Global epidemiology of sickle haemoglobin in neonates: a contemporary geostatistical model-based map and population estimates

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**Summary**

**Background** Reliable estimates of populations affected by diseases are necessary to guide efficient allocation of public health resources. Sickle haemoglobin (HbS) is the most common and clinically significant haemoglobin structural variant, but no contemporary estimates exist of the global populations affected. Moreover, the precision of available national estimates of heterozygous (AS) and homozygous (SS) neonates is unknown. We aimed to provide evidence-based estimates at various scales, with uncertainty measures.

**Methods** Using a database of sickle haemoglobin surveys, we created a contemporary global map of HbS allele frequency distribution within a Bayesian geostatistical model. The pairing of this map with demographic data enabled calculation of global, regional, and national estimates of the annual number of AS and SS neonates. Subnational estimates were also calculated in data-rich areas.

**Findings** Our map shows subnational spatial heterogeneities and high allele frequencies across most of sub-Saharan Africa, the Middle East, and India, as well as gene flow following migrations to western Europe and the eastern coast of the Americas. Accounting for local heterogeneities and demographic factors, we estimated that the global number of neonates affected by HbS in 2010 included 5476000 (IQR 5291000–5679000) AS neonates and 312000 (294000–330000) SS neonates. These global estimates are higher than previous conservative estimates. Important differences predicted at the national level are discussed.

**Interpretation** HbS will have an increasing effect on public health systems. Our estimates can help countries and the international community gauge the need for appropriate diagnoses and genetic counselling to reduce the number of neonates affected. Similar mapping and modelling methods could be used for other inherited disorders.

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absolute number of SS neonates for many generations. In high-income countries, screening programmes are now commonly needed to diagnose HbS in mixed populations to provide counselling and to prevent serious clinical complications. These factors strongly suggest that the number of AS and SS cases and associated care costs will substantially increase over the coming decades.12,14–16

In this context, reliable estimates of the populations affected by haemoglobin disorders are desirable to guide public-health priority settings. We aimed to develop a new cartographic method to provide global, regional, national, and subnational (in data-rich areas) estimates of AS and SS neonates accompanied by appropriate uncertainty measures. Our study generated the following products: (1) a contemporary georeferenced database of HbS allele frequency surveys, which will be made freely accessible online as part of the Malaria Atlas Project’s Repository of Open Access Data (ROAD-MAP); (2) a Bayesian model-based geostatistical framework that uses spatial data to predict allele frequencies in unsampled areas and produces a continuous global map of the contemporary distribution of HbS; (3) global, regional, national, and subnational annual estimates of HbS neonate heterozygotes and homozygotes with areal uncertainty predictions, based on Hardy-Weinberg equilibrium and on the pairing of the allele frequency predictions with demographic data.

**Methods**

**Database and contemporary map of HbS allele frequency**

Online bibliographic searches were done to create a database of spatially located surveys of HbS allele frequency, supplemented by various unpublished datasets (figure 1). The temporal distribution and sample size of surveys are shown in the appendix pp 4–10. We excluded community surveys for which any selection bias (eg, ethnicity or health status) in the sampling methodology was stated or suspected. Remaining surveys were judged to be representative of the local populations and retained only if the sample size and the number of AS individuals (and SS individuals when given) were reported and they could be georeferenced to the district level (second administrative level) or below.21 The input data for the model were geographic coordinates (latitude and longitude in decimal degrees) and the number of HbS and non-HbS alleles in the population samples. A Bayesian geostatistical model, described in detail previously, was fitted to the data and used to predict HbS allele frequencies at unsampled locations and generate continuous maps at 5x5 km resolution (appendix pp 10–15). Differences between these maps and the ones previously published are further highlighted in the appendix pp 17. Validation metrics were calculated by comparing the observed allele frequency for a 10% random hold-out sample (a subset of the data removed from the validation analysis, so that the observed values can be compared with the predicted values) of the dataset with the prediction output created from the thinned 90% subset of the data (appendix pp 15–17).

**Defining estimates of neonates affected in 2010**

We estimated the number of neonates affected in 2010 by combining our HbS allele frequency predictions with high-resolution population distribution data (figure 1) from the Global Rural Urban Mapping Project (GRUMP). For each country, the crude birth rate for 2010–15 was downloaded from the 2010 online revision population database of the UN world population prospects and combined with the population surfaces to estimate the total number of neonates expected in 2010 globally within each 5x5 km pixel (appendix pp 19–20).

