Introducing verbal autopsies into civil registration and vital statistics systems: Guiding principles
About this series
The series focuses on filling a range of scientific knowledge gaps offering new tools, methods, findings and approaches for CRVS systems and data improvement. The series has a strong empirical focus, reporting on works in progress, particularly for large or complex technical initiatives, or on specific components of projects that may be of more immediate relevance to stakeholders.

Other products available from the Civil Registration and Vital Statistics Improvement Group, Bloomberg Philanthropies Data for Health Initiative

CRVS development series
Concise and easily accessible, the CRVS development series form a lasting archive of synthesised evidence on topics related to CRVS systems and data strengthening. The content of this series is based on a combination of Bloomberg Philanthropies Data for Health Initiative technical knowledge, country (and comparative country) experience, as well as the scientific literature. The series is intended to stimulate debate and ideas for in-country CRVS policy, planning and capacity building, and promote the adoption of best practice to strengthen CRVS systems world-wide.

CRVS country stories
CRVS country stories describe the capacity building experiences and successes of strengthening CRVS systems in partner countries. The series serves to describe the state of CRVS systems improvement in partner countries, lessons learnt, and provides a baseline for comparison over time and between countries.

CRVS roadmaps for action
Roadmaps for action present a succinct overview of the wide-spectrum of common issues and challenges in CRVS systems and provide a suggested way forward for countries. This series is intended to inform health system dialogue in and between countries and a range of development partners.

Resources and tools
Capacity-building resources and tools are designed to assist countries improve their systems and to influence and align CRVS practice with established international or best practice standards. These resources, which are used extensively in Bloomberg Philanthropies Data for Health Initiative training courses, aim to both change practice and ensure countries benefit from such changes, by developing critical CRVS capacity among technical officers and ministries.

Acknowledgements
The Civil Registration and Vital Statistics Group, Bloomberg Data for Health Initiative at the University of Melbourne are grateful to a number of individuals who contributed to this document including: Professor Ian Riley, Professor Alan Lopez, Professor Deirdre McLaughlin, Sonja Firth, and Carla AbouZahr, the University of Melbourne; Professor Don de Savigny, Swiss Tropical and Public Health Institute; Erin Nichols, Centers for Disease Control and Prevention; Philip Setel, Vital Strategies; and Professor Bernardo Prado, the University of Washington.

Published by the Civil Registration and Vital Statistics Improvement Group, Bloomberg Philanthropies Data for Health Initiative
The University of Melbourne
Melbourne School of Population and Global Health
Building 379
207 Bouverie Street
Carlton
VIC 3053
Australia

+61 3 9035 6560
CRVS-info@unimelb.edu.au
mspgh.unimelb.edu.au/dataforhealth

Made possible through funding from Bloomberg Philanthropies
www.bloomberg.org
Acronyms and abbreviations

BD4H  Bloomberg Philanthropies Data for Health initiative
COD   Cause of death
CRVS  Civil registration and vital statistics
CSMF  Cause specific mortality fraction
DHIS-2 District health information system (2)
DOA   Dead on arrival
HDSS  Health and demographic surveillance site
ICD   International Classification of Diseases
ID    Identification
IT    Information technology
PCVA  Physician certified verbal autopsy
PHMRC Population Health Metrics Research Consortium
PTSD  Post-traumatic stress disorder
SAVVY Sample vital registration with verbal autopsy
SOPs  Standard operating procedures
SRS   Sample vital registration system
TAG   Technical advisory group
VA    Verbal autopsy
VAI   Verbal autopsy instrument
WHO   World Health Organization
Contents

Acronyms and abbreviations iv

Introduction 1

Criteria for the introduction of verbal autopsies into civil registration and vital statistics systems 1

Need for national commitment 2

The use of verbal autopsies in civil registration and vital statistics systems 3

Model of common processes for data collection, entry and transmission for verbal autopsies within a civil registration and vital statistics system 3

The status of cause of death data derived from verbal autopsies within civil registration and vital statistics systems 6

Verbal autopsy instruments and diagnostic methods 7

Preparation for the introduction of verbal autopsies into civil registration and vital statistics systems 11

Stage 1 Laying the groundwork 11

Stage 2 Reviewing the resources 13

Stage 3 Setting up the model 15

Stage 4 Testing 18

Stage 5 Implementing verbal autopsies in a limited number of areas (Phase 1) 19

Stage 6 Implementing a national plan for verbal autopsies (Phase 2) 20

Training materials and support systems 21

Training materials 21

Technical support 21

Ongoing support 22

Bibliography 23
Introduction

Accurate cause of death (COD) information is fundamental to good public health practice. The principal sources of information are medical certificates of COD for deaths in hospitals and verbal autopsies for nonhospital deaths. A verbal autopsy (VA) is a process whereby relatives of the deceased respond to questions about the medical history and terminal illness of the decedent (i.e. the illness that led directly to death). These two sources of COD data are complementary.

Verbal autopsies, as a means to generate policy-relevant information on cause-specific mortality fractions (CSMFs) in a population, have three elements:

- a questionnaire to collect information from the family of the deceased about signs and symptoms preceding death, known as the verbal autopsy instrument (VAI)
- a method to diagnose the most probable COD based on the responses recorded in the VAI. This has traditionally been done by physicians, referred to as physician-certified verbal autopsy (PCVA). Today, automated algorithms are available to generate the probable COD, an approach that is more cost-effective, accurate and consistent across populations than PCVA
- a target COD list, which includes all causes that can be diagnosed with reasonable accuracy.

Improvements to the certification of deaths in hospitals and the introduction of VAs for community deaths are complementary and should proceed in parallel. It is desirable that VAs be collected either for all deaths for which medical certification was not available, or for a representative sample of these. This will include deaths in facilities, where there is no physician, as well as home deaths and deaths in the community generally.

Medical certification and VAs should both be linked to the notification and registration of deaths through a country’s civil registration and vital statistics (CRVS) system. In general terms, medical certification will provide a more detailed and legally recognised account of COD; VAs will be more representative of patterns of mortality at the population level. The principal purpose of a VA is to describe the cause composition of mortality through the estimation of CSMFs in a population.

