THE EPIDEMIOLOGIC TRANSITION
A Theory of the Epidemiology of Population Change

ABDEL R. OMARN

Although demography continues to be the most prominent discipline concerned with population dynamics, involvement of other disciplines is highly desirable. The case for a multi-disciplinary approach to population theory has been aptly stated by Kurt Mayer: "Any meaningful interpretation of the cause and effects of population changes must ... extend beyond formal statistical measurement of the components of change, i.e. fertility, mortality and migration, and draw on the theoretical framework of several other disciplines for assistance."¹ ... 

A theory of epidemiologic transition, sensitive to the formulations of population theorists who have stressed the demographic, biologic, sociologic, economic and psychologic ramifications of transitional processes, was conceived by this author less than four years ago. Recognition of the limitations of demographic transition theory and of the need for comprehensive approaches to population dynamics stimulated the development of this theory.²

FOCUS OF THE THEORY OF EPIDEMIOLOGIC TRANSITION

Conceptually, the theory of epidemiologic transition focuses on the complex change in patterns of health and disease and on the interactions between these patterns and their demographic, economic and sociologic determinants and consequences. An epidemiologic transition has paralleled the demographic and technologic transitions in the now developed countries of the world and is still underway in less-developed societies. Ample evidence may be cited to document this transition in which degenerative and man-made diseases displace pandemics of infection as the primary causes of morbidity and mortality.

The major precepts of the theory of epidemiologic transition are presented below. Smoothed data from the United Nations Model Life Tables,³ representing a "pooled" cross-cultural view of mortality patterns at various life expectancy levels, provides a useful introduction to the basic propositions.⁴ The longitudinal view added by historical and contemporary data from several countries provides further documentation; data from individual countries also serve to illustrate some of the peculiar variations of the transition and to support three models that differentiate distinctive patterns of the epidemiologic transition. These models are the Classical or Western Model, as represented here by England and Wales and Sweden; the Accelerated Transition
Model, as represented by Japan; and the Contemporary or Delayed Model as represented by Chile and Ceylon. ...

MORTALITY AND POPULATION DYNAMICS

Proposition One: The theory of epidemiologic transition begins with the major premise that mortality is a fundamental factor in population dynamics. The clearest indication of mortality's dominant role in population dynamics is implicit in theories of population cycles. The cyclic rises and falls in population size that have been observed in animal and pre-modern human populations reflect sequential phases of population growth and decline; disregarding the possible selective influences of migration, these cyclic movements must ultimately be accounted for in terms of the range of variation in fertility and mortality. ...

No secular downward trend in mortality is apparent in any country before the middle of the eighteenth century, about the same time that population growth began to demonstrate an exponential curve. The initial period of sustained population growth in nearly every country for which reliable data are available corresponds with at least two decisive changes in the death rate. First the fluctuations in mortality became less frequent and less drastic. Second, the initial, slow—sometimes imperceptible—decline in mortality gradually gained momentum and eventually stabilized at relatively low levels in the twentieth century. Thus steady rises in life expectancy, progressively diminishing death rates and more stable and predictable mortality patterns have accompanied the persistent increments in world population. ...

Demographic trends for England and Wales, Japan, Ceylon and Chile are compared in Figure 2. In each country an exponential pattern of population growth accompanies the secular downward trend in mortality. In England and Wales, where the transition from high to low vital rates occurred over two centuries, the exponential growth curve was attenuated only after fertility fell and approached the low level of mortality; this pattern is less apparent for Japan, where an accelerated transition occurred over several decades. Although data concerning the relative effects of mortality and fertility on population growth are incomplete for the early transitional period, it seems likely that a significant though temporary increase in fertility may have added momentum to the population explosion set off by steady improvements in survivorship. The influence of fertility is particularly apparent in the rapid population growth of currently developing nations that have not yet completed their transitions; see for example the graphs for Chile and Ceylon in Figure 2. In most of these developing countries, the death rate has declined rapidly in recent years, especially since World War II, and the birth rate has remained high with minor fluctuations. This sudden widening of the demographic gap has produced unprecedentedly high rates of population growth, as can be seen by comparing the growth curves of the four countries in Figure 2.

