



### AIDE-MÉMOIRE ON CAUSALITY ASSESSMENT

**Purpose:** This aide-mémoire serves as a guide to a systematic, standardized process of assessing whether serious adverse events following immunization (AEFI) are causally linked to vaccines/immunization or not.

**Definition:** AEFI causality assessment determines if a causal relationship exists between a vaccine (and/or vaccination) and an adverse event.

**Rationale:** Safety requirements for vaccines are stricter than those for drugs since vaccines are biological products that are more prone to lot variation and instability, they are used in healthy populations and the target groups are vulnerable. Vaccines therefore require a causality assessment process that responds in a timely manner and with scientific rigour to AEFI.

**Who should assess AEFI causality?** Ideally an AEFI review committee should be in place backed by written terms of reference. It should consist of independent experts who have no conflicts of interest. As far as possible, the experts should cover a broad range of expertise: infectious diseases, epidemiology, microbiology, pathology, immunology, neurology, forensics and vaccine programming. The committee should be supported by a secretariat (usually the national regulatory authority [NRA] and the immunization programme) that can provide supporting evidence and investigation findings to enable causality to be determined.

#### What are prerequisites for AEFI causality assessment?

- AEFI case investigation should be completed. Premature assessments may mislead classification.
- All relevant information should be available, including documents of investigation, laboratory and postmortem findings (if applicable).
- Valid diagnosis (unfavourable or unintended sign, abnormal laboratory finding, symptom or disease) for the AEFI must be defined, be well-founded and correspond accurately to the event being assessed.
- Information that could bias results (patient name, hospital name, etc.) should be anonymized.

#### At what levels is AEFI causality assessed?

AEFI causality assessment could be performed:

- **At population level** (is there a causal association between usage of a vaccine and a particular AEFI in the population?)
- **For an individual** (is the adverse event in the individual patient causally linked to the vaccine/vaccination?)

#### Considerations for assessing causality of a solitary AEFI:

- **Temporal relationship:** is it certain that the vaccination preceded the adverse event?
- **Alternate explanations:** is the event coincidental, i.e. is it due to something other than the vaccine product, immunization error or immunization anxiety?
- **Proof of association:** is there clinical or laboratory proof that the vaccine caused the event?
- **Prior evidence:** has a similar AEFI been previously reported in studies/literature or other sources?
- **Population-based evidence:** does the rate of event occurrence exceed the expected rate of the event in the population? (Refer to WHO information sheets on observed rates of known vaccine reactions.)
- **Biological plausibility:** can the association be explained by the natural history, biological mechanisms of the disease, laboratory evidence or animal studies?

#### Which AEFI to select for causality assessment?

All reported AEFI require verification of diagnosis, coding, review, information collation and storage. Causality assessment needs to be done for:

- Serious AEFI (i.e. events that are life-threatening or lead to death, hospitalization, significant disability or congenital anomaly)
- Clusters of AEFI (the cause for each case in the cluster should be determined separately). Line-listing of data may identify patterns that could constitute a signal
- Occurrence of events above the expected rate or of unusual severity
- Signals resulting from single or cluster cases
- Other AEFI as decided by the review committee or an investigation team such as immunization errors, significant events of unexplained cause occurring within 30 days after a vaccination (not listed in the product label), or events causing significant parental or community concern.

#### Possible causes of AEFI

##### *Related to vaccine or vaccination*

- Vaccine product-related*
- Vaccine quality defect-related*
- Immunization error-related*
- Immunization anxiety-related*

##### *Coincidental adverse event*

# ADVERSE EVENT FOLLOWING IMMUNIZATION

## What are the steps\* of a causality assessment?

- Determine the eligibility of the case
- Review the checklist to ensure that all possible causes are considered
- Use algorithm to determine trend of causality
- Classify causality.



\* For details, refer to the user manual for causality assessment

## How are cases classified at the end of the assessment?

### I. Case with adequate information

#### **A. Consistent with causal association to immunization**

- A1. Vaccine product-related
- A2. Vaccine quality defect-related
- A3. Immunization error-related
- A4. Immunization anxiety-related

#### **B. Indeterminate**

- B1. Consistent temporal relationship but insufficient definitive evidence for vaccine causing the event
- B2. Reviewing factors result in conflicting trends of consistency and inconsistency with causal association to immunization

#### **C. Inconsistent with causal association to immunization (coincidental)**

Underlying or emerging condition(s) or condition(s) caused by exposure to something other than vaccine

### II. Case without adequate information

They are categorized as “unclassifiable” since they require additional information to determine causality (the available information on these cases should be archived in a repository or an electronic database and classified when additional information becomes available)

## What are the actions after causality assessment?

They include providing feedback, training, modifying systems, refining tools, research, etc. to avoid and/or minimize recurrences. Based on outcomes of assessment, the following need to be considered:

#### **A. Consistent with causal association to immunization**

A1 Vaccine product-related reaction: Follow protocols adopted by each country.