The introduction and integration of verbal autopsies into CRVS systems is arguably the most complex and difficult challenge that countries face in trying to improve data for policy.

This report aims to:

- propose a generic approach in advising countries about the options available to them to implement automated VA methods
- lay out the broad steps in the preparation, field testing, phase one implementation and eventual national roll-out of VAs in CRVS systems.
Criteria for the introduction of verbal autopsies into civil registration and vital statistics systems

The introduction of VAs will depend on a careful analysis of, and response to, the structure and capacity of peripheral health and statistical services in the country.

VAs should be included within civil registration systems. It should be noted that introducing VAs outside civil registration and vital statistics (CRVS) systems may divert resources from efforts to strengthen those systems.¹

In making decisions about the introduction of VAs into settings with limited resources, three broad criteria need to be taken into account:

- **Efficiency** – This is the extent to which approaches for the introduction of VAs make the best possible use of scarce resources. A program needs to be sustainable (i.e. operate independently of external inputs), in the medium and long term.

- **Effectiveness** – This is the extent to which the chosen VA and diagnostic method can accurately predict COD from a sufficiently large sample of all deaths to provide valid CSMFs for national and subnational populations.

- **Cost** – It is important to compare the cost of ongoing collection of VAs with other strategies for the collection of COD data, such as surveys. This cost comparison will support decision-making in ministries of health, which are the principal users of COD data. A distinction needs to be made between the opportunity costs, for example, of using existing health staff to collect data and the additional costs incurred by hiring specific survey staff. It is also important to distinguish between start-up costs and ongoing operational costs.²

Need for national commitment

There is a risk that countries will agree too readily to the introduction of VAs into CRVS systems and not appreciate the level of commitment that will be required. Before committing, countries should understand that they will need to:

- review the institutional set-up and business processes for the notification, registration and certification of deaths in order to identify the most effective and efficient strategy for identifying the maximum number of deaths at community level

- be prepared to train and supervise health workers or other community-based workers in VA interviews

- establish that interviewers, if they have not been recruited for the specific purpose of collecting VAs, have sufficient time to collect VAs in addition to their routine duties; they must have the capacity to collect VAs and the means to visit families

- be assured that means of data transfer exist between civil registries and health facilities

- be prepared to develop processes for strengthening collaboration between staff of civil registries and health facilities.

¹ The trade-off is between the need for high-quality population-level COD data and the need for high-quality and complete civil registration data. The general approach to the availability of high-quality population-level COD data should begin with a review of all available sources of such data and consideration of how best to obtain national estimates of COD. A compromise might be to introduce quality measurement of VA via a sample vital registration system (SRS) on the one hand, and introduce notification and civil registration to the SRS on the other. The output should be line listings of individual deaths and not aggregated data.

² Detailed guidance to assist countries to estimate the costs associated with the introduction of routine verbal autopsies into CRVS systems has been developed and will be available on the University of Melbourne website in late 2017.
The use of verbal autopsies in civil registration and vital statistics systems

Verbal autopsies within civil registration systems should follow registration of a death. The introduction of VAs can be supported by verbal autopsy instruments (VAs).

Model of common processes for data collection, entry and transmission for verbal autopsies within a civil registration and vital statistics system

This section provides a simplified sequence of events that precede and follow the collection of VAs, and Figure 1 provides a simplified overview of this approach. For this approach, it is assumed that:

- there is a process for the notification of deaths in addition to family notification and registration
- there is an organisation or agency that will take responsibility for the collection of VAs.

If such systems are not in place, they will need to be developed in parallel with the development of processes for the management of VA data.

1 A death occurs

Death may occur at home or away from the home. If it occurs in a health facility, the facility should notify the civil registrar. Jurisdictions vary in their rules about registering deaths in administrative areas away from the place of usual residence (e.g. in a different province or district). Some require the death to be registered in the area where the death occurred, others require the death to be registered in the area of usual residence. This is particularly relevant to the notification and registration of health facility deaths.

2 The civil registrar is notified of the death by the family, by an institution or by an individual empowered to notify deaths; notification should require all identification (ID) legally necessary for registration

Systems for the notification of deaths assume the selection of an agency that has the capacity to identify a high proportion of all deaths and report them. The health sector is likely to be involved because of the need to register health facility deaths. If a country does not have a pre-existing structure for the notification of community deaths, we recommend that in the early phases of introducing VAs, notification procedures be as straightforward as possible. It will simplify matters if the agency empowered to notify the civil registrar of deaths is the agency that organises the collection of VAs.

The minimum information for notification of a death should be:

- serial number of the notification form (for record linkage)
- full name of the decedent
- sex and nationality
- date (if not known, age) and place of birth
- date and place of death
- place of usual residence.
3 A registration number is assigned and details are entered into the civil register (ID data, place of occurrence, address)

The registration number becomes the permanent number for linkage of records. Alternatively, a notification number or national ID number may serve this purpose.

4 If a medical certificate of COD is not available (e.g. due to non-facility death, dead on arrival, or other factor), a VA should be collected

In order to issue a medical certificate of COD, a physician should be familiar with the past medical history of the decedent and/or the terminal illness. Hospital physicians frequently declare themselves unable to issue a certificate for persons who are dead on arrival (DOA) or when the death has occurred within 24 hours of admission. In such cases, we recommend a VA. We also recommend VAs be collected for all deaths in health facilities not staffed by physicians.

If physicians issue medical certificates for non-facility deaths, the quality of these will need to be evaluated. In countries where a medical certificate of COD is necessary to obtain a permit for burial, physicians may issue a medical certificate based solely on the family account of the terminal illness as routine practice. We recommend the collection of a VA under such circumstances but acknowledge that operational research is required to establish best practice.

5 The death certificate (i.e. of the fact of death), may be issued at this point

Whereas a medical certificate of COD may initiate the registration process, a VA will most likely be collected weeks or months after the death. It will not be possible to predict at the time of registration whether it will be possible to assign a cause of death (there may be insufficient information to do so) or even whether it will be possible to collect the VA. Therefore, if certification of the fact of death is needed, that certificate is best issued at this point.

6 The registrar requests a VA from the health facility and provides ID details and the registration number

The registration number should be the permanent number that provides the essential link between the civil register and the VA.

