

A comparative analysis of the InterVA model versus physician review in determining causes of neonatal deaths using verbal autopsy data from Nepal

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1 **A comparative analysis of the InterVA model versus physician review in determining**
2 **causes of neonatal deaths using verbal autopsy data from Nepal**

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20

21 **Abstract**

22 **Background:** Verbal autopsy is a common method of ascertaining the cause of neonatal death in
23 low resource settings where majority of causes of deaths remain unregistered. We aimed to
24 compare the causes of neonatal deaths assigned by computer algorithm-based model, InterVA
25 (Interpreting Verbal Autopsy) with the usual standard of Physician Review of Verbal Autopsy
26 (PRVA) using the verbal autopsy data collected by Morang Innovative Neonatal Intervention
27 (MINI) study in Nepal.

28 **Methods:** MINI was a prospective community intervention study aimed at managing newborn
29 illnesses at household level. Trained field staff conducted a verbal autopsy of all neonatal deaths
30 during the study period. The cause of death was assigned by two pediatricians, and by using
31 InterVA version 5. Cohen's kappa coefficient was calculated to compare the agreement between
32 InterVA and PRVA assigned proximate cause of death, using STATA™ software version 16.1.

33 **Results:** Among 381 verbal autopsies for neonatal deaths, only 311 (81.6%) were assigned one of
34 birth asphyxia, neonatal infection, congenital anomalies or preterm-related complications as the
35 proximate cause of death by both InterVA and PRVA, while the remaining 70 (18.4%) were
36 assigned other or non-specific causes. The overall agreement between InterVA and PRVA-
37 assigned cause of death categories was moderate (66.5% agreement, kappa=0.47). Moderate
38 agreement was observed for neonatal infection (kappa=0.48) and congenital malformations
39 (kappa=0.49), while it was fair for birth asphyxia (kappa=0.39), and preterm-related complications
40 (kappa=0.31); but there was only slight agreement for neonatal sepsis (kappa=0.19) and neonatal
41 pneumonia (kappa=0.16) as specific causes of death within neonatal infections.

42 **Conclusions:** We observed moderate overall agreement for major categories of causes of neonatal
43 death assigned by InterVA and PRVA. The moderate agreement was sustained for the

44 classification of neonatal infection but poor for neonatal sepsis and neonatal pneumonia as distinct
45 categories of neonatal infection. Further studies should investigate the comparative effectiveness
46 of an updated version of InterVA with the current standard of assigning the cause of neonatal death
47 through longitudinal and experimental designs.

48

49 **Keywords:** verbal autopsy, neonatal mortality, low- and middle-income countries, inter-rater
50 agreement

51

52 **Background**

53 Globally, an estimated four million neonatal deaths occurred annually in low and middle income
54 countries (LMICs), of which the majority occur outside of the formal health care system (1). While
55 the global annual neonatal mortality rate (NMR) decreased by 51%, from 36.6 to 18.0 deaths per
56 1000 live births between 1990 and 2017, it is estimated that 27.8 million neonatal deaths will occur
57 by 2030, if the current rate of reduction continues in each country (2). Availability of nationally
58 representative vital registration data on neonatal mortality is limited to about 60 countries and
59 neonatal mortality rate is higher in LMICs that do not have a high-quality vital registration data
60 (2). However, information on causes of death is vital to researchers, program planners and
61 policymakers working at local, national and international levels to improve infant survival. In order
62 to ensure the best possible utilization of limited resources available in such a setting, reliable and
63 adequate information about the causes of neonatal deaths is essential. A practical and the most
64 commonly used method to determine probable causes of death at population level in such settings
65 where systems for medical certification of causes of death are weak or non-existent is verbal
66 autopsy in which a series of questions are asked to the primary caregivers for specific signs and

67 symptoms of the deceased (3, 4). Verbal autopsy tools have been developed over the last few
68 decades (4-10) and used for assigning causes of neonatal death in numerous settings and contexts
69 and using different methods of assigning cause of death (11-24).