A2 Vaccine quality defect-related reaction: Inform the NRA, manufacturer and relevant stakeholders. Take decision on existing vaccine stock.

A3 Immunization error-related reaction: Training and capacity-building are critical to avoid recurrences.

A4 Immunization anxiety-related reaction: Vaccinating in an ambient and safe environment.

#### **B. Indeterminate**

B1 The temporal relationship is consistent but there is insufficient evidence for vaccine causing the event: A national database of such AEFI cases could help to identify signals.

B2 Reviewing factors result in conflicting trends of consistency and inconsistency with causal association to immunization: If additional information becomes available, the classification can move into more definitive categories; if not, they are to be archived.

#### **C. Inconsistent with causal association to immunization (coincidental)**

Confirm diagnosis; information on why the case is classified as coincidental to be provided to the patients, relatives, care provider and community.

#### **Key resources for causality assessment**

User manual for the revised WHO AEFI causality assessment classification

[http://www.who.int/vaccine\\_safety/publications/aevi\\_manual.pdf](http://www.who.int/vaccine_safety/publications/aevi_manual.pdf)

WHO vaccine reaction rates information sheets

[http://www.who.int/vaccine\\_safety/initiative/tools/vaccinfosheets/en/index.html](http://www.who.int/vaccine_safety/initiative/tools/vaccinfosheets/en/index.html)

Brighton Collaboration

<https://brightoncollaboration.org/public.html>

AEFI definition\*\*: any untoward medical occurrence which follows immunization and which does not necessarily have a causal relationship with the usage of the vaccine. The adverse event may be any unfavourable or unintended sign, abnormal laboratory finding, symptom or disease.

\*\*[http://whqlibdoc.who.int/publications/2012/9789290360834\\_eng.pdf](http://whqlibdoc.who.int/publications/2012/9789290360834_eng.pdf)

# WORKSHEET FOR AEFI CAUSALITY ASSESSMENT

## Step 1 (Eligibility)

Name of the Patient

Name of one or more vaccines administered before this event

What is the Valid Diagnosis?

Does the diagnosis meet a case definition?





Create your question on causality here

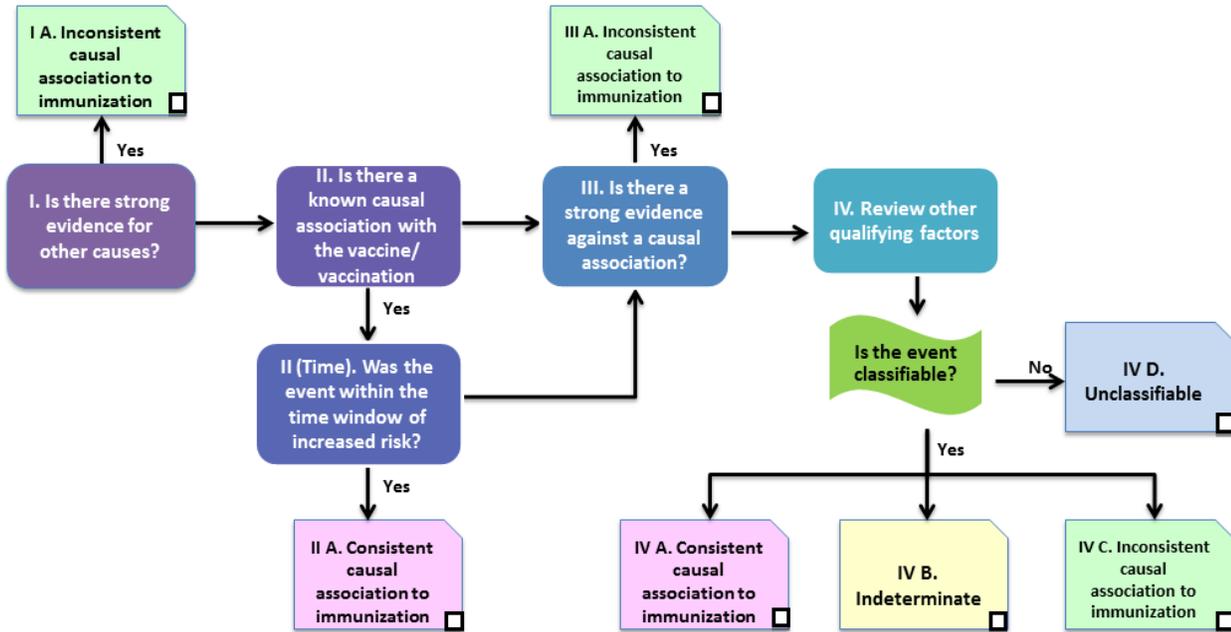
Has the \_\_\_\_\_ vaccine / vaccination caused \_\_\_\_\_? (The event for review in step 2)