7 The health facility collects a VA, ideally within a minimum of 4 and a maximum of 12 weeks of death

In general terms, government health facilities are the best placed agencies to take responsibility for the collection of VAs because of their ethos, staff experience and expertise.

The aim should be to collect VAs between 4 and 12 weeks after death. A delay of 4 weeks allows for a period of mourning. After 12 weeks, the accuracy of the assigned COD will be increasingly affected by symptom recall (Serina et al, 2016). Nevertheless, it would be permissible to collect VAs for up to 12 months after death in order to maximise coverage. Under certain circumstances, such as death in a facility, it may be better to collect the VA immediately after death. Such a decision calls for understanding and judgement.
8 VA data is collected and uploaded onto a computer

The VA interview should take place in a non-threatening environment where respondents can answer freely in accordance with local customs affecting confidentiality. Emotional support from other family members or the interviewer may be necessary. It is common in village environments for more than one family member to be present. The decision about who should or should not be present at the interview should be left with the principal respondent. Given the need for at least a 4-week delay and the likelihood of active follow-up by the interviewer, the most usual place of interview will be in the home. An acceptable alternative would be in a health facility.

If data collection is paper-based, data entry is an additional step. This brings additional possibilities for error and we strongly recommend electronic collection because the data can be automatically uploaded onto a computer. Training of field workers in electronic data collection should include instruction in how to upload data. If data collection is paper-based, we recommend data review by a supervisor as a quality check. The reduction of error in data entry requires double-entry. However, start-up costs for electronic systems will be greater than for paper-based systems.

9 A COD is assigned, using automated VA methods

Once data from an individual death has been uploaded or, in the case of paper-based systems, entered into a computer, automated methods will assign a COD which should appear as the outcome of the interview. The assigned COD should be linked to the ID data provided by the civil registry. The COD data generated through VAs can be incorporated into a national vital statistics database, but should always be separately identifiable.

Research indicates that the overall cause-specific mortality fraction (CSMF) accuracy of automated VAs is more than 75 per cent. The accuracy of assigned COD from automated VA for individual deaths is around 50 per cent (Serina, et al., 2015a). As stated previously, the principal purpose of VA is to describe the cause composition of mortality through the estimation of CSMFs in a population. The distribution of COD is important for guiding policy responses to avoid premature death in communities.

Although COD can be provided to family members, we recommend that this not be done. Firstly, diagnosis is not sufficiently accurate at the individual level and secondly, the need for discussion about the implications of the diagnosis places too much of a burden on interviewers. We recognise that families have a right to know the diagnosis, but recommend that the assigned COD be discussed first with a trained health worker, and then the health worker can disclose the diagnosis to the family at a formal interview, if appropriate.

10 Interviewers are supervised and quality assurance processes are in place

Supervisors are responsible for ensuring that interviewers are adequately trained and supported, and ideally should have a background in health. It is important that all supervisors thoroughly understand the process of conducting a VA and can effectively pass on this knowledge to interviewers. We recommend that supervisors hold regular group meetings with interviewers to discuss issues and problems arising in the course of their work. Supervisors should be prepared to attend a small percentage of interviews as observers.
The interviewers need to be able to establish an atmosphere in which respondents are prepared to confide sensitive information. This requires tact and understanding. Unreliable information may lead to a wrong diagnosis. Responses must be entered accurately. Electronic tablets should be programmed to ensure that responses fall within predetermined parameters. With paper-based instruments, supervisors should review responses in detail before computer entry where, again, the computer should be programmed to ensure that responses fall within predetermined parameters.

11 **COD data is transmitted to the registrar; the registrar records the COD in the register using the registration number for linkage**

The integration of COD derived from VA into local systems will depend very much on the country information technology (IT) systems and capacity.

12 **The distribution of CODs is reviewed for plausibility and processes are corrected as necessary**

The VA Technical Working Group should play a major role in the review process. This working group has been established as part of the Bloomberg Philanthropies Data for Health Initiative to provide technical assistance to D4H countries on VA implementation. It is usual to compare results from VAs with data from other sources. This will be necessary at both local and national levels to ensure COD results coming from automated VA align with known distribution patterns in the country. Where there are little data on cause of death distribution from routine or other sources (such as large-scale surveys), expert opinion may need to be employed to assess the feasibility of the COD patterns (Serina, et al., 2015a).

Figure 1. Verbal autopsy processes in a civil registration system
The status of cause of death data derived from verbal autopsies within civil registration and vital statistics systems

Data processing
The purpose of collecting birth and death data including COD is to establish a national vital events register. In addition to COD data, each entry will contain ID covariates. VA COD data and medical certificate COD data should both be entered along with ID covariates, but the source of each needs to be identified so that each can be analysed separately. National COD statistics will depend on harmonising results from the two data sources using advanced statistical techniques. Where the quality of VA COD has been established, we recommend that COD data from both sources be included in the national vital events register and that COD data derived from medical certificates and VAs not be separated.

Civil registries will need to process COD data from VAs separately from COD data contained in a medical certificate. The medical certificate of COD is commonly used to initiate registration and in almost all countries will be referenced in legislation. Because VA data should not be obtained until a month or more after death, it will need to be linked to the record of the death after the death has been registered and a certificate of the fact of death has been issued.

Data storage and release
In addition to ID data and an assigned COD, the record of interview will contain background on the circumstances of the interview, responses to symptom questions and the open narrative. We recommend that the entire VA record have the same status as any other medical record and it should be retained for a set period of time to enable:

- response to any legal issues that may arise including family request for information
- response to later questions about the most probable diagnosis
- data quality checking
- subsequent research.

The health department should decide how they will do this, where the record will be retained and what the processes for access should be.

One further issue is whether a COD based on a VA be entered onto a death certificate. In other words, what is the legal status of COD assigned by an automated process within a civil registration system? On the one hand, the COD assigned by VA could be wrong. On the other, it can be argued that a family may have a compelling reason such as an insurance claim to have an official death certificate that includes the COD. In line with the above, we suggest that a death certificate including the COD be issued only if authorised by a registered physician or panel of physicians after they have reviewed the record of the VA interview.
Verbal autopsy instruments and diagnostic methods

Currently available VA tools are described below. The development of automated diagnostic methods, and their corresponding instruments, remains an active area of research. In establishing a system of routine VA in countries, the focus should be on creating a flexible platform that can support the VA structure (i.e. death notification, VA interview, and automated analysis), while accommodating updates to the tools in the future.