70 After conducting the verbal autopsy, the collected information is analyzed to assign causes of
71 death. Causes of death assigned by Physician Review of Verbal Autopsy (PRVA) is most
72 commonly used as a reference standard although multiple automated methods using data-driven
73 algorithms have been developed and tested for assigning cause of death using information
74 collected from a VA (25). However, PRVA is labor intensive, and prone to inter-observer
75 variation. InterVA (Interpreting Verbal Autopsy), is one of the computer-based probabilistic model
76 based on Bayes' probability theorem that has been compared with PRVA in some settings (24, 26-
77 28). InterVA offers a promising alternative to expensive and time-consuming physician review in
78 assigning the cause of death in low resource settings (4) (29). InterVA-5 was developed to
79 harmonize with InterVA-4 and WHO 2016 VA standards, which is important for monitoring long-
80 term trends over periods when different VA standards have been used (30). Although InterVA is
81 an affordable and available option to assign causes of death using verbal autopsies, users need to
82 be aware that there is no adequate evidence of equivalence, if not superiority, of its performance
83 over PRVA. A validation study showed suboptimal performance of InterVA in assigning neonatal
84 cause of death and a study from Nepal demonstrated discrepancy and overlap between physician
85 review and algorithm-based assignment the causes of death (24, 31). In the milieu of ongoing
86 search for the best possible method of assigning cause of neonatal death in low resource settings
87 and improvements in InterVA algorithms, there is an ongoing need to compare InterVA with
88 PRVA in different geographical and health system settings, particularly for neonatal mortality.
89 This paper aims to compare the causes of neonatal deaths assigned by the most recent version of

90 InterVA with PRVA, using the VA data from Morang Innovative Neonatal Intervention (MINI)
91 study.

92

93 **Methods**

94 **Study setting**

95 The current study has utilized the Verbal Autopsy dataset from the MINI program. MINI program
96 focused on community-based management and treatment of illnesses of newborn children in
97 Morang district of southeastern Nepal from 2005 to 2009. The district had 65 Village Development
98 Committees (VDCs), two hospitals, seven primary health care centers, ten health posts, and 49
99 sub-health posts, and 585 Female Community Health Volunteers at the time of the study (32). In
100 Morang district, 80% of the total population (914,799 at the time of the study) lived in rural areas
101 and the human development and other indices were comparable to the national figures (32). In the
102 MINI model, the trained community health workers (CHWs) followed an algorithm to classify
103 sick young infants with possible severe bacterial infection (PSBI). The CHWs visited homes soon
104 after delivery, recorded the birth, counseled mothers on essential newborn care, and assessed the
105 newborns for danger-signs, thus identifying infants classified as having PSBI. These infants were
106 treated with co-trimoxazole and referred to facility-based CHWs for seven-day treatment with
107 injection gentamicin. A specific monitoring and supervision component were added to the
108 implementation of the model through the existing government infrastructure. Further details of
109 MINI methodology have been published previously (19, 32).

110 **Verbal Autopsy and data collection**

111 MINI field supervisors were trained to collect verbal autopsy data using a pre-tested structured
112 questionnaire which included open-ended narrative and close-ended questions, adapted from the

113 existing tool from WHO (6).The questionnaire was developed in Nepali language and included
114 demographic data, 39 questions and filters probing into the circumstances and causes of death, and
115 finally the opinion of the caretaker and interviewer about the cause of death.

116 In 21 of 65 VDCs of Morang district where MINI was implemented, Female Community Health
117 Volunteers (FCHV) notified deaths of neonates to MINI field supervisors. Then, MINI field
118 supervisors visited the house and conducted the interview with the caretaker of the deceased
119 neonate. The verbal autopsy was conducted after a median of 124 days (IQR 57-235 days). The
120 completed questionnaires were checked by senior supervisor and field coordinator for
121 completeness and consistency at the MINI field office.

122 **Interpretation of verbal autopsy data through Physician review and InterVA**

123 Two senior pediatricians in Nepal with similar clinical experience independently assigned the
124 proximate and contributing cause of death using the hard copies of filled questionnaires. For any
125 case in which two different causes of death were assigned by the two pediatricians, only one cause
126 of death was chosen through discussion between the two pediatricians and entered in the MINI
127 database.

