ASSESSMENT TOOL

Draft

OUTLINE

SECTION A

REGISTRATION OF VITAL EVENTS			
		QUESTION/ISSUES **Please note that unless otherwise stated, each of the issues should be reviewed against the four vital events i.e. births, deaths, marriages and divorces**	**Proposed method of investigation**
A	**Policy and Legislative Environment for Civil Registration**		
	A1.	**Policy Environment for registration of vital events**	
		National and international movements on civil and human rights, national security and other considerations, have resulted in various policy documents, (for example, national constitution, Child Policy, Citizens Charter, regional and international conventions…) with references to registration of vital events. Besides a country's Civil Registration (CR) law, the registration of vital events is often provided for in other policy documents adopted/ratified by countries at national, regional or international levels. The questions will assess the availability and content of these and related documents in the country. <u>A YES/NO response requires further assessment focusing on the relevant statements and the specific provisions in the statements.</u> The extent to which these provisions are being complied with should also be determined and the implications for the state of CRVS should be considered. While responding to these questions, it is important to provide information for each vital event	
		A1.1	Does the constitution/charter of the country have provisions for the registration of vital events?	Desk review and interviews with functionaries
		A1.2	Which policy instruments (e.g. Child Policy, Citizens Charter…) have provisions related to vital events and their registration?	
		A1.3	Investigate whether the country has adopted any regional/ international conventions pertaining to registration of vital events? Specify for each event	

A2.			Legislation on registration of vital events	
			(i) Availability of legislation	
			The operations of every government institution are generally governed by a specific set of legislations (includes Acts, laws, rules, regulations, directives, orders, notifications and related documents). As a result, there may be several legislations in which the provisions for the registration of vital events (birth, death, marriage and divorce, and any others that a country may be registering) are reflected. The aim is to have a comprehensive legal framework, possibly a single reference to guide civil registration operations. Where there are several laws, each instrument may cover both the registration (legal act) and the statistics (output). Yet, depending on country context, civil registration laws on different vital events could be consolidated in one legal text. The legal texts could also appear as acts, regulations or government notice/guidelines. This section will assess the different contexts in which the law(s) exist. The search for these legislative provisions should be directed to each specific event. It is possible that some legal context may also be contained in legal documents governing institutions that are not responsible for registering the events per se, but have mandates dealing with the events, such as the health sector being responsible for managing births and deaths. Every effort should be made to review the provisions in allied legislations that could influence some of the actions in the civil registration operations. It would be useful to compile and present all the information about each of the legislations, if there are several legal documents that have to be consulted and referenced. <u>A YES/NO response requires further assessment focusing on the relevant statements and the specific provisions in the statements.</u>	
		A2.1	Investigate whether the country has any law for registration of vital events.	Desk review
		A2.2	What are the laws for registration of the following vital events (a) birth, (b) death, (c) marriage, (d) divorce, and (e) other vital events?	
		A2.3	When were these laws first enacted?	
		A2.4	When were these laws last amended?	
			(ii) Scope and definitions	
			CR laws are expected to provide definitions of relevant terms and concepts, including of vital events. The laws should define the scope of law with respect to population and territory of a country, and also incorporate provisions for the	

			collection and transmission of vital statistics records. The assessment should review the legal provisions on scope and definition and the content of the law compared with the international standards. <u>The review should go beyond YES/NO responses to reviewing the content as relates to the items identified</u>. It should also provide some indication of the relevance of what is included, and the implication of what has not been included. There are various circumstances under which marriages and divorces take place. It is necessary to document the different ways in which the law addresses these differences.	
		A2.5	Do the registration laws give definitions on vital events: - Live birth - Death - Marriage - Divorce - Foetal death or stillbirth?	Desk review
		A2.6	Are these definitions aligned with the international standards?	
		A2.7	Do the laws on marriage and divorce cover various kinds of marriages and divorces?	
			Law preamble	Desk review
		A2.8	What are the objectives and rationale set out in the preambles or explanatory notes of the laws, if available?	
			Rights and obligations	Desk review
		A2.9	Do the laws clearly state that the registration of each vital event is compulsory?	
		A2.10	Are provisions for compulsoriness in registration of vital events linked to any incentive mechanisms? For example, are there social programmes for which a birth (or other registration) certificate is required from beneficiaries?	
		A2.11	How do the provisions on compulsoriness compare with international standards?	
		A2.12	Do the laws envisage and address potential challenges from compliance by the	

			population or the registering institutions?	
			Coverage	Desk review
		A2.13	Is the population covered by civil registration laws clearly defined? For instance all the population living within the boundaries of the country?	
		A2.14	Do the laws explicitly exclude segments of the population (i.e., nomadic/pastoralist, homeless, refugees, citizens outside the country, military personnel, internally displaced persons, asylum seekers ...)?	
		A2.15	Is registration of events occurring to the above named population groups sufficiently addressed in the existent legal framework?	
			Statistical Provisions in CR law	Desk review
		A2.16	Do the civil registration laws have provisions for collection and transmission of vital records for statistical purposes?	
		A2.17	What are the specific legal provisions in the various legislations regarding the use of civil registration process for producing statistics on vital events? How comprehensive are they?	
		A2.18	Do the laws on death registration provide for recording of causes of death? Also review whether the laws cover the recording of deaths occurring outside health institutions	
			iii) Management, coordination and linkages	
			Civil registration systems need to address various multi-sectoral information and data demands and services. Hence, CR laws should provide mechanisms for linking those key stakeholders whose operations have direct effect on the registration process. It should also have specific guidance on coordination among stakeholder institutions at various levels of CR operations.	
		A2.19	Do CR laws have provisions linking or interfacing with the National statistical system, Identity systems, passport issuing, civil status, population register, or similar systems?	Desk review
		A2.20	Do the respective laws of these other systems have provisions for linking or	

				interfacing with CR system?	
			A2.21	What other system are in operation that could have such interface (but which has not been envisaged in either sets of legislation)?	
			A2.22	Do the CR laws have provision linking/ interfacing with health system/service?	
			A2.23	Do the laws specify the coordination mechanism among these stakeholder agencies, at their various levels of operation?	
				iv) Institutional responsibility and structure	
				CR operations are often undertaken by more than one entity in the country. It is necessary that the CR law define the institutions primarily responsible for the registration of each event at all functional levels and their responsibilities. The law should also define mechanisms for coordination among the entities (if more than one), and responsibilities of all functionaries. The civil registration law should also define the minimum infrastructural requirements in setting up a CR service points. Provisions within the laws should take into consideration various population settings such as those in the rural, urban, marginal areas and those living in special arrangements such as IDPs/Refugees. <u>A YES/NO response requires further assessment focusing on the relevant statements and the specific provisions in the statements.</u>	
			A2.24	Do the laws define (a) the entities responsible for civil registration: i.e., the ministries, national, sub-national offices and local offices /service points, and (b) their functionaries i.e. registrars, deputies,	Desk review
			A2.25	Do the laws clearly delineate the functions, duties and responsibilities of each of the above entities and functionaries?	
			A2.26	Do the laws specify the coordination mechanism among the responsible institutions at different administrative levels?	
			A2.27	Do the laws provide for engagement of various key stakeholders (e.g. Health, education, national ID…) in support of civil registration operation? How is this to be achieved?	

				Desk review
		v) Registration offices/service facilities and logistics		
	A2.28	Do the laws specify the minimum requirements of office space, furniture, supplies in a local registration office (including files, folders, copy of acts, copy of registrar's manual, stationeries, registration forms, furniture, including shelves, chairs, tables, …), and for service points?		
	A2.29	How do these provisions compare with the international standards?		
	A2.30	Are there provisions governing the use of mobile registration facilities in the legal instruments?		
		vi) Registration personnel		
		Proper performance in various civil registration operations heavily depends on the capacity of staff deployed to undertake various duties and responsibilities. As such it is critical that the law defines a minimum level of qualification that each of these personnel should have at various functional levels corresponding to the assigned duties and responsibilities. It is important that the law also defines procedures of dealing with cases of mis-conduct and incompetence among staff. Responsibilities for reporting and registering the occurrence of vital events vary by the type of event, place of occurrence and the varying circumstances of the occurrence. Accordingly, the law should define the informants and notifiers for each event taking into consideration various setups.		
		Registration staff and administration		Desk review
	A2.31	Do the laws specify how civil registrars are to be appointed at various levels?		
	A2.32	Are there specifications on the type, qualification and number of staff required for registration operations for different events and at the different operational levels?		
	A2.33	Do the laws have provisions for the recruitment of other staff?		
	A2.34	Do the laws stipulate disciplinary measures/ sanctions for breach of trust and confidentiality?		
	A2.35	Are there any other provisions in the laws regarding management of staff		

				performance?	
				Responsibilities of informants and notifiers	Desk review
			A2.36	Do the laws clearly define for each vital event the (i) informants and (ii) notifiers?	
			A2.37	Do the laws identify (i) informants and (ii) notifiers for diverse circumstances of occurrence of births and deaths (at home, in health facilities, other institutions…)?	
			A2.38	Do the laws define the roles and responsibilities of (i) informants and (ii) notifiers?	
			A2.39	Do the laws identify (i) informants and (ii) notifiers for different circumstances of marriage and divorce?	
			A2.40	Do the laws define responsibilities of the various categories of (i) informants and (ii) notifiers, such as individuals, households, health facilities, religious, community and cultural/ traditional leaders, etc.?	
				vii) Registration forms and materials	
				To enhance the usability of information collected it is recommended that the layout, design and content of vital event registration forms used by a country be aligned to international standards. This ensures that all vital information is collected. The layout of the form should be uncluttered, allowing for legibility, correction of errors, and covering of all data elements. The CR laws should specify such requirements. There are specific features that limit fraud in the registration and certification processes, such as security requirements (such as special quality paper, unique identifier for each registered event), which the law should outline to ensure the integrity of the process.	
				Type and content of registration documents	Desk review
			A2.41	Do the laws specify: (a) type of registration forms, including arrangement of legal and VS records (one or separate records); (b) the instruments of registration (forms, register, certificates etc…); (c) type of forms and the	

			specimen / the content of the forms; (d) content of the registers and form of the registers; (e) content and form of the certificates; and (f) content and form of vital statistics records.	
		A2.42	The provisions of the laws should be checked against the international standards. What is the degree of compliance? What are the variations and the explanations for them?	
			Quality related requirements for registration document	Desk review
		A2.43	Do the laws have provisions that take care of the physical quality of registration instruments?	
		A2.44	Do the laws have any provisions on anti-fraud measures?	
		A2.45	Do the laws have provisions that address the safety of registration instruments?	
		A2.46	Do the laws have provisions that take care of the safety and preservation of registration instruments while in storage to protect them from attack by insects and rodents?	
			viii) Registration procedures and processes	
		A2.47	The CR law should specify key registration processes and procedures to be followed by both the public and the service providers in the vital event registration process. The procedures should extend to key processes involved in the production of vital statistics. Since events such as births and deaths are likely to occur outside a health facility the law may stipulate the types of documentation that would be accepted as proof of the event having taken place (such as baptism certificate, eye witness, administrative or related…). The lack of access to registration services is one of the main obstacles that constrain the public from registering vital events. CR laws should make deliberate provisions to ensure adequate accessibility of civil registration services to the population.	
			Place of registration	Desk review
		A2.48	Do the laws state where the vital events should be registered (e.g., place of occurrence or place of usual residence?)	

