

# OIE Tool for the Evaluation of Performance of Veterinary Services and/or Aquatic Animal Health Services

## OIE *PVS Tool: Aquatic*

Human, Physical  
and Financial  
Resources



Technical Authority  
and Capability



Interaction with  
Interested Parties



Access to Markets



**2013**

First edition



**WORLD ORGANISATION FOR ANIMAL HEALTH**  
*Protecting animals, preserving our future*

**OIE Tool for the  
Evaluation of Performance  
of Veterinary Services and/or  
Aquatic Animal Health Services**

**(OIE *PVS Tool*: Aquatic)**

**First edition, 2013**

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# INTRODUCTION

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In this era of globalisation, the development and growth of many countries, as well as the prevention and control of major biological disasters, depend on the performance of their policies and economies with reference to agriculture, animal health and food production, all of which are directly related to the activities and quality of national Veterinary Services (VS). Important roles for VS include veterinary public health – including foodborne diseases, regional and international market access for animals and animal products and animal welfare. Today VS are increasingly working in collaboration with other government agencies in the context of the global ‘One Health’ initiative, which calls for effective policies and actions at the human / animal / environment interface. To this end, VS must not only broaden the focus of many traditional activities, for example disease surveillance programmes traditionally applied to domestic animals, but implement more holistic approaches to address interactions between domestic and wild animal populations. Collaboration with agencies responsible for public health and for the environment is of high priority; other government agencies may also be important partners of the VS.

Whatever the nature of the current and future challenges to national VS, the central features of effective VS remain the same – VS should be independent and objective in their activities, and decisions should be based on sound science and immune from political pressure. The quality of education, both initial and continuing, is a critical building block of effective VS. Use of the OIE *Tool for the Evaluation of Performance of Veterinary Services* (OIE *PVS Tool*) is a key element in the OIE PVS Pathway. Following this pathway allows countries to support VS in establishing their current level of performance, identifying gaps and weaknesses in their ability to comply with OIE international standards and forming a shared vision with interested parties (including the private sector), with the goal of establishing priorities and securing the investments needed to carry out strategic initiatives. The overall objective is to improve governance of VS to enable them to contribute effectively to achieving the priorities of national government and to help improve animal health and welfare and human health globally.

The production of and trade in aquatic animals and their products is of increasing importance, and the aquaculture sector is growing fast in response to the strong and growing global demand for high-quality protein. In some countries the VS are the Competent Authority for aquatic animal health, but in other countries different agencies of government have this responsibility. Regardless of the role of veterinarians in the national Aquatic Animal Health Services (AAHS), the general principles for quality apply. Appropriate legislation and good governance are required to meet OIE requirements, including those for disease detection, reporting and control. In recognition of the importance of good governance of the AAHS, the OIE has developed this first edition of the OIE *PVS Tool: Aquatic*, which should be used in the evaluation of the performance of the national AAHS whether that AAHS is the responsibility of the VS or of another Competent Authority.

In the international trade of animals and animal products (including aquatic animals and their products), the OIE promotes animal health and public health (as it relates to the prevention and control of zoonoses including food-borne diseases of animal origin) by issuing harmonised sanitary standards for international trade and disease control, by working to improve the resources and legal framework of VS and by helping Members comply with the OIE standards, guidelines and recommendations, consistent with the Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement) of the World Trade Organization (WTO).

To address the rapidly changing aquaculture sector and the challenges posed, the AAHS should adopt an appropriate mandate and vision and provide services that respond to the needs and expectations of all interested parties. This will entail stronger alliances and closer cooperation with interested parties, trading partners and national governmental counterparts (particularly agencies responsible for public health and protection of the environment) and relevant intergovernmental organisations (in particular the OIE, the Codex Alimentarius Commission and the WTO SPS Committee).

Under the WTO SPS Agreement, each WTO Member has the right to impose SPS measures to protect plant, animal and human life or health, but measures should be based on science and risk analysis and implemented transparently. For animal health and zoonoses, the OIE is recognised as the reference organisation for measures relating to international trade in animals and animal products (including aquatic animals and their products). The implementation of the OIE standards, including those on quality and evaluation of AAHS, is the best way to facilitate safe and fair international trade as well as appropriate prevention and control of animal diseases and animal welfare.

**Effective VS and AAHS have four fundamental components:**

- 1) the human, physical and financial resources to attract resources and retain professionals with technical and leadership skills;
- 2) the technical authority and capability to address current and new issues, including prevention and control of biological disasters based on scientific principles;
- 3) sustained interaction with interested parties in order to stay on course and carry out relevant joint programmes and services; and
- 4) the ability to access markets through compliance with existing standards and the implementation of new disciplines such as the harmonisation of standards, equivalence and zoning.

The structure of the OIE *PVS Tool: Aquatic* recognises these four fundamental components.

**First edition of the OIE *PVS Tool: Aquatic***

This is the first edition of the OIE *PVS Tool: Aquatic* for the evaluation of national AAHS. This edition is based on the sixth edition (2013) of the OIE *PVS Tool* and has been modified to facilitate the conduct of evaluations of the AAHS. Some critical competencies have been amended, but the majority of critical competencies in the OIE *PVS Tool* have been used as they are also applicable to the evaluation of AAHS. This *PVS Tool: Aquatic* will be reviewed and amended in an iterative process as we gain experience in its application to the evaluation of AAHS.

**Applying the OIE *PVS Tool: Aquatic***

To establish the current level of performance, critical competencies (CC) with five possible levels of advancement are identified for each of the four fundamental components. A higher level of advancement assumes that the services are complying with the preceding (non 1) levels (e.g. level 3 assumes compliance with level 2 criteria). For each CC, the OIE provides certified PVS assessors with suggested indicators and sources of verification, based on the OIE's extensive experience with the countries following the PVS framework.

Companion publications to the *PVS Tool: Aquatic* include the OIE *Manual for Assessors* and the Guidelines for countries requesting or considering a PVS Evaluation.

Chapter 3.1. of the *Aquatic Animal Health Code (Aquatic Code)* provides the legal base for the OIE quality requirements for AAHS and for the PVS evaluation.

Relevant definitions from the glossary of the *Aquatic Code* may be found in the glossary of terms. The most important *Aquatic Code* references are quoted under each critical competency. Where an appropriate reference does not exist in the *Aquatic Code*, relevant references in the *Terrestrial Animal Health Code* are included.

**Using the results**

More than a diagnostic instrument, the OIE *PVS Tool: Aquatic* promotes a culture of raising awareness and continuous improvement, which can be used passively or actively, depending on the level of interest, priorities and commitment of the AAHS and interested parties. In the passive mode, the OIE *PVS Tool: Aquatic* helps to raise awareness and improve the understanding of all sectors, including other administrations, regarding the fundamental components and critical competencies for effective performance and good governance of national AAHS.

It is in the active mode that maximum outcomes are realised, but this mode requires a sustained commitment on the part of both the public and the private sectors, including relevant interested parties. In this mode, performance is assessed, differences are explored and priorities are established. This mode provides for the establishment of strategic priorities, agreement on necessary investments and commitments to take recommended actions. Continuity of this process requires a true partnership between the public and the private sectors. Leadership on the part of the public sector is a fundamental and critical determinant of success.

**The benefits and outcomes of using the OIE PVS Tool: Aquatic includes:**

- an indication of overall performance for each of the four components and a relative performance rating within each of the critical competencies.
- a basis for comparing the performance of the AAHS with that of other relevant government services in the region or globally, in order to explore areas for cooperation or negotiation. It should be noted that OIE standards provide a framework for importing countries to conduct audits of exporting countries and in particular to check the compliance of exporting countries with OIE standards on quality and evaluation of AAHS.
- It forms the basis for a process of verifying compliance with the OIE standards and assessments of AAHS done by independent OIE- accredited experts, under the auspices of the OIE.
- helping to determine the benefits and costs of investing in AAH and, through the conduct of specific follow-up activities, identifying the actions and securing the investments that are needed to help improve compliance with the OIE standards for good governance.



# GLOSSARY OF TERMS

(Terms defined in the *Aquatic Animal Health Code*  
[Sixteenth edition, 2013] that are used in this publication are reprinted here for reference)

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## ***Aquaculture***

means the farming of aquatic animals with some sort of intervention in the rearing process to enhance production, such as regular stocking, feeding, protection from predators, etc.

## ***Aquatic Animal Health Services***

means the governmental and non-governmental organisations that implement animal health and welfare measures and other standards and recommendations in the *Aquatic Code* in the territory. The *Aquatic Animal Health Services* are under the overall control and direction of the *Competent Authority*. Private sector organisations, *veterinarians* or *aquatic animal health professionals* are normally accredited or approved by the *Competent Authority* to deliver the delegated functions.