A verbal autopsy instrument comprises:

- an introductory section that provides ID data and gives the context of the interview
- questions about symptoms
- an open-ended narrative in which the respondent gives their own account of the terminal illness and events leading to death.

The introductory section is, or should be, common to all instruments. Symptom question items vary in terms of content, wording of the question, and order. Instruments vary as to whether they do or do not incorporate elements of the open-ended narrative into their analysis.

Optimal characteristics of verbal autopsies for routine use in civil registration and vital statistics systems

The recommended optimal characteristics of a VA for use in CRVS systems are:

- **The shortest possible instrument that could provide valid cause of death information**
  - The maximum period for asking symptom questions should be 30 minutes or less, including the open narrative, but not including time needed for introductions, collection of ID data etc. The benefits lie not only in the amount of time that staff need to devote to interviews but in efficiencies for training and supervisory programs.
  - Travel time for an interviewer is an important consideration. However, travel is a constant which cannot be changed, whereas the length of time that the respondent is asked to respond to questions can be altered by using a shorter, but still robust, instrument. A shorter interview has several advantages. Respondents are more likely to collaborate if they are informed about shorter rather than longer interview duration. The shorter the interview, the less likely respondents will be distracted or suffer respondent fatigue. Staff and data processing costs will be lower when only the minimum essential information to enable successful diagnoses is collected.

- **Age-specific criteria** – VAIs should have separate modules for neonates, children and adults. It has been proposed that the lower limit for adults be reduced from 15 to 12 years. Effectively, this reduces the lower limit of the reproductive age range in women so as not to miss maternal deaths. The response to this proposal is likely to vary from country to country.
Data collection on electronic tablets – Data collection on electronic tablets is less cumbersome than paper-based collection which has a greater need for supervision and review. The advantages of tablets include:

- shorter interviews because of automated skip patterns
- no need for checking for missing data post-interview
- ability to demonstrate signs and symptoms through audio and visual aids
- ability to upload directly to a server.

However, some countries will opt for paper-based collection, most probably because of lack of infrastructure and lack of technical support for IT at the periphery. It should be remembered that there is more room for error in recording the interview; secondly, either data will need to be entered separately into a computer for automated diagnosis or physician-certified verbal autopsy (PCVA), or paper forms will need to be transferred to a central site for PCVA.

Automated diagnosis – The development of new VAIs over the last decade or more reflects general dissatisfaction with inefficiencies associated with PCVA. Arguments against PCVA relate to the difficulty of retaining an effective cadre of certifiers over extended periods of time and the associated salary costs. It should be recognised that in large systems delays are to be expected with PCVA and results may not available in a timely manner; this will translate into a greater length of time being required to generate policy-relevant data. If PCVA is introduced because of lack of support for IT systems, it will need to be paper-based. If countries wish to adapt VAIs to meet particular interests, it should be stressed that this will compromise their amenability to automated coding.

Inclusion of open narrative – The open-ended narrative gives respondents the opportunity to tell their own story in their own words. Spontaneous recall of symptoms often carries more diagnostic weight than does prompted recall (Serina, et al., 2015a).

Currently available verbal autopsy instruments

Over the past two decades or so, there has been considerable research carried out on the optimal methods for, and comparative performance of, various approaches to collecting and analysing data via the use of verbal autopsy. Two VAIs are available for consideration for routine data collection in national CRVS systems:

- the shortened version of the Population Health Metrics Research Consortium (PHMRC) instrument, which, along with an automated diagnostic method known as Tariff2.0, forms an integrated data collection and analysis package known as SmartVA.
- the 2016 World Health Organization (WHO) Verbal Autopsy Instrument (WHO 2016), which is intended to be applicable to several automated diagnostic methods, including InterVA, InSilicoVA, and Tariff2.0.
SmartVA was developed specifically for routine use in CRVS systems in developing countries and was intended for global use. It was based on the PHMRC VAI which, in turn, had been based on WHO 2007. The PHMRC VAI had the specific purpose of developing and validating automated methods for the analysis of VAs; these methods were to be based on empirical evidence and not on expert opinion. The PHMRC study led to the establishment of a validation database which contains 12,500 VAs paired with gold standard hospital death data where the COD was known as accurately as possible under the conditions of developing country hospital practice. The Tariff Method was among the most effective of a number of diagnostic methods, including PCVA. A short form of the PHMRC VAI was created by a formal item-reduction process which took into account the contribution each question made to diagnosis. This analysis used the PHMRC Validation Data Base. The code for the short form of the PHMRC VAI was rewritten as SmartVA for use on electronic tablets; it is automatically analysed by the Tariff2.0 method. Both the electronic VAI (short form) and the SmartVA application can be found at www.healthdata.org/verbal-autopsy/tools.

WHO 2016 is derived from 3 preceding instruments – WHO 2007, WHO 2012 and WHO 2014 - and will incorporate all SmartVA variables (Nichols et al, 2017). The intention is that it will be possible to use WHO 2016 to apply several diagnostic algorithms, including Tariff, InterVA and InSilico VA, requiring the user to separately develop and apply decision rules to choose the most probable cause of death in the case where the various diagnostic algorithms yield different causes of death. It is unclear how frequently this will occur, but previous research into differences in diagnostic outcomes across various methods suggests this scenario will not be uncommon⁵. Smart VA on the other hand, has been expressly developed for application and incorporation into national CRVS systems using an item-reduced VA questionnaire to collect only the essential information to successfully diagnose the probable leading causes of death (Serina et al, 2015b).

The InterVA (Interpreting Verbal Autopsy) diagnostic program uses a probabilistic model based on Bayes’ theorem and has been widely used in association with the WHO VAI’s. It is available in the public domain at www.interva.net. It was developed using an expert panel unlike SmartVA, which is entirely data driven and does not depend on expert judgement.