## Step 2 (Event Checklist) ✓ (check) all boxes that apply

I. Is there strong evidence for other causes?	Y N UK NA*	Remarks
Does a clinical examination, or laboratory tests on the patient, confirm another cause?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
<b>II. Is there a known causal association with the vaccine or vaccination?</b>		
<i>Vaccine product(s)</i>		
Is there evidence in the literature that this vaccine(s) may cause the reported event even if administered correctly?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Did a specific test demonstrate the causal role of the vaccine or any of the ingredients?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
<i>Immunization error</i>		
Was there an error in prescribing or non-adherence to recommendations for use of the vaccine (e.g. use beyond the expiry date, wrong recipient etc.)?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Was the vaccine (or any of its ingredients) administered unsterile?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Was the vaccine's physical condition (e.g. colour, turbidity, presence of foreign substances etc.) abnormal at the time of administration?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Was there an error in vaccine constitution/preparation by the vaccinator (e.g. wrong product, wrong diluent, improper mixing, improper syringe filling etc.)?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Was there an error in vaccine handling (e.g. a break in the cold chain during transport, storage and/or immunization session etc.)?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Was the vaccine administered incorrectly (e.g. wrong dose, site or route of administration; wrong needle size etc.)?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
<i>Immunization anxiety</i>		
Could the event have been caused by anxiety about the immunization (e.g. vasovagal, hyperventilation or stress-related disorder)?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
<b>II (time). If "yes" to any question in II, was the event within the time window of increased risk?</b>		
Did the event occur within an appropriate time window after vaccine administration?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
<b>III. Is there strong evidence against a causal association?</b>		
Is there strong evidence against a causal association?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
<b>IV. Other qualifying factors for classification</b>		
Could the event occur independently of vaccination (background rate)?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Could the event be a manifestation of another health condition?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Did a comparable event occur after a previous dose of a similar vaccine?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Was there exposure to a potential risk factor or toxin prior to the event?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Was there acute illness prior to the event?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Did the event occur in the past independently of vaccination?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Was the patient taking any medication prior to vaccination?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Is there a biological plausibility that the vaccine could cause the event?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

\*Y: Yes N: No UK: Unknown NA: Not applicable

### Step 3 (Algorithm) review all steps and ✓ all the appropriate boxes



Notes for Step 3:

### Step 4 (Classification) ✓ all boxes that apply

Adequate information available	<b>A. Consistent with causal association to immunization</b> <input type="checkbox"/> A1. Vaccine product-related reaction (As per published literature) <input type="checkbox"/> A2. Vaccine quality defect-related reaction <input type="checkbox"/> A3. Immunization error-related reaction <input type="checkbox"/> A4. Immunization anxiety-related reaction	<b>B. Indeterminate</b> <input type="checkbox"/> B1. *Temporal relationship is consistent but there is insufficient definitive evidence for vaccine causing event (may be new vaccine-linked event) <input type="checkbox"/> B2. Reviewing factors result in conflicting trends of consistency and inconsistency with causal association to immunization	<b>C. Inconsistent with causal association to immunization</b> <input type="checkbox"/> C. Coincidental Underlying or emerging condition(s), or conditions caused by exposure to something other than vaccine
	<input type="checkbox"/> <b>Unclassifiable</b> Specify the additional information required for classification : <input style="width: 400px; height: 20px;" type="text"/>		

\*B1: This is a potential signal and maybe considered for investigation

Summarize the classification logic:

With available evidence, we could conclude that the classification is \_\_\_\_\_ because: