in each voxel as a 3-D Gaussian distribution [71, 72]. Measures derived from DTI include fractional anisotropy (FA), mean diffusivity (MD), axial (AD) and radial diffusivity (RD). High FA values are observed in voxels containing fibres that are aligned, including regions such as the corpus callosum. Low FA values are observed in voxels containing fibres that are not closely aligned or voxels containing fibres of differing directions. Isotropic diffusion (where there is no directional dependence of water molecular motion) is observed in cerebrospinal fluid spaces and in grey matter. MD is a measure of the average diffusion within a voxel; AD reflects diffusion parallel to the principal axis of diffusion (considered to be along the axis of a white matter tract) and RD reflects diffusion perpendicular to primary direction of diffusion.

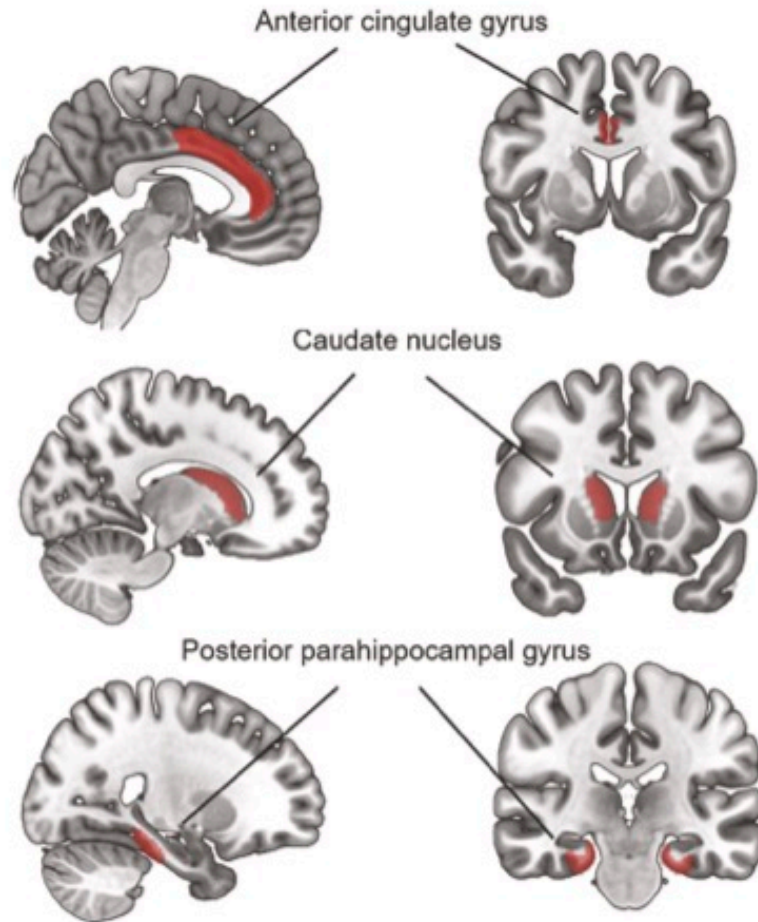
The diffusion tensor model has limitations [73], in particular, it is able to model only one fibre population per imaging voxel and does not work well where voxels contain multiple crossing fibres [74]. This is a significant constraint, as the occurrence of such complex fibre structures in a voxel containing white matter is common (60–90%) [75]. In addition, although FA is highly sensitive to microstructural