Two other diagnostic methods are available but are not described further in this document. The quality of the first, Physician Certified Verbal Autopsy (PCVA), depends on the intensity of training and supervision and is not considered to be sufficiently cost efficient in low-resource settings. Under routine conditions, it did not perform as well as Tariff. Experience from long-running mortality surveillance systems such as Matlab in Bangladesh is that it is difficult to maintain a cadre of physician certifiers over the medium term. At the time of writing, there is insufficient information about national experience with the second method, InSilicoVA, to draw any conclusions about its utility for routine application in CRVS systems.
Preparation for the introduction of verbal autopsies into civil registration and vital statistics systems

Introducing verbal autopsies (VAs) within a civil registration and vital statistics (CRVS) system requires a step-by-step process. The process should be guided by both a national CRVS committee and local experts with knowledge of mortality patterns.

Stage 1 Laying the groundwork

Step 1.1 Establish a national mortality technical working group and verbal autopsy subgroup

A national mortality technical working group should be established with the overall aim of improving cause of death statistics. This group may be a subgroup of the larger CRVS stakeholder group that already exists in many countries. It should review mortality data from all available sources. It needs to be broadly representative of data collectors and users (civil registry, national statistics office, and ministry of health) and of medical professional organisations relevant to the implementation of improvements in COD data. It should become a vehicle for communication with different agencies and institutions.

Subgroups should then be established to oversee and review the implementation of two major interventions:

- the introduction of the International Classification of Diseases (ICD) and improvements to the quality of medical certification of COD in hospitals
- the development of a fully-fledged VA function as part of a national CRVS system.

The VA subgroup (the VA technical working group) may need to be led by the ministry of health but involve other sectors in the CRVS system. There should be links between the VA subgroup and the ICD subgroup. Technical issues for implementation of VA into CRVS might be left to the working group or subgroup but wider issues such as changes in legislation, links and data flow between VAs and the CRVS system should be decided by the national stakeholder group.

Step 1.2 Consider the need to review and, if necessary, revise legislation and rules relevant to verbal autopsies as part of a civil registration and vital statistics system

The VA technical working group, in consultation with the national stakeholder group, should review relevant legislation and rules to identify the changes or new legislation and rules needed to facilitate the integration of VAs within a CRVS system.

These are likely to include legislation and rules around:

- who is licensed to issue medical certificates
- obligations for families to report deaths and obtain a medical certificate of death before cremation and burial
- requirements for physicians to certify or assign likely COD
- the recording and retention of data in the national civil registry
- confidentiality, data sharing and data security
entitlements of families, including access by the family to the COD assigned by the VA and to the record of VA interview (it is suggested that these be equivalent to legislation and regulations affecting informed consent in hospital and the access of families to hospital records)

the need for informed consent before a VA.

Step 1.3 Develop a detailed enterprise architecture map delineating the processes that lead to registration of deaths and assigning cause of death

Detailed process maps are a prerequisite for designing the integration of VAs into CRVS systems. These maps should depict all major steps, processes and activities related to notifying, registering and certifying deaths in the CRVS system and requirements, rules, and information flows concerned with capturing the mortality event.

This ‘blueprint’ of the CRVS architecture allows all stakeholders to have a common understanding of the current system. These maps are necessary to enable effective participation in designing how the CRVS and VA steps (declaration, notification, registration, certification, VA interview, VA analysis, linking COD and fact of death, validation, quality control, data transfer, production and dissemination of vital statistics and reports, etc.) are to be integrated into the CRVS system.

Step 1.4 Establish the roles, links and data flow between verbal autopsies and the civil registration and vital statistics system

To establish the likely roles, links (and possible barriers) to integration of VAs into the CRVS system, the model of common processes should be compared with the enterprise architecture map.

This step is to establish the principle of integrating VA within the CRVS system. It ensures the basis of the critical link between VAs and the CRVS system is understood and agreed. The issue of data flow also relates to hospital COD information within CRVS. It is imperative that there is a mechanism for flow between different sectors and stakeholders.

Considerations might include:

- the notice to conduct VA would ideally come from the civil registrar
- links are needed between the registrar and health sector for reporting COD (including through medical certificates)
- collection of VAs should be supervised through the health sector, because of their expertise related to supervision for training, quality assurance, counselling for family members etc.
- ideally, the health sector would be responsible for notifying community deaths (and ultimately conducting VAs to identify COD) as well as reporting on COD from facility deaths in order to streamline the link for this data to the CRVS system.

Note: if there are no mechanisms or political will to create a mechanism to connect VA and CRVS, VAs should not be implemented in the country.

Stage 2 involves reviewing national VA experiences, cadres of workers, workforce issues, and IT issues.

Stage 2  Reviewing the resources

Step 2.1  Review national experience and resources for the collection and interpretation of verbal autopsy data

Whether VA has been used in the country and in what format needs to be considered in the design. For example, field testing of instruments may not be necessary if this has already been done in-country. It will be important to identify the expertise that exists for VA in-country or in other countries in the region. This step is critical to understand the current environment under which we will be implementing VA. Considerations might include:

- learning lessons from Health and Demographic Surveillance System (HDSS) sites and Sample Vital Registration with Verbal Autopsy (SAVVY) – what has worked and not worked from previous experience?
- establishing what existing expertise there is in-country. However, note that the level of program support for VA for research purposes will be higher than can be expected for routine VA
- deciding what value from earlier efforts can be applied to routine VA
- discovering what tools (instrument and diagnostic methods) have been used in-country previously. For example, what materials are currently available in the local language?
- understanding capacity in terms of human resources (HR), supervision and sustainability
- identifying what other institutional support is available. For example, what other agencies have been involved and how can we foster links?

The extent to which we can or should use existing HR, materials and expertise from other initiatives will need to be discussed and negotiated with the relevant stakeholders.

Step 2.2  Decide on the cadre of workers that will collect verbal autopsies

The accuracy of assigned COD from VA is heavily dependent on the quality of the interview. The choice of the cadre of workers for VA in routine CRVS needs careful thought and will vary by country. Optimal characteristics include secondary education and formal links with the health sector (other factors, such as proficiency in various languages may take priority in some countries).