Aggregating per-pixel HbS allele frequency predictions to subnational (for national first-level subdivisions [ie, province or district, containing at least two datapoints]), national, regional, or global scales, while maintaining the correct statistical-dependence structure and therefore allowing these estimates to be calculated with appropriate credible intervals (CIs) required a bespoke version of the Bayesian framework developed previously. See Online for appendix

![Figure 1: Schematic overview of the methods and Bayesian model-based geostatistical analysis](image-url)

HbS=sickle haemoglobin. Positive=number of HbS alleles in the population sample. Negative=number of non-HbS alleles in the population sample. Mbg-infer=model-based geostatistical inference process based on a Markov chain Monte Carlo (MCMC) algorithm. GRUMP=Global Rural Urban Mapping Project. Mbg-map=model-based geostatistical mapping process. Mbg-areal-predict=model-based geostatistical areal prediction process. AS=HbS heterozygotes. SS=HbS homozygotes.
Here we used simulations from the joint posterior of the model parameters and HbS allele frequency at the observation locations to generate a posterior predictive distribution (PPD) for the HbS frequency surface within each area of interest (figure 2). Assuming Hardy-Weinberg equilibrium with two alleles (HbA and HbS), we generated maps of the mean and uncertainty in the predicted HbS allele frequency.

Figure 2: Datapoint distribution and maps of the mean and uncertainty in the predicted HbS allele frequency
(A) Distribution of the datapoints. Red circles and blue triangles indicate surveys showing presence and absence of HbS, respectively. (B) Mean of the posterior predictive distribution. (C) Bayesian model-based geostatistics prediction uncertainty (posterior standard deviations) of the HbS allele frequency.
HbS), if $x$ is the HbS allele frequency at a given pixel, $x^2$ and $2x(1-x)$ represent SS and AS frequencies, respectively. By integrating samples of these quantities from their PPDs over the area of interest, weighted by the population density and crude birth rate, we produced a PPD for the number of neonates affected, from which various summary estimates (eg, posterior mean or median) and CIs (eg, 95%) could be generated (appendix pp 20–22).

WHO regional country groupings used previously might not be the most useful for summarising HbS epidemiology, because of the variable clinical severity of the multiple HbS haplotypes and its link with malaria endemicity. We therefore present our results both within WHO regions and within modified regional groupings, called HbS regions. The rationale for using modified regions is described in more detail in the appendix pp 22–24.

Results

A total of 1211 spatially unique datapoints (figure 2) from 435 references (web dataset) matched all our inclusion criteria. Of these, 51% (619) were located in the African continent, 23% (273) in the Asian continent, 17% (203) in the Americas, 9% (112) in Europe, and <1% (four) in Oceania. Absence of HbS in the populations tested was recorded for 292 datapoints, of which 117 were in Asia, 86 in Africa, 69 in the Americas, 17 in Europe, and three in Oceania. 9032 377 individuals were included in the selected surveys with overall sample sizes ranging from one to 3 212 374 individuals (appendix p 5). The mean overall sample size was 7458 (SD 105 542) individuals.

To our knowledge, the map presented here, illustrated by the mean of the PPD (figure 2), is the first cartographic representation of the contemporary distribution of sickle haemoglobin globally. Although frequencies above 20% have been reported in small samples (<100) of specific ethnic groups, frequencies above 18% are unlikely according to the model at the population level. The maximum predicted median allele frequency was only identified in one small patch in northern Angola. Predictions above 15% were commonly identified in that area, as well as around the Gabon Estuary (Libreville) and in localised areas in southwestern Africa with a high short-range heterogeneity in the data and positive), but predicted HbS allele frequencies could be substantially different from the observed values (ie, absolute errors up to 12.5% locally), especially in areas with a high short-range heterogeneity in the data and where the distribution of the dataset was patchy (appendix pp 15–17).

Pairing demographic data with our predicted allele frequencies, we estimated that, in 2010, 312 302 (IQR 294 307–329 729) homozygous SS babies and 5 476 407 (IQR 5 290 779–5 679 288) heterozygous AS babies were born globally (table 1); the total number of neonates affected was 5 788 709 (IQR 5 585 086–6 009 017). At the regional scale, 64.4% of the AS neonates were from sub-Saharan Africa, 23.7% in North America, 17% in Asia, 7% in Europe and localised patches in South America (California, Mississippi, or Alabama) did not exceed 1%. By contrast with the high HbS allele frequencies predicted across most of sub-Saharan Africa, large areas where HbS is generally absent were identified in the south and Horn of Africa, as well as in Morocco and Algeria.