**Table 1** Summary of fMRI studies in very preterm adolescent and adult samples.

Ref	Cases (n)	Controls (n)	Type	Task	Mean age (y)	Results
Schafer et al. 2009 [36]	22 PT (660-1250 g BW)	26 FT	fMRI task-based	Online: semantic association task	12	Online task performance: PT = FT BOLD signal: PT = FT Functional connectivity: PT only: between TG and SMA PT only: between IFG and R MTG Behaviour-function association: PT = FT: accuracy and L MTG activation PT only: accuracy and L IFG activation FT only: accuracy and L SMA activation
Narberhaus et al. 2009 [37]	21 PT (<33 weeks GA)	22 FT	fMRI task-based	Online: VePA	20	Online task performance: PT = FT BOLD signal: Encoding: PT > FT: L CAU, R cuneus and L SPL PT < FT: R IFG Recognition: PT > FT: R CB and ACC
Brittain et al. 2014 [38]	24 PT (<33 weeks GA)	22 FT	fMRI task-based	Online: VePA	20	Online task performance: PT = FT BOLD signal: Linear trend differences between groups (both PT > and < FT) Encoding: CB, ACC, midbrain/substantia nigra, MTG (including PHG), IFG and SRG Recognition: claustrum and posterior cerebellum
Lawrence et al. 2010 [39]	22 PT (<33 weeks GA)	22 FT	fMRI task-based	Online: VePA	20	Online task performance: PT = FT BOLD signal: Encoding: PT > FT: L PHG and PrG Recall: PT > FT: PG
Nosarti et al. 2009 [43]	28 PT (<33 weeks GA)	26 FT	fMRI task-based	Online: VFT ('easy' and 'hard' trials)	20	Online task performance: PT = FT BOLD signal: Easy: PT < FT: ACC, R CAU and L IFG Hard: PT < FT: L MFG PT > FT: ACC
Kalpakidou et al. 2014 [34]	13 PT (<33 weeks GA) PVH + VD; 17 PT UPVH; 13 normal PT	17 FT	fMRI task-based	Online: VFT ('easy' and 'hard' trials)	22	Online task performance: PVH + VD = UPVH = normal PT = FT BOLD signal: all PT > FT: FG, TG, PL, CAU, insula and thalamus
		None			22	



**Fig. 2** Examples of selected brain regions frequently identified as displaying haemodynamic responses that are both altered in preterm individuals compared to controls and associated with behavioural outcomes. Created using MRICroGL [122] and the Harvard-Oxford cortical and subcortical structural atlases [123].

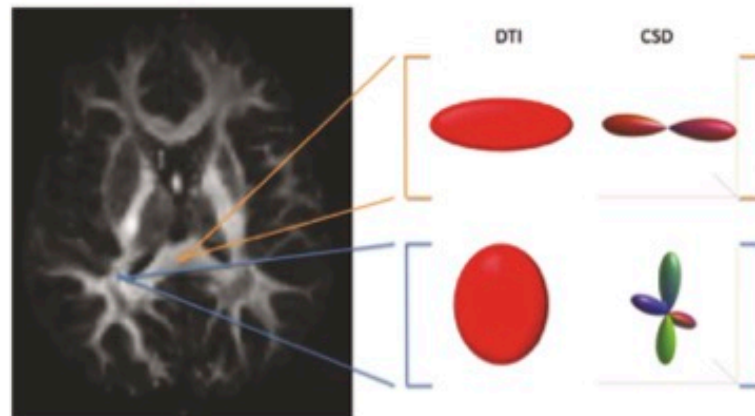


alterations, its specificity is low. Thus, the interpretation of FA values as a quantitative measure of white matter microstructure is problematic. Recently developed methods are better suited to resolve multiple fibre crossings in a voxel. An example of such an approach is constrained spherical deconvolution (CSD), which provides a direct estimate of fibre orientations within a voxel [76, 77]. CSD has been found to yield the least fibre orientation error and greatest detection rate of fibres for complex crossing regions on diffusion weighted images, when compared to other reconstruction methods [78] (see Fig. 3). Furthermore, the absolute amplitude of each lobe of the fibre orientation distribution can be used as a measure to characterise the diffusion properties along each fibre orientation, termed hindrance modulated orientation anisotropy [79].