## ***Aquatic animal health professional***

means a person who, for the purposes of the *Aquatic Code*, is authorised by the *Competent Authority* to carry out certain designated tasks in a *territory* and has the appropriate qualifications and training to perform the designated tasks.

## ***Aquatic animal health status***

means the status of a country, *zone* or *compartment* with respect to an *aquatic animal disease*, according to the criteria listed in the relevant chapter of the *Aquatic Code* dealing with the *disease*.

## ***Aquatic animal products***

means non-viable *aquatic animals* and products from *aquatic animals*.

## ***Aquatic animals***

means all life stages (including *eggs* and *gametes*) of fish, molluscs, crustaceans and amphibians originating from *aquaculture establishments* or removed from the wild, for farming purposes, for release into the environment, for human consumption or for ornamental purposes.

## ***Aquatic Code***

means the OIE *Aquatic Animal Health Code*.

## ***Aquaculture establishment***

means an establishment in which amphibians, fish, molluscs or crustaceans for breeding, stocking or sale are raised or kept.

## ***Certifying official***

means a person authorised by the *Competent Authority* to sign health certificates for *aquatic animals*.

**Compartment**

means one or more *aquaculture establishments* under a common biosecurity management system containing an *aquatic animal* population with a distinct health status with respect to a specific *disease* or *diseases* for which required *surveillance* and control measures are applied and *basic biosecurity conditions* are met for the purpose of international trade. Such *compartments* must be clearly documented by the *Competent Authority(ies)*.

**Competent Authority**

means the *Veterinary Authority* or other governmental authority of a Member having the responsibility and competence for ensuring or supervising the implementation of *aquatic animal* health and welfare measures, international health certification and other standards and recommendations in the *Aquatic Code* in the whole territory.

**Contingency plan**

means a documented work plan designed to ensure that all needed actions, requirements and resources are provided in order to eradicate or bring under control *outbreaks* of specified *diseases* of *aquatic animals*.

**Disease**

*means* clinical or non-clinical *infection* with one or more aetiological agents.

**Emerging disease**

means a newly recognised *infection* resulting from the evolution or change of an existing *pathogenic agent*, a known *infection* spreading to a new geographic area or population, or a previously *unrecognised pathogenic agent* or a *disease* diagnosed for the first time – and which has a significant impact on *aquatic animal* or public health.

**International aquatic animal health certificate**

means a certificate, issued in conformity with the provisions of Chapter 5.10., describing the *aquatic animal* health and / or public health requirements that should be fulfilled prior to export of *commodity*.

**Listed diseases**

means *diseases* that are referred to in Chapter 1.3. of the *Aquatic Code*. (Synonym: diseases listed by the OIE.)

**Notification**

means the procedure by which:

- a) the *Veterinary Authority* informs the *Headquarters*,
  - b) the *Headquarters* inform *Veterinary Authorities* of Members
- of the occurrence of a *disease*, according to the provisions of Chapter 1.1. of the *Aquatic Code*.

**Risk analysis**

means the complete process composed of *hazard identification*, *risk assessment*, *risk management* and *risk communication*.

**Risk management**

means the process of identifying, selecting and implementing measures that can be applied to *reduce* the level of *risk*.

**Sanitary measure**

*means* a measure, such as those described in various chapters of the *Aquatic Code*, destined to protect *aquatic animal* or human health or life within the *territory* of the OIE Member from *risks* arising from the entry, establishment and / or spread of a *hazard*.

**Surveillance**

means a systematic series of investigations of a given population of *aquatic animals* to detect the occurrence of *disease* for control purposes, and which may involve testing samples of a population.

**Veterinarian**

means a person registered or licensed by the relevant *veterinary statutory body* of a country to practise veterinary medicine / science in that country.

**Veterinary Authority**

means the governmental authority of an OIE Member, comprising *veterinarians*, other professionals and para-professionals, having the responsibility and competence for ensuring or supervising the implementation of *aquatic animal* health and welfare measures, international *aquatic animal* health certification and other standards and recommendations in the *Aquatic Code* in the whole *territory*.

**Veterinary statutory body**

means an autonomous authority regulating *veterinarians* and veterinary para-professionals.

**Zone**

means a portion of one or more countries comprising:

- a) an entire *water catchment* from the source of a waterway to the estuary or lake, or
- b) more than one *water catchment*, or
- c) part of a *water catchment* from the source of a waterway to a barrier that prevents the introduction of a specific *disease* or *diseases*, or
- d) part of a coastal area with a precise geographical delimitation, or
- e) an estuary with a precise geographical delimitation,

that consists of a contiguous hydrological system with a distinct health status with respect to a specific *disease* or *diseases*. The *zones* must be clearly documented (e.g. by a map or other precise locators such as GPS coordinates) by the *Competent Authority(ies)*.



# CHAPTER I

## HUMAN, PHYSICAL AND FINANCIAL RESOURCES

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Institutional and financial sustainability as evidenced by the level of professional / technical physical and financial resources available.

### Critical competencies:

Section I-1	Professional and technical staffing of the Veterinary Services or Aquatic Animal Health Services
Section I-2	Competencies of veterinarians or <i>Aquatic animal health professionals</i> , and other technical personnel
Section I-3	Continuing education
Section I-4	Technical independence
Section I-5	Stability of structures and sustainability of policies
Section I-6	Coordination capability of the Veterinary Services or Aquatic Animal Health Services
Section I-7	Physical resources
Section I-8	Operational funding
Section I-9	Emergency funding
Section I-10	Capital investment
Section I-11	Management of resources and operations

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### *Aquatic Code* references:

Points 1–7, 9 and 14 of Article 3.1.2. on Fundamental principles of quality: Professional judgement / Independence / Impartiality / Integrity / Objectivity / Aquatic animal health legislation and regulations / General organisation / Procedures and standards / Human and financial resources.

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### *Terrestrial Code* references:

Point 1 of Article 3.2.2. on Scope.

Points 1 and 2 of Article 3.2.3. on Evaluation criteria for the organisational structure of the Veterinary Services.

Point 2 of Article 3.2.4. on Evaluation criteria for quality system: 'Where the Veterinary Services undergoing evaluation... than on the resource and infrastructural components of the services'.

Article 3.2.5. on Evaluation criteria for human resources.

Points 1–3 of Article 3.2.6. on Evaluation criteria for material resources: Financial / Administrative / Technical.

Points 3 and Sub-point d) of Point 4 of Article 3.2.10. on Performance assessment and audit programmes: Compliance / In-Service training and development programme for staff.

Article 3.2.12. on Evaluation of the veterinary statutory body.

Points 1–5 and 9 of Article 3.2.14. on Organisation and structure of Veterinary Services / National information on human resources / Financial management information / Administration details / Laboratory services / Performance assessment and audit programmes.



<p><b>I-1 Professional and technical staffing of the Veterinary Services (VS) or Aquatic Animal Health Services (AAHS)</b></p> <p>The appropriate staffing of the VS or AAHS to allow for veterinary and <i>aquatic animal health professionals</i> and technical functions to be undertaken efficiently and effectively.</p> <p><b>A. Veterinary or aquatic animal health professionals (university qualification)</b></p>	<b>Levels of advancement</b>
	<p>1. The majority of veterinary and <i>aquatic animal health professional</i> positions are not occupied by appropriately qualified personnel.</p>
	<p>2. The majority of veterinary and <i>aquatic animal health professional</i> positions are occupied by appropriately qualified personnel at central and state/provincial levels.</p>
	<p>3. The majority of veterinary and <i>aquatic animal health professional</i> positions are occupied by appropriately qualified personnel at local (field) levels.</p>
	<p>4. There is a systematic approach to defining job descriptions and formal appointment procedures for <i>veterinarians</i> and <i>aquatic animal health professionals</i>.</p>
<p>5. There are effective management procedures for performance assessment of <i>veterinarians</i> and <i>aquatic animal health professionals</i>.</p>	

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*Aquatic Code* references:

Points 1–7, 9 and 14 of Article 3.1.2. on Fundamental principles of quality: Professional judgement / Independence / Impartiality / Integrity / Objectivity / Aquatic animal health legislation and regulations / General organisation / Procedures and standards / Human and financial resources.

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*Terrestrial Code* references:

Article 3.2.5. on Evaluation criteria for human resources.

Points 1, 2 and 5 of Article 3.2.14. on Organisation and structure of Veterinary Services / National information on human resources / Laboratory services.

B. Aquatic animal health professional and other technical personnel (non-university level qualification)	Levels of advancement
	1. The majority of <i>aquatic animal health professionals</i> and other technical positions are not occupied by personnel holding appropriate qualifications.
	2. The majority of <i>aquatic animal health professionals</i> and other technical positions at central and state/provincial levels are occupied by personnel holding appropriate qualifications.
	3. The majority of <i>aquatic animal health professionals</i> and other technical positions at local (field) levels are occupied by personnel holding appropriate qualifications.
	4. The majority of <i>aquatic animal health professionals</i> and other technical positions are effectively supervised on a regular basis.
	5. There are effective management procedures for formal appointment and performance assessment of <i>aquatic animal health professionals</i> and other technical personnel.