128 We used the latest InterVA model, version 5, for comparison with the proximate cause of death
129 assigned by the PRVA (30). The InterVA algorithm was developed and refined by Peter Byass
130 and his colleagues over many years (33). InterVA accepts a range of symptoms or signs referred
131 to as “indicators” relating to sequence and processes culminating in a death. InterVA processes
132 them in a mathematical model based on Bayes’ theorem, and produces as its output likely cause(s)
133 of death (26, 30). InterVA-5 uses symptom-cause information in the form of conditional
134 probabilities of experiencing a symptom given a specific cause of death, elicited from the
135 physicians as well as from Population Health Matrices Research Consortium gold standard dataset

136 (9). For the purpose of this study, the proximate (the first most likely) cause of death was assigned
137 by using InterVA-5.

138 InterVA-5 supersedes InterVA-4, which was designed to be compatible with the WHO 2012
139 Verbal Autopsy Instrument and incorporated previous versions of the model for maternal and
140 neonatal deaths, building on experience from InterVA-3 and preceding models. Thus, InterVA-5
141 brings the model in line with the WHO-2016 VA standard. With subsequent versions of WHO VA
142 instruments there were corresponding changes in the indicators used in InterVA models in
143 subsequent years.

144 **Data management and Statistical analysis**

145 Out of 498 verbal autopsies collected in the MINI study, 381 (76.5%) verbal autopsies for neonatal
146 deaths were included in the analysis. For each VA, the cause of death was assigned by PR and
147 InterVA. The reasons for exclusion were: 36 permanently transferred from the study sites, 2
148 refusals, 9 still births, 62 older than 28 days at the time of death, and 8 had incomplete data. The
149 cause of death was assigned for each of 381 deceased neonates using InterVA-5 version 5.1
150 (released on 9th April 2020), using the executable software, code and user documentation available
151 in the GitHub repository (34). The causes of neonatal death were assigned by PRVA using the
152 WHO verbal autopsy guide and coded using ICD 10 codes. For this analysis, we combined
153 neonatal pneumonia, neonatal sepsis and neonatal tetanus in PRVA to make a single category
154 neonatal infection and combined preterm, low birth weight and respiratory distress syndrome as
155 preterm-related complication. The other categories included hypothermia, hemorrhagic disease of
156 newborn, sudden infant death syndrome and accidental injury. We used the proximate (first) cause
157 of death output of InterVA-5, which consisted of one of the six WHO VA cause of death categories
158 and other and unspecified perinatal cause of death category. InterVA assigned the second cause of

159 death for 34 of 381 verbal autopsies that had lower percentage of likelihood of the proximate
160 diagnosis. For this analysis, we combined neonatal pneumonia, and meningitis/encephalitis in
161 InterVA in a single category neonatal infection. InterVA-5 assigned prematurity as a cause of
162 death in the category of preterm related complications.

163 Cohen's kappa coefficient was calculated to compare the agreement between InterVA and PRVA
164 causes of death. For calculating kappa value for cause-specific mortality, for example birth
165 asphyxia, data were assigned 1 (yes) for that cause and 0 (no) for all other causes. We compared
166 the categories of cause of neonatal death common to PRVA and InterVA-5, including two
167 subcategories of neonatal infection, namely neonatal sepsis and neonatal pneumonia. Analysis was
168 done using STATA™ software version 16.1. We used Landis and Koch classification of Kappa
169 scores, in which kappa values < 0 is taken as no agreement, 0-0.20 as slight agreement, 0.21 – 0.40
170 as fair agreement, 0.41-0.60 as moderate agreement, 0.61-0.80 as substantial agreement and 0.81-
171 1 as perfect agreement (35).

172

173 **Ethics**

174 Ethical approval for the study was obtained from the Western Institutional Review Board (WIRB,
175 Pro No. 20031870) in the USA. The Ministry of Health and Population, Nepal approved the
176 intervention. The study was conducted by JSI Research & Training Institute, Inc. (JSI). Informed
177 verbal consent was obtained from infant's legal guardian. All the procedures were followed in
178 accordance with the Declaration of Helsinki.