		A2.49	Do the laws require that each individual be assigned a Personal Identification Number (PIN) at birth registration and is this PIN used throughout the government's administrative databases?	
		A2.50	If a PIN is not given, how are records from various data systems linked, and how is the civil registration database updated?	
			Timing of event registration	Desk review
		A2.51	Do the laws state the time within which events should be registered?	
		A2.52	If yes, how long is the reporting period for each type of event?	
		A2.53	Do the laws make provision for late registration? If so what is the reporting period for late registration?	
		A2.54	Do the laws make provision for delayed registration? If so, what is the time period after which the registration is said to be delayed?	
		A2.55	Are there clear procedures for dealing with late and delayed registrations?	
		A2.56	Do the laws clearly define the process by which the (i) informant and (ii) the notifiers are to report events to the registrar?	
		A2.57	Do the laws specify the official document(s) needed before a burial or cremation can take place?	
			Safeguarding security and safety of registration documents	Desk review
		A2.58	Do the laws include confidentiality measures to protect individuals?	
		A2.59	Do the laws include requirements for archiving and storage requirements	
		A2.60	Do the laws have provisions, safeguarding the security and safety of the records?	
			Service delivery	Desk review
		A2.61	Do the laws stipulate time frames with specific services to be provided (e.g.: delivery of certificate)?	
		A2.62	Does the birth registration law provide for registration of birth without a name?	
		A2.63	Do the laws provide for insertion of a name within a specified time period?	
		A2.64	Do the laws have provision for the procedures to follow in case of a name	

			change?	
			Accessibility to registration services	
		A2.65	Are there legal provisions that define accessibility in terms of distance, time, days and service hours?	
		A2.66	Do the laws make explicit provisions for registering events for special population groups?	
		A2.67	Do the laws have arrangements for registering events under special circumstances (covering refugees, nomads, major accidents, military operations, natural calamities…)?	
		A2.68	Are there special provisions in the laws to register events occurring to citizens living abroad?	
			ix) Corrections and amendments	
			Civil registration records are prone to entry errors. Such errors may be introduced by the registrar while recording an event or by a client's misreporting. Flexibility in amending registers and records poses risks of fraudulence. It is important that the law defines circumstances under which such amendments can be made, the procedures for amendment including who should make the amendments.	
		A2.69	Do the laws specify under which circumstances amendments can be carried out on the registration records?	
		A2.70	What are the stipulated procedures in the laws for amendments? Do the laws provide for issuance of fresh certificate based on amended records?	
		A2.71	Do the laws have provision for correcting unintended errors and clerical mistakes of registration records?	
		A2.72	What are the stipulated procedures in correcting such errors? Do the laws provide for issuance of fresh certificate based on corrected records?	
			x) Fees and Penalties for registration	
			Registration of vital events should be free; hence, the cost of registration needs	

			to be funded by government budgetary allocations. This should be stated in law. The practice in most countries however varies from this standard (requiring citizens to make payment for this service). By stipulating penalties for non-registration, the law supports compulsoriness in registration of events. This incentive however should be not too high as to constitute a barrier to late/ delayed registration as well as not too low to failing to compel the public to register their events in time	
			Payments for registration service	Desk review
		A2.73	Do the laws stipulate that registration should be free of charge for each event?	
		A2.74	If registration is not free, what is the stipulated fee for registration of these events?	
		A2.75	Do the laws stipulate that certification should be free of charge for each event?	
		A2.76	If not free, what is stipulated fee for certification of the events?	
		A2.77	Do the laws make provision for other services and their payments (duplicate copies, conduct marriage ceremony, extract of information etc.	
			Penalties for non-compliance	Desk review
		A2.78	How do provisions on payment compare with the international standards	
		A2.79	Is there a penalty for non-registration of vital events?	
		A2.80	If yes what is the stipulated penalty?	
		A2.81	How do provisions on payment compare with the international standards	
			xi) *Advocacy*	
			Advocacy for vital event registration is crucial to improving both demand and supply of civil registration services and the use of vital statistics derived from civil registration. The CR law should make provisions for regular advocacy with the public and key stakeholders including politicians and other policy makers	
			Do the laws have provisions on advocacy and communication?	Desk review
			What are the details, circumstances, periodicity, institutional responsibility, etc.	
			xii) Monitoring and evaluation	Desk review

			Similar to other systems, regular monitoring and evaluation of CR operations provides the means for identifying areas of increased attention for improvement as well as assessing the relevance of the strategies in place. The CR law should specify the need for routine monitoring and evaluation of CR operations	
		A2.82	Do the laws stipulate provisions for monitoring and evaluation of the different operations and processes of the registration system?	
		A2.83	What are the main elements for the monitoring and evaluation? For which events and at which levels of operation is monitoring/evaluation to be conducted?	
			xiii) Funding arrangements	Desk review
			The continuity of CR operations requires a regular and appropriate annual budget allocation. The CR law should identify the source of funding for CR operations including funds for collecting and transmitting vital statistics records from CR. The range of sources may include government, development partners, private sector, and internally generated funds (from certification and provision of other services).	
		A2.84	Do the laws establish how the civil registration systems are to be funded?	
		A2.85	What sources of funding do the laws permit in the portfolio of sources? Under what conditions can the internally generated funds be used?	
			xiv) Information sharing and transmission	Desk review
			Civil registration data and information should be made available for users. Given the sensitivity of CR records, mechanisms for transmission and sharing of CR data and information including means for ensuring confidentiality should be provided within the CR law. The CR law should define modalities for sharing CR data and records for various categories of users. The law should clearly provide to whom the information can be shared, the terms of sharing of CR information, and requirements that must be fulfilled by parties requiring the information. Confidentiality measures in the sharing of records and information	

			should also be clearly spelt out.	
		A2.86	Do the laws stipulate provisions on transmission of registration documents?	
		A2.87	Do the laws on death registration provide for the transmission of cause of death record for statistical purposes?	
		A2.88	Do the laws make provision for sharing registration evidences and information with the public and other relevant institutions?	
		A2.89	Do the laws stipulate the type of information that can be made available to the public (including institutions)? What are the conditions governing the release of data from registration records, i.e., how, when and by whom information/ evidences should be released/ provided	
		A2.90	What are the procedures for delivering registration evidences/records to beneficiaries (including timeliness, efficiency and other requirements)?	
			xv) Computerization	Desk review
			Computerization helps to promote timeliness of different CR&VS processes, including records and data transmission, production and management; it also facilitates the verification, validation and sharing of vital statistics data. The CR law should define modalities for computerization and the application of other IT solutions in registration processes including measures to ensure security and confidentiality of registration records and documents.	
		A2.91	Do the laws make provisions for IT solutions in different registration operations and processes (e.g., registration, certification, archiving, information sharing…)?	
		A2.92	Do the laws make provisions for the application of electronic signatures and related IT applications?	
		A2.93	Do the laws make specific provision for safeguarding the security and confidentiality in IT environment?	
		A2.94	Whether law provides provisions in the application of IT solutions (for instance, in registering records, archiving, etc.)?	

			Management and Operations of Civil Registration	Proposed method of investigation
			QUESTIONS/ISSUES **Please note that unless otherwise stated, each of the issues should be reviewed against the four vital events i.e. births, deaths, marriages and divorces**	
A3	**Organisation and Planning**			
			i) Organisational structure and linkages	
			The structure and organisation of a country's CR system has a significant impact on the performance of the system as a whole. A country should review its organisational structure to ensure that it does not in any way impede CR operations. Organisational linkages with other entities involved in registration operations/ users of CR products should also be critically studied and proposals for improvement made.	
		A3.1	Draw a diagram showing the organizational structure and linkages at various levels for each event.	Desk review, interviews, discussions, field visits
			Structure and accessibility	Desk review, interviews, field visits
		A3.2	Study the organization structure, accessibility, and linkages for identifying potential bottlenecks (by urban and rural).	
		A3.3	Is the organizational structure suitable for registration operations	
		A3.4	Analyse information on the number and spread of civil registration service points. Review the average population covered	
			Linkage/interface with other systems	
		A3.5	Propose a revised structure and the interlinkages based on the review exercise and study.	

		A3.6	What are the laid down arrangements/ procedures (if any) for linking civil registration system to other systems at operational level, (i) vital statistics (ii) health systems, (iii) national ID systems, (iv) electoral systems, iv) passport systems, (iv) insurance systems and others.	
		A3.7	Specify the nature of the linkages/ interface and review the functionality of each of the systems pertaining to each event for effectiveness and efficiency.	
		A3.8	Identify measures to improve effectiveness or functionalities of the existing linkages and suggest how other linkages can be established.	
ii) Planning				
			AllCR operations within a country should be structured into a holistic national plan. A national CR plan ensures that all interventions are steered in a program rather than a project basis and can therefore be sustained. A national CR plan should cover all vital events. Funding for CR should be directed towards implementation of a common national plan.	
		A3.9	Has the country developed a CRVS strategic plan (3-5 years-medium) or (more than 5 years-long term) that include:	Desk review, field visits, interviews
		A3.10	(i) Both the components of CR and VS and covering all the events?	
		A3.11	(ii) Only CR components with all the events or part of the events?	
		A3.12	(iii) Is it a stand-alone plan or part of the parent ministry?	
		A3.13	(iv) Is the plan funded?	
		A3.14	(v) Is there an institutional mechanism for the implementation of the plan? To what extent has this been reflected in the organisational structure?	
		A3.15	How effectively are the CR management or organizational arrangements operating at different levels?	
		A3.16	Is there a monitoring and evaluation framework for the plan?	
		A3.17	To what extent has the plan been implemented? What areas were successfully implemented and which areas are lagging behind schedule?	

		iii) Coordination		
			CR operations are multi-sectoral by nature. Often, more than one entity is engaged in the registration of the vital events. The producers and users of vital statistics from CR are also diverse. It is therefore important that a mechanism for coordination between key CR stakeholders is established and made operational.	
		A3.18	Use the organizational structure diagram to plot the coordination mechanism at various levels.	Desk review/ field visits/ interviews
		A3.19	Review the suitability of the coordination mechanisms.	
		A3.20	Ascertain the functioning of the coordination mechanism (on the basis of terms of reference, guidelines etc.)	
		A3.21	Propose suitable coordination mechanisms and their functions.	
		A3.22	Study the system related to all management systems.	
		A3.23	Is there a committee in place for coordinating activities with respect to CRVS? Is there a mechanism for:	
		A3.24	(i) A high level coordination for (policy and programme)	
		A3.25	(ii) Day to day administrative and operational coordination	
		A3.26	(iii) Technical coordination	
		A3.27	(iv) Supervision	
		iv) User-producer consultations		
			Civil registration products and services should meet the user needs. Mechanisms for communication that facilitate regular consultations between the two parties should be developed. Consultations should also lead to necessary adjustments made to meet the user's needs.	
		A3.28	Is there a mechanism in place for consultation of users and producers of CR evidences and information? If yes, when was the last time this consultation took place? Analyse the process and outcome of the last consultation.	
		A3.29	If yes at what stage of the registration operation are the consultations conducted?	