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*Aquatic Code* references:

Points 1–5 of Article 3.1.2. on Fundamental principles of quality: Professional judgement / Independence / Impartiality / Integrity / Objectivity.

Points 7 and 14 of Article 3.1.2. on Fundamental principles of quality: General organisation / Human and financial resources.

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*Terrestrial Code* references:

Article 3.2.5. on Evaluation criteria for human resources.

Article 3.2.12. on Evaluation of the veterinary statutory body.

Points 1, 2 and 5 of Article 3.2.14. on Organisation and structure of Veterinary Services / National information on human resources / Laboratory services.

<b>I-2 Competencies of veterinarians or Aquatic animal health professionals, and other technical personnel</b>	<b>Levels of advancement</b>
The capability of the VS or AAHS to carry out their veterinary or <i>Aquatic animal health professional</i> practices and technical functions, as measured by the qualifications of their personnel.	1. The <i>veterinarians'</i> or <i>aquatic animal health professionals'</i> practices, knowledge and attitudes are of a variable standard that usually allow for elementary clinical and administrative activities of the VS or AAHS.
<b>A. Professional competencies of veterinary or aquatic animal health professionals (university qualification) including the OIE Day 1 competencies for veterinarians</b>	2. The <i>veterinarians'</i> or <i>aquatic animal health professionals'</i> practices, knowledge and attitudes are of a uniform standard that usually allow for accurate and appropriate clinical and administrative activities of the VS or AAHS.
	3. The <i>veterinarians'</i> or <i>aquatic animal health professionals'</i> practices, knowledge and attitudes usually allow undertaking all professional / technical activities of the VS or AAHS (e.g. epidemiological surveillance, early warning, public health, etc.).
	4. The <i>veterinarians'</i> or <i>aquatic animal health professionals'</i> practices, knowledge and attitudes usually allow undertaking specialised activities as may be needed by the VS or AAHS.
	5. The <i>veterinarians'</i> or <i>aquatic animal health professionals'</i> practices, knowledge and attitudes are subject to regular updating, international harmonisation or evaluation.

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*Aquatic Code* references:

Points 1–5 of Article 3.1.2. on Fundamental principles of quality: Professional judgement / Independence / Impartiality / Integrity / Objectivity.

Points 7 and 14 of Article 3.1.2. on Fundamental principles of quality: General organisation / Human and financial resources.

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*Terrestrial Code* references:

Article 3.2.5. on Evaluation criteria for human resources.

Article 3.2.12. on Evaluation of the veterinary statutory body.

Points 1, 2 and 5 of Article 3.2.14. on Organisation and structure of Veterinary Services / National information on human resources / Laboratory services.

B. Competencies of <i>Aquatic animal health professional</i> and other technical personnel (non-university qualification) level	Levels of advancement
	1. The majority of <i>aquatic animal health professional</i> and other technical personnel have no formal entry-level training.
	2. The training of <i>aquatic animal health professional</i> and other technical personnel is of a variable standard and allows the development of only basic competencies.
	3. The training of <i>aquatic animal health professional</i> and other technical personnel is of a uniform standard that allows the development of only basic specific competencies.
	4. The training of <i>aquatic animal health professional</i> and other technical personnel is of a uniform standard that allows the development of some advanced competencies.
	5. The training of <i>aquatic animal health professional</i> and other technical personnel is of a uniform standard and is subject to regular evaluation and / or updating.

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*Aquatic Code* references:

Points 1–5 of Article 3.1.2. on Fundamental principles of quality: Professional judgement / Independence / Impartiality / Integrity / Objectivity.

Points 7 and 14 of Article 3.1.2. on Fundamental principles of quality: General organisation / Human and financial resources.

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*Terrestrial Code* references:

Article 3.2.5. on Evaluation criteria for human resources.

Article 3.2.12. on Evaluation of the veterinary statutory body.

Points 1, 2 and 5 of Article 3.2.14. on Organisation and structure of Veterinary Services / National information on human resources / Laboratory services.

<b>I-3 Continuing education (CE)<sup>1</sup></b>	<b>Levels of advancement</b>
The capability of the VS or AAHS to maintain and improve the competence of their personnel in terms of relevant information and understanding, as measured in terms of the implementation of a relevant training programme.	1. The VS or AAHS have no access to veterinary, professional or technical CE.
	2. The VS or AAHS have access to CE (internal and / or external programmes) on an irregular basis but it does not take into account needs, or new information or understanding.
	3. The VS or AAHS have access to CE that is reviewed annually and updated as necessary, but it is implemented only for some categories of the relevant personnel.
	4. The VS or AAHS have access to CE that is reviewed annually and updated as necessary, and it is implemented for all categories of the relevant personnel.
	5. The VS or AAHS have up-to-date CE that is implemented for all relevant personnel and is subject to regular evaluation of effectiveness.

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*Aquatic Code* references:

Points 1, 7 and 14 of Article 3.1.2. on Fundamental principles of quality: Professional judgement / General organisation / Human and financial resources.

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*Terrestrial Code* references:

Article 3.2.5. on Evaluation criteria for human resources.

Sub-point d) of Point 4 of Article 3.2.10. on Veterinary Services administration: In-service training and development programme for staff.

Point 9 of Article 3.2.14. on Performance assessment and audit programmes.

<sup>1</sup> Continuing education includes Continuous Professional Development (CPD) for veterinary, or aquatic animal health professional and other technical personnel.

<b>I-4 Technical independence</b>	<b>Levels of advancement</b>
<p>The capability of the VS or AAHS to carry out their duties with autonomy and free from commercial, financial, hierarchical and political influences that may affect technical decisions in a manner contrary to the provisions of the OIE (and of the WTO SPS Agreement where applicable).</p>	1. The technical decisions made by the VS or AHHS are generally not based on scientific considerations.
	2. The technical decisions take into account the scientific evidence, but are routinely modified to conform to non-scientific considerations.
	3. The technical decisions are based on scientific evidence but are subject to review and possible modification based on non-scientific considerations.
	4. The technical decisions are made and implemented in general accordance with the country's OIE obligations (and with the country's WTO SPS Agreement obligations where applicable).
	5. The technical decisions are based only on scientific evidence and are not changed to meet non-scientific considerations.

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*Aquatic Code* reference:

Point 2 of Article 3.1.2. on Fundamental principles of quality: Independence.

<b>I-5 Stability of structures and sustainability of policies</b>	<b>Levels of advancement</b>
The capability of the VS or AAHS structure and / or leadership to implement and sustain policies over time.	1. Substantial changes to the organisational structure and / or leadership of the public sector of the VS or AAHS frequently occur (e.g. annually) resulting in a lack of sustainability of policies.
	2. Sustainability of policies is affected by changes in the political leadership and / or the structure and leadership of VS or AAHS.
	3. Sustainability of policies is not affected or is slightly affected by changes in the political leadership and / or the structure and leadership of VS or AAHS.
	4. Policies are sustained over time through national strategic plans and frameworks and are not affected by changes in the political leadership and / or the structure and leadership of VS or AAHS.
	5. Policies are sustained over time and the structure and leadership of the VS or AAHS are stable. Modifications are based on an evaluation process, with positive effects on the sustainability of policies.

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*Terrestrial Code* references:

- Point 1 of Article 3.2.3. on Evaluation criteria for the organisational structure of the Veterinary Services.
- Point 9 of Article 3.2.14. on Performance assessment and audit programmes.

<b>I-6 Coordination capability of the VS or AAHS</b>	<b>Levels of advancement</b>
<p data-bbox="199 392 614 448"><b>A. Internal coordination (chain of command)</b></p> <p data-bbox="199 492 614 784">The capability of the VS or AAHS to coordinate its resources and activities (public and private sectors) with a clear chain of command, from the central level to the field level of the VS or AAHS in order to implement all national activities relevant for OIE <i>Codes</i> (i.e. <i>surveillance</i>, disease control and eradication, food safety and early detection and rapid response programmes).</p>	1. There is no formal internal coordination and the chain of command is not clear.
	2. There are internal coordination mechanisms for some activities but the chain of command is not clear.
	3. There are internal coordination mechanisms and a clear and effective chain of command for some activities.
	4. There are internal coordination mechanisms and a clear and effective chain of command at the national level for most activities.
	5. There are internal coordination mechanisms and a clear and effective chain of command for all activities and these are periodically reviewed / audited and updated.

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*Aquatic Code* references:

Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulation / General organisation / Procedures and standards.

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*Terrestrial Code* references:

Article 3.2.2. on Scope.