179

180 **Results**

181 **Background characteristics of neonates**

182 Out of 381 neonatal deaths studied, the majority (78.5%) were early neonatal deaths, occurring
 183 within 7 days of birth. The median survival time was 3 days from birth. Circumstances Of
 184 Mortality CATegories (COMCAT) assigned by InterVA-5 showed that one third of neonatal
 185 deaths involved circumstances other than emergencies, which would preclude life-saving actions
 186 (29). The background characteristics are shown in Table 1.

187 **Table 1: Background characteristics of Neonates (N=381)**

Characteristics (N=381)	N (%)	95%CI (Lower limit, upper limit)
Timing of neonatal deaths		
Within 24hrs	133 (34.9)	30.3, 39.8
1-7 days	166 (43.6)	38.7, 48.6
>8 days	82 (21.5)	17.7, 25.9
Sex		
Male	219 (57.5)	52.4, 62.4
Female	162 (42.5)	37.63, 47.6
Birth weight (g)		
Birth weight not available	169 (44.4)	39.4,49.4
Very low birth weight (<1500 grams)	36 (9.5)	6.9, 12.8
Low birth weight (1500-2499 grams)	78 (20.5)	16.7, 24.8
Normal birth weight (>2500 grams)	98 (25.7)	21.6, 30.4
Gestation type		
Single	332 (87.1)	83.4, 90.2
Multiple	49 (12.9)	9.9, 16.6

Type of delivery		
Normal vaginal	327 (85.8)	81.9, 89.0
Instrumental or Caesarian	54 (14.2)	11.0, 18.1
Place of delivery		
Home	261 (68.5)	63.7, 73.0
Health facilities	120 (31.5)	27.0, 36.4
Circumstances of mortality categories		
Emergencies	250 (65.6)	60.7, 70.2
Health System	86 (22.6)	18.6, 27.1
Traditions	24 (6.3)	4.3, 9.2
Multiple	21 (5.5)	3.6, 8.3

188

189 The top three cause categories of neonatal deaths by physician review were neonatal infection
190 (40.7%), birth asphyxia (34.7%) and preterm-related complications (14.4%). The same three
191 categories were the three major causes of neonatal death by InterVA-5, with slightly different
192 percentages: neonatal infection (48.3%) birth asphyxia (23.8%), preterm-related complications
193 (14.5%), as shown in Table 2. Interestingly, we observed remarkably different proportions of
194 neonatal sepsis and neonatal pneumonia assigned by InterVA and PRVA. Both methods assigned
195 congenital anomalies in 2.6% of neonatal deaths (Table 2).

196 **Table 2 Comparison of proximate cause of neonatal death by InterVA and PRVA**

Proximate cause of death	Physician review		InterVA-5	
	n(%)	95%(CI)	n(%)	95%CI

Birth asphyxia	132 (34.7)	30.0, 39.6	90 (23.6)	19.6, 28.2
Neonatal infection	155 (40.7)	35.8, 45.7	184 (48.3)	43.3,53.3
• Sepsis	141 (37.0)	32.3, 42.0	91 (23.9)	19.9, 28.4
• Pneumonia	11 (2.9)	1.6, 5.2	89 (23.4)	19.4, 27.9
• Neonatal tetanus	3 (0.8)	0.3, 2.4	0	0
• Meningitis and encephalitis	0	0	4 (1.1)	0.4, 2.8
Congenital malformations	10 (2.6)	1.4, 4.8	10 (2.6)	1.4, 4.8
Preterm-related complications	57 (15.0)	11.7, 18.9	55 (14.4)	11.2, 18.4
• Prematurity	34 (8.9)	6.4, 12.2	55 (14.4)	11.2, 18.4
• Low birth weight	21 (5.5)	3.6, 8.3	0	0
• Respiratory distress syndrome	2 (0.5)	0.1, 2.1	0	0
Others causes	27 (7.1)	4.9,10.2	0	0
• SIDS	13 (3.4)	2.0, 5.8	0	0
• Hypothermia	9 (2.4)	1.23, 4.49	0	0

• Hemorrhagic disease of newborn	4 (1.1)	0.39, 2.77	0	0
• Accidental injury	1 (0.3)	0.037, 1.85	0	0
Unspecified cause of death	0	0	42 (11.0)	8.2, 14.6
Total	381		381	