The highest uncertainties in predicted allele frequencies were seen in the western area of the DR Congo and in northwestern Angola, where predictions ranged between 3% and 14%, corresponding to an IQR of 11% (figure 2). Relatively high uncertainties (IQR ≥7.5%) were seen across most of sub-Saharan Africa and in parts of Egypt and Libya; in eastern Cuba, Nicaragua and Honduras; in eastern Saudi Arabia; and in Karnataka, India. The maximum IQRs in North America and South America were 5% and 7%, respectively. Uncertainty up to 7% was also seen in parts of Greece (1–8%), Syria (0–7%, 1–8%, and 2–9%, in different parts of the country), and Lebanon (2–9%).

Comparison of the PPD predicted from the thinned dataset with the known values at the locations from the hold-out subset revealed a minimal overall bias, with a mean error in allele frequency prediction of 0.2%. The mean absolute error, which measures the average magnitude of allele frequency prediction errors, was 3.0%. The predicted allele frequencies are therefore only slightly overestimated (ie, mean errors were mostly small and positive), but predicted HbS allele frequencies could be substantially different from the observed values (ie, absolute errors up to 12.5% locally), especially in areas with a high short-range heterogeneity in the data and where the distribution of the dataset was patchy (appendix pp 15–17).

| Table 1: Summary of global annual predicted estimates of neonates with the HbS allele |
|-----------------------------------|--|--|--|--|
| **HbAS** | **HbSS** | **HbSS** |
| 5 496 253 (27 780) | 313 945 (2008) | 5 476 407 (30 783) |
| 5 290 779 (25 205) to 5 679 288 (21 244) | 312 302 (1779) to 329 729 (2401) | 5 290 779 (25 205) to 5 679 288 (21 244) |
| 222 785‡ | 294 307 (1180) to 329 729 (2401) | 222 785‡ |

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the Americas, 5·4% in Eurasia, and 0·1% in southeast Asia. Among the SS neonates, we estimated that 75·5% were born in sub-Saharan Africa (table 2).

We calculated that 50% of the total AS and SS neonates were born in only three countries: Nigeria (1 223 330 [IQR 1 146 733–1 295 851]), India (1 038 579 [918 557–1 186 209]), and DR Congo (527 963 [488 571–568 883]). As the heterozygotes represented 94% of this total, the ranking is the same for the AS neonates, with an estimated 1 136 909 (IQR 1 070 320–1 200 907) in India, 996 563 (883 210–1 135 290) in India, and 487 945 (455 733–524 014) in DR Congo. For SS neonates, the estimates for these countries were 85 186 (IQR 76 413–94 945) in Nigeria, 42 016 (35 347–50 919) in India, and 42 016 (35 347–50 919) in India, corresponding to 88% of the world total. About 20% of SS neonates were born in DR Congo (527 963 [488 571–568 883]), India (1 038 579 [918 557–1 186 209]), and Nigeria (1 223 330 [IQR 1 146 733–1 295 851]). We used the best estimates of HbAS and HbSS neonates from the WHO database of large surveys and subnational analysis for data-rich areas showed principal administrative units (eg, provinces or districts) in which the predicted number of neonates affected were the highest (appendix pp 39–44, table 2).

In DR Congo, we estimated that about a third of SS births occurred in three provinces: Equateur (3730 [IQR 2805–5019]), Katanga (3314 [477–7350]), and Province Orientale (371 [2945–4687]). In India, about 20% of the total number of SS neonates was predicted in the states of Lagos (8457 [7047–10143]), Oyo (5315 [4520–6272]), and Kaduna (3722 [2956–4624]). In India, 25% of the SS neonates were predicted in the Karnataka state (9394 [6936–12890]). Together, Tamil Nadu (5221 [3271–8169]) and Maharashtra (4678 [3511–6644]) represented about another 25% of the national SS prediction. Complete subnational estimates for data-rich areas are shown in the appendix pp 39–44.

### Discussion

Sickle cell anaemia has recently been recognised as a global public health problem by the UN and WHO. The burden of this disorder and other haemoglobin disorders is expected to increase in the coming decades, because of reductions in infant mortality in many low-income countries and increasing migration from high to low HbS-frequency areas worldwide. A detailed assessment of our current epidemiological knowledge and the magnitude of the problem is needed to define adequate policies for diagnostics, education, and treatment to prevent or manage complications associated with sickle cell anaemia. We believe that the first contemporary global map of the distribution of sickle haemoglobin (figure 2) and derived global, regional, national, and subnational annual estimates with given precision of AS and SS neonates presented in our report represent substantial contributions towards this goal (tables 1, 2; appendix pp 29–44, panel). The best way to reliably assess the situation would generally be through universal national neonate screening. However, such programmes are rare, especially in areas with high HbS frequencies (appendix pp 25–26). Using existing survey data, combined with bespoke mapping and modelling methods, our aim was not only to update previous estimates but also to take into account the striking geographical variation both in the availability of survey data, and in the frequency of HbS between and within populations, and to assess the reliability of our estimates.

Our map shows that high frequencies of HbS (>10%) are almost exclusively encountered in sub-Saharan Africa (figure 2). The areas of highest frequency in Africa seem to reflect the origins of the different African haplotypes...
Figure 3: Comparison plots of predicted national SS neonate estimates with Modell and Darlison’s estimates for the AFRO and AMRO regions. Red dots show our estimates (termed MAP) with IQRs shown as red lines. Blue dots represent Modell and Darlison’s estimates.7 (A) AFRO. (B) AMRO. AFRO=Regional Office for Africa. AMRO=Regional Office for the Americas.
Figure 4: Comparison plots of predicted national SS neonate estimates with Modell and Darlison’s estimates for the EMRO and EURO regions

Red dots show our estimates (termed MAP) with IQRs shown as red lines. Blue dots represent Modell and Darlison’s estimates.7 (A) EMRO. (B) EURO.

EMRO=Regional Office for the Eastern Mediterranean Countries. EURO=Regional Office for Europe.
(Senegal, Benin, and Central African Republic or Bantu). Frequencies of \( \text{HbS} \) seem highly heterogeneous across the Indian subcontinent. \( \text{HbS} \) is still rare in southeast Asian populations. In the Americas, the distribution of \( \text{HbS} \), which is common in populations along the eastern coast of the continents, mirrors the distribution of African Americans. Uncertainties were highest in areas for which no data were available, such as central DR Congo (figure 2). Data in those areas would be particularly useful to improve our knowledge of the distribution of this gene. Our validation process showed that our model performed well in view of the amount of data available.

Micromapping studies have shown that \( \text{HbS} \) frequency can greatly vary over short distances. We present the first evidence-based estimates with precision measures, accounting for these spatial heterogeneities (where data permits) and demographic factors. Our model-based predictions showed large differences at the national level when compared with previous estimates (appendix pp 29–33, 45–48). Most neonates with \( \text{HbS} \) are born within specific regions in Nigeria, DR Congo, and India (figures 3–5, appendix pp 29–44). Health interventions (eg, screening programme, genetic counselling) in those regions would, therefore, have the greatest effect on total numbers of affected neonates.

Due to the kinetics of inherited disorders, the current and future public health challenges are twofold. First, countries with high \( \text{HbS} \) allele frequencies need to be prepared to provide health care for patients with sickle cell anaemia. With substantial reductions in mortality of children younger than 5 years of age in many low-income countries, \( \text{SS} \) neonates who would have previously died undiagnosed are now more likely to survive to adulthood. These countries, therefore, need to know the extent of the problem and to plan efficient and affordable treatment policies to reduce the morbidity of these patients during their lifetime. Second, although \( \text{AS} \) individuals are usually asymptomatic, it is important to educate carriers about their status to try to prevent the future birth of homozygous children, as well as to avoid psychosocial issues (eg, misconceptions or stigmatisation). Such education programmes are needed not only in low-income countries but also in high-income countries.

Without a universal neonate screening programme and effective data aggregation and analysis systems (appendix pp 25–26), it is impossible to know with exact precision the number of neonates affected by \( \text{HbS} \) (or any other inherited disorder) within a given country. Pilot screening programmes are underway in several African countries and India, which should help update our knowledge of the current distribution of \( \text{HbS} \) and refine our estimates in many areas. Better accessibility to data in high-income countries (eg, USA and UK) would also be valuable.

While the approach presented in our report represents a substantial advance in both the methodology and underlying evidence base compared with earlier attempts to quantify global estimates of neonates affected by sickle haemoglobin, several limitations remain. These limitations include the scarcity or accessibility of information about \( \text{HbS} \) allele frequency in some important areas; the presence of confounding factors.
and provide precision measures.

and modern geostatistical modelling techniques that account for spatial heterogeneities sickle haemoglobin and using a contemporary dataset combined with demographic data respectively. Our study is, therefore, the first rigorous evidence-based analysis focusing on

Few studies have attempted to quantify the burden of HbS. In 2001, Weatherall and colleagues estimated that about 216,000 babies were born with sickle cell anaemia in Africa, and between 60,000 and 100,000 outside of Africa. In 2007, using a partially updated version of Livingstone’s database, Modell and Darlison calculated global, regional, and national annual estimates of babies born with sickle cell anaemia, but only some results have been published. Moreover, the method was based on crude national averages of datasets assembled with less strict inclusion criteria; the precision of these estimates is unknown. Using data from the 2003 United Nations Demographic Yearbook, Modell and Darlison estimated that 222,785 babies were born with sickle cell anaemia globally. Their regional and national estimates are shown in table 2 and figures 3–5, respectively. Our study is, therefore, the first rigorous evidence-based analysis focusing on sickle haemoglobin and using a contemporary dataset combined with demographic data and modern geostatistical modelling techniques that account for spatial heterogeneities and provide precision measures.

Interpretation

Few studies have attempted to quantify the burden of HbS. In 2001, Weatherall and colleagues estimated that about 216,000 babies were born with sickle cell anaemia in Africa, and between 60,000 and 100,000 outside of Africa. In 2007, using a partially updated version of Livingstone’s database, Modell and Darlison calculated global, regional, and national annual estimates of babies born with sickle cell anaemia, but only some results have been published. Moreover, the method was based on crude national averages of datasets assembled with less strict inclusion criteria; the precision of these estimates is unknown. Using data from the 2003 United Nations Demographic Yearbook, Modell and Darlison estimated that 222,785 babies were born with sickle cell anaemia globally. Their regional and national estimates are shown in table 2 and figures 3–5, respectively. Our study is, therefore, the first rigorous evidence-based analysis focusing on sickle haemoglobin and using a contemporary dataset combined with demographic data and modern geostatistical modelling techniques that account for spatial heterogeneities and provide precision measures.

such as non-random mating; and the interactions with other inherited blood disorders.

Contemporary HbS allele frequency heterogeneity over short distances and between ethnic groups can only partly be explained by the selection pressure of malaria, especially in India. Other factors, such as environmental variables (eg, altitude) or differences in social behaviour (eg, consanguinity or endogamy) also contribute to HbS allele frequency. For various reasons, including ethical issues and the difficulty of defining an ethnic group, such social factors are not consistently reported in HbS surveys. Therefore, capturing spatial variations in these factors from a partial dataset is difficult. As a consequence, the inclusion of ethnic origin or consanguinity would probably have added uncertainty to the model. Moreover, no consistent high-resolution global database of these factors is currently available. Defining a minimum standard of information gathered and reported for new surveys (eg, sampling method, location, age group) would greatly facilitate such global studies.

Finally, our study focuses on AS and SS neonates. We are aware that these estimates only represent part of the burden caused by HbS. First, we have calculated neonate estimates, not all-age population estimates or disability-adjusted life year losses from HbS. The feasibility of calculating such estimates is currently very limited because of a general paucity of information on the variations of clinical severity between haplotypes, and on mortality caused by HbS, both in low-income and high-income countries. Second, our estimates do not include individuals with compound disorders such as haemoglobin SC disease or haemoglobin S-beta thalassaemia disease. Including these individuals would require a good knowledge of the distribution of haemoglobin C and beta-thalassaemia, as well as of the interactions between these variants. Recent studies have shown that such interactions, or epistatic effects, are complex. Unless similar rigorous quantitative methods are used to study related disorders and HbS mortality, reliable estimates of the general economic and public health burden of haemoglobinopathies as a whole will be impossible to produce.

Having been neglected for decades, awareness of HbS and of its burden on public health services globally is finally growing. Our study aimed to make optimal use of existing data to create a contemporary map of HbS allele frequency and calculate annual estimates of AS and SS neonates at various spatial scales. The global quantitative map presented here shows for the first time the contemporary distribution of HbS. Our estimates and associated precision measures provide a valuable result to guide public health decisions at various scales and to assess future changes.

Contributors

FBP developed the conceptual approach. FBP and SIH wrote the first draft of the report. FBP, REH, and OAN assembled and abstracted the data. APP and PWG conceived and helped to implement the modelling and all computational tasks. All authors contributed to the study design and data interpretation and to the revision of the final report.

Conflicts of interest

We declare that we have no conflicts of interest.

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