Points 1 and 2 of Article 3.2.3. on Evaluation criteria for the organisational structure of the Veterinary Services.

<b>B. External coordination</b>	<b>Levels of advancement</b>
<p>The capability of the VS or AAHS to coordinate its resources and activities (public and private sectors) at all levels with other relevant authorities as appropriate, in order to implement all national activities relevant for OIE Codes (i.e. <i>surveillance</i>, disease control and eradication, food safety and early detection and rapid response programmes).</p> <p>Relevant authorities include other ministries and <i>Competent Authorities</i>, national agencies and decentralised institutions.</p>	1. There is no external coordination.
	2. There are informal external coordination mechanisms for some activities, but the procedures are not clear and / or external coordination occurs irregularly.
	3. There are formal external coordination mechanisms with clearly described procedures or agreements for some activities and / or sectors.
	4. There are formal external coordination mechanisms with clearly described procedures or agreements at the national level for most activities, and these are uniformly implemented throughout the country.
	5. There are national external coordination mechanisms for all activities and these are periodically reviewed and updated.

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*Aquatic Code* references:

Points 7 and 9 of Article 3.1.2. on Fundamental principles of quality: General organisation / Procedures and standards.

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*Terrestrial Code* references:

Article 3.2.2. on Scope.

Points 1 and 2 of Article 3.2.3. on Evaluation criteria for the organisational structure of the Veterinary Services.

Point 4 of Article 3.2.10 on Performance assessment and audit programmes.

<b>I-7 Physical resources</b>	<b>Levels of advancement</b>
The access of the VS or AAHS to relevant physical resources including buildings, transport, telecommunications, cold chain, and other relevant equipment (e.g. computers).	1. The VS or AAHS have no or unsuitable physical resources at almost all levels and maintenance of existing infrastructure is poor or non-existent.
	2. The VS or AAHS have suitable physical resources at national (central) level and at some regional levels, and maintenance and replacement of obsolete items occurs only occasionally.
	3. The VS or AAHS have suitable physical resources at national, regional and some local levels and maintenance and replacement of obsolete items occurs only occasionally.
	4. The VS or AAHS have suitable physical resources at all levels and these are regularly maintained.
	5. The VS or AAHS have suitable physical resources at all levels (national, sub-national and local levels) and these are regularly maintained and updated as more advanced and sophisticated items become available.

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*Terrestrial Code references:*

Point 2 of Article 3.2.4. on Evaluation criteria for quality system: 'Where the Veterinary Services undergoing evaluation... than on the resource and infrastructural components of the services'.

Points 2 and 3 of Article 3.2.6. on Evaluation criteria for material resources: Administrative / Technical.

Point 3 of Article 3.2.10. on Performance assessment and audit programmes: Compliance.

Point 4 of Article 3.2.14. on Administration details.

<b>I-8 Operational funding</b>	<b>Levels of advancement</b>
The ability of the VS or AAHS to access financial resources adequate for their continued operations, independent of political pressure.	1. Funding for the VS or AAHS is neither stable nor clearly defined but depends on resources allocated irregularly.
	2. Funding for the VS or AAHS is clearly defined and regular, but is inadequate for their required base operations (i.e. disease <i>surveillance</i> , early detection and rapid response and veterinary public health).
	3. Funding for the VS or AAHS is clearly defined and regular, and is adequate for their base operations, but there is no provision for new or expanded operations.
	4. Funding for new or expanded operations is on a case-by-case basis, not always based on <i>risk analysis</i> and / or cost-benefit analysis.
	5. Funding for all aspects of VS or AAHS activities is adequate; all funding is provided under full transparency and allows for full technical independence, based on <i>risk analysis</i> and / or cost-benefit analysis.

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*Aquatic Code* references:

Points 6 and 14 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / Human and financial resources.

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*Terrestrial Code* references:

Point 1 of Article 3.2.6. on Evaluation criteria for material resources: Financial.  
Point 3 of Article 3.2.14. on Financial management information.

<b>I-9 Emergency funding</b>	<b>Levels of advancement</b>
<p>The capability of the VS or AAHS to access extraordinary financial resources in order to respond to emergency situations or emerging issues, as measured by the ease with which contingency and compensatory funding (i.e. arrangements for compensation of producers in emergency situations) can be made available when required.</p>	1. No funding arrangements exist and there is no provision for emergency financial resources.
	2. Funding arrangements with limited resources have been established, but these are inadequate for expected emergency situations (including emerging issues).
	3. Funding arrangements with limited resources have been established; additional resources for emergencies may be approved but approval is through a political process.
	4. Funding arrangements with adequate resources have been established, but in an emergency situation their operation must be agreed through a non-political process on a case-by-case basis.
	5. Funding arrangements with adequate resources have been established and their rules of operation documented and agreed with interested parties.

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*Aquatic Code* references:

Points 6 and 14 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / Human and financial resources.

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*Terrestrial Code* references:

Point 1 of Article 3.2.6. on Evaluation criteria for material resources: Financial.  
Point 3 of Article 3.2.14. on Financial management information.

<b>I-10 Capital investment</b>	<b>Levels of advancement</b>
The capability of the VS or AAHS to access funding for basic and additional investments (material and non-material) that lead to a sustained improvement in the VS operational infrastructure.	1. There is no capability to establish, maintain or improve the operational infrastructure of the VS or AAHS.
	2. The VS or AAHS occasionally develops proposals and secures funding for the establishment, maintenance or improvement of operational infrastructure, but this is normally through extraordinary allocations.
	3. The VS or AAHS regularly secures funding for maintenance and improvements of operational infrastructure, through allocations from the national budget or from other sources, but there are constraints on the use of these allocations.
	4. The VS or AAHS routinely secures adequate funding for the necessary maintenance and improvement in operational infrastructure.
	5. The VS or AAHS systematically secures adequate funding for the necessary improvements in operational infrastructure, with participation from interested parties as required.

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*Aquatic Code* reference:

Point 14 of Article 3.1.2. on Fundamental principles of quality: Human and financial resources.

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*Terrestrial Code* references:

Point 1 of Article 3.2.6. on Evaluation criteria for material resources: Financial.

Point 3 of Article 3.2.14. on Financial management information.

<b>I-11. Management of resources and operations</b>	<b>Levels of advancement</b>
The capability of the VS or AAHS to document and manage their resources and operations in order to analyse, plan and improve both efficiency and effectiveness.	1. The VS or AAHS do not have adequate records or documented procedures to allow appropriate management of resources and operations.
	2. The VS or AAHS have adequate records and / or documented procedures but do not use these for management, analysis, control or planning.
	3. The VS or AAHS have adequate records, documentation and management systems and use these to a limited extent for the control of efficiency and effectiveness.
	4. The VS or AAHS regularly analyse records and documented procedures to improve efficiency and effectiveness.
	5. The VS or AAHS have fully effective management systems, which are regularly audited and permit a proactive continuous improvement of efficiency and effectiveness.

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*Aquatic Code* references:

Points 7, 11 and 14 of Article 3.1.2. on Fundamental principles of quality: General organisation / Documentation / Human and financial resources.

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*Terrestrial Code* references:

Point 4 of Article 3.2.1. on General considerations.

Point 1 of Article 3.2.2. on Scope.

Article 3.2.6. on Evaluation criteria for material resources.

Article 3.2.10. on Performance assessment and audit programmes.

# CHAPTER II

## TECHNICAL AUTHORITY AND CAPABILITY

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The authority and capability of the VS or AAHS to develop and apply sanitary measures and science-based procedures supporting those measures.

For all sections of this chapter, the critical competency includes collaboration with relevant authorities, including other ministries and *Competent Authorities*, national agencies and decentralised institutions that share authority or have mutual interest in relevant areas.

### Critical competencies:

Section II-1	Laboratory diagnosis
Section II-2	Laboratory quality assurance
Section II-3	Risk analysis
Section II-4	Quarantine and border security
Section II-5	Epidemiological surveillance and early detection
Section II-6	Emergency response
Section II-7	Disease prevention, control and eradication
Section II-8	Food safety
Section II-9	Veterinary medicines and biologicals
Section II-10	Residue testing
Section II-11	Aquatic animal feed safety
Section II-12	Traceability
Section II-13	Welfare of farmed fish

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#### *Aquatic Code* references:

- Chapter 2.2. on Import risk analysis.
- Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.
- Chapter 6.2. on Introduction to the recommendations for controlling antimicrobial resistance.
- Chapter 6.3. on Principles for responsible and prudent use of antimicrobial agents in aquatic animals.
- Chapter 6.4. on Monitoring of the quantities and usage patterns of antimicrobial agents used in aquatic animals.
- Chapter 6.5. on Development and harmonisation of national antimicrobial resistance surveillance and monitoring programmes for aquatic animals.
- Chapter 7.1. on Introduction to the recommendations for the welfare of farmed fish.
- Chapter 7.2. on Welfare of farmed fish during transport.
- Chapter 7.3. on Welfare aspects of stunning and killing of farmed fish for human consumption.
- Chapter 7.4. on Killing of farmed fish for disease control purposes.

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#### *Terrestrial Code* references:

- Point 1 of Article 3.2.4. on Evaluation criteria for quality systems.
- Point 3 of Article 3.2.6. on Evaluation criteria for material resources: Technical.
- Points 1 and 2 of Article 3.2.7. on Legislation and functional capabilities: Animal health, animal welfare and veterinary public health / Export / import inspection.
- Points 1–3 of Article 3.2.8. on Animal health controls: Animal health status / Animal health control / National animal disease reporting systems.
- Points 1–5 of Article 3.2.9. on Veterinary public health controls: Food hygiene / Zoonoses / Chemical residue testing programmes / Veterinary medicines/ Integration between animal health controls and veterinary public health.
- Sub-point f) of Point 4 of Article 3.2.10. on Veterinary Services administration: Formal linkages with sources of independent scientific expertise.
- Points 2 and 5–7 of Article 3.2.14. on National information on human resources / Laboratory services / Veterinary legislation, regulations and functional capabilities / Animal health and veterinary public health controls.

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#### Codex Alimentarius Commission standards:

- General Principles of Food Hygiene (CAC/RCP 1-1969).
- Code of practice for fish and fishery products (CAC/RCP 52-2003).



II-1 Laboratory diagnosis	Levels of advancement
<p><b>A. Access to laboratory diagnosis</b></p> <p>The authority and capability of the VS or AAHS to have access to laboratory diagnosis in order to identify and record pathogenic agents, including those relevant for public health, that can adversely affect <i>aquatic animals</i> and <i>aquatic animal products</i>.</p>	<p>1. Disease diagnosis is almost always conducted by clinical means only, with no access to and use of a laboratory to obtain a correct diagnosis.</p>
	<p>2. For major <i>diseases</i> of national economic importance, the VS or AAHS have access to and use a laboratory to obtain a correct diagnosis.</p>
	<p>3. For other <i>diseases</i> present in the country, the VS or AAHS have access to and use a laboratory to obtain a correct diagnosis.</p>
	<p>4. For <i>diseases</i> of economic importance not present in the country, but known to exist in the region and/ or that could enter the country, the VS or AAHS have access to and use a laboratory to obtain a correct diagnosis.</p>
	<p>5. In the case of new and <i>emerging diseases</i> in the region or world, the VS or AAHS have access to and use a network of national or international reference laboratories (e.g. an OIE Reference Laboratory) to obtain a correct diagnosis.</p>

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*Aquatic Code* reference:

Point 9 of Article 3.1.2. on Fundamental principles of quality: Procedures and standards.

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*Terrestrial Code* references:

Point 3 of Article 3.2.6. on Evaluation criteria for material resources: Technical.

Point 5 of Article 3.2.14. on Laboratory services.

II-1 Laboratory diagnosis	Levels of advancement
<p data-bbox="201 367 616 421"><b>B. Suitability of national laboratory infrastructures</b></p> <p data-bbox="201 465 616 568">The sustainability, effectiveness and efficiency of the national (public and private) laboratory infrastructures to service the needs of the VS or AAHS.</p>	1. The national laboratory infrastructure does not meet the need of the VS or AAHS.
	2. The national laboratory infrastructure meets partially the needs of the VS or AAHS, but is not entirely sustainable, as organisational deficiencies with regard to the effective and efficient management of resources and infrastructure (including maintenance) are apparent.
	3. The national laboratory infrastructure generally meets the needs of the VS or AAHS. Resources and organisation appear to be managed effectively and efficiently, but their regular funding is inadequate to support a sustainable and regularly maintained infrastructure.
	4. The national laboratory infrastructure generally meets the needs of the VS or AAHS and is subject to timely maintenance programmes but needs new investments in certain aspects (e.g. accessibility to laboratories, number or type of analyses).
	5. The national laboratory infrastructure meets the needs of the VS or AAHS, and is sustainable and regularly audited.

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*Aquatic Code* references:

Point 9 of Article 3.1.2. on Fundamental principles of quality: Procedures and standards.

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*Terrestrial Code* references:

Point 1 of Article 3.2.4. on Evaluation criteria for quality systems.

Point 3 of Article 3.2.6. on Evaluation criteria for material resources: Technical.

Point 5 of Article 3.2.14. on Laboratory services.

<b>II-2 Laboratory quality assurance</b>	<b>Levels of advancement</b>
The quality of laboratories as measured by the use of formal (QA) systems, including, but not limited to, participation in relevant proficiency testing programmes.	1. No laboratories used by the public sector VS or AAHS are using formal QA systems.
	2. Some laboratories used by the public sector VS or AAHS are using formal QA systems.
	3. All laboratories used by the public sector VS or AAHS are using formal QA systems.
	4. All the laboratories used by the public sector VS or AAHS and most or all private laboratories are using formal QA systems.
	5. All the laboratories used by the public sector VS or AAHS and most or all private laboratories are using formal QA programmes that meet OIE, ISO 17025, or equivalent QA standard guidelines.

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*Aquatic Code* reference:

Point 9 of Article 3.1.2. on Fundamental principles of quality: Procedures and standards.

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*Terrestrial Code* references:

Point 1 of Article 3.2.4. on Evaluation criteria for quality systems.

Point 3 of Article 3.2.6. on Evaluation criteria for material resources: Technical.

Point 5 of Article 3.2.14. on Laboratory services.

<b>II-3 Risk analysis</b>	<b>Levels of advancement</b>
The authority and capability of the VS or AAHS to base its <i>risk management</i> measures on <i>risk assessment</i> .	1. <i>Risk management</i> measures are not usually supported by <i>risk assessment</i> .
	2. The VS or AAHS compile and maintain data but do not have the capability to carry out <i>risk analysis</i> . Some <i>risk management</i> measures are based on <i>risk assessment</i> .
	3. The VS or AAHS compile and maintain data and have the capability to carry out <i>risk analysis</i> . The majority of <i>risk management</i> measures are based on <i>risk assessment</i> .
	4. The VS or AAHS conduct <i>risk analysis</i> in compliance with relevant OIE standards, and base their <i>risk management</i> measures on the outcomes of <i>risk assessment</i> .
	5. The VS or AAHS are consistent in basing sanitary measures on <i>risk assessment</i> , and in communicating their procedures and outcomes internationally, meeting all their OIE obligations (including WTO SPS Agreement obligations where applicable).

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*Aquatic Code* reference:

Section 2 on Risk analysis.

<b>II-4 Quarantine and border security</b>	<b>Levels of advancement</b>
The authority and capability of the VS or AAHS to prevent the entry and spread of <i>diseases</i> and other hazards of <i>aquatic animals</i> and <i>aquatic animal products</i> .	1. The VS or AAHS cannot apply any type of quarantine or border security procedures for <i>aquatic animals</i> or <i>aquatic animal products</i> with their neighbouring countries or trading partners.
	2. The VS or AAHS can establish and apply quarantine and border security procedures; however, these are generally based neither on international standards nor on a <i>risk analysis</i> .
	3. The VS or AAHS can establish and apply quarantine and border security procedures based on international standards, but the procedures do not systematically address illegal activities <sup>2</sup> relating to the import of <i>aquatic animals</i> and <i>aquatic animal products</i> .
	4. The VS or AAHS can establish and apply quarantine and border security procedures which systematically address legal pathways and illegal activities.
	5. The VS or AAHS work with their neighbouring countries and trading partners to establish, apply and audit quarantine and border security procedures which systematically address all risks identified.

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*Aquatic Code* references:

Points 6 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / Procedures and standards.

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*Terrestrial Code* references:

Point 2 of Article 3.2.7. on Legislation and functional capabilities: Export / import inspection.  
 Points 6 and 7 of Article 3.2.14. on Veterinary legislation, regulations and functional capabilities / Animal health and veterinary public health controls.

<sup>2</sup> Illegal activities include attempts to gain entry for aquatic animals or aquatic animal products other than through legal entry points and / or using certification and / or other procedures not meeting the country's requirements.

<b>II-5 Epidemiological surveillance and early detection</b>	<b>Levels of advancement</b>
<p>The authority and capability of the VS or AAHS to determine, verify and report on the sanitary status of the aquatic animal populations, including wildlife, under their mandate.</p> <p><b>A. Passive epidemiological surveillance</b></p>	1. The VS or AAHS have no passive surveillance programme.
	2. The VS or AAHS conduct passive <i>surveillance</i> for some relevant <i>diseases</i> and have the capacity to produce national reports on some <i>diseases</i> .
	3. The VS or AAHS conduct passive <i>surveillance</i> in compliance with OIE standards for some relevant <i>diseases</i> at the national level through appropriate networks in the field, whereby samples from suspect cases are collected and sent for laboratory diagnosis with evidence of correct results obtained. The VS have a basic national disease reporting system.
	4. The VS or AAHS conduct passive <i>surveillance</i> and report at the national level in compliance with OIE standards for most relevant <i>diseases</i> . Producers and other interested parties are aware of and comply with their obligation to report the suspicion and occurrence of <i>notifiable diseases</i> to the VS.
	5. The VS or AAHS regularly report to producers and other interested parties and the international community (where applicable) on the findings of passive surveillance programmes.

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*Aquatic Code* references:

Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.  
 Chapter 1.4. on Aquatic animal health surveillance.

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*Terrestrial Code* references:

Points 1–3 of Article 3.2.8. on Animal health controls: Animal health status / Animal health control / National animal disease reporting systems.  
 Sub-points a) i), ii) and iii) of Point 7 of Article 3.2.14. on Animal health: Description of and sample reference data from any national animal disease reporting system controlled and operated or coordinated by the *Veterinary Services* / Description of and sample reference data from other national animal disease reporting systems controlled and operated by other organisations which make data and results available to *Veterinary Services* / Description and relevant data of current official control programmes including: ... or eradication programmes for specific diseases.

B. Active surveillance epidemiological	Levels of advancement
	1. The VS or AAHS have no active <i>surveillance</i> programme.
	2. The VS or AAHS conduct active <i>surveillance</i> for some relevant <i>diseases</i> (of economic and zoonotic importance) but apply it only in a part of susceptible populations and / or do not update it regularly.
	3. The VS or AAHS conduct active <i>surveillance</i> in compliance with scientific principles and OIE standards for some relevant <i>diseases</i> and apply it to all susceptible populations but do not update it regularly.
	4. The VS or AAHS conduct active <i>surveillance</i> in compliance with scientific principles and OIE standards for some relevant <i>diseases</i> , apply it to all susceptible populations, update it regularly and report the results systematically.
	5. The VS or AAHS conduct active <i>surveillance</i> for most or all relevant <i>diseases</i> and apply it to all susceptible populations. The surveillance programmes are evaluated and meet the country's OIE obligations.

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*Aquatic Code* references:

Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.  
 Chapter 1.4. on Aquatic animal health surveillance.

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*Terrestrial Code* references:

Points 1–3 of Article 3.2.8. on Animal health controls: Animal health status / Animal health control / National animal disease reporting systems.  
 Sub-points a) i), ii) and iii) of Point 7 of Article 3.2.14.

<b>II-6 Emergency response</b>	<b>Levels of advancement</b>
<p>The authority and capability of the VS or AAHS to respond rapidly to a sanitary emergency (such as a significant disease outbreak or food safety emergency).</p>	<p>1. The VS or AAHS have no field network or established procedure to determine whether a sanitary emergency exists or the authority to declare such an emergency and respond appropriately.</p>
	<p>2. The VS or AAHS have a field network and an established procedure to determine whether or not a sanitary emergency exists but lack the necessary legal and financial support to respond appropriately.</p>
	<p>3. The VS or AAHS have the legal framework and financial support to respond rapidly to sanitary emergencies, but the response is not coordinated through a chain of command. They may have national <i>contingency plans</i> for some exotic aquatic animal <i>diseases</i> but they are not updated / tested.</p>
	<p>4. The VS or AAHS have an established procedure to make timely decisions on whether or not a sanitary emergency exists. The VS or AAHS have the legal framework and financial support to respond rapidly to sanitary emergencies through a chain of command. They have national <i>contingency plans</i> for some exotic <i>diseases</i> that are regularly updated / tested.</p>
	<p>5. The VS or AAHS have national <i>contingency plans</i> for all <i>diseases</i> of concern, including coordinated actions with relevant <i>Competent Authorities</i>, all producers and other interested parties through a chain of command. These are regularly updated, tested and audited.</p>

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*Aquatic Code* references:

Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.

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*Terrestrial Code* references:

Points 1–3 of Article 3.2.8. on Animal health controls: Animal health status / Animal health control / National animal disease reporting systems.

Sub-point a) of Point 7 of Article 3.2.14. on Animal health and veterinary public health controls: Animal health.

<b>II-7 Disease prevention, control and eradication</b>	<b>Levels of advancement</b>
The authority and capability of the VS or AAHS to actively perform actions to prevent, control or eradicate OIE-listed diseases and / or to demonstrate that the country or a zone are free of relevant diseases.	1. The VS or AAHS have no authority or capability to prevent, control or eradicate aquatic animal diseases.
	2. The VS or AAHS implement prevention, control or eradication programmes for some diseases and / or in some areas with little or no scientific evaluation of their efficacy and efficiency.
	3. The VS or AAHS implement prevention, control or eradication programmes for some diseases and / or in some areas with scientific evaluation of their efficacy and efficiency.
	4. The VS or AAHS implement prevention, control or eradication programmes for all relevant diseases but with scientific evaluation of their efficacy and efficiency of some programmes.
	5. The VS or AAHS implement prevention, control or eradication programmes for all relevant diseases with scientific evaluation of their efficacy and efficiency consistent with relevant OIE international standards.

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*Aquatic Code* references:

Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.  
 Chapter 4.6. on Handling, disposal and treatment of aquatic animal waste.

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*Terrestrial Code* references:

Points 1–3 of Article 3.2.8. on Animal health controls: Animal health status / Animal health control / National animal disease reporting systems.  
 Sub-point a) of Point 7 of Article 3.2.14. on Animal health and veterinary public health controls: Animal health.

II-8 Food safety	Levels of advancement
<p><b>A. Regulation, authorisation and inspection of establishments for production, processing and distribution of food of aquatic animal origin</b></p> <p>The authority and capability of the VS or AAHS to establish and enforce sanitary standards for establishments that produce, process and distribute food of aquatic animal origin.</p>	1. Regulation, authorisation and inspection of relevant establishments are generally not undertaken in conformity with international standards.
	2. Regulation, authorisation and inspection of relevant establishments are undertaken in conformity with international standards in some of the major or selected premises (e.g. only at export premises).
	3. Regulation, authorisation and inspection of relevant establishments are undertaken in conformity with international standards in all premises supplying throughout the national market.
	4. Regulation, authorisation and inspection of relevant establishments (and coordination, as required) are undertaken in conformity with international standards for premises supplying national and local markets.
	5. Regulation, authorisation and inspection of relevant establishments (and coordination, as required) are undertaken in conformity with international standards at all premises (including on-farm establishments).

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Codex Alimentarius Commission standards:

General Principles of Food Hygiene (CAC/RCP 1-1969).

Code of practice for fish and fishery products (CAC/RCP 52-2003).

<b>B. Inspection of collection, slaughter, processing and distribution of products of aquatic animal origin</b>	<b>Levels of advancement</b>
<p>The authority and capability of the VS or AAHS to inspect, manage, implement and coordinate aquatic animal production and food safety in relation to the collection, slaughter, processing and distribution of <i>products of aquatic animals</i>.</p>	<p>1. Inspection, management, implementation and coordination (as appropriate) are generally not undertaken in conformity with international standards, including collection of disease information.</p>
	<p>2. Inspection, management, implementation and coordination (as appropriate) are generally undertaken in conformity with international standards only for export purposes, including collection of disease information.</p>
	<p>3. Inspection, management, implementation and coordination (as appropriate) are generally undertaken in conformity with international standards only for export purposes and for products that are distributed throughout the national market, including collection of disease information.</p>
	<p>4. Inspection, management, implementation and coordination (as appropriate) are generally undertaken in conformity with international standards for export purposes and for products that are distributed throughout the national and local markets, including collection of disease information.</p>
	<p>5. Inspection, management, implementation and coordination (as appropriate) are undertaken in full conformity with international standards for products at all levels of distribution (including national and local markets and direct sales), including collection of disease information.</p>

[Note: This critical competency primarily refers to inspection of processed aquatic animal products. It may in some countries be undertaken by an agency other than the VS or AAHS.]

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**Aquatic Code references:**

Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.

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**Terrestrial Code references:**

Points 1–5 of Article 3.2.9. on Veterinary public health controls: Food hygiene / Zoonoses / Chemical residue testing programmes / Veterinary medicines / Integration between animal health controls and veterinary public health.

Points 2, 6 and 7 of Article 3.2.14. on National information on human resources / Veterinary legislation, regulations and functional capabilities / Animal health and veterinary public health controls.

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**Codex Alimentarius Commission standards:**

General Principles of Food Hygiene (CAC/RCP 1-1969).

Code of practice for fish and fishery products (CAC/RCP 52-2003).