197

198 **Agreement between PRVA and InterVA**

199 The inter-rater reliability between InterVA and PRVA was assessed using Cohen’s kappa statistic.

200 In our study, overall Kappa value was 0.47 corresponding to 66.5% agreement, which shows a
 201 moderate agreement between InterVA and PRVA (Table 3). The agreement for neonatal infection,
 202 as a category, was moderate (kappa=0.48) but it was only slight for neonatal sepsis (kappa=0.19)
 203 and neonatal pneumonia (kappa=0.16), assigned by both methods. The agreement was fair for
 204 prematurity as well as for category of preterm related complications. The agreement was fair for
 205 birth asphyxia moderate for congenital malformations (Table 3).

206 **Table 3 Agreement between InterVA and PRVA for cause of neonatal death**

Proximate cause of death	Agreement (%), 95%CI	Expected agreement (%)	Kappa 95%CI	p- value	Degree of agreement (35)
Overall	66.5 (60.5,72.5)	36.5	0.47 (0.39, 0.55)	<0.001	Moderate

Neonatal infections*	74.0 (0.7,0.8)	50.3	0.48 (0.39,0.57)	<0.001	Moderate
Neonatal Sepsis [#]	64.8 (60.0,69.7)	56.8	0.19 (0.09,0.29)	0.0001	Slight
Neonatal Pneumonia [#]	79.0 (74.9,83.1)	75.1	0.16 (0.07,0.25)	<0.001	Slight
Birth asphyxia	74.3 (69.9,78.7)	58.1	0.39 (0.29,0.48)	<0.001	Fair
Preterm-related complications**	82.7 (78.9,86.5)	74.9	0.31 (0.18,0.44)	<0.001	Fair
Prematurity [#]	84.5 (80.9,88.2)	79.2	0.26 (0.12,0.39)	<0.001	Fair
Congenital malformations	97.4 (95.8,99.0)	94.9	0.49 (0.21,0.76)	<0.001	Moderate

207 * Neonatal infections included sepsis, pneumonia, neonatal tetanus and meningitis/encephalitis;

208 **preterm-related complications included prematurity, LBW and RDS

209 # Sub-category compared as neonatal sepsis, neonatal pneumonia and prematurity were specific
210 proximate diagnoses in both PRVA and InterVA

211 Discussion

212 The causes of neonatal deaths, observed in descending order of frequency in our study, both by
213 InterVA and PRVA, included neonatal infection, birth asphyxia, preterm-related complications
214 and congenital malformations which is in agreement with those described in literature (17, 24).

215 Although reliable data on causes of neonatal deaths and the timing around neonatal deaths are
216 often sparse, available evidence from low and middle income countries suggests that the major
217 causes of death have not changed significantly despite a decrease in overall neonatal mortality rate
218 and continue to occur most frequently in the first day and week of life (1, 2, 36). The focus of this
219 paper is to compare assignment of cause of neonatal death using InterVA compared to PRVA from
220 available VA data from Nepal and is not intended to determine the causes and timing of neonatal
221 death.

222 We observed an overall moderate agreement (kappa 0.47, percentage agreement 66.5%) between
223 InterVA and PRVA assigned categories of causes of neonatal death, with moderate agreement for
224 neonatal infection and congenital anomalies and fair agreement for birth asphyxia and preterm-
225 related complications. Interestingly, the agreement was weaker (only fair) for neonatal sepsis and
226 neonatal pneumonia when compared as distinct causes of death, rather than neonatal infection.
227 There is a considerable overlap in the clinical presentation of pneumonia and sepsis in a neonate
228 and the management is the same for both conditions (36). In fact, pneumonia is a form of neonatal
229 sepsis. In the MINI, PSBI was defined as presence of any one of the following: unable to feed,
230 lethargic or unconscious, weak cry, fast breathing (≥ 60 breaths per minute), severe chest
231 indrawing, grunting, fever or hypothermia, redness around umbilicus, >10 pustules or 1 large
232 abscess and there were 1051 episodes (9%) of PSBI identified by the CHWs among 0-28 days
233 infants, and they were not differentiated as neonatal sepsis or neonatal pneumonia. Identifying
234 neonatal infection as a cause of neonatal death in the community setting serves the public health
235 purpose of knowing the relative proportion of one of the main reasons for preventable neonatal
236 death. However, distinguishing neonatal pneumonia from neonatal sepsis is neither accurate nor
237 does it offer any benefit. Our finding of better agreement between InterVA-5 and PRVA for
238 neonatal infection as a category, but not for neonatal pneumonia or sepsis suggests that InterVA-
239 5 is a reasonable alternative approach for informing population level programs and policies
240 targeting the reduction of preventable causes of neonatal deaths in resource limited settings, where
241 specifying the exact etiology for neonatal deaths is not practically feasible and cause of death
242 remain otherwise uncertain. However, the findings also speak to the need to continue upgrading
243 this automated VA model to improve the accuracy of assigning more specific etiology of neonatal