SHIFTS IN MORTALITY AND DISEASE PATTERNS

Proposition Two: During the transition, a long-term shift occurs in mortality and disease patterns whereby pandemics of
infection are gradually displaced by degenerative and man-made diseases as the chief form of morbidity and primary cause of death. Typically, mortality patterns distinguish three major successive stages of the epidemiologic transition:

1. The Age of Pestilence and Famine when mortality is high and fluctuating, thus precluding sustained population growth. In this stage the average life expectancy at birth is low and variable, vacillating between 20 and 40 years.

2. The Age of Receding Pandemics when mortality declines progressively; and the rate of decline accelerates as epidemic peaks become less frequent or disappear. The average life expectancy at birth increases steadily from about 30 to about 50 years. Population growth is sustained and begins to describe an exponential curve.

3. The Age of Degenerative and Man-Made Diseases when mortality continues to decline and eventually approaches stability at a relatively low level. The average life expectancy at birth rises gradually until it exceeds 50 years. It is during this stage that fertility becomes the crucial factor in population growth.

The Age of Pestilence and Famine represents for all practical purposes an extension of the pre-modern pattern of health and disease. In this stage the major determinants of death are the malthusian “positive checks,” namely, epidemics, famines and wars...

The gradual shift in disease patterns characteristic of the classical transition can be seen in the steady decline of infectious diseases (including tuberculosis and diarrhea) and the moderate increase in cancer and cardiovascular diseases in England and Wales up to 1920. After World War I, the decline of infectious and rise of degenerative diseases is more distinct, and since 1945 the increase in cardiovascular deaths is particularly strik-
The shift from infectious to degenerative disease predominance is more readily apparent for Japan, which has experienced an accelerated transition in only a few decades. Among currently developing nations, the transition from infectious to degenerative disease predominance has started but has not yet been completed. ...

The recession of infectious diseases that began in Chile in the 1920’s has been gradual but discernible. In Ceylon this shift was delayed even further until the late 1940’s.

The determinants of the transition from infectious to degenerative disease predominance are by no means simple. Their detailed treatment is beyond the scope of this paper; however, it may be useful to mention three major categories of disease determinants.

1. Ecobiologic determinants of mortality indicate the complex balance between disease agents, the level of hostility in the environment and the resistance of the host. More often than not, however, even these determinants cannot be categorically specified. One outstanding example is the recession of plague in most of Europe toward the end of the seventeenth century. The reasons for this recession are not fully understood, although the mysterious disappearance of the black rat may have been a contributing factor. Nonetheless, it is relatively certain that with the possible exception of smallpox, the recession of plague and many other pandemics in Europe was in no way related to the progress of medical science.18

2. Socioeconomic, political and cultural determinants include standards of living, health habits and hygiene and nutrition. Hygiene and nutrition are included here, rather than under medical determinants because their improvement in western countries was a byproduct of social change rather than a result of medical design.

3. Medical and public health determinants are specific preventive and curative measures used to combat disease; they include improved public sanitation, immunization and the development of decisive therapies. Medical and public health factors came into play late in the western transition, but have an influence early in the accelerated and contemporary transitions.

The reduction of mortality in Europe and most western countries during the nineteenth century, as described by the classical model of epidemiologic transition, was determined primarily by ecobiologic and socioeconomic factors. The influence of medical factors was largely inadvertent until the twentieth century, by which time pandemics of infection had already receded significantly. The mortality decline in currently developing countries has been more recent and the effect of medical factors has been more direct and more salient, as shown by the contemporary or delayed transition model. In the Afro-Asian countries in particular, the tremendous impact of imported medical technologies on mortality has been magnified by massive public health programs. Although it would be naive to attempt precise identification of the complex determinants in each case, it does seem apparent that the transition in the now developed countries was predominantly socially determined, whereas the transition in the “third world” is being significantly influenced by medical technology.
RELATIVE RISKS OF MORTALITY BY AGE AND SEX

Proposition Three: During the epidemiologic transition the most profound changes in health and disease patterns obtain among children and young women. The genuine improvements in survivorship that occur with the recession of pandemics are peculiarly beneficial to children of both sexes and to females in the adolescent and reproductive age periods, probably because the susceptibility of these groups to infectious and deficiency diseases is relatively high.

Childhood survival is significantly and progressively improved as pandemics recede in response to better living standards, advances in nutrition and early sanitation measures and is further enhanced as modern public health measures become available. ...

Although all age groups benefit from the shift in disease patterns and the increase in life expectancy, the decline in childhood mortality is demonstrably the greatest, especially in the one to four year age group....

INTERACTING TRANSITION VARIABLES

Proposition Four: The shifts in health and disease patterns that characterize the epidemiologic transition are closely associated with the demographic and socioeconomic transition that constitute the modernization complex.

Interactions with Demographic Changes

The decline in mortality that comes with the epidemiologic transition widens the "demographic gap" between birth rates and death rates and hence affects demographic change by bolstering population growth (see Figure 2). In a more subtle manner, the mortality transition affects demographic movements indirectly through its impact on fertility and population composition...

Because the probability of a female surviving the reproductive period usually increases earlier in the transition than improvements in infant and childhood survival, fertility may rise in the early stage of the epidemiologic transition. The tendency of improved infant and childhood survival to depress fertility in the middle and subsequent stages of the transition can be attributed largely to the following factors:

1. Biophysiological factors: The increased chance that a live birth will survive infancy and early childhood and result in prolonged lactation tends to lengthen the mother's postpartum period of natural protection against conception. Another run of the REPSIM model, which simulated both long and short postpartum periods as a function of the probable pregnancy outcome, shows a moderately declining net reproduction rate at higher life expectancy levels. These data also indicate that the interval between births increases progressively at all parities as life expectancy rises. Ridley, et al., concluded that the lengthening of birth intervals, particularly among young, highly fecund, low-parity women, has a deflationary effect on ultimate parity and is a major mechanism linking improved survival and lowered fertility.

2. Socioeconomic factors: The risk of childhood death is lowered by better nutrition and sanitation as socioeco-
nomic conditions improve. As the probability of child survival increases, the desirability of having many children may diminish in response to changes in the social and economic system that cast the child as an economic liability rather than asset. Concomitantly, improvements in birth control technology facilitate the achievement of emerging small family size norms.

3. Psychologic or emotional factors: Improved infant and childhood survival tends to undermine the complex social, economic and emotional rationale for high parity for individuals and hence high fertility for society as a whole. As couples become aware of the near certainty that their offspring, particularly a son, will survive them, the likelihood of practicing family limitation is enhanced. Not only are compensatory efforts to "make up" for lost children reduced, but the investment of parental energies and emotions may take on a new, qualitative dimension as each child in the small family is provided better protection, care and education. ...

BASIC MODELS OF THE EPIDEMIOLOGIC TRANSITION

Proposition Five: Peculiar variations in the pattern, the pace, the determinants and the consequences of population change differentiate three basic models of the epidemiologic transition: the classical or western model, the accelerated model and the contemporary or delayed model. Through the description, analysis and comparison of mortality patterns in many societies and at different points in time, distinctive core patterns of the epidemiologic transition emerge. The fundamental purpose of delineating these models is to visualize the different matrices of determinants and consequences associated with mortality (and fertility) patterns and to elucidate some of the fundamental issues confronting population policy-makers. As illustration, three models of the epidemiologic transition are sketched below.

The Classical (Western) Model of Epidemiologic Transition

The Classical model describes the gradual, progressive transition from high mortality (above 30 per 1,000 population) and high fertility (above 40 per 1,000) to low mortality (less than 10 per 1,000) and low fertility (less than 20 per 1,000) that accompanied the process of modernization in most western European societies. Following a stage of pestilence and famine that prevailed during the pre-modern and early modern periods, a slow unsteady rate of mortality decline gradually gave way to more precipitous declines around the turn of the twentieth century, by which time fertility had already turned downward. Some of the major changes in the population, and in the economic, social and health profiles that occurred in the classical transition are given in capsule form in Table 4. ...

The Accelerated Epidemiologic Transition Model

The Accelerated Epidemiologic Transition model describes the accelerated mortality transition that occurred most notably in Japan. Both the fluctuating mortality in the Age of Pestilence and Famine and the gradual (early) phase of the Age of Receding Pandemics followed a pattern similar to, though later than, the classical model. A major distinction of the accelerated
model is that the period taken for mortality to reach the 10 per
1,000 level was much shorter than that for the classical model, as
can be seen by comparing the graphs for England and Wales
and Japan in Figure 2. The shift to the Age of Degenerative
and Man-made Diseases was also much faster. ...

The Contemporary (or Delayed) Epidemiologic Transition
Model

The Contemporary model describes the relatively recent and
yet-to-be completed transition of most developing countries.
Although slow, unsteady decline in mortality began in some
of these countries shortly after the turn of the century, rapid
and truly substantial declines in mortality have been registered
only since World War II. Public health measures have been a
major component of the imported, internationally sponsored
medical package that has played a decisive role in setting the
stage for astronomic population growth in these economically
handicapped countries. In other words, these programs have
successfully manipulated mortality downward while leaving
fertility at substantially high levels. Both national and interna-
tional programs of “population control” designed to hasten
fertility decline artificially are prominent features of this model
for countries where death control has far outstripped birth
control. Despite unmistakable gains in the survival of women
and children, infant and childhood mortality remains exces-
sively high in most of these countries and in some, females of
reproductive age continue to have higher mortality risks than
males in the same age group. Although most countries in Latin
America, Africa and Asia fit this model, important differences
between these areas suggest the utility of developing submodels,
particularly with regard to the varying responses of fertility and
socioeconomic conditions to national development programs.

SUMMARY

Despite the inherent difficulties in attempting to structure a
matrix that includes all the complex vital factors of population
dynamics, the need to do so is urgent. A vast array of social,
economic and demographic as well as epidemiologic factors
shape the course of population change, and although it is
doubtful that one comprehensive, all inclusive population
theory will ever be formulated, scholars in various disciplines
will continue to develop and refine segments of the theory.

The theory of epidemiologic transition, which has been
sketched in this brief essay, represents the continuing efforts of
this author to crystallize the mechanisms of interaction that
characterize the patterns, determinants and consequences of
health and disease changes in a variety of social contexts. The
basic strategy is not only to describe and compare the mortality
transitions of various societies, but more importantly, to lend
theoretical perspective to the process of population change by
relating mortality patterns to demographic and socioeconomic
trends—both longitudinally and cross-sectionally—through the
development of models. With elaboration and refinement of
such models, comparative analyses of the epidemiologic transition
in various population groups can provide information
needed to treat at least some of the many problems associated
with disequilibrating population movements.
### Table 4. The classical (western) model of the epidemiologic transition

<table>
<thead>
<tr>
<th>TRANSITION PROFILES</th>
<th>AGE OF PESTILENCE AND FAMINE</th>
<th>AGE OF RECEDING PANDEMICS</th>
<th>EARLY PHASE</th>
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<tr>
<td><strong>POPULATION PROFILE</strong></td>
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<td>Population Growth</td>
<td>The pattern of growth until about 1650 is cyclic, with minute net increments; mortality dominates with crude death rates of from 30 to more than 50/1000 and with frequent higher peaks. Fertility is at a sustained high level of 40 or more per 1000.</td>
<td>Mortality continues high (30-50+/1000) but peaks are less frequent and the general level begins declining. Fertility remains high (40+/1000). The demographic gap widens somewhat, and there is a net population increase which, though small, is cumulative.</td>
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<td>Population Composition</td>
<td>The population is predominantly young, with very large young and very small old dependency ratios, and a slight excess of males (100+M/100F). Residence is mainly rural with a few crowded, unsanitary, war-famine-epidemic ridden cities of small or medium size.</td>
<td>The population is still young, though the proportion of older people begins to increase. The male-female ratio is near unity (100M/100F). Residence is still primarily rural but with a progressive exodus from farm to factory. Selective migration to new colonies relieves population pressure somewhat in home countries but upsets the age-sex composition.</td>
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<td><strong>ECONOMIC PROFILE</strong></td>
<td>Subsistence economies characterize predominantly agrarian societies which depend on manual, labor-intensive production methods. Occasional breakthroughs and sporadic rises in wages are largely undermined by low incentives and cosmic catastrophes, while labor efficiency is marred by debilitating and enervating diseases.</td>
<td>Preconditions for economic “take-off” appear: improvements in agriculture and land-use coupled with modest development of transportation-communication networks encourage industrialization; leading sectors of production, e.g., textiles and lumber, emerge.</td>
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<td><strong>SOCIAL PROFILE</strong></td>
<td>Society is traditional, with a fatalistic orientation sustained by rigid, hierarchical socio-political structures.</td>
<td>A traditional/provincial outlook persists among the lower classes while the upper and emerging middle classes of businessmen adopt “faith in reason.” Extended family systems and large family size still prevail. The maternal role begins to allow a little involvement in such areas as home crafts.</td>
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<td>Family and Women</td>
<td>Clan or extended family structures with large family size, multiple generation households, and home-centered life styles are dominant. Women are cast strictly in the mother role with virtually no rights or responsibilities outside the home.</td>
<td>Standards are very low; grossly unsanitary conditions prevail at both the public and private levels, and comforts and luxuries are limited to a few elites.</td>
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<tr>
<td>Living Standards</td>
<td>Standards are very low; grossly unsanitary conditions prevail at both the public and private levels, and comforts and luxuries are limited to a few elites.</td>
<td>Standards are still quite low but there is some improvement toward the end of the period.</td>
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<td>Food and Nutrition</td>
<td>Food available to the masses is of poor quality, with chronic and occasionally acute shortages. Children and women in the fertile years are most adversely affected.</td>
<td>Early improvement in agriculture and crop rotation and increased use of the potato improve nutrition a little. Children and women are still at a nutritional disadvantage.</td>
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<td><strong>HEALTH PROFILE</strong></td>
<td>Life expectancy fluctuates around 20, and childhood mortality is very high: A third of all deaths occur in children from 0-5; 200-300 infant deaths occur per 1000 births and the neonatal to post-neonatal death ratio is small. Proportionate mortality for 50+ ages is low since few reach that age. Females in the adolescent and reproductive years are at a higher risk of dying than males, but at lower risk at older ages. Mortality is somewhat higher in urban than in rural areas.</td>
<td>Mortality remains high but shows signs of declining as fluctuations become less pronounced. Life expectancy increases to mid-20’s and early 30’s. Females are still at high risk of dying in the adolescent and fertile years. Infant and childhood mortality are high with small neonatal to post-neonatal ratio; proportionate mortality of the 50+ ages increases somewhat. Urban mortality remains higher than rural.</td>
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<td>Mortality Pattern</td>
<td>Leading causes of death and disease are the epidemic scourges, endemic, parasitic and deficiency diseases, pneumonia-diarrhea-malnutrition complex in children, and tuberculosis-puerperal-malnutrition complex in females. Manifest famines occur and severe malnutrition underlies disease and death from most other causes.</td>
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<td>Disease Pattern</td>
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<td>Disease Examples</td>
<td>1) Tuberculosis is more virulent in young females, especially in their fertile years. 2) Smallpox is typically a childhood disease. 3) Heart disease rates are low, with high rheumatic to arteriosclerotic ratio. 4) Deficiency disease symptomatology is typical and highly prevalent.</td>
<td>1) Tuberculosis mortality peaks with industrialization; it is still more virulent in young females. 2) Smallpox is still chiefly a disease of childhood. 3) Heart disease is still low, with a high rheumatic to arteriosclerotic ratio. 4) Death from starvation is less frequent but typical deficiency diseases still occur.</td>
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<td>Community Health Problems</td>
<td>The leading community health problems are epidemics, famine, undernutrition, childhood disease and maternal death, all aggravated by environmental problems (contaminated water and food, poor housing, insects, rodents) and lack of personal hygiene. There are no medical care systems and few decisive therapies. People have to rely on indigenous healing and witchcraft.</td>
<td>Epidemics, famine, undernutrition, childhood disease and maternal death are important, environmental problems persist, and industrial health problems emerge. There are no medical care systems and few decisive therapies; hospitals are seen as “death traps.” People rely on indigenous systems of healing, but personal hygiene and nutrition begin to improve slowly.</td>
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<td>AGE OF RECEDED PANDEMICS</td>