The advantages of collecting VAs through health services include their ethos and staff experience in dealing with matters of death and disease. However, the choice of instrument and data collection method (see Steps 3.1 and 3.2) will also be a factor since they may require different skill sets and tasks.

We need to identify the level of health or community worker technically capable of conducting VAs. A simple guide to technical capacity is to relate the complexity of collecting VAs to workers’ current clinical responsibilities. For routine VAs, the cadre of worker that has both the skills and time availability needs to be considered, as well as the preferences of the country. (For example, regardless of what we believe to be the ‘ideal’ interviewer, some countries will prefer doctors or medical aides to conduct VAs whereas others will rely on a more peripheral health worker.)

Then we need to assess whether it is feasible to introduce this task to these workers. Some questions are: What are the opportunity costs and absorptive capacity of this cadre? What are the total set of tasks assigned to this person (e.g. interview, downloading information onto the computer) in addition to other roles? It will also be important to factor in travel time; some ideal interviewers may not have the time to add this task to their work.
It should also be noted that interviewers may experience burn-out and require emotional support; grieving families need to be handled carefully and appropriate de-briefing and other support should be provided to interviewers. Remembering that this is our model for routine VA, the sustainability and potential burn-out of workers needs to be considered.

This step also relates to Step 2.1, which assesses the capacity that already exists in-country. The current capacity of the workforce in country related to VA has implications for the speed of the roll-out and the extent of the training and ongoing support needed.

**Step 2.3 Identify an appropriate cadre of supervisors**

The supervisory role and mechanism is critical to the success of this intervention and to ensure that adequate quality control is maintained. A preferred ratio of supervisors to interviewers should be identified that takes into account the country context, previous skills and experience of both supervisors and interviewers, and estimated number of VAs to be conducted. Supervisors may have pre-existing supervisory roles. The more qualified the interviewers, the less supervision will be needed. However, a robust and reliable communication mechanism will need to be established between interviewers and supervisors. Given the range of supervisory tasks related to VAs, the capacity of potential supervisors to conduct these activities will need to be thoroughly investigated.

Ideally supervisors need to have capacity (skills and time) to:

- train interviewers
- assess the quality of interviewers and make necessary changes
- sensitively allocate the most appropriate interviewers to conduct particular VAs (e.g. an experienced woman for neonatal and child deaths)
- schedule home visits (2–3 months after death)
- provide a mechanism for counselling of interviewers (to prevent post-traumatic stress disorder)
- provide a mechanism for families to attend health facilities for counselling on probable COD
- oversee the mechanism by which VA results are fed back through the health system to the CRVS.

This is a significant task and supervisory capacity needs to be carefully thought through, particularly at peripheral levels of the system with few available staff.

It should be noted that supervisor travel to directly oversee interviewers is only one mechanism of supervision. Another is to use a key meeting where all VA interviewers would come to a facility/central point as a way to provide supervision and address queries and problems. A further one is to take advantage of internet communications. These meetings might also provide an opportunity for de-briefing (group or individual counselling for interviewers) and for downloading VAs to computers from tablets.

Some resistance from supervisors to an increase in tasks can be anticipated. An assessment of absorptive capacity of both interviewers and supervisors is essential. Once a national strategy is identified, tasks can be institutionalised in training programs and incorporated as routine tasks for future staff.
Step 2.4 Consider other workforce issues for routine verbal autopsies in a civil registration and vital statistics system

Other HR issues to be considered may include:

- the number and functions of staff available in civil registries, and what training and orientation they will need with any new processes
- the current functions and capacity for the management of information technology (IT) services (see also Steps 2.5 and 2.6).

Step 2.5 Review existing information technology services in relationship to the distribution of local civil registries and peripheral health facilities

It will be necessary to consider in detail:

- the distribution and availability of computers in peripheral health facilities which could be used for the uploading or entry of VA data
- processes and procedures for reporting of health information by peripheral health facilities
- the level(s) at which local reports are collated and prepared for reporting central authorities
- processes for data entry and data transfer among local civil registries
- capacity for electronic communication between health facilities and civil registries.

Step 2.6 Develop support systems for information technology

Information technology (IT) systems will need the capacity to accommodate the various steps of VA needs. This should cover internet connectivity, interoperability between agencies (health and civil registry), protocols for communications and for conforming to the governance and rules and expectations of digital information, availability of necessary hardware, installation and trouble-shooting of software, and the availability of IT personnel.

This is also related to the information flow for VA COD between health and civil registration. It implies a level of integration and collaboration between agencies and their information systems. It also implies a basic level of IT infrastructure to run software, power tablets, upload information, analyse and interpret.

Stage 3 Setting up the model

Step 3.1 Select the verbal autopsy instrument and diagnostic method

Selection of the verbal autopsy instrument should be based on a careful consideration of the operational aspects of each method (e.g. interview time, diagnostic accuracy, cause of death list, etc.) and the optimal characteristics identified in this document.

The choice is essentially between the WHO 2016 instrument (fully compatible with InterVA automated diagnostic method) and SmartVA (fully compatible with Tariff2.0). Countries will need to resolve how they wish to trade-off between criteria (e.g. of efficiencies associated with the retention of a specific method against the effectiveness of another).
Step 3.2 Decide on the data collection method

The collection of data on electronic tablets is the most cost-efficient approach. A decision to continue with a paper-based approach requires more time to be spent on data collection and entry. A decision to introduce electronic tablets, however, should consider the distribution of and support for IT services and the cost of hardware.

Both SmartVA and WHO 2016 are designed for use with electronic tablets. This provides other benefits such as ability to show pictures and use sounds to aid symptom recall. It may also facilitate the link between civil registration and VA.

In an ideal system, registration details of the deceased may be pre-populated into the VA form on the tablet by the civil registrar before being sent to the health facility to conduct a VA. This ensures a unique identifier is assigned and that the COD information from the VA can be linked to the death registration file of the deceased once it is sent back to the registrar.

Questionnaires from SmartVA and WHO 2016 can be replicated in paper form if necessary. This is not optimal but may be necessary in remote locations. Some believe paper format is more personal and acceptable to interviewees. However, data collection by tablets has been done in various locations and found to be feasible and acceptable. Degree of acceptability may be country-dependent. If using paper format, there needs to be an efficient way to transfer this data onto computer.

Step 3.3 Agree on output

The primary purpose of VAs is to provide a basis for estimating the patterns of CSMFs that are likely to prevail in a given population and therefore the use of VA in CRVS is useful for the purpose of providing better population metrics on cause of death for public health and population-level applications. One needs to be careful when using VA at an individual level and we are not advocating the use of VA to allocate individual CODs for legal reasons.

With respect to the aggregation of COD from hospital records and VA for the purposes of calculating population statistics, this is essential and achievable using appropriate modelling techniques. However, given the different methods for calculating the underlying cause of death, the means to identify where the information originated (i.e. in hospital record or through VA) needs to be retained. This is a technical issue and should be part of the quality assurance process.

The committee will need to make recommendations about how families will be informed about diagnosis. D4H recommends that if a family requests an individual diagnosis they be given an appointment with a health professional who can review the VA report and discuss its implications.

The committee will also need to make recommendations about the circumstances and methods (e.g. doctor does VA interview and then certifies death) under which COD data derived from VAs will be included in a formal death certificate, and about the status of COD derived from VA on a national vital events register.
Step 3.4 Consider the final model for verbal autopsies that the country will be working towards

We strongly recommend that the final model be based on the collection of VA either from all registered deaths that lack an assigned COD, or from a representative sample of those deaths. The linkage of VA to death registration will help to define and strengthen civil registration generally.

VAs complement other COD data and provide additional information to these other sources (e.g. medically certified COD). Therefore, the strategy for VA roll-out will need to be considered alongside interventions to improve other information on COD and on the links between health and civil registration.

Step 3.5 Establish a means of integrating verbal autopsies with civil registration

Following a consideration of all the above aspects of implementation of VA, a plan for integration of VAs in CRVS systems can be presented to the national stakeholder group for consideration and approval.

This relates to notification of deaths to a civil registry, to requests from the civil registry to field staff to collect a VA, and to the subsequent reporting of the results back to the civil registry (see the model of common processes). Process maps developed during the CRVS baseline evaluation will indicate the flexibility needed to accommodate the characteristics of the CRVS systems of a particular country and the possible entry points. The legal basis for these links will need to be established.

Step 3.6 Make recommendations about sampling

If a country does not have the capacity to collect VAs from all registered deaths without a medical certificate of COD, it will be necessary to design a method of sampling. This could either be a random sample of all such deaths within an administrative area or a sample of administrative areas. Administrative units might be provinces, districts or subdistricts. The level will be determined by health and civil registry structures, by supervisory systems, and/or by the levels at which data is reviewed, collated and transferred.

Sampling of administrative units might be necessary because of lack of sufficient national support to cover the country as a whole or perhaps as part of a phased introduction of VAs. A sampling frame for administrative units could be based on unit population and would most likely be treated as a cluster sample with selection proportional to size. An alternative would be to stratify administrative units by geographic area. Local sampling would be predetermined by an estimate of the total number of deaths that could be covered over a period of time (e.g. monthly). The simplest approach would be to treat this as a fraction of the total number of expected deaths either with random selection of deaths or by selection of every nth death. To be useful at a population level, there need to be sufficient deaths to be able to understand the distribution of COD.


However, we can expect operational and political considerations to affect plans for roll-out. Staged implementation may involve pragmatic decisions that do not provide representative sample in the early stages. These early stages will be used to clarify the scale of the roll-out with regard to the need and availability of resources (HR, financial, infrastructure inputs). Purposive sampling may be necessary (i.e. we start where there is demand or political acceptability), or we may start in areas where capacity is greatest (due to previous VA work).
Stage 4 involves preparation for testing of the chosen VAI, and culminates in a field test of VA procedures.

Stage 4 Testing

Step 4.1 Review manuals
Three manuals to accompany the introduction of VA into CRVS systems will be made available:

- general and technical manual covering technical aspects of data collection, editing, and transmission and automated diagnostic methods for cause of death analysis
- interviewer manual covering interview techniques and ethics and all the questions within the VA questionnaire
- manual for the training of interviewers.

Each of these will need to be reviewed to ensure that they are relevant to the circumstances of a particular country; they may also need to be translated.

Step 4.2 Translate the verbal autopsy instrument and or manuals into a local language, if required
Prepare a dictionary of local names and meaning for common signs, symptoms and diseases used in the VAI. Undertake cognitive testing. There are many issues associated with translation (especially those using non-Latin script) and sufficient time should be allocated for this purpose.

Step 4.3 Arrange for assistance to download the translated instrument onto tablets
It will be very important to establish mechanisms for field support and trouble-shooting in countries, irrespective of which VAI and diagnostic method they choose.

Step 4.4 Organise the training program
It is intended that staff who take part in the field testing will subsequently become trainers and supervisors (i.e. key staff in the implementation of VAs).

Step 4.5 Decide on the number of deaths for the field test
We suggest that the field test cover a minimum of 60 adult, 20 child and 20 neonate deaths. More deaths (e.g. 200 or 300) will provide more information on the applicability of the VA methods being considered. Procedures for the uploading of data onto a local computer for allocation of COD are covered in the technical manuals.

Step 4.6 Select a field site
Selection of a field site should take local circumstances, such as the presence of pre-existing mortality surveillance, into account. The site should be large enough to collect sufficient numbers of deaths and there should be good access to households. There will need to be a mechanism for identifying deaths. This is likely to involve household surveillance.
Step 4.7 Ensure quality assurance
Supervisors and trainers should observe interviews and debrief interviewers. This should be included in the initial training; the task could be rotated among trainees for practice. CSMFs should be reviewed for plausibility.

Step 4.8 Design and evaluate a field test of the verbal autopsy procedures and make recommendations for implementation
The aims of this evaluation should be to identify problem questions, revise translation as necessary, modify training and training materials including instructions for uploading, evaluate adequacy of external support for trouble shooting, and to estimate the average person hours necessary for completion of a VA including uploading of VA interview data by staff category. These results should be formally evaluated by the VA technical working group.

Step 4.9 Field test the verbal autopsy instrument
There needs to be careful timetabling of this phase. The accuracy of VA depends heavily on the quality of the interview. The success of the subsequent roll-out will depend on how well the field testing is done. In countries where instruments have already been tested, the Working Group should consider moving directly to Phase 1 Implementation.