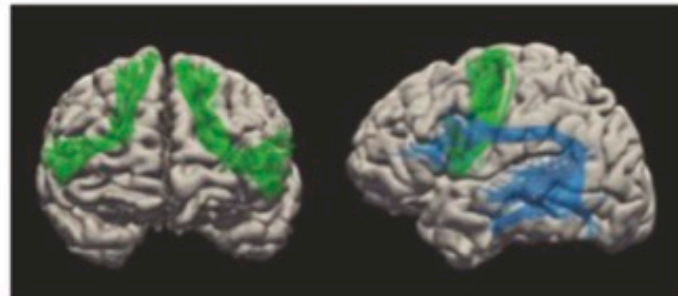
Diffusion tractography is a dMRI modelling technique that provides a three-dimensional representation of white matter fibre bundles. There are two common approaches, deterministic and probabilistic tractography [80]. Deterministic or streamline tractography produces one reconstructed trajectory per seed point by connecting a set of voxels based on their estimated fibre orientation (i.e., direction of maximum diffusivity for the tensor model). It typically uses anatomical knowledge originating from post-mortem studies and necessitates a priori hypotheses about the course of the fibre tract. An example of dissected tracts using deterministic tractography and regions of interest that were manually drawn based on anatomical features in native space is shown in Fig. 4 [33].

Probabilistic tractography produces multiple solutions in order to account for the presence of some uncertainty in the

**Fig. 3 Schematic overview of different reconstruction methods.** The left panel displays an axial brain slice. The location of two voxels is shown in blue and orange. The right panel displays diffusion signal for the orange (top) and blue (bottom) sites as 3-D surfaces. DTI = diffusion tensor model, CSD = constrained spherical deconvolution model (colours indicate direction of diffusion). In a voxel where there are crossing fibres, the tensor model does not differentiate orientations, while the CSD model indicates multiple probable directions.

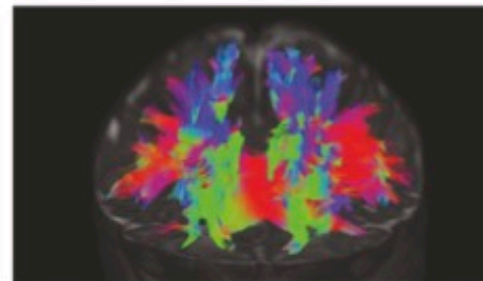


**Fig. 4 Deterministic tractography example.** The arcuate fasciculus, which connects caudal temporal cortex and inferior frontal lobe, is shown in blue; the frontal aslant tract, which connects the lateral inferior frontal gyrus and the pre-supplementary and supplementary motor areas of the medial superior frontal gyrus, is shown in green.



fibre orientation [81, 82]. Instead of reconstructing a single trajectory per seed point, it generates multiple streamline samples from a given seed point. The probability distribution of possible orientations is estimated at each voxel, and connections are traced several times using slightly different orientations based on their likelihood (Fig. 5). Quantitative results from tractography analyses can then be compared between individuals, or groups of individuals, by quantifying their size (e.g., number of streamlines) and/or tract-specific properties, including tensor measures and hindrance modulated orientation anisotropy.

Widespread white matter microstructural alterations have been extensively reported in very preterm individuals compared to controls from birth to adult life [9, 83, 84]. These alterations may be implicated in the neurodevelopmental sequelae associated with very preterm birth, with findings highlighting correlations between microstructural properties of specific white matter tracts and a variety of cognitive outcomes. The majority of studies investigating specific white matter tracts and cognitive outcomes have been conducted in cohorts of children [85–89].

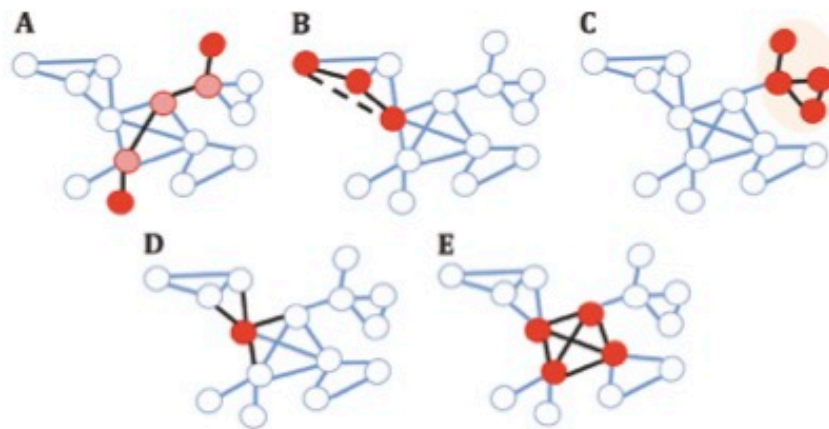


**Fig. 5 Whole-brain probabilistic tractography of an infant's brain** [Figure courtesy of Dafnis Batalle]. The colour-coding reflects the fibre orientation (red: left-right, green: dorsal-ventral, blue: cranial-caudal).

In preterm adolescents, lower IQ, working memory, cognitive flexibility and language scores were associated with reduced FA in major white matter association tracts, including the uncinate fasciculus [90–92]. Similarly, in preterm adults, lower FA values in several major white

**Table 2** Key characteristics of the human connectome.

Measure	Definition
Node degree	Number of connections linking node to rest of network.
Path length	Minimum number of edges that need to be crossed to move between pairs of nodes.
Clustering	Neighbours of a node tend to form connections, leading to the formation of triangles of interconnected nodes, i.e., clustering. Together, short path length and high clustering produce "small worldness".
Modularity	Number of modules, or subnetworks, that are comprised in the connectome. High modularity suggests sparse connections between nodes in different modules and dense connections between nodes within modules.
Hubs	Nodes with a high degree (large number of connections linking node to rest of network), or high centrality (number of shortest paths between all other node pairs in the network that pass through a node). Nodes with high centrality are crucial for efficient communication.
Rich-club	High-degree nodes belonging to different modules that are more highly interconnected with each-other than low-degree nodes belonging to separate modules.

**Fig. 6** Illustration of key characteristics of the human connectome. (a) Path length; (b) Clustering; (c) Modularity; (d) Hubs; (e) Rich-club.

matter tracts, including the corpus callosum and superior longitudinal fasciculus, were associated with lower IQ and poorer memory function [83, 93, 94].

Our previous work used tractography to delineate memory-related tracts and to study their association with memory abilities in very preterm and term-born adults [95]. At the anatomical level, smaller volumes in the dorsal cingulum (connecting medial frontal and parietal lobes), ventral cingulum (connecting medial parietal and temporal lobes) and fornix (connecting hippocampus, mamillary bodies, and septal region) were observed in very preterm individuals compared to controls. The greatest alterations were seen in those very preterm individuals who experienced severe perinatal brain injury (PBI) in the form of intraventricular haemorrhage and ventricular dilatation, qualitatively evaluated from neonatal ultrasound. Smaller fornix and cingulum volumes were associated with more

memory errors and lower IQ scores, suggesting that selective structural connectivity alterations could at least partly explain the memory difficulties that have been associated with very preterm birth.

Recent theoretical frameworks have shifted the focus of attention from single regions to a comprehensive mapping of the inter-connections throughout the whole brain. Using graph theory, researchers have modelled the network topology of white matter, or the "connectome" [96]. Graph theory represents a branch of mathematics that allows the quantification of networks, their elements, and the connections between them. When applied to the study of brain connectivity, graph theory offers insight into the structure and function of neural networks through various characteristics, some of which are described in Table 2 and Fig. 6. Networks are defined as a set of nodes and the connectivity (or "edges") between them [97]. The brain's

network efficiency, or how well it is able to integrate information between multiple regions, is related to cognitive performance [98–100].

Several studies have investigated whole brain connectivity following very preterm birth. The presence of a “rich-club”, which is believed to enable efficient network communication, was described in preterm neonates well before the typical time of birth, by 30 weeks’ gestation [101]. However, during the third trimester of gestation, there is a rapid increase of hub and rich-club connections, together with the proliferation of short-range and within-module connections [102]. Therefore, extra-uterine stressors during this time are likely to influence their development.

Previous work investigating the connectome in school-age children who were born extremely preterm (EP, <28 weeks’ gestation) and with a history of intrauterine growth restriction (IUGR) showed a reduced averaged network node strength when compared with those born moderately preterm with normal growth [103]. Furthermore, both extreme prematurity and IUGR were associated with alterations in network structure, despite very similar levels of modularity. This suggests that although brain networks are organised differently after neonatal adverse events, a tight modular structure is preserved in order to maintain rich-club and small-world characteristics.

We investigated modularity and rich-club in very preterm adults and controls [104]. The analysis of real networks showed that rich-club indices were either significantly greater in the very preterm group at an uncorrected level or numerically higher for a range of rich-club degrees. This suggests that rich-club connections were prioritised in the very preterm brain, as they were assigned disproportionately greater connection weights. There were no significant between-group differences in modularity. In order to establish the impact of individual elements on the whole network architecture, we then used a simulated lesion approach and deleted components, one at a time, from the connectivity matrix (i.e., nodes and edges). We found that “lesioning” striatal-cortical connections produced greater alterations in global connectivity in the very preterm group compared to controls, reflecting their altered role in supporting a global exchange of information throughout the brain. Furthermore, network alterations had functional implications; they correlated with measures of information flow and rule learning.

A summary of dMRI studies reviewed here is shown in Table 3. Examples of selected white matter tracts frequently identified to have altered microstructure in preterm individuals compared to controls which are also associated with behavioural outcomes are shown in Fig. 7.

## Combining imaging modalities

The collection of multiple MRI modalities in a single subject has increased in popularity in recent years [33, 35, 105]. Multimodal imaging has the potential to increase our current understanding of the neurodevelopmental alterations underlying the long-term sequelae of very preterm birth, as it integrates structural and functional features associated with specific outcomes that may not be captured by only one modality at a time. For instance, a multimodal imaging approach has been used in other neurodevelopmental disorders, such as attention deficit hyperactivity disorder, revealing multimodal components that share the same across-subject variation, and thus displaying co-occurring and mechanistically related anatomical and functional alterations [106].

To date only a few studies in very preterm samples have combined multiple imaging modalities, with the majority of these focussing on child cohorts [11, 107, 108]. We previously used fMRI-informed tractography to probe verbal paired associate learning [109]. This involved choosing brain regions that exhibited significantly different haemodynamic responses during paired associate learning between the very preterm and the control group as seed regions for tractography. Manually traced tracts encompassed the anterior cingulate gyrus, caudate nucleus and thalamus/parahippocampal gyrus. At the structural level, reduced FA was particularly noted in the hippocampal fornix, inferior longitudinal fasciculus and inferior fronto-occipital fasciculus. These results led us to speculate that the differential patterns of brain activation during a learning task observed in the very preterm group could reflect possible adaptive plastic processes in the presence of altered microstructural characteristics of memory-related white matter tracts.

In another study, we investigated the neuroanatomy of working memory in very preterm individuals subdivided according to the presence or absence of PBI [35]. Whilst no between-group differences in working memory performance were observed, adults who suffered PBI compared with controls showed reduced haemodynamic responses in a fronto-parietal-cerebellar network, typically associated with working memory. They further displayed relative increased responses in bilateral perisylvian cortex. At the structural level, dorsal cingulum volume was smaller in the PBI compared to the other two groups, and smaller volume correlated with increased perisylvian cortex activation, which in turn correlated with better task performance. These results were interpreted as suggesting that the underutilisation of traditional working memory resources in the PBI group may be accompanied by upregulation of activity in the perisylvian cortex in order to support task performance.

**Table 3** Summary of dMRI studies in very preterm adolescent and adult samples.

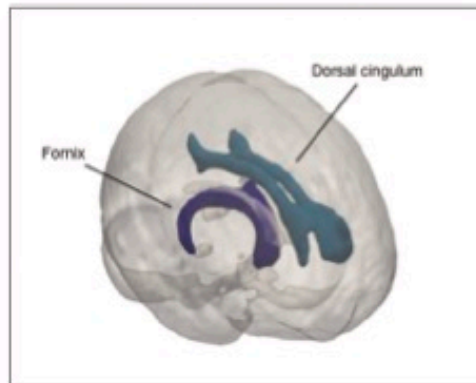
Ref	Cases (n)	Controls (n)	Type	Offline Task	Mean age (y)	Results
Allin et al. 2011 [83]	80 PT (<33 weeks' GA)	41 FT	Whole-brain analysis	WASI, CVLT	19	Task performance: PT < FT FA: PT < FT: CC, SLF and L superior CR PT > FT: IFOF, anterior CR, UF and SLF Behaviour-structure association: PT only: WASI and CVLT and FA in PT < FT clusters (+) Task performance: PT < FT FA: PT < FT: IC, EC, CC, SLF, MSF and ILF Behaviour-structure association: PT only: WISC and FA in L EC, ILF, IFOF and L MSF (+) VMI and FA in EC, L IC, L IFOF and L ILF (+) M-ABC and FA in EC, CC, ILF, IFOF, R SF and L MSF (+) GP and FA in IC, EC, R SF and L MSF (+) ASSQ and FA in L EC and L SF (-) CGAS and FA in L IC, L EC, L ILF, L IFOF, SF and L MSF (+) ADHD (inattention) and FA in L EC, R SF, L MSF (-) Task performance: PT < FT FA: PT < FT: UF, EC, CC (plenium) and WM serving IFG Behaviour-structure association: PT only: PPVT scores and FA in UF (+) CTOPP scores and FA in AF (+) Task performance: PT < FT FA: PT < FT: ILF, EC, IFOF, UF, R IC, L F and L occipital WM Behaviour-structure association: PT only: WISC and FA in L UF, IFOF, SLF, L IC, L CST, anterior TR (+) TR, R EC and forceps minor (+) FA (tractography): PT = FT: whole CST PT > FT: CST at the level of the CR FA (TBSS): PT < FT: centrum semiovale and brain stem regions of CST Diffusivity (tractography and TBSS): PT > FT: whole CST, CR and regions of capsula interna and brain stem Task performance: PT < FT FA: PT < FT: CP, CST, CPT, CR, UF, SLF, IFOF, ILF, anterior TR,
Skranes et al. 2007 [90]	34 PT (<1500 g BW)	47 FT	Whole-brain analysis	WISC, VMI, M-ABC, GP, ASSQ, CGAS, ADHD IV	15	
Mulken et al. 2011 [91]	44 PT (600–1250 g BW)	41 FT	Whole-brain analysis	PPVT, CTOPP	16	
Vollmer et al. 2017 [92]	71 PT (<36 weeks GA and <1501 g BW)	63 FT	Whole-brain analysis	WISC, D-KEFS	15	
Jarrome et al. 2016 [93]	56 PT (<32 weeks GA and/or <1500 g BW)	53 FT	Whole-brain analysis and / tractography of CST		26	
Eikenes et al. 2011 [94]	49 PT (<36 weeks GA and <1500 g BW)	59 FT	Whole-brain analysis	WASI	20	

Table 3 (continued)

Ref	Cases (n)	Controls (n)	Type	Offline Task	Mean age (y)	Results
Caldinelli et al. 2017 [95]	84 PT (<32 weeks GA) with no or low PBI, 20 PT-PBI	48 FT	Tractography of C and F	WASI, CVLT, WMS-R	19	thalamus, CC, EC, F, C and stria terminalis PT > FT: R SLF Diffusivity (MD): PT > FT: same as FA PT < FT, and additionally IC and superior TR Clinical-structure association: PT only: Clinical variables and FA (+) and MD (-) in CR, SLF, IFOF, ILF, C, TR, CC, forceps major, IC, F, UF, CST, CTP, EC and thalamus Behaviour-structure association: PT only: WASI and FA in several major WM tracts (+) WASI and MD in genu, CC, UF, IFOF, ILF and SLF (-) Task performance: PT < FT: WASI, CVLT (PE), WMS-R WM volume: PT-PBI < FT: dorsal C, ventral C and F PT with no or low PBI < FT: ventral C and F HMOA: All PT < FT: F Behaviour-structure association: PT only: WASI and ventral C volume (+) PE and F and dorsal C volume (-) WMS-R and ventral C volume (+)
Karolis et al. 2016 [104]	51 (<33 weeks GA)	60 FT	Whole-brain tractography and graph-theory analysis	WASI, TMT, COWAT, HSCT, CANTAB	29	Task performance: PT < FT: WASI, TMT, HSCT, CANTAB Structural connectivity: Rsch-club index: PT > FT Virtually 'lesioned' striatal-cortical connections produced greater alterations in global connectivity in PT compared to FT Behaviour-structure association: Degree of network alterations correlated with measures of information flow and rule learning (verbal IQ, HSCT, CANTAB)

Please note that when laterality is not stated, results refer to bilateral findings. Performance results refer to behavioural assessments.

AD axial diffusivity, AF arcuate fasciculus, ASSQ Autism Spectrum Screening Questionnaire, ADHD Attention Deficit/Hyperactivity Disorder Rating Scale IV, BG basal ganglia, BW birth weight, C cingulum, CC corpus callosum, CR corona radiata, CANTAB Cambridge Neuropsychological Test Automated Battery, CGAS Children's Global Assessment Scale, COWAT Controlled Oral Word Association Test, CP cerebellar peduncle, CPT continuous performance test, CST corticospinal tract, CTOPP Comprehensive Test of Phonological Processing, CVLT California Verbal Learning Test, D-KEFS Delis-Kaplan Executive Function Systems, EC external capsule, EF executive functions, F fornix, FA fractional anisotropy, FT full-term group, GA gestational age, GM grey matter, GP Grooved Pegboard test, HMOA hindrance-modulated orientational anisotropy, HSCT Hayling Sentence Completion Test, IC internal capsule, IFG inferior frontal gyrus, IFOF inferior fronto-occipital fasciculus, ILF inferior longitudinal fasciculus, L left, M-ABC Movement Assessment Battery for Children, MD mean diffusivity, MSF middle superior fasciculus, PBI perinatal brain injury, PE perseveration errors, PPVT Peabody Picture Vocabulary Test, PT preterm group, R right, RD radial diffusivity, SLF superior longitudinal fasciculus, TMT Trail Making Test, TR thalamic radiation, UF uncinate fasciculus, VMT (developmental test of) Visual-Motor Integration, WASI Wechsler Abbreviated Scale of Intelligence, WISC Wechsler Intelligence Scale for Children (WISC), WM white matter, WMS-R Wechsler Memory Scale-Revised, WM white matter.



**Fig. 7** Examples of selected white matter tracts frequently identified to have altered microstructure in preterm individuals compared to controls which are also associated with behavioural outcomes. Created using ParaView and the JHU White-Matter Tractography Atlas.

Using a similar study design we further investigated the neuroanatomy of visual recognition [105], a function that is crucial for learning and adapting appropriately to the environment, and that has been described as impaired in preterm individuals [110]. In addition to poorer performance on an in-scanner recognition memory task, preterm adults compared to controls exhibited a complex pattern of altered haemodynamic responses, showing both increased and decreased BOLD signal and smaller memory-related white matter tracts, with microstructural alterations clearly pronounced in the fornix, which is implicated in episodic recognition [111]. BOLD signal increase in bilateral lateral occipital cortex observed in the preterm group was associated with worse task performance, and with poorer fornix microstructural integrity. These findings are inconsistent with our previous fMRI study of working memory described above, which showed that BOLD signal increase in perisylvian cortex was associated with functional adaptation [35] and suggest that altered patterns of activation may be both compensatory and maladaptive [112].

In an overlapping cohort of very preterm participants and controls we used both fMRI and spherical deconvolution tractography to assess the neuroanatomy of verbal fluency [33]. Decreased haemodynamic response suppression was observed in very preterm adults in several brain regions during completion of both easy and hard letter trials. Furthermore, in all participants regardless of group, decreased brain activity suppression in the right sensorimotor cortex was associated with worse performance on the most cognitively demanding condition of the task. In controls only, increased left-laterality in the arcuate fasciculus, which is a white matter tract centrally implicated in language, was

associated with increased right hemispheric haemodynamic response suppression. In the preterm group only, altered white matter microstructure in the bilateral frontal aslant tract, which is involved in speech fluency, was related to weaker haemodynamic response suppression during the hard letter trials. Taken together, these findings suggest that verbal fluency is affected by altered functional lateralization in adults who were born very preterm.

A summary of combined dMRI and fMRI studies is shown in Table 4.

## Conclusions and future directions

Advanced neuroimaging has considerably increased our understanding of the brain alterations associated with very preterm birth that underlie neurocognitive outcomes throughout the life span and could lead to the formulation of new aetiopathological frameworks [113]. Here, we discussed recent findings that employ advanced non-invasive MRI techniques to highlight relationships between specific brain mechanisms and behavioural outcomes.

In recent years, novel diffusion-weighted imaging techniques have been used to study brain development in very preterm neonates and children [114–118], but are yet to be explored in adults. These include neurite orientation dispersion and density imaging (NODDI), which provides a more specific marker of brain tissue microstructure than traditional DTI. NODDI identifies both the branching complexity of dendrites, i.e. “dendritic density”, in addition to the orientation dispersion index which quantifies the bending and fanning of axons, which allows the distinction between voxels containing multiple crossing fibres and those with dispersed fibres that belong to only a single dominant orientation [119]. Furthermore, fixel-based analysis is another novel diffusion imaging analysis method that uses CSD to compute “fixels,” or individual fibre orientations distributions within a voxel, allowing the identification of multiple crossing fibres [120].

Longitudinal studies beginning soon after birth can help reveal early biomarkers of emerging cognitive difficulties. Using machine learning and non-subjective clustering of imaging and clinical data, Ball et al. (2017) defined novel imaging features associated with antenatal and postnatal adversity, which predict adverse outcomes [11]. Such predictions can be very precise, discriminating between different white matter tracts and their involvement in supporting behavioural outcomes. For example, the diffusion characteristics of the arcuate fasciculus but not the superior longitudinal fasciculus at birth predicted language function at 2 years [13] and information about topology of structural brain networks predicted cognitive, motor and developmental outcomes, again at 2 years [121].

**Table 4** Summary of combined dMRI and fMRI studies in very preterm adolescent and adult samples.

Ref	Cases (n)	Controls (n)	Type	Task	Mean age (y)	Results
Salvan et al. 2014 [109]	21 PT (<33 weeks GA)	10 FT	Task-based fMRI, dMRI-informed tractography	Online: VePA	20	Task performance: FT = PT BOLD signal: Encoding: PT > FT: R ACC, superior FG, CAU Recall: PT < FT: L PHG, HC and thalamus FA: PT < FT: F, ILF and IFOF Task performance: PT-PBI = PT without PBI = FT BOLD signal: PT-PBI < FT: fronto-parietal regions PT-PBI > FT: PSC WM volume and HMOA: PT-PBI < FT and PT-PBI < PT without PBI: dorsal C Function-structure association: PT-PBI only: PSC activation and dorsal C volume (-) Behaviour-function association: PT-PBI only: task performance and PSC activation (+)
Fronziat-Walsh et al. 2015 [35]	fMRI: 20 PT-PBI, 21 PT without PBI dMRI: 39 PT-PBI, 36 PT without PBI	fMRI: 46 FT dMRI: 80 FT	Task-based fMRI, Tractography of C	Online: n-back task with varying cognitive load	30	Task performance: PT < FT BOLD signal: PT < FT: middle FG and posterior C/precuneus PT > FT: L inferior FG and LOC WM volume and HMOA: PT < FT (volume): F and C PT < FT (HMOA): F Behaviour-function association: Both groups: Task performance and LOC activation Function-structure association: PT only: LOC activation and F HMOA
Tseng et al. 2017 [105]	49 PT (<33 weeks GA)	50 FT	Task-based fMRI, Tractography of F and C	Online: VER	30	Task performance: PT = FT Easy trials: PT = FT Hard trials: PT < FT BOLD signal suppression: PT < FT: STG, insula, thalamus, R SMC Behaviour-function association: Hard trials score and R SMC BOLD signal suppression (+)
Tseng et al. 2019 [33]	64 PT (<32 weeks GA)	36 FT	Task-based fMRI, Tractography of AF and FAT	Online: VFT ('easy' and 'hard' trials)	31	Task performance: Easy trials: PT = FT Hard trials: PT < FT BOLD signal suppression: PT < FT: STG, insula, thalamus, R SMC Behaviour-function association: Hard trials score and R SMC BOLD signal suppression (+)

Such information could be used to inform the creation and implementation of targeted neurobehaviourally-informed preventative interventions (before any cognitive problem emerges) and could facilitate the identification of behavioural targets for improving the life course outcomes of very preterm individuals.

### Compliance with ethical standards

**Conflict of interest** The authors declare that they have no conflict of interest.

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