<b>II-9 Veterinary medicines and biologicals</b>	<b>Levels of advancement</b>
<p>The authority and capability of the VS or AAHS to regulate veterinary medicines and veterinary biologicals, in order to ensure their responsible and prudent use, i.e. the marketing authorisation, registration, import, manufacture, quality control, export, labelling, advertising, distribution, sale (includes dispensing) and use (includes prescribing) of these products.</p>	1. The VS or AAHS cannot regulate veterinary medicines and veterinary biologicals.
	2. The VS or AAHS have some capability to exercise regulatory and administrative control over veterinary medicines and veterinary biologicals in order to ensure their responsible and prudent use.
	3. The VS or AAHS exercise regulatory and administrative control for most aspects related to the control over veterinary medicines and veterinary biologicals in order to ensure their responsible and prudent use.
	4. The VS or AAHS exercise comprehensive and effective regulatory and administrative control of veterinary medicines and veterinary biologicals.
	5. The control systems are regularly audited, tested and updated when necessary.

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*Aquatic Code* references:

Points 6 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / Procedures and standards.

Chapter 6.2. on Introduction to the recommendations for controlling antimicrobial resistance.

Chapter 6.3. on Principles for responsible and prudent use of antimicrobial agents in aquatic animals.

Chapter 6.4. on Monitoring of the quantities and usage patterns of antimicrobial agents used in aquatic animals.

Chapter 6.5. on Development and harmonisation of national antimicrobial resistance surveillance and monitoring programmes for aquatic animals.

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*Terrestrial Code* references:

Points 3 and 4 of Article 3.2.9. on Veterinary public health controls: Chemical residue testing programmes / Veterinary medicines.

Sub-point a) ii) of Point 6 of Article 3.2.14.

<b>II-10 Residue testing</b>	<b>Levels of advancement</b>
The capability of the VS or AAHS to undertake residue testing programmes for veterinary medicines, chemicals, pesticides, radionuclides, metals, etc.	1. No residue testing programme for <i>aquatic animal products</i> exists in the country.
	2. Some residue testing programme is performed but only for selected <i>aquatic animal products</i> for export.
	3. A comprehensive residue testing programme is performed for all <i>aquatic animal products</i> for export and some for domestic consumption.
	4. A comprehensive residue testing programme is performed for all <i>aquatic animal products</i> for export and domestic consumption.
	5. The residue testing programme is subject to routine quality assurance and regular evaluation.

[Note: This critical competency may in some countries be undertaken by an agency or agencies other than the VS or AAHS.]

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**Aquatic Code references:**

Points 3 and 4 of Article 3.2.9. on Veterinary public health controls: Chemical residue testing programmes / Veterinary medicines.

Sub-points b) iii) and iv) of Point 7 of Article 3.2.14. on Veterinary public health: Chemical residue testing programmes / Veterinary medicines.

<b>II-11 Aquatic animal feed safety</b>	<b>Levels of advancement</b>
<p>The authority and capability of the VS or AAHS to regulate aquatic animal feed safety, e.g. processing, handling, storage, distribution and use of both commercial and on-farm produced aquatic animal feed and feed ingredients.</p>	1. The VS or AAHS cannot regulate aquatic animal feed safety.
	2. The VS or AAHS have some capability to exercise regulatory and administrative control over aquatic animal feed safety.
	3. The VS or AAHS exercise regulatory and administrative control for most aspects of aquatic animal feed safety.
	4. The VS or AAHS exercise comprehensive and effective regulatory and administrative control of aquatic animal feed safety.
	5. The control systems are regularly audited, tested and updated when necessary.

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*Aquatic Code* reference:

Chapter 6.1. on Control of hazards in aquatic animal feed.

II-12. Traceability	Levels of advancement
<p data-bbox="199 376 614 430"><b>A Aquatic animal movement control</b></p> <p data-bbox="199 474 614 654">The authority and capability of the VS or AAHS, normally in coordination with producers and other interested parties, to trace their history, location and movement for the purpose of aquatic animal disease control, food safety or trade.</p>	1. The VS or AAHS do not have the authority or the capability to trace <i>aquatic animals</i> or control their movements.
	2. The VS or AAHS can trace some <i>aquatic animals</i> and control some movements, using traditional methods and / or actions designed and implemented to deal with a specific problem.
	3. The VS or AAHS implement procedures for <i>aquatic animal</i> traceability and movement control for specific <i>aquatic animal</i> sub-populations as required for disease control, in accordance with relevant international standards.
	4. The VS or AAHS implement all relevant <i>aquatic animal</i> traceability and movement control procedures, in accordance with relevant international standards.
	5. The VS or AAHS carry out periodic audits of the effectiveness of their traceability and movement control systems.

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*Aquatic Code* reference:

Point 6 of Article 3.1.2. on Aquatic animal health legislation and regulations.

<b>B. Traceability of products of aquatic animal origin</b>	<b>Levels of advancement</b>
<p>The authority and capability of the VS or AAHS, normally in coordination with producers and other interested parties, to trace products of aquatic animal origin for the purpose of food safety, aquatic animal health or trade.</p>	1. The VS or AAHS do not have the authority or the capability to trace products of aquatic animal origin.
	2. The VS or AAHS can trace some products of aquatic animal origin to deal with a specific problem (e.g. products originating from farms affected by a disease outbreak).
	3. The VS or AAHS have implemented procedures to trace some products of aquatic animal origin for food safety, aquatic animal health and trade purposes, in accordance with relevant international standards.
	4. The VS or AAHS have implemented national programmes enabling them the tracing of all products of aquatic animal origin, in accordance with relevant international standards.
	5. The VS or AAHS periodically audit the effectiveness of their traceability procedures.

*[Note: This critical competency may in some countries be undertaken by an agency or agencies other than the VS or AAHS.]*

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 Aquatic Code reference:

Point 6 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations.

<b>II-13 Welfare of farmed fish</b>	<b>Levels of advancement</b>
The authority and capability of the VS or AAHS to implement the OIE standards for the welfare of farmed fish, as published in the <i>Aquatic Code</i> .	1 There is no national legislation on welfare of farmed fish.
	2. There is national legislation on welfare of farmed fish for some sectors.
	3. In conformity with OIE standards welfare of farmed fish is implemented for some sectors (e.g. for the export sector).
	4. Welfare of farmed fish is implemented in conformity with all relevant OIE standards.
	5. Welfare of farmed fish is implemented in conformity with all relevant OIE standards and programmes are subjected to regular audits.

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*Aquatic Code* references:

- Chapter 7.1. on Introduction to recommendations for the welfare of farmed fish.
- Chapter 7.2. on Welfare of farmed fish during transport.
- Chapter 7.3. on Welfare aspects of stunning and killing of farmed fish for human consumption.
- Chapter 7.4. on Killing of farmed fish for disease control purposes.



# CHAPTER III

## INTERACTION WITH INTERESTED PARTIES

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The capability of the VS or AAHS to collaborate with and involve interested parties in the implementation of programmes and activities.

### Critical competencies:

Section III-1	Communication
Section III-2	Consultation with interested parties
Section III-3	Official representation
Section III-4	Accreditation / authorisation / delegation
Section III-5	Veterinary statutory body and other professional authorities
Section III-6	Participation of producers and other interested parties in joint programmes

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#### *Aquatic Code* references:

Points 6, 7, 9, and 13 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards / Communication.  
Chapter 3.2. on Communication.

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#### *Terrestrial Code* references:

Point 9 of Article 3.2.1. on General considerations.  
Points 2 and 7 of Article 3.2.3. on Evaluation criteria for the organisational structure of the Veterinary Services.  
Sub-point b) of Point 2 of Article 3.2.6. on Administrative resources: Communications.  
Article 3.2.11. on Participation in OIE activities.  
Article 3.2.12. on Evaluation of the veterinary statutory body.  
Points 4, 7 and Sub-point g) of Point 9 of Article 3.2.14. on Administration details / Animal health and veterinary public health controls / Sources of independent scientific expertise.



<b>III-1 Communication</b>	<b>Levels of advancement</b>
The capability of the VS or AAHS to keep interested parties informed, in a transparent, effective and timely manner, of VS or AAHS activities and programmes, and of developments in aquatic animal health and food safety.	1. The VS or AAHS have no mechanism in place to inform interested parties of VS or AAHS activities and programmes.
This competency includes collaboration with relevant authorities, including other ministries and <i>Competent Authorities</i> , national agencies and decentralised institutions that share authority or have mutual interest in relevant areas.	2. The VS or AAHS have informal communication mechanisms.
	3. The VS or AAHS maintain an official contact point for communication but it is not always up to date in providing information.
	4. The VS or AAHS contact point for communication provides up-to-date information, accessible via the Internet and other appropriate channels, on activities and programmes.
	5. The VS or AAHS has a well-developed communication plan, and actively and regularly circulates information to interested parties.