244 mortality, which may be more meaningful in distinguishing death from neonatal tetanus, which
245 demands more specific preventive practices.

246 Preterm-related complication, as a category of cause of neonatal death, only had fair agreement
247 between InterVA and PRVA, along with prematurity as a common proximate cause of death by
248 both methods. Low birth weight appeared as a proximate cause of neonatal death only in PRVA.
249 Preterm-related complications could include several issues specific to preterm babies including
250 respiratory distress syndrome. Our findings do not offer such comparisons, reflecting the limitation
251 to accurately report the gestational age and/or birth weight by the caretaker during verbal autopsy
252 interview, particularly when the birth is unattended and occurs at home. Still, capturing the broad
253 cause of death as being related to prematurity and/or low birth weight would provide valuable
254 information to the maternal and newborn health programs in reducing the neonatal deaths from
255 preterm-related complications.

256 Assigning cause to neonatal death remains challenging due to non-specific signs and symptoms in
257 sick newborns (3). Specifying a cause of death in general is itself challenging (37) and attributing
258 a single cause could be an oversimplification (38) with the possibility of synergistic relationship
259 among the causes such as infection, asphyxia and prematurity/intrauterine growth restriction.
260 Therefore, the limitations of attributing a cause for neonatal deaths are well documented and
261 recognized in the scientific community (2). The verbal autopsy dataset we used, which was
262 collected using questionnaire based on an older iteration of WHO verbal autopsy standards, did
263 not allow input for all relevant indicators in the InterVA-5 algorithm. The accuracy of cause of
264 death assigned by InterVA would heavily depend on accuracy and completeness of the data
265 available from verbal autopsy interview. Still, it is possible, as well as programmatically useful, to
266 review broad ‘best guesses’ for cause of death in a reasonable sample of neonatal deaths. Our

267 findings, along with findings from other similar studies, demonstrate how assessing and assigning
268 the causes of neonatal deaths is complex but can still be done with reasonable accuracy using
269 InterVA as an acceptable substitute for PRVA.

270 The verbal autopsy is carried out by medically untrained enumerators from usually illiterate or just
271 literate parents in rural settings. So, defining the cause of death by strict criteria using verbal
272 autopsy data may lead to under- or over-estimation of neonatal deaths due to inability to get the
273 right information, which is sensitive and specific enough to make a diagnosis. In particular, early
274 neonatal death may have been overestimated due to misclassification of stillbirth as neonatal death
275 by the respondent. Assigning the specific cause of neonatal death is difficult even in a hospital
276 setting by trained health professionals owing to non-specific signs and symptoms of common
277 neonatal conditions. However, there are limited possible diagnoses or disease categories leading
278 to preventable neonatal death, which potentially allows making reasonable estimate of the
279 proximate cause of death using algorithm-based methods as well.

280 Physicians had access to additional remarks from the respondent (caretaker) and the interviewer
281 about their impression on the possible cause of death, but this information was not coded for
282 analysis by InterVA. When there is more than one possible cause of death, assigning a proximate
283 cause of death by InterVA depends on whether a hierarchical or nonhierarchical approach is used
284 and how the cause of death is assigned. However, physicians may assign cause of death as per
285 their discretion, influenced by their medical knowledge and contextual information. However,
286 InterVA-5 offers the COMCAT functionality which categorizes the circumstances of death (30).

287 There may be recall bias on late interviewing after the neonatal deaths. However, verbal autopsy
288 taken between 3 to 12 months resulted in comparable results with those taken within 3 months of
289 death (39). Some interviews in our cohort were repeated due to lack of meaningful information on

290 the first interview, which could have introduced bias. InterVA and PRVA used the same set of VA
291 data, thus the effect of recall bias would apply to both methods.

292 Considering PRVA as the reference standard for assigning cause of death from verbal autopsy, the
293 InterVA needs to be updated and standardized further to make it closer to the actual cause of
294 neonatal death. This may demand a more complex computer-based algorithm and more rigorous
295 data collection method to obtain more sensitive information about the signs and symptoms that led
296 to death of the neonate. Whether certain signs and symptoms predict the diagnosis which is used
297 as a cause of death of the neonate should be validated by well-designed clinical studies. As the
298 accuracy of verbal autopsy based assignment of cause of neonatal death is sensitive to the setting
299 and the process in which verbal autopsy is conducted and the cause of death is assigned, further
300 reports on comparability of PRVA and InterVA from different settings is necessary to advance
301 this field. We utilized the verbal autopsy data from a community-based intervention research
302 model in a rural setting of an emerging district health system of a developing country to add to the
303 ongoing search for the optimum method of assigning cause of neonatal death.

304 **Conclusions**

305 This study revealed a moderate overall agreement between InterVA and PRVA for assigning
306 broad category of cause of neonatal death from verbal autopsy data from Nepal, with moderate
307 agreement for neonatal infection and congenital malformation and fair agreement for birth
308 asphyxia and preterm-related complications. Only slight agreement for neonatal pneumonia and
309 neonatal sepsis between InterVA and PRVA, compared to moderate agreement for neonatal
310 infection as a category suggests the need for revision in classifying causes of deaths based on
311 similar clinical and programmatic implications of preventable causes of neonatal death. Further

312 studies should look at the comparative effectiveness of updated version of InterVA with the current
313 standard of assigning the cause of death at population-level through longitudinal and experimental
314 designs.

315 **List of Abbreviations**

316	CHW	Community Health Workers
317	COMCAT	Circumstances Of Mortality CATegories
318	FCHV	Female Community Health Volunteers
319	ICD	International Classification of Disease
320	InterVA	Interpreting Verbal Autopsy
321	LMIC	Low and Middle Income Countries
322	MINI	Morang Innovative Neonatal Intervention
323	NMR	Neonatal Mortality Rate
324	PRVA	Physician Review of Verbal Autopsy
325	PSBI	Possible Severe Bacterial Infection
326	VA	Verbal Autopsy
327	VDC	Village Development Committee
328	WHO	World Health Organization

329

330 **Declarations:**

331 **Ethics approval and consent to participate:**

332 Ethical approval for the study was obtained from the Western Institutional Review Board (WIRB,
333 Pro No. 20031870) in the USA. The Ministry of Health and Population, Nepal approved the
334 intervention. The study was conducted by JSI Research & Training Institute, Inc. (JSI). Informed

335 verbal consent was obtained from infant's legal guardian. All the procedures were followed in
336 accordance with the Declaration of Helsinki.

337 **Consent for publication:**

338 Not applicable

339 **Availability of data and materials:**

340 The datasets used and/or analysed during the current study are available from the corresponding
341 author on reasonable request.

342 **Competing interests:**

343 The authors (DD, PD, DA, NM, DN) declare that they have no competing interests.

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349 have not entered into any agreement with the funding agencies that may have limited their ability
350 to complete the research and have had full control over the primary data.

351 **Authors contribution:**

352 DD contributed to the conceptualization, design, analysis and writing the initial draft and
353 revising the manuscript. PD contributed to the conceptualization, design and revision of
354 subsequent drafts of the manuscript. DA contributed to the analysis and writing of the methods
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356 the manuscript and provided guidance to analysis and interpretation of data. DN contributed to

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359 All authors read and approved the final manuscript and agree to be accountable for the contents
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