Stage 5 Implementing verbal autopsies in a limited number of areas (Phase 1)

Step 5.1 Plan Phase 1 implementation
The working group should review the results of the field test of the instrument and the implications for resourcing, and should provide guidance in developing and implementing Phase 1. It should set a clear timetable for the completion of implementation, typically 3 months or so.

This plan should also be considered alongside plans to improve COD data through hospitals since there may be synergies or efficiencies for some activities.

Step 5.2 Select sites
The National Mortality Working Group should, if possible, select a minimum of two sites for implementation. Implementation may be phased between the two sites. This will necessitate obtaining local support and establishing local management. The selection of sites may be determined by demand, capacity or existing activities for VA. Health service staff should be fully informed about activities in their area and involved in the design of the implementation.

Step 5.3 Decide the target number of deaths
The National Mortality Working Group should establish indicative targets for the number of deaths that need to be collected as a basis for achieving the aims of the exercise as outlined above. The actual numbers of deaths collected will be dependent on mortality rates and the population size of catchment sites, as well as on the efficiency of procedures for notifying and registering deaths, and on staff and financial capacity, but should be of the order of 1000–1200 deaths for this phase. Staff capacity relates to the level of worker who will be collecting VAs, the average number of deaths to be collected by each worker over a set time period, and on their capacity to add VA collection to their existing workload. It also relates to the availability of supervisors. Financial capacity relates, in particular, to travel costs.
There will also be the initial costs of purchasing electronic tablets or IT infrastructure improvements.

**Step 5.4 Review and revise the manual of procedures for field sites**

Manuals will need to include standard operating procedures (SOPs) for linkage of VAs to the notification and registration of deaths, planning of home visits, quality control through observation of interviews and review of output, regular reporting, staff management, as well as SOPs for quality control for data management, including uploading data, storage, transmission, analysis, output, and reporting. Mechanisms for field support and trouble-shooting should be included.

**Step 5.5 Implement program**

The Phase 1 program can then be implemented.

**Step 5.6 Evaluate**

Once targets have been reached, the Phase 1 implementation should be fully reviewed. The results of Phase 1 implementation will determine how the national roll-out will proceed. Clear indicators are needed to evaluate different aspects of the process and of the data arising from the implementation. Guidance for conducting this evaluation is available on request, but will also be available online towards the end of 2017.

**Step 5.7 Make recommendations for national roll-out**

One the implementation has been reviewed, a report should be made to the working group and the stakeholders about requirements for resources and the feasibility and extent of a national roll-out. The working group should also decide whether its own membership is sufficient for the implementation of a national program and report to the National Stakeholder Group.

**Stage 6 Implementing a national plan for verbal autopsies (Phase 2)**

**Step 6.1 Design scale-up**

Based on the review of Phase 1 and any recommendations that have been made, an incremental scale-up will need to be designed with inbuilt monitoring and evaluation.

Plans to provide ongoing technical or trouble-shooting support to countries will need to be established and resourced. This will involve close collaboration between the members of WG7 and the country TAG leads.

**Step 6.2 Implement nationally**

A fully functioning program can then be implemented.
Training materials and support systems

To ensure that verbal autopsies (VAs) are as complete and useful as possible, it is important that staff are well trained in their collection.

Training materials

Currently available teaching materials have been based on SmartVA. Manuals for use with WHO 2016 and InterVA are currently in development.

The following list of training materials to support roll-out of VA into CRVS systems are currently available, or in preparation (in English):

- SmartVA technical user’s manual
- SmartVA interviewer manual
- SmartVA facilitators manual
- Electronic version of SmartVA instrument and media file (English)
- Paper version of SmartVA shortened questionnaire (English)
- PowerPoint slides on tablets and use of parts of tablets
- PowerPoint Slides on troubleshooting for tablet
- PowerPoint Slides on how to download and install open data kit (ODK) software, XML instrument and media file onto tablet (step-by-step process)
- PowerPoint slides on training of trainer skills
- PowerPoint slides to support training of trainer VA schedules including interview techniques, ethics, how to operate tablets, saving and editing data, and transfer of data
- Assistance to countries in interpretation of outputs and the most useful ways of resolving indeterminate outputs.

Similar materials are currently under development for WHO 2016.

Bloomberg D4H will support, in collaboration with local authorities, the translation of these materials into local languages, as required and where translation is essential to support national VA implementation.
Technical support
It will be necessary to determine which of the following activities a country will be able to manage from its own resources and which will require external support:

- purchase of tablets
- preparation of VA questionnaire (local language) in Excel sheet (using mapping provided for SmartVA and WHO 2016 instruments)
- conversion of local-language VA questionnaire Excel sheet into an electronic questionnaire form; this may involve change of script
- download and installation of ODK software onto tablets
- download and installation of VA electronic questionnaire onto tablets
- download and installation of VA media files onto tablets
- development of processes for data transferring and uploading from tablet to central server
- develop communication between health facilities and civil registries
- training for IT personnel to support VA.

Ongoing support
The focus of this document has been on the initial phases in the introduction of VAs into CRVS systems. The next phase will be the roll-out of national programs. In the next phase, more attention will need to be paid to scale-up and sustainability issues including the availability of technical and implementation expertise in-country or in the region. We will need to think in terms of establishing a community of best practice. In this next phase countries might consider collaborative planning with regional CRVS partners such as the Asian Development Bank (ABD), United Nations Economic Commission for Africa (UNECA), United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP), United Nations Children’s Fund (UNICEF), World Health Organization and the World Bank. They should be informed of national plans to incorporate automated VA into CRVS systems and encouraged to participate in collaborative activity in building local and regional capacity.
Bibliography


The program partners on this initiative include: The University of Melbourne, Australia; CDC Foundation, USA; Vital Strategies, USA; Johns Hopkins Bloomberg School of Public Health, USA; World Health Organization, Switzerland.

Civil Registration and Vital Statistics partners:

For more information, contact:
E: CRVS-info@unimelb.edu.au
W: mspgh.unimelb.edu.au/dataforhealth