	A3.30	To what extent have the recommendations been implemented?	
	A3.31	What avenues are used to solicit feedback from users about the quality of services and relevance of the products?	
	A3.32	In what ways, if any, have these consultations been used to improve the system?	
A4		**Resources for the civil registration system**	
		The assessment should review the availability and adequacy of resources required to run civil registration operations (human resources, budget, registration infrastructure…), at various levels of operation, identify possible gaps that may be constraining service delivery and propose avenues for improvement. The assessment should review the adequacy of the existent human resource for CR at various levels of operation, the capacity of the staff and other factors that may be influencing staff performance. The CR plan should entail a plan for capacity building and regular training of CR staff. The CR operation requires an appropriate annual budget allocation at national and sub-national levels. The civil registration budget should include all annual costs such as costs of salaries, training etc. and include costs for the operations of the vital statistics system. The assessment should review the adequacy of the CR budget allocation, ensure that all essential components are covered within the budget, and propose mechanisms for better resource allocation, utilization resource mobilisation. The assessment should review the design, structure and content of registration forms and materials and their suitability in the collection of the data. The structure of the forms should be compared against international standards. The review should also cover the adequacy of supply of these materials at various CR operational levels.	
		(i) Registration Infrastructure	
	A4.1	Is there a laid down country norm for physical infrastructure to be provided for a local registration office (office space including client waiting area, furniture including storage furniture, equipment including computers, and registration equipment…)?	
	A4.2	Examine adequacy of the norm, actual availability, quality and functionality.	
	A4.3	Determine gaps and recommend improvements in terms of adequacy,	

			availability, quality and functionality?	
			(ii)Human resource for civil registration	
		A4.4	Draw the organograms of the national civil registration system (show national and sub-national levels).	
		A4.5	Indicate the number of personnel in the above organograms both the required and the actual	
		A4.6	Analyse the adequacy of the structure and distribution of the available human resources	
		A4.7	Do registration operations engage other personnel (from institutions not directly responsible for registration i.e. community level organizations and volunteers etc.) as informants, notifiers?	
		A4.8	Assess the extent of engagement, adequacy and distribution at different levels.	
		A4.9	Is there a personnel management scheme defining the positions, functions, responsibilities, means of progression for CR system operations…..?	
		A4.10	Examine the personnel management scheme against the actual practice	
		A4.11	Examine the conditions of service including salaries, benefits, work environment etc.	
		A4.12	Assess the factors affecting staff performance and delivery of service	
		A4.13	Assess the level of retention and attrition of staff and issues related to attracting personnel at all operational levels.	
		A4.14	Analyse the existing human resource educational profile against the required at all levels.	
		A4.15	Is there a structured training scheme for various functional and operational levels including other personnel?	
		A4.16	Examine the training scheme with respect to relevance, application, etc.	
		A4.17	Recommend measures for addressing weaknesses and gaps.	
			iii) Budget and Finance	
		A4.18	What is the process followed in budgeting for civil registration operations?	Desk review and

				survey
	A4.19	Can the budget be separately identified for national and sub-national levels and by expenditure items?		
	A4.20	Examine the budget components for different civil registration operations at all levels, (training, printing, advocacy, expenses for day to day operations, office equipment, stationeries, etc.)		
	A4.21	Analyse the adequacy of the funding with respect to resource requirements, the approved budget, allocation and expenditure.		
	A4.22	What other sources of funding are available for civil registration operations?		
	A4.23	Are the funds from other sources directed to activities already programmed (i.e. annual, medium or long term plans) or pilots, registration campaigns?		
	A4.24	Propose mechanisms for harmonizing resources from different sources in support of an improvement plan.		
	A4.25	Propose mechanisms for raising resources, allocation, efficient utilisation and expenditure tracking and monitoring.		
		iv) Registration forms and materials		
		The assessment should review the design, structure and content of registration forms and materials and their suitability in the collection of the data. The structure of the forms should be compared against international standards. The review should also cover the adequacy of supply of these materials at various CR operational levels.		
		a)Supply of registration materials and stationery		Desk review, field visits, interviews & observation
	A4.26	What are the various kinds of registration materials (registration forms, certificates, manuals, guidelines, copy of laws and regulations…), required for the registration process? List		

		A4.27	Review the printing and supply schedule of registration materials at different levels	
		A4.28	Are there laid down quality norms for registration materials?	
		A4.29	Assess the availability and adequacy of supply of registration materials at all levels	
		A4.30	Determine gaps and recommend improvements in terms of adequacy, availability, and quality	
		A4.31	Assess the availability and adequacy of stationery and materials at all levels	
			b) Design and content of registration forms and certificates	Desk review, field visits, interviews and observation, analysis of sampled forms
		A4.32	Review the design of the forms with respect to the following aspects: (i) separate/combined legal and statistical form, (ii) mode of generating copies (photocopies, carbon copies, separate statistical forms for transmission, use of perforation, re-writing of the forms (iii) pre-bound register or loose leaf register, long certificate and short certificate (iv) amenability to archiving and statistical processing (v) language	
		A4.33	What are the security features built into the registration forms for authenticity especially certificates e.g. indexing, serialization, watermark and other features.	
		A4.34	Review the content of each form against the internationally recommended items of information (legal and statistical).	
		A4.35	Explain any variations from international recommendations.	
		A4.36	Assess the completeness of the forms and certificates and determine systematic gaps and errors and the associated challenges.	
		A4.37	What is the burden of response (how long does it take to fill the forms, is it user	

			friendly?	
		A4.38	Recommend adjustments in design and content	
A5			**Registration Operation - Processes and Practices**	
			There are several legal provisions to guide and provide the foundation for registering and issuing certificates, a legal document to the individuals who have experienced an event or their representative. The purpose of this component of the assessment is to determine how the system is running, identify areas of progress and derive some lessons that can be used to improve the system. The assessment should also examine bottlenecks in the registration process (taking into consideration both the supply and demand sides of the registration service delivery system). The CR organisational structure should embed a supervisory mechanism at various operational levels. This section should assess the existence and performance of the supervisory mechanisms and recommend areas for improvement. Social and cultural practices of communities and societies affect vital event registration practices among populations in a variety of ways. The assessment should therefore also review the existence of such practices for each vital event and their possible effect on the registration. Strategies to counter effect of such practices on registration should be proposed. From the challenges some actions should be identified that can help improve the current system.	
			(i) Registration procedures	Desk review, field visits, interviews and actual observation, photography
		A5.1	Use the organizational structure diagram to map out service provision at different levels (registration, certification…)	
		A5.2	Develop schematic representation of registration services (documents required, payment of fees, forms to be completed, late and delayed registration, corrections and amendments, issuance of certificates and other	

			services) for each event by its place of occurrence	
		A5.3	Assess the quality and timeliness of service, for current, late and delayed registration, corrections and amendments and client relations in different types of service points for all events	
		A5.4	Review any recent or current pilots, on experiments, and innovations on service provision	
		A5.5	Is there a special arrangement for registration of events for specific population groups such as refugees, IDPs, nomads and other remote populations?	
		A5.6	Assess the extent of registration coverage of these special populations.	
		A5.7	Propose suitable measures for improving registration services for all populations.	
			(ii) Completeness of the forms	
		A5.8	Review all the forms used for registering and certifying births, deaths, marriages and divorces and answer the following questions for each set of forms:	Observation, interview
		A5.9	(i) How long does it take, on average, to fill out each set of forms?	
		A5.10	(ii) Is the layout of the forms user-friendly? Explain why or why not.	
		A5.11	(iii) Is the form available in each of the main national languages?	
		A5.12	(iv) Which items come from the "declarant" and which are transcribed from other documents; for example, is the cause of death transcribed from the death certification form?	
			(iii) Cultural and social factors	
			a) Naming practices	
		A5.13	When and how is the child named?	
		A5.14	Who makes the decision how the child is named?	
		A5.15	Can the name change later when the child was named at birth?	

		A5.16	What are the belief and cultural systems surrounding the naming of children? Are there communities, which do not name the child when they believe that child is not going to survive? How are these practices likely to or actually affecting registration?	
			b) Choice of services delivery	
		A5.17	Are there specific groups, which do not utilize institutional services?	
		A5.18	Who takes the decision?	
		A5.19	What Is the prevalence/ extent of children born out of wedlock, including to adolescent mothers?	
			c) Births -Acceptance of paternity – societal behavior and individual behavior	
		A5.20	What are the societal norms and/or inheritance laws that influence the acceptance of children by those deemed to be their fathers? Review with reference to the procedures of registration	
			d) Formal and informal societal practice for adopted children	Desk review, field visits, interviews,
		A5.21	Do adoptive parents want their names to be inserted in the birth certificate? Review in the context of birth registration, including the legal and operational procedures	
		A5.22	Do they want to have new names for such children?	
		A5.23	How do orphanages register the children and support the process of registration upon adoption?	
			e) Deaths	
		A5.24	Who carries out the burial rituals? Is it family, faith leader, village chief? Review in the context of death registration, including the legal and operational procedures	
		A5.25	Review time between death and burial and its influence on registration of death	

		A5.26	Places of burial? Review in the context of death registration	
		A5.27	Are burials permits required to bury the deceased?	
			f) Marriage practices	
		A5.28	Who solemnizes the customary marriages? Family affair, religious institutions, civil court? Review in the context of marriage registration	
		A5.29	What is the prevalence of adolescent marriage? Do such marriages get registered? Review in the context of marriage registration	
		A5.30	What is the prevalence of polygamous marriage? Review in the context of marriage registration	
		A5.31	Does any of such non-civil marriages get registered within the CR framework?	
			g) Divorce	
		A5.32	Customary practices around divorce? Family affair, religious affair? Review in the context of divorce registration	
		A5.33	What is the extent to which divorce cases are settled in court?	
		A5.34	How does the CR law treat divorce occurring outside the court system? Review in the context of achieving complete divorce registration	
			iv) Supervision mechanisms	Desk review, field visits, interviews and observation, photography
		A5.35	Use the organizational structure diagram to map the supervision mechanisms at various level	
		A5.36	Is there a systematic and laid down procedure for supervision?	
		A5.37	Examine the different methods of supervision (reporting, inspections feedback mechanisms, and actions).	
		A5.38	Determine the degree of compliance and bottlenecks	
		A5.39	Recommend measures for improving supervision	

				v) Corrections and amendments	
				The assessment should review procedures followed in the correction/amendment of errors made on civil registration records and documents. Corrections and amendments should be in line with legal provisions. Procedures and requirements should be such that any fraudulent practices such as illegal change of names and issuance of multiple documents is minimized. The practice on the other hand should not be prohibitive to the acquisition of proper registration documents by individuals. Review the entire process for correcting or amending information on registered events and answer the following questions for each set of forms:	
			A5.40	(i) Are there clearly laid down procedures? How do these conform to the provisions in the law for amendments and corrections?	
			A5.41	(ii) Review the administrative and operational procedures employed for correcting and amending clerical errors including how long it takes, type of requirements etc.	
			A5.42	(iii) Review the procedures used of correcting and amending errors that require judicial processes	
			A5.43	(iv) Is the service available in each of the main national languages?	
			A5.44	(v) What evidence is required to support claim?	
			A5.45	(vi) What proportion of changes are due to registration officers' errors?	
			A5.46	(vii) What steps are taken to eliminate/minimize registrar errors? Are these errors tracked over time?	
				VI) Storage and archiving	
				A major requirement of CR systems is to ensure that registrars can easily retrieve individual records to make copies and issue certificates. Mechanisms for long-term storage of registration records vary, a proper filing and archiving system is crucial both at national and sub-national levels. The existent storage systems should be assessed for their adequacy, efficiency and suitability. While computerization of civil registration and vital statistics records cannot by itself improve the quality of the data contained in civil registration records, it can lead to improved	

			service delivery, by enhancing timeliness of different processes, including data production and management; and facilitating the verification, validation and sharing of vital statistics data.	
		A5.47	Is there a laid down procedure for maintenance, storage and archival of civil registration records at various levels (local registration centres, intermediate offices and national offices, periodicity of movement of records)?	Desk review, field visits, interviews and actual observation, photography
		A5.48	How are the records maintained and stored In local registration centres?	
		A5.49	Review the existence, adequacy and suitability of closed/ open storage space, indexing/ referencing for easy retrieval, anti-pest measures, security and confidentiality, etc.	
		A5.50	How and at what levels are the records archived?	
		A5.51	Closed/ open storage space, indexing/ referencing for easy retrieval, computerization if any, anti-pest measures, security confidentiality, etc.	
		A5.52	Upon individual request, how fast can registration records be retrieved from the archival system?	
		A5.53	Recommend measures for improvement, of storage and archival at various levels.	
			VII) Computerization	
		A5.54	Are computers used at any stage of the birth and death registration process? Review the situation	
		A5.55	Are computers used for any or all of:	
			(i) Registering event	
			(ii) Certification	
			(iii)Verification	
			(iv) Data transmission to other institutions?	
			v) Storage and retrieval	

			vi) Compilation for reporting	
			vii) Compilation for use of data for planning and similar purposes	
		A5.56	Are there any plans for further computerization in the near future? If so, what are the priorities?	
			VIII) Information sharing and transmission	
		A5.57	The assessment should review the procedures followed in the transfer of CR records across various levels of operation and propose revisions to improve the process. Procedures for information sharing among various users should equally be reviewed and proposals for improvement provided.	
		A5.58	Use the organizational structure diagram to map out information/ record and data flows (manual/ electronic)	Desk review, field visits, individuals and group interviews and actual observation
		A5.59	Analyse the flow of information/records and data (legal and statistical) across levels and offices	
		A5.60	Examine at various levels the actual process of creation of records and transmission, timeliness, quality, completeness and compliance with regulations for each event	
		A5.61	Examine computerization of the process of creation and transmission of information/ records and data	
		A5.62	Review any recent or current pilots, on experiments, and innovations on computerization and transmission.	
		A5.63	Propose an improved process for information/ records and data flow including computerization	
	A6		**Database management**	
			Long-term storage and preservation of civil registration records and documents is usually best	

		done electronically. The creation of CR databases at national and sub--national levels is significant milestone in the storage and archival of CR records and documents. The operability of the available database at national and sub-national levels should be assessed and recommendations for improvements made.	
	A6.1	Does the country create an electronic database of the registration records?	Desk review, field visits, interviews and observation, photography. System analysis
	A6.2	If yes, at what levels is the database created and at what levels is it accessible?	
	A6.3	If yes, what is the purpose of creation of the database? Is the database currently used for the intended purpose?	
	A6.4	What are the quality control measures in place to ensure that information in the electronic records match the original records in terms of completeness and content? Verify.	
	A6.5	What backup system is in place?	
	A6.6	Propose measures for improving electronic database systems	
A7		**Advocacy and communication**	

		Advocacy for vital event registration is one of the key strategies for improving registration coverage. A country's civil registration plan should include a comprehensive advocacy plan covering all population groups and extending to the lowest levels of administration. During the assessment, the advocacy plan (if existent) should be reviewed for its effectiveness and proposals for improvements made based on gaps identified. Systemic approaches should be followed in increasing demand for registration of vital events. Such approaches include creating awareness for increased use of registration documents in public service delivery. The assessment should review the extent to which registration documents are put to use in the country and propose mechanisms for increased demand for registration.	
	A7.1	Are there advocacy and communication strategies for CR?	Desk review, field visits, interviews and actual observation, photograph
	A7.2	What specific advocacy measures were taken to increase awareness of policy makers and opinion leaders and other stakeholders in the recent past?	
	A7.3	What communication including inter-personal communications strategies were adopted to inform the public in general about the need and importance of registration in the recent past	
	A7.4	Review the contents and coverage of the strategies with respect to events, operational levels targeted, types of messages, medium, target population groups, etc.	
	A7.5	Assess the extent to which the strategies are being implemented and its effectiveness in reaching lowest administrative levels and communities.	
	A7.6	What are the mechanisms in place for monitoring and evaluating impact of the strategy?	
	A7.7	Propose measures for improving advocacy and communication	

A8		**Demand creation for registration**	
		- Civil registration operations should embed modalities for creating demand for registration of vital events by the public. For this to happen, It is important to ensure that the documents produced by the system are authentic and trusted, and can be useful to the public most primarily as proof of identity. Creating demand for use of CR records and documents requires close collaboration with other government systems and ministries. Increasing demand for use of CR records and documents ensures that the public are compelled to register events	
	A8.1	What are the prescribed uses of registration records/certificates for individuals?	
	A8.2	Assess the extent to which the prescribed uses for registration records/certificates has actually influenced the demand for registration records/certificates.	
	A8.3	What are the main reasons why individual do not register their events?	Analyse previous survey results such as GHS, MICS; and interview some members of the community
	A8.4	What is the motivation for registration?	
	A8.5	Propose measures to improve effectiveness or functionalities of the existing use of registration records/certificates and identify possible new areas of use.	
	A8.6	What social services or benefits are linked to marriage registration?	
	A8.7	What social services, insurance benefits or inheritance transfers are linked to divorce registration?	
	A8.8	Are there any disincentives for those who do not register? For example, what do the married or divorced stand to gain from registering or lose from not registering their marriage/divorce?	
A9		**Monitoring and Evaluation for civil registration**	

			A monitoring and evaluation plan is crucial in assessing the overall performance of the CR system over time and the impact of interventions made for improvement of CR operations at various levels. The assessment should review the adequacy of content and application of the M&E framework for CR (if available) and propose improvements in the plan.	
		A9.1	Use the organizational structure diagram to plot different kinds of monitoring systems-(i) performance monitoring (events registered, certificates issued…)	Desk review, field visits , interviews and actual observation
		A9.2	(ii) Programme monitoring (physical infrastructure, supplies, human resources,…)	
		A9.3	Examine in detail all the monitoring processes including the formats, periodicity, flows, reporting mechanisms and actions and the extent of computerization.	
		A9.4	Is there an institutionalized monitoring framework?	
		A9.5	Is there an established approach for determining coverage and completeness of registration at national and sub-national levels?	
		A9.6	If yes analyse the level of completeness at national and sub- national levels	
		A9.7	If no, what is deemed to be the level of completeness over the past five years? (use objective means to estimate from the registration data or other sources)	
		A9.8	Is there an established method of monitoring coverage of specific populations such as refugees, IDP, nomads etc?	
		A9.9	Recommend measures for improving monitoring systems.	

SECTION B

		B VITAL STATISTICS FROM CIVIL REGISTRATION	
		QUESTIONS/ISSUES **To be applied to the systems of registration and compilation of birth, deaths, marriages and divorces statistics**	**Proposed method of investigation**
B	**Policy and Legislative environment**		
	B1	**Policy Environment for vital statistics from civil registration**	
		The production of statistics is generally governed by legislations, assigning responsibilities for the collection, compilation, processing, analysis and dissemination of the statistics. One of the major sources of routine timely data is the civil registration systems). One of the primary functions of the civil registration systems is the recording of data that serves for compilation of vital statistics.. It is therefore expected that the CR legislations should have provisions related to vital statistics. Similarly, the statistics acts and related legislations, policy documents and strategies should contain clauses on how these data from civil registration institutions are to be obtained, and transmitted to the compiling office. The review should ascertain the extent to which the legal provisions have adequately anticipated the needs of the statistical system and offer suggestions for improving the system. The questions or issues in the Assessment Framework seek to bring out the specific provisions that are available and also the content. Analysis of the content should suggest whether the legal and policy frameworks of the two sides (CR and VS) are abreast with current state of development, and adequately address issues of data sharing, electronic processing and storage. A YES/NO response requires further assessment focusing on the relevant statements and the specific provisions in the statements. It is important to note that; there may be several legislations in which the provisions for the registration of vital events (birth, death, marriage and divorce, and any others that a country may be registering) are provided. Hence the legal documents of CR and VS institutions, as well as health, should be reviewed for a better understanding of the systems in place.	

			i) Availability of law and policy on VS	
		B1.1	Which policy instruments have provisions related to vital statistics and their use?	Desk review, field visits , individuals and group interviews and actual observation
		B1.2	Which of the laws, (CR laws, statistics acts or other laws) if any deal with these aspects of vital statistics from civil registration (i) collection, (ii) compilation, (iii) analysis (iv) publication (v) dissemination?	
		B1.3	Do the laws address these issues at national and sub-national levels?	
		B 1.4	When were the laws that deal with vital statistics first enacted and last revised?	
			ii) Coverage	
		B 1.5	Does any of the laws address issues of quality, coverage and completeness of vital statistics (each vital event is recorded, transfer of recorded vital events to the compiling office)	
		B1.6	Do the laws provide definitions of the events? If available in different laws, are they consistent?	
		B 1.7	**iii) Content**	
			Do the sections of the laws on vital statistics address	
			(i) Institutional responsibilities and mandate	
			(ii) Functionaries and personnel	
			(iii) Organizational structure	
			(iv) Levels of operations	
			(v) Transfer of records	
			(vi) Data exchange	
			(vii) Operational linkages with other relevant institutions	

			(viii) Coordination mechanisms	
			(ix) Monitoring and evaluation	
		B1.8	Are there provisions in the laws on (i) variables to be collected and published (ii) periodicity of publication etc.?	
		B1.9	Do the laws make reference to CR law(s), specifically in the design of data collection tools, identification of type of variables, data transmission procedures and mechanisms, …?	
		B1.10	If the compilation and dissemination of vital statistics is assigned by law to an institution other than CR or National Statistics office (NSO), are there provisions for interface and coordination among the three entities?	
			iii) Organizational and administrative arrangements	
		B1.11	Do the laws clearly delineate the organizational and administrative responsibilities with respect to the compilation, analysis and dissemination of vital statistics (considering the different levels of operations) ?	
			Management and cooperation arrangements	
		B 1.12	Do the laws define cooperation arrangements with respect to the sharing of data and related information (including defining mechanisms such as, establishment of joint committees,)?	
	B 2	**Management and Organisation of VS**		
			The legal framework for vital statistics should have defined which institution is responsible for recording, compiling and disseminating vital statistics that come from the civil registration system, covering the registration of the key vital events (births, deaths, marriages and divorces). With the exception of countries that have fully operational civil registration systems, few countries would have well delineated structure for vital statistics. These statistics would most likely be managed in the wider context of official statistics. CR operations are multi-sectoral by nature. Often, more than one entity is engaged in the registration of the vital events. The producers and users of vital statistics from CR are also diverse. It is therefore important that a mechanism for coordination between key	

			CR stakeholders is established and made operational. It is necessary as a first step that the organizational structure be mapped out, showing all levels of operation, and the flow of information through the entities representing the different operational stages of the CRVS. The mapping should also show how coordination is addressed. These organisational linkages in law and in practice should be critically studied so that the right direction can be discerned. Almost all countries have developed a statistics master plan, where there is serious consideration given to developing statistics in the context of a unified system and not just from the point of view of the national statistics office (NSO). This plan should also be studied to see how VS from CR is integrated and interfaced under the NSS. The need for national statistics offices to be relevant has led to strong emphasis in these plans for NSOs to take a leadership position in the coordination of statistical activities. The need for continuous consultations with users of vital statistics who will also benefit the system through their use of data and their constructive feedback should also be considered. The review should seek to find ways of strengthening such interactions, and find other avenues for learning about user's views and level of satisfaction with the VS as part of the national systems.	
			i) Organisational structure	
		B2.1	Where in the organogram of the institution responsible for vital statistics is the entity primarily responsible for compiling vital statistics placed?	
		B2.2	Draw a diagram showing the organizational structure with respect to transfer of vital statistics records, data capturing, compilation, analysis, publication, and dissemination including linkages at various levels of operation for each event.	
		B2.3	Study the organization structure and linkages and identify potential bottlenecks (by urban and rural).	
		B2.4	Is the organizational structure suitable for managing vital statistics production process?	
		B2.5	Propose a revised structure and the interlink ages based on the review exercise and study.	
			ii) Coordination	
		B2.6	Is there a committee in place for coordinating activities with respect to CRVS?	

			Is there a mechanism for:	
			(i) A high level coordination for policy	
			(ii) Day to day coordination	
			(iii) Technical coordination	
			What coordination mechanisms are in operation at the sub-national levels? How are they functioning?	
		B2.7	**iii) Planning**	
			Does the country have a strategic plan (3-5 years - medium or more than 5 years= long term plan) that covers any of these components: (i) collection, (ii) compilation, (iii) analysis, (iv) publication, (v) dissemination of vital statistics?	
		B2.8	Is it a stand alone plan or part of a plan of the CR, statistics or other plan?	
		B2.9	Is the plan funded?	
		B2.10	Is there an institutional mechanism for the implementation of the plan?	
		B2.11	Does the plan define any coordination mechanisms for	
			(i) High level coordination for (policy and programme)	
			(ii) Day to day administrative and operational coordination	
			(iii) Technical coordination,	
			(iv) Supervision	
		B2.12	Is there a monitoring and evaluation framework for the plan?	
		B2.13	To what extent has the plan been implemented?	
			iv) User- producer consultation	
		B2.14	Is there a mechanism in place for consultation between the vital statistics producers and users? If yes , when was the last time this consultation took place?	
		B2.15	Analyse the process and outcome of the last consultation.	
		B2.16	To what extent have the recommendations been implemented?	
	B3		**Resources**	
			Resource limitations, in terms of staffing, financial and infrastructure, have been the biggest challenge of the national statistics system. The statistics master plan was expected to help raise the	

necessary funds to revamp the national statistical systems, yet this has not always happened. In systems where the NSO has the responsibility of generating vital statistics from the national civil registration records, it is important to assess what institutional arrangements are in place, what resources are devoted to VS and the caliber of staff working in this area. The assessment should review the adequacy of the existent human resource for VS at various levels of operation, the capacity of the staff, and other factors that may be influencing staff performance. Many NSOs have difficulty retaining their most experienced staff. One of the many questions that need to be addressed is how VS is prioritized in the national statistical system. Is there enough understanding and appreciation in the government system for the value of VS to the national system? Whichever entity is compiling the vital statistics, it is important that resources are allocated to this work. The assessment should review the adequacy of the VS budget allocation, ensure that all essential components are covered within the budget, propose mechanisms for better resource allocation, utilization and resource mobilisation.

			i) **Infrastructure for Vital Statistics**	
		B 3.1	Is there a laid down country norm for physical infrastructure to be provided for a local statistical office or service point that registers vital events and transmits records as part of the CRVS Operations (office space including client waiting area, furniture including storage furniture, equipment including computers, and registration equipment ETC)	
		B 3.2	Examine adequacy of the norm , actual availability, quality and functionality..	
		B 3.3	Determine gaps and recommend improvement in terms of adequacy, availability, quality and functionality.	
			ii)**Human Resource for vital statistics production**	
		B3.4	List the personnel assigned to VS compilation, analysis and production showing their positions and qualifications.	
		B3.5	Analyse the adequacy of the structure and distribution of the available human resources at all levels.	
		B3.6	Analyse the existing human resource profile against the required at all levels.	

		B3.7	Assess the factors affecting staff performance and delivery of service	
		B3.8	Assess the level of retention and attrition of staff and issues related to attracting personnel at all operational levels.	
		B3.9	Is there a structured training scheme for vital statistics personnel at various functional and operational levels?	
		B3.10	Examine the training scheme with respect to relevance, content, application. Etc.	
		B3.11	Does the staff have capacity to compute the relevant statistics and indicators, manage and analyse the data from the civil registration system?	
		B3.12	When was a capacity assessment of staff or of the VS unit undertaken? To what extent were the recommendations implemented?	
		B3.13	Recommend measures for addressing weaknesses and gaps	
			iii)Budget and Finance	
		B3.14	Is there a budget line for VS operations	
		B3.15	Examine the budget components for different VS operations at all levels (training, printing, advocacy, operations, stationeries, etc.)	
		B3.16	Are there funds available to be locally managed (at sub-national levels) for the VS programme?	
		B3.17	Analyse the adequacy of the funding with respect to resource requirement, approved budget allocation and expenditure?	
		B3.18	What other sources of funding are available for VS operations?	
		B3.19	Are the funds from other sources directed to activities already programmed (i.e. annual, medium or long term plans) or pilots, registration campaigns?	
		B3.20	Are there funds available for VS operations utilized for collection and transmission of vital statistics records, training of registration functionaries, computerization of data entry and transmission, development of data collection manuals etc.?	
		B3.21	Propose mechanisms for raising resources, allocation, efficient utilisation and expenditure tracking and monitoring	

	B4	**Vital Statistics forms and materials**	
		Depending on which institution is responsible for the processing of CR records into vital statistics, there are legal provisions regarding the way in which the statistics part of the process is to be handled. In some cases the same form for registration may be completed in with sufficient copies for all authorized institutions to receive their copies to work with. The design and content of the form may be better suited for the legal dimension of the civil registration than for the statistics part. It is therefore useful to understand the processes involved in the designing of the form and decisions about the content. There are international standards that could guide the process. It is therefore useful to assess the degree of conformity between the national registration/VS forms and the international recommendations. The assessment should review the design, structure and content of registration forms and materials and their suitability in the collection of the data. The structure of the forms should be compared against international standards. The review should also cover the adequacy of supply of these materials at various CR operational levels.	
	B4.1	Review all the forms used for registering and certifying births and deaths and answer the following questions for each set of forms:	
	B4.2	(i) Is all the information collected used?	
	B4.3	(ii) How long does it take, on average, to fill out each set of forms?	
	B4.4	(iii) Is the layout of the forms user-friendly? Explain why or why not.	
	B4.5	(iv) Is the form available in each of the main national languages?	
	B4.6	(v) Which items come from the "declarant" and which are transcribed from other documents; for example, is the cause of death transcribed from the death certification form?	
	B4.7	When was the CR/VS form reviewed? To what extent were the findings used to improve the forms?	
	B4.8	Which institution has the responsibility for printing the forms used for collecting information for the VS?	
	B5	**Operations of Vital Statistics - Process and Practice**	

			This segment of the assessment is to determine how efficiently and effectively the system is running, identify areas of progress and draw from the findings some lessons to improve the system. Although the statistics production starts with the registration, where two or more institutions are responsible for the two components (CR and VS) the statistics production responsibilities take off with the transmittal of forms. It is important to assess the timeliness and effectiveness as envisioned in the legal framework against the actual arrangements for transferring the records to the statistical unit in charge. The assessment thus relates legal provisions with the practice, to identify any bottlenecks in system. The existence of quality assessment measures is necessary to ensure that the data are of acceptable quality. Also, there should be good cooperation between the statistics processing and the registration points so that any quality problems can be communicated. Mechanisms for long-term storage of registration records vary, a proper filing and archiving system is crucial both at national and sub-national levels. The existent storage systems should be assessed for their adequacy, efficiency and suitability. While computerization of civil registration and vital statistics records cannot by itself improve the quality of the data contained in civil registration records, it can improve service delivery, by enhancing timeliness of different processes, including data production and management; and facilitating the verification, validation and sharing of vital statistics data.	
			i) Preparation and transmission of records	
		B5.1	Review the types of tools (including editing, coding, … manuals and procedures) and the process (specifically level of participation of stakeholders, …) used for the production of vital statistics.	
		B5.2	Examine timelines for the transfer of vital statistics records from service points through operational hierarchies to the national vital statistics compilation office.	
		B5.3	What standards, norms, guidelines govern the organization, storage and transmission of information? Which agency has the primary responsibility to process the vital statistics from CR? How does the practice compare with the legal provisions?	
			ii) Data capturing and processing	

B5.4	Review the process of (i) data capturing, (ii) coding, editing, verification, etc. (iii) production of tables, statistics compilation, (iv) analysis, and reporting.	
B5.5	Is there a standard editing and coding manual?	
	iii) Data quality checks	
B5.6	What techniques and procedures are used to determine the coverage, completeness, and data quality?	
B5.7	Examine the extent of coverage and completeness of vital statistics for the recent past?	
B5.8	Is there a systematic procedure for examining the quality of vital statistics? If so, examine the latest quality assessment report.	
B5.9	How are these reports used in improving completeness and coverage of vital statistics?	
	iv) Storage and archiving	
B5.10	How is the vital statistics data stored and maintained at different levels? Examine the adequacy?	
B5.11	Is there a laid down procedure for maintenance, storage and archival of vital statistics records at various levels (local registration centres, intermediate offices and national offices, periodicity of movement of records)?	
B5.12	How are the records maintained and stored at national and sub-national levels	
B5.13	How and at what levels are the records archived?	
B5.14	What precautionary measures are being taken to safeguard the records? (i) closed or open storage space, (ii) use of indexing/ referencing for easy retrieval, (iii) computerization if any, (iv) anti-pest measures, (v) security confidentiality etc.?	
	v) *Compilation and analysis*	
B5.15	Is there a standard tabulation plan? How does it compare with the internationally recommended tabulation plan? Are these tables produced by place of occurrence/ place of usual residence?	
B5.16	Are all the tables proposed in the tabulation plan generated? If not, examine the reasons.	

		B5.17	Are vital events (births, deaths, marriages and divorces) compiled according to date of occurrence or to date of registration?	
		B5.18	Are analytical reports on statistics derived from civil registration produced? If so, include examples	
		B5.19	What analysis are being routinely carried out on the data (e.g. fertility patterns, mortality differentials, disease mapping, etc.)?	
		B5.20	Along with the statistical tables, are analyses of the data published regularly?	
		B5.21	Are indicators (e.g. Fertility, mortality, marriage, divorce rates, etc.) routinely calculated from the CR data?	
		B5.22	What data sources are used as the denominators to calculate these rates?	
		B5.23	What is the smallest sub-national level used for tabulating vital statistics?	
			vi) *Products and services*	
		B5.24	Review the range of vital statistics products (publications, analytical reports either manual or electronic) and assess adequacy of the coverage and content and periodicity	
		B5.25	Is there a laid down procedure/protocol for sharing of micro data to different types of users?	
			vii) Dissemination	
		B5.26	Is there a data-release schedule?	
		B5.27	Are vital statistics made available to users as: (i) print? (ii) Electronic files? (iii) web sites? (iv) Interactive tables?	
		B5.28	Are vital statistics available free of charge or at a cost? Review	
		B5.29	What is the time from the end of the reporting period (e.g. end of calendar year in which births and deaths occurred) to the dissemination of vital statistics including cause of death statistics?	
	B6		Database Management	

		Vital statistics could be made available to users in a variety of formats and with diverse content. Some researchers may prefer the individual records, although for most users the processed data would serve their predominant need. How the records are processed, stored and made available to users is an important consideration, given the confidentiality requirement that governs all releases of official statistics. Also for the purpose of verification, there are legal stipulations on how long records should be kept when the data are already extracted. Long-term storage and preservation of civil registration records and documents is usually best done electronically. The creation of VS databases at national and sub-national levels is a significant milestone and will allow for expedited service to the users. The operability of the available database at national and sub-national levels should be assessed and recommendations for improvements made. The assessment should review the procedures followed in the transfer of CR records for statistical processing, across various levels of operation and propose revisions to improve the process. Procedures for information sharing among various users should equally be reviewed and proposals for improvement provided.	
		i) Maintenance of database	
	B6.1	Does the country create an electronic database of vital statistics records?	
	B6.2	If yes at what levels is the database created and at what levels is it accessible?	
	B6.3	If yes, what is the purpose of creation of the database? Is the database currently used for the intended purpose?	
	B6.4	What are the quality control measures in place to ensure that the electronic records compare with the original records in terms of completeness and content? Please review.	
	B6.5	Examine the content of the database. Are all variable clearly defined?	
	B6.6	Are metadata routinely provided with releases of the data? What is the medium for making the metadata available to users?	
	B6.7	Propose measures for improving electronic database systems	
		ii) Data utilization	
	B6.8	Is there a strategy for promoting wider use of vital statistics? If so is the strategy being implemented?	

		B6.9	Who are the main users of vital statistics data at different levels? List them. Review whether all potential users are covered.	
		B6.10	Are vital statistics from civil registration used to check accuracy of data from other sources, such as population censuses?	
B7		**Advocacy and Communication**		
			Advocacy for vital statistics is one of the key strategies for improving registration coverage. The value of civil registration as a source of basic statistics to complement other demographic data from the national statistics system is not fully understood. Successful advocacy with government would engender funding for the CRVS and set the stage to benefit from the linkages with national systems, of identification, elections, health, etc. A country's civil registration plan should include a comprehensive advocacy plan covering all population groups and extending to the lowest levels of administration. During the assessment, the advocacy plan (if existent) should be reviewed for its effectiveness and proposals for improvements made based on gaps identified. Systemic approaches should be followed in increasing demand for registration of vital events. Such approaches include creating awareness for increased use of registration documents in public service delivery. The assessment should review the extent to which registration documents are put to use in the country and propose mechanisms for increased demand for registration.	
		B7.1	Are there advocacy and communication strategies for VS?	
		B7.2	What specific advocacy measures were taken to increase awareness of policy makers and opinion leaders and other stakeholders in the recent past?	
		B7.3	What communication including inter-personal communications strategies were adopted in the recent past to inform key stakeholders about the need and importance of vital statistics?	
		B7.4	Review the contents and coverage of the strategies with respect to events, operational Levels targeted type of messages, medium, and population groups etc.	
		B7.5	Assess the extent to which the strategies are being implemented and their	

			effectiveness in reaching lowest administrative levels and communities.	
		B7.6	What are the mechanisms in place for monitoring and evaluating impact of the strategy?	
		B7.7	Propose measures for improving advocacy and communication.	
B 8			**Monitoring and Evaluation**	
			A monitoring and evaluation plan is crucial in assessing the overall performance of the CRVS system over time and the impact of interventions made for improvement of CR operations at various levels. There needs to be a plan to systematically review the process of registration, the coordination among the institutions, and the production and dissemination of data to the full benefits of the CRVS system to be realized. The assessment should also lay the foundation for future monitoring exercises. For the vital statistics production, monitoring of the timelines, quality of the data and adherence to the statistical principles is critical to maintain the integrity of the system. The assessment should establish what the mechanisms are for ensuring continuous monitoring and regular evaluation, the outcome of the exercises and how the results have been used to improve the system. The assessment should review the adequacy of content and application of the M&E framework for CRVS (if available) and propose improvements in the plan.	
			i) Monitoring framework	
		B8.1	Is there an institutionalized monitoring framework?	
		B8.2	Examine in detail all the monitoring processes including the formats, periodicity, flows, reporting mechanisms and actions and the extent of computerization.	
		B8.3	Is there an established approach for determining coverage and completeness of vital statistics at national and sub-national levels (such as comparing other sources with civil registration)	
		B8.4	If yes analyse the level of completeness at national and sub- national levels.	
		B8.5	Recommend measures for improving monitoring systems.	

		B8.6	Assess the timeliness of production of reports, and dissemination through various methods(manual or electronic). Is there a standard calendar of release of vital statistics? What is the degree of variation from practice?	
		B8.7	When was the last data release and to which year did it relate?	
		B8.8	What are the structures and procedures for supervising the production of vital statistics? Are there guidelines available to supervisors?	
		B8.9	When was the last time the system was checked for compliance and efficiency?	
		B8.10	Analyse ways of improving efficiency, timelines etc. of the operations.	
		B8.11	Recommend measures to enhance VS processes and products.	
			ii) Evaluation	
		B8.12	Is the consistency of the vital statistics pattern checked over time, including disaggregation comparisons?	
		B8.13	Do the age patterns of the events seem plausible?	
		B8.14	Are the infant child and adult mortality rates consistent with the expected levels and trends in life expectancy?	
		B8.15	Are there set procedures for evaluating operations, outputs and outcomes?	
		B8.16	Has the country evaluated the quality of mortality, fertility, marriage and divorce data?	
		B8.17	If yes: When was the evaluation done? How was it done? What did it conclude? What follow-up was undertaken to improve registration and data processing practices?	
		B8.18	What processes are in place to assess the quality of data from civil registration, and how frequently is this assessed?	
		B8.19	Has the quality of mortality coding ever been evaluated?	
		B8.20	If so, was the level of accuracy deemed satisfactory? What systemic issues were identified?	

SECTION C

C. CAUSES-OF-DEATH INFORMATION FROM CIVIL REGISTRATION

			QUESTIONS/ISSUES FOR INVESTIGATION	PROPOSED METHODS OF INVESTIGATION
C			**Legislation on recording of causes of death in CR**	
			The legislation on CR should make deliberate mention of provisions for the compulsory collection of information on cause-of-death under varying circumstances of death and the certification of the cause-of-death. The law on VS should also make provisions for the collection and generation of statistics pertaining to cause-of-death, including procedures under which these exercises should be conducted. The assessment should review the content of the CR and VS legislations with respect to provisions that allow for cause-of-death registration operations and the generation of cause-of-death statistics. There is need to consider different options – diverse practices of enacting laws on CR and/or VS – devise issues for investigation accordingly for CoD.	
	C1		**i) Legislative provisions on recording cause-of-death (CoD) under the CRVS framework**	
		C1.1	Are there laid down provisions and procedures in the laws (CR, criminal law, and other laws) for reporting and recording cause-of-death in event of (i) natural deaths in health facilities (ii) natural death outside health facilities (iii) deaths due to accidents, homicide, suicide, etc.	Desk review, interviews discussions
		C1.2	Is it mandatory to issue cause-of-death certificate for people who die in health facilities?	
		C1.3	Does the law prescribe persons authorized to assign and certify cause-of-death for deaths occurring in health facilities?	
		C1.4	Does the law prescribe the cause-of-death form for deaths occurring in health facilities	
		C1.5	Compare the content of the form with the internationally recommended form	
		C1.6	Does the law prescribe that the official/ legal death certificate should include information on cause-of-death?	

			Death outside health facilities	
		C1.7	Is it mandatory to issue cause-of-death certificate for people who die outside of health facilities?	
		C1.8	Does the law prescribe persons authorized for assigning and certifying cause-of-death for deaths occurring outside health facilities?	
		C1.9	Does the law prescribe the cause-of-death form for deaths occurring outside health facilities	
		C1.10	Compare the content of the form with the internationally recommended form	
		C1.11	Does the law prescribe that the official/legal death certificate should include information on cause-of-death?	
	C2		**Management and Organisation of cause-of-death operations**	
			Cause-of-death operations involve a number of institutions, mainly health, CR, VS etc. It is important to study the roles played by these institutions in relation to cause-of-death operations, the existent inter-institutional operational linkages and how to improve this. The country should review the existent organisational structure and propose mechanisms for improving performance.	
			i) Organisational structure	
		C2.1	Draw a flow chart showing the entities dealing with, certification, coding and recording and documenting and the institutional linkages	Desk review, interviews, discussions
		C2.2	Study the institutional arrangement and linkages and identify potential bottlenecks at various levels.	
		C2.3	Propose a revised institutional arrangement and the inter linkages based on the review exercise and study	
			ii) Coordination	
			Mechanisms for coordination among various institutions engaged in the collection, certification, coding, and generation of statistics on cause-of-death across various levels of operation are very crucial to the	

			efficient running of cause-of-death operations. A committee that coordinates activities with respect to cause-of-death is essential to have. The assessment should study the existent coordination structure, identify gaps and propose mechanisms for establishing and improving linkages with relevant institutions	
		C2.4	Is there a coordination mechanism between the entity responsible for cause-of-death operations and other relevant institutions i.e. CR, Health, VS	Desk review, interviews, discussions
		C2.5	Is there a committee/ or another suitable organ in place for coordinating activities with respect to cause-of-death?	
		C2.6	Is there a mechanism for:	
			(i) A high level coordination for policy and programme	
			(ii) Day to day administrative and operational coordination	
			(iii)Technical coordination	
			iii) Planning	
			All cause-of-death operations should be structured into an implementation plan. Such a plan should be reflected within the national CR and VS plans and allocated an adequate budget for operation. The country should review the implementation plan for cause-of-death (if existent), and the extent and performance of the country in implementation of the plan.	
		C2.7	Does the country's strategic plan (if any) covers the (a) collection, (b) compilation, (c) analysis (d) publication and (e) dissemination of cause-of-death information	Desk review, interviews, discussions
		C2.8	Is it a stand alone plan or part of a plan of the CR, statistics or other plan?	
		C2.9	Is the section of the plan referring to CoD funded?	
		C2.10	Is there an institutional mechanism for the implementation of the activities on CoD of the plan?	

		C2.11	Does the plan define any coordination mechanisms for CoD activities (i) high level coordination for (policy)	
			(ii) Day to day coordination	
			(iii) Technical coordination,	
			(iv) Supervision	
		C2.12	Is there a monitoring and evaluation framework for the plan?	
		C2.13	To what extent has the plan been implemented?	
			iv) User-producer consultation	
			In order to respond to user needs, a mechanism for consultation between producers and users of cause-of-death data and information at various levels in the country should be established. The country should assess the existent consultation mechanism (if any), review performance and make proposals for improvement.	
		C2.14	Is there a mechanism in place for consultation between producers and users of cause-of-death statistics?	Desk review, interviews, discussions
		C2.15	If yes , when was the last time this consultation took place? Analyse the process and outcome of the last consultation?	
	C 3		**Resources**	
			Infrastructure for specific operations on cause-of-death such as coding and certification of cause-of-death (occurring in and outside health facilities) needs to be provided at various levels of operation. The assessment should review the availability of the required infrastructure, the adequacy, efficiency, etc., and identify areas for improvement.	
		C3.1	Is there a laid down country norm for physical infrastructure (office space, furniture including storage furniture, equipment including computers, relevant stationery……) to be provided for cause-of-death operations, i.e., coding, data processing, storage, analysis etc.	

	C3.2	Examine the adequacy of the norm, actual availability, quality and functionality.	
	C3.3	Determine gaps and recommend improvements in terms of adequacy, availability, quality and functionality	
		I) Human Resource and Capacity Building	
		The country should review the adequacy in number, distribution and capacity of the human resource engaged in cause-of-death operations at various levels of operation in the country. There should be a regular training programme in coding and cause-of-death certification for different categories of staff at all functional levels. The assessment should entail review of the specialized training programmes and the ability of staff to access the available training opportunities.	
		a) Certification of cause-of-death within health facilities	Desk review, interviews discussions
	C3.4	What categories of staff are used for assigning cause-of-death in health facilities, e.g., physicians, other health professionals? Specify	
	C3.5	What training and practice do personnel who certify cause-of-death receive in cause-of-death certification: (i) none? (ii) one lecture in medical school or at the hospital? (iii) an ICD-compliant training course on certification? (iv) on-the-job training? (v) other (specify; give an idea of the magnitude for each)	
	C3.6	Do cause-of-death certifiers know how to correctly complete the death certificate including the causal sequence and the underlying cause?	
	C3.7	In health entities visited, state the number and distribution of personnel who do cause-of-death certification	
	C3.8	Is there a database of personnel engaged in the certification of cause-of-death across the country?	
	C3.9	Analyse the existing human resource profile against the required at all levels	
		b) Certification of cause-of-death outside health facilities	

		C3.10	Which institutions are authorized to certify cause-of-death outside health facilities ?	
		C3.11	What categories of staff are used for assigning cause-of-death outside health facilities e.g. physicians and other health professionals, personnel trained in verbal autopsy, or others specify	
		C3.12	What training and practice do personnel who certify cause-of-death outside health facilities receive in cause-of-death certification: (i) none? (ii) one lecture in medical school or at the hospital? (iii) an ICD-compliant training course on certification? (iv) on-the-job training? (v) verbal autopsy training (vi) other (specify; give an idea of the magnitude for each)	
		C3.13	Do cause-of-death certifiers outside health facilities know how to correctly complete the death certificate, including the causal sequence and the underlying cause?	
		C3.14	In non-health institutions visited, state the number and distribution of personnel who do cause-of-death certification	
		C3.15	Is there a database of personnel engaged in the certification of cause-of-death outside health facilities across the country?	
		C3.16	Is there a structured training scheme for cause-of-death certifying personnel at various functional and operational levels?	
		C3.17	Examine the training scheme with respect to relevance, application, etc.	
		C3.18	Assess the level of retention and attrition of staff and issues related to attracting personnel at all operational levels	
		C3.19	Assess the factors affecting staff performance in certification of cause-of-death and related delivery of service	
		C3.20	Recommend measures for addressing weaknesses and gaps	
			c) Human resource for coding	

	C3.21	What categories of staff (e.g. physicians, statisticians, and health professionals) are doing mortality coding in the country?	Desk review, field visits, interviews and actual observation, photography
	C3.22	What level of education do mortality coders typically have?	
	C3.23	Are specific training courses provided for mortality coders or do they learn on-the-job?	
	C3.24	If coders are specifically trained to code: Are there sufficient local ICD trainers to meet the needs?	
	C3.25	(i) Who is responsible for delivering the training?	
	C3.26	(ii) What is the length of training and is there a standard curriculum?	
	C3.27	(iii) How often is coder training conducted?	
	C3.28	What is the number and distribution of coders (specify by level of operation (national, sub-national) and grade)	
	C3.29	Assess the level of retention and attrition of staff and issues related to attracting personnel at all operational levels	
	C3.30	Are coders recognized within the staffing structures as a separate cadre, and are coding qualifications recognized separately to other administrative officers?	
	C3.31	Are there local senior trainers who have been trained at WHO-FIC supported training courses?	
	C3.32	Do coders have opportunities for ongoing education?	
	C3.33	Is there a structured training scheme for mortality coders at various functional and operational levels?	
	C3.34	Examine the training scheme with respect to relevance, application .etc.	

	C3.35	Recommend measures for addressing weaknesses and gaps	
	C3.36	Assess the factors affecting staff performance and delivery of service	
		ii) Budget and Finance-	
		Cause-of-death operations, in particular coding and certification processes, require an appropriate annual budget allocation at national and sub-national levels. The assessment should review the adequacy of the budget allocation, ensure that all essential components are covered within the budget, propose mechanisms for better resource allocation, utilisation and resource mobilisation for cause-of-death operations.	
	C3.37	Is there a budget line for cause-of-death certification and coding operations?	Desk review, field visits, interviews and actual observation, photography
	C3.38	Examine the budget components for different operations at all levels. (a) training, coding, assigning CoD, advocacy (b) printing, stationeries (c) compilation, analysis, and dissemination.	
	C3.39	Analyse the adequacy of the funding with respect to resource requirement, approved budget allocation and expenditure	
	C3.40	What other sources of funding are available for cause-of-death recording, certification, coding, compilation, analysis, dissemination operations?	
	C3.41.	Are the funds from other sources directed to activities already programmed? (i.e. annual, medium or long term plans) or pilots.	
	C3.42	Propose mechanisms for raising resources, allocation, efficient utilisation and expenditure tracking and monitoring	
C4		**Cause-of-death forms and materials**	
		The country should review, the availability, design, structure and content of forms and materials used for the certification and coding of cause-of-death. It is recommended that a country applies the internationally recommended classifications for coding and certification of cause-of-death. The availability of resource materials i.e. manuals and guidelines to all personnel involved in certification	

			and coding processes is essential. The assessment should review country practices in this context and propose recommendations for improvement.	
		C4.1	Is there a booklet, brochure or other guidelines explaining how to certify the cause-of-death and to complete the international form properly?	Desk review, field visits, interviews and actual observation, photography
		C4.2	If such material is not available, what would be involved in preparing it and how could it be distributed?	
		C4.3	Is the ICD used for cause-of-death statistics?	
		C4.4	If so, which revision and edition is currently being used?	
		C4.5	Is a national-language version of the ICD used?	
		C4.6	Do all coders have a complete set of ICD volumes available to them when they code?	
		C4.7	Do all coders have a set of the ACME decisions tables?	
		C4.8	Do the coders/cause-of-death personnel regularly check: (i) the ICD web site for updates to codes and coding practices? (ii) the department of health's web site for updates on coding practices?	
	C5		**Operations of cause-of-death -Process and Practice**	
			The country should review procedures followed by individuals and institutions in the recording of death, coding and certification of cause-of-death in different settings. The assessment should aim at identifying bottlenecks in the process and constraints faced by both individuals and institutions and propose mechanisms for improvement.	
			i) Reporting, recording and certification of death and cause-of-death operations	

		C5.1	Draw different flow diagrams describing the process of reporting and recording of death and cause-of-death in different settings (natural and un-natural deaths within and outside health facilities, with physician's last attending or not attending the deceased before death,.. This diagram should begin from the point of death to the burial and depict all the intermediate processes including the issuance of burial/cremation permit, autopsy reports, social , cultural and religious rituals affecting registration processes. The diagram should also depict the flow of cause-of-death information for coding and statistical compilation.	
		C5.2	Do the laws adequately address all these different situations?	
		C5.3	Examine the internal process of completion of cause-of-death certificate in health institutions.	
		C5.4	In health facilities, who completes the death certificate: (i) the attending doctor? (ii) Another doctor who did not treat the deceased person before death occurred? (iii) Nurse? (iv) Medical records officer? (v) Other ,specify?	
		C5.5	How are cases of "Dead upon Arrival "certified?	
		C5.6	How common are cases of "Dead upon Arrival "in hospitals? :	
		C5.7	Who prepares the cause-of-death certificate for people who die outside of health facilities: (i) A general practitioner? (ii) Coroner or similar? (iii) health official? (iv) civil registrar? (v) other, specify	
		C5.8	If a doctor is needed, is that person required to examine the deceased person before they are buried?	
		C5.9	How are deaths certified in cases where the certifying physician is not the person who treated the patient?	
		C5.10	Are hospital medical records usually accessible to general practitioners when one of their patients dies at home?	

		C5.11	Who certifies whether the cause-of-death is unnatural (i.e. accident, suicide or homicide) for deaths occurring within and outside health facilities ?	
		C5.12	If there is a special system for certifying these deaths, describe how this works and how well it works for deaths occurring within and outside health facilities	
		C5.13	Are certifying doctors aware of how to report deaths from injuries and external causes according to the ICD rules for deaths occurring within and outside health facilities	
		C5.14	How many registered deaths (as a percentage) have a medically certified cause-of-death?	
		C5.15	In the cause-of-death data, is it possible to separate medically certified deaths and those certified by a layperson?	
			ii) Verbal Autopsy	
			Verbal autopsy procedures allow for the certification of cause-of-death in incidences where a medical professional is not readily present to provide diagnosis and assign cause-of-death. In countries where verbal autopsy is used, the tools used should be reviewed against WHO standard tool. Limitations in application of the tool/process should be reviewed and proposals for improvement provided.	
		C5.16	Is the verbal autopsy tool being used as part of collecting cause-of-death information in the civil registration system?	Desk review, field visits, interviews and actual observation, photography
		C5.17	Is verbal autopsy routinely used to obtain the cause-of-death for any non-medically certified deaths in the country?	
		C5.18	If verbal autopsy procedures are routinely used, do they conform to the WHO standards?	
		C5.19	Has the WHO standard procedure been modified in any way to make it more applicable to the country? (If so, specify the modification.)	
		C5.20	Examine all relevant issues and suggest improvement in processes and procedures.	
			III) Preparation and Transmission of records	

		Various institutions are involved in the processing of cause-of-death records. These include those responsible for registering deaths, assigning cause-of-death, coding cause-of-death, and in production of cause-of-death statistics. For efficiency, it is essential for a country to have in place an established mechanism for transmission of records among the various institutions. The assessment should review the procedures followed in the transfer of cause-of-death records across various institutions and different levels of operations and propose revisions to improve the process.	
	C5.21	Examine timelines for the transfer of cause-of-death records from service points through operational hierarchies to the national vital statistics compilation office	
		iv) Data capturing and processing	
	C5.22	The country should review procedures followed and instruments used in data capturing and processing at various levels of operation. The extent of application of international standards in cause-of-death coding and certification of cause-of-death should also be reviewed.	
		v) Coding cause-of-death	
	C5.23	Who is responsible for coordinating the implementation of the ICD?	Desk review, field visits, interviews and actual observation, photography
	C5.24	Who is responsible for training ICD coders?	
	C5.25	Are the codes selected for cause-of-death reporting chosen from the complete ICD list, or is coding done from a summary tabulation list of the ICD?	
	C5.26	If a summary list is used, which list is it?	
	C5.27	Are coding and ICD selection rules for underlying cause-of-death data applied?	
	C5.28	Is mortality coding centralized or decentralized?	

	C5.29	If coding is decentralized, what quality measures and procedures are in place to ensure national consistency in the application of ICD coding rules?	
	C5.30	Is cause-of-death coding done from a copy of the original death certificate or from a transcribed list provided by the civil registration office, or from some other summary document?	
	C5.31	Is all the information on the death certificate coded, or only the presumed underlying cause-of-death?	
	C5.32	Is there an established mechanism to query the certifier (doctor) in cases where the coder cannot understand or interpret the reported cause-of-death on the certificate?	
	C5.33	If so, describe these procedures and discuss their efficacy.	
	C5.34	Are analytical reports about cause-of-death derived from vital registration produced? If so, include examples	
		vi) Compilation and analysis	
		The country should review procedures followed and instruments used in the compilation and analysis of data on cause-of-death at various levels of operation and the extent of application of international standards and recommendations in the compilation and analysis of the data.	
	C5.35	Is there a standard tabulation plan for cause-of-death? If so, is it a part of the VS tabulation plan. How does it compare with the internationally recommended tabulation plan?	Desk review, field visits, interviews and actual observation, photography
	C5.36	Are all the tables related to the cause-of-death proposed in the tabulation plan generated? If not, examine the reasons.	
	C5.37	At what level of disaggregation are cause-of-death data tabulated? (a) sex (b) sex and age; (c) sex and sub-national (d) sex, age and sub-national	

		C5.38	Are data compiled into 10 leading causes (separately for men and women and children)?	
		C5.39	From which list are the 10 leading causes selected?	
		C5.40	Are ill-defined causes included in the ranking as a category?	
			What analyses are being routinely carried out on the data (e.g., mortality differentials, disease mapping, etc.)?	
			Along with the statistical tables, are analyses of the data published regularly?	
		C5.41	Are indicators (e.g. cause specific death rates, including maternal mortality ratio) routinely calculated from the cause-of-death data?	
		C5.42	What data sources are used as the denominators to calculate these indicators?	
		C5.43	What is the smallest sub-national level used for tabulating cause-of-death statistics?	
		C5.44	Is there separate report published on cause-of-death or is it a part of the VS report? When was the last report published? What year does it relate to? (Review publications, analytical reports either manual or electronic) and assess adequacy of the coverage and content and periodicity	
			vii) Products and services	
		C5.45	Review the range of causes covered in cause-of-death publications, analytical reports either manual or electronic, and assess adequacy of the coverage and content and periodicity.	Desk review, field visits, interviews and actual observation, photography
		C5.46	Is there a laid down procedure/protocol for sharing of micro data to different types of users?	
			viii) Dissemination	

			The country should evaluate the processes followed in the release of data and information on cause-of-death among various users, the extent of coverage, timeliness etc. and propose mechanisms for improving dissemination practices.	
		C5.47	Is there a data-release schedule?	
		C5.48	Are cause-of-death statistics made available to users as: (i) print? (ii) Electronic files? (iii) web sites? (iv) pdfs? (v) Interactive tables?	
		C5.49	Are cause-of-death statistics available free of charge or at a cost? Explain.	
		C5.50	What is the time from the end of the reporting period (e.g. end of calendar year in which births and deaths occurred) to the dissemination of cause-of-death statistics?	
	C6	**Database Management**		
			The country should review the mechanisms of storage of data on cause-of-death including the operability of the cause-of-death database (if existent) and the mechanisms for sharing cause-of-death data with variant users.	
		C6.1	How are the cause-of-death data stored and maintained at different levels? Examine the adequacy.	
		C6.2	Are there laid down procedures/protocols for sharing of microdata on cause-of-death to various types of users?	
	C7	**Utilisation**		
			The country should review the extent of utilisation of cause-of-death data and statistics at various levels and propose strategies for promoting wider use of this data among all potential users.	
		C7.1	Is there a strategy for promoting wider use of cause-of-death statistics? If so is the strategy being implemented?	Desk review, field visits, interviews and actual observation, photography
		C7.2	Who are main the users of cause-of-death statistics data at different levels. within government? outside the government? List them. Review whether all potential users are covered.	

	C7.3	Is there an engagement strategy to regularly discuss data needs with the main data users? If so, describe this	
	C7.4	To what extent have the recommendations been implemented	
	C7.5	Is it possible to provide an example of how cause-of-death statistics have been used to guide policy and practice?	
C8		**Advocacy and Communication**	
		Advocacy on the importance of cause-of-death records and statistics should be routinely conducted among policy makers, personnel involved in the production of cause-of-death statistics and with the public. The assessment should review the cause-of-death advocacy plan (if existent) and its effectiveness and propose improvements that should be made.	
	C8.1	Are there advocacy and communication strategies for cause-of-death statistics	
	C8.2	What specific advocacy measures were taken to increase awareness of policy makers and opinion leaders and other stakeholders in the recent past?	Desk review, field visits, interviews and actual observation, photography
	C8.3	What communication including inter-personal communications strategies were adopted in the recent past to inform key stakeholders about the need and importance of cause-of-death statistics	
	C8.4	Review the contents and coverage of the strategies with respect to: operational Levels targeted type of messages, medium, etc.	
	C8.5	Assess the extent to which the strategies are being implemented and its effectiveness in reaching lowest administrative levels and communities.	
	C8.6	What are the mechanisms in place for monitoring and evaluating impact of the strategy?	
	C8.7	Propose measures for improving advocacy and communication.	
C9		**Monitoring and Evaluation**	

			A monitoring and evaluation plan is crucial for assessing the overall performance of the cause-of-death operations over time and the impact of interventions made for improvement. The country should review the adequacy of content and application of the M&E framework for improving cause-of-death operations (if available) and propose improvements in the plan	
		C9.1	Are there set procedures for evaluating cause-of-death operations outputs and outcomes? If yes, is it a separate or part of the VS procedures?	
		C9.2	Has the country evaluated the quality of cause-of-death certification?	
		C9.3	If yes: (i) When was the evaluation done?	
		C9.4	(ii) How was it done?	
		C9.5	(iii) What did it conclude?	
		C9.6	(iv) What follow-up was undertaken to improve certification practices?	
		C9.7	What processes are in place to assess the quality of cause-of-death coding, and how frequently is this assessed?	
		C9.8	Has the quality of mortality coding ever been evaluated?	
		C9.9	If so, was the level of accuracy deemed satisfactory? What systemic issues were identified?	
		C9.10	What mechanisms are in place to provide feedback to coders on the quality of coding, and to correct the problems and issues identified through evaluation and practice?	
		C9.11	Describe the plausibility and consistency checks that are carried out on the data and indicators before they are released for use	
		C9.12	Are cause-of-death indicators derived from civil registration compared with rates derived from other sources, such as administrative records?	

	C9.13	Further checks on the quality of cause-of-death data can be made using the three measures below. In properly functioning systems with good cause-of-death certification, the percentage of all cardiovascular, cancer or injury deaths assigned to these codes should be in the range of 10–15%.	
	C9.14	(i) What is the proportion of cardiovascular disease deaths assigned to heart failure and I514, I515, I516, I519, I709)? other ill-defined heart-disease categories (ICD-10 codes I472, I490, I46, I50,	
	C9.15	(ii) What is the proportion of cancers with an ill-defined primary site (ICD-10 codes C76, C80, C97)?	
	C9.16	(iii) What is the proportion of injury deaths that are of undetermined intent (ICD-10 codes Y10- Y34, Y872)?	
	C9.17	Is the consistency of the national cause-of-death pattern checked over time, including disaggregation comparisons	
	C9.18	Does the overall cause-of-death distribution seem plausible? E.g., does it fit the expected disease and injury patterns given current national levels of life expectancy	
	C9.19	Is the age pattern of cause-of-death obtained from civil registration for major disease groups and injuries consistent with expected patterns?	