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<tr>
<td><strong>LATE PHASE</strong></td>
<td><strong>AND MAN-MADE DISEASE</strong></td>
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<td>Mortality slowly but progressively declines from higher than to lower than 30/1000. Several decades after mortality declines, fertility starts to decline also. Population growth is explosive for most of this period.</td>
<td>Mortality declines rapidly to below 20/1000; then the rate of decline slows. Fertility declines to below 20/1000 (with occasional rises, e.g. the post-World War II baby boom) and becomes chief pace maker of population growth; fluctuation is by design more than by chance. Population growth is small but persistent.</td>
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<td>The young dependency ratio goes up as the proportion of children in the population increases; there is a slight increase in the old dependency ratio. Improved female survival results in an excess of females. There is continued emigration to colonies, and a substantial increase in rural to urban migration, with concomitant growth of industrial centers.</td>
<td>There is a progressive aging of the population as fertility continues to decline and more people, especially females, survive to middle and old age. The male/female ratio continues to decrease. There is a high and increasing old dependency ratio, especially for women. Residence is increasingly urban, with excessive growth of cities (megalopolisism) and alarming slum formation, environmental pollution, and unwieldy social and political problems.</td>
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<td>“Take-off” to sustained economic growth can often be traced to sharp stimuli such as scientific discovery or political revolution which galvanize business and labor to reinforce gains in gross, real and per capita income through reinvestment and speculation.</td>
<td>Scientific expertise and applied technology covering the gamut of economic activities produce spiralling growth initially. Then a stage of high mass consumption brings tapered growth as production shifts from producer to consumer goods and services; public welfare and leisure spending increase.</td>
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<td>An era of rising expectations touches nearly all segments of society.</td>
<td>Rational-purposive life styles prevail; bureaucracy and depersonalization foster anomic groups.</td>
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<td>Extended, large families persist in rural areas; nuclear families prevail increasingly in urban centers. Many women are employed in factories and become more involved in activities outside the home.</td>
<td>Nuclear families and small family size norms become institutionalized. Women are increasingly emancipated from traditional roles and become better educated and more career oriented.</td>
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<td>Hygiene and sanitation improve, except in city slums where bad conditions grow worse.</td>
<td>Progressive rises in living conditions are enjoyed by large segments of the population.</td>
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<td>Continued improvements in agricultural technology guarantee better availability and quality of food.</td>
<td>People become extremely conscious of nutrition, especially that of children and mothers. There is, however, a tendency to over-nutrition including consumption of rich and high-fat foods which may increase the risk of heart and metabolic diseases.</td>
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<td>Pandemics of infection, malnutrition and childhood disease recede; plagues disappear. Cholera sweeps Europe in successive waves before disappearing. Infection remains the leading cause of death, but non-infectious diseases begin to be more significant.</td>
<td>Life expectancy reaches an unprecedented high of 70+ and is about three or more years higher for women than for men. Risks for females of all ages decrease, and maternal mortality declines to a minimum. The age profile shows reductions in childhood mortality which account for less than 10 per cent of the total deaths, while deaths at 50+ years increase to 70 per cent or more of the total. Infant mortality is less than 25/1000 and the ratio of neonatal to post-neonatal deaths is large and still increasing.</td>
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<td>Heart disease, cancer and stroke replace infection as prime killers. Pneumonia, bronchitis, influenza and some viral diseases remain problems. Polio rises, then tapers off. Scarlet fever starts to disappear.</td>
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<td>1) Tuberculosis declines but there is still a slight excess in young females.</td>
<td>1) Tuberculosis is low but persists in slum populations and in older disadvantaged individuals, especially males.</td>
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<td>2) Smallpox starts to occur less in children and more in adults due to vaccination of children.</td>
<td>2) Smallpox is rare, and when it does occur, it is a disease of adults.</td>
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<td>3) Heart disease increases, and there is a decrease in the rheumatic to arteriosclerotic ratio.</td>
<td>3) Heart disease is high, with a very low rheumatic to arteriosclerotic ratio.</td>
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<td>4) Death from starvation is rare, and many deficiency diseases such as scurvy start to disappear.</td>
<td>4) Starvation is rare; pellagra disappears; rickets drops off.</td>
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<td>Epidemics and famines recede; childhood disease and maternal death decrease. Environmental control—e.g. water filtration, refuse pick-up—is started in cities. Health systems develop but are limited in scope. A few decisive therapies and prophylactic measures are devised. The importance of workers’ health is recognized. Personal hygiene and nutrition improve.</td>
<td>Morbidity comes to overshadow mortality as an index of health as degenerative and chronic disease problems prevail and mental illness, addiction, accidents, radiation hazards and other pollution problems become more prevalent. More decisive therapies are available, and health systems gradually become oriented to preventive care and case-finding, although rising medical costs become a stubborn health problem.</td>
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ACKNOWLEDGMENTS

I want to express special thanks to Dr. John Cassel, Chairman of the Department of Epidemiology, School of Public Health, and to Dr. Moye Freyman, Director, Carolina Population Center, University of North Carolina, for their continuing support, valuable suggestions and constructive criticism throughout this project. Thanks also to Sandra Burden, social research assistant for her valuable contributions to this project; to Jeannette Cannon, Ann Herrin, Anita Leung, Çiçek Yener, statistical research assistants; to Cynthia Snow, editorial assistant; and to Libby Cline, secretary.