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*Aquatic Code* references:

Point 13 of Article 3.1.2. on Fundamental principles of quality: Communication.

Chapter 3.2. on Communication.

Sub-point b) of Point 2 of Article 3.2.6. on Administrative resources: Communications.

Point 4 of Article 3.2.14. on Administration details.

<b>III-2 Consultation with interested parties</b>	<b>Levels of advancement</b>
The capability of the VS or AAHS to consult effectively with interested parties on VS or AAHS activities and programmes, and on developments in aquatic animal health and food safety.	1. The VS or AAHS have no mechanisms for consultation with interested parties.
This competency includes collaboration with relevant authorities, including other ministries and <i>Competent Authorities</i> , national agencies and decentralised institutions that share authority or have mutual interest in relevant areas.	2. The VS or AAHS maintain informal channels of consultation with interested parties.
	3. The VS or AAHS maintain a formal consultation mechanism with interested parties.
	4. The VS or AAHS regularly hold workshops and meetings with interested parties.
	5. The VS or AAHS actively consult with and solicit feedback from interested parties regarding proposed and current activities and programmes, developments in aquatic animal health and food safety, interventions at the OIE (Codex Alimentarius Commission and WTO SPS Committee where applicable), and ways to improve their activities.

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*Aquatic Code* references:

Point 13 of Article 3.1.2. on Fundamental principles of quality: Communication.  
 Chapter 3.2. on Communication.

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*Terrestrial Code* references:

Point 2 of Article 3.2.3. on Evaluation criteria for the organisational structure of the Veterinary Services.  
 Point 4 and Sub-point g) of Point 9 of Article 3.2.14. on Administration details and on Sources of independent scientific expertise.

<b>III-3 Official representation</b>	<b>Levels of advancement</b>
The capability of the VS or AAHS to regularly and actively participate in, coordinate and provide follow-up on relevant meetings of regional and international organisations including the OIE (and Codex Alimentarius Commission and WTO SPS Committee where applicable).	1. The VS or AAHS do not participate in or follow up on relevant meetings of regional or international organisations.
	2. The VS or AAHS sporadically participate in relevant meetings and / or make a limited contribution.
	3. The VS or AAHS actively participate <sup>3</sup> in the majority of relevant meetings.
	4. The VS or AAHS consult with interested parties and take into consideration their opinions in providing papers and making interventions in relevant meetings.
	5. The VS or AAHS consult with interested parties to ensure that strategic issues are identified, to provide leadership and to ensure coordination among national delegations as part of their participation in relevant meetings.

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*Terrestrial Code* references:

Article 3.2.11. on Participation in OIE activities.

Point 4 of Article 3.2.14. on Administration details.

<sup>3</sup> **Active participation** refers to preparation in advance of, and contributing during the meetings in question, including exploring common solutions and generating proposals and compromises for possible adoption.

<b>III-4 Accreditation/authorisation /delegation</b>	<b>Levels of advancement</b>
<p>The authority and capability of the public sector of the VS or AAHS to accredit/authorise/delegate the private sector (e.g. private <i>veterinarians</i>, <i>aquatic animal health professionals</i> and <i>laboratories</i>), to carry out official tasks on its behalf.</p>	<p>1. The public sector of the VS or AAHS has neither the authority nor the capability to accredit/authorise/delegate the private sector to carry out official tasks.</p>
	<p>2. The public sector of the VS or AAHS has the authority and capability to accredit/authorise/delegate to the private sector, but there are no current accreditation/authorisation/delegation activities.</p>
	<p>3. The public sector of the VS or AAHS develops accreditation/authorisation/delegation programmes for certain tasks, but these are not routinely reviewed.</p>
	<p>4. The public sector of the VS or AAHS develops and implements accreditation/authorisation/delegation programmes, and these are routinely reviewed.</p>
	<p>5. The public sector of the VS or AAHS carries out audits of its accreditation/authorisation/delegation programmes, in order to maintain the trust of its trading partners and interested parties.</p>

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*Aquatic Code* references:

Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.

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*Terrestrial Code* reference:

Point 7 of Article 3.2.3. on Evaluation criteria for the organisational structure of the Veterinary Services.

III-5 Veterinary statutory body (VSB) and other professional authorities	Levels of advancement
<p><b>A. VSB authority</b></p> <p>The VSB is an autonomous regulatory body for <i>veterinarians</i>. Its role is defined in the <i>Terrestrial Code</i>.</p>	1. There is no legislation establishing a VSB.
	2. The VSB regulates <i>veterinarians</i> only within certain sectors of the veterinary profession and / or does not systematically apply disciplinary measures.
	3. The VSB regulates <i>veterinarians</i> in all relevant sectors of the veterinary profession and applies disciplinary measures.
	4. The VSB regulates functions and competencies of <i>veterinarians</i> in all relevant sectors and veterinary para-professionals according to needs.
	5. The VSB regulates and applies disciplinary measures to <i>veterinarians</i> and veterinary para-professionals in all sectors throughout the country.

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*Terrestrial Code* references:

- Point 6 of Article 3.1.2. on Fundamental principles of quality: Veterinary legislation.
- Point 9 of Article 3.2.1. on General considerations.
- Article 3.2.12. on Evaluation of the veterinary statutory body.

<b>B. VSB capacity</b>	<b>Levels of advancement</b>
The capacity of the <i>VSB</i> to implement its functions and objectives in conformity with OIE standards.	1. The <i>VSB</i> has no capacity to implement its functions and objectives.
	2. The <i>VSB</i> has the functional capacity to implement its main objectives.
	3. The <i>VSB</i> is an independent representative organisation with the functional capacity to implement all of its objectives.
	4. The <i>VSB</i> has a transparent process of decision making and conforms to OIE standards.
	5. The financial and institutional management of the <i>VSB</i> is submitted to external auditing.

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*Terrestrial Code* references:

Point 6 of Article 3.1.2. on Fundamental principles of quality: Veterinary legislation.

Point 9 of Article 3.2.1. on General considerations.

Article 3.2.12. on Evaluation of the veterinary statutory body.

<b>C. Other professional authorities</b>	<b>Levels of advancement</b>
Other professional authorities with the responsibility, authority and capacity for the regulation of <i>aquatic animal health professionals</i> .	1. There is no legislation establishing other professional authorities and no capacity to implement its functions and objectives.
	2. The other professional authority has functional capacity to implement its main objectives. It regulates <i>aquatic animal health professionals</i> within certain sectors of the AAH profession and / or does not systematically apply disciplinary measures.
	3. The other professional authority is an independent representative organisation with the functional capacity to implement all of its objectives. It regulates <i>aquatic animal health professionals</i> within all aquatic animal health sectors and applies disciplinary measures.
	4. The other professional authority has a transparent process of decision making. It regulates functions and competencies of <i>aquatic animal health professionals</i> in all relevant sectors according to needs.
	5. The other professional authority's financial and institution management is submitted to external auditing. It regulates and applies disciplinary measures to <i>aquatic animal health professionals</i> in all sectors throughout the country.

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*Aquatic Code* references:

Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.

III-6 Participation of producers and other interested parties in joint programmes	Levels of advancement
<p>The capability of the VS or AAHS and producers and interested parties to formulate and implement joint programmes with regard to aquatic animal health and food safety.</p>	<p>1. Producers and other interested parties only comply and do not actively participate in programmes.</p>
<p>This competency includes collaboration with relevant authorities, including other ministries and <i>Competent Authorities</i>, national agencies and decentralised institutions that share authority or have mutual interest in relevant areas.</p>	<p>2. Producers and other interested parties are informed of programmes and assist the VS or AAHS to deliver the programme in the field.</p>
	<p>3. Producers and other interested parties are trained to participate in programmes and advise of needed improvements, and participate in early detection of <i>diseases</i>.</p>
	<p>4. Representatives of producers and other interested parties negotiate with the VS or AAHS on the organisation and delivery of programmes.</p>
	<p>5. Producers and other interested parties are formally organised to participate in developing programmes in close collaboration with the VS or AAHS.</p>

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*Aquatic Code* references:

Points 6 and 13 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / Communication.

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*Terrestrial Code* references:

Points 2 and 7 of Article 3.2.3. on Evaluation criteria for the organisational structure of the Veterinary Services.  
Point 7 of Article 3.2.14. on Animal health and veterinary public health controls.

# CHAPTER IV

## ACCESS TO MARKETS

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The authority and capability of the VS or AAHS to provide support in order to access, expand and retain regional and international markets for aquatic animals and aquatic animal products.

### Critical competencies:

Section IV-1	Preparation of legislation and regulations
Section IV-2	Implementation of legislation and regulations and compliance thereof
Section IV-3	International harmonisation
Section IV-4	International certification
Section IV-5	Equivalence and other types of sanitary agreements
Section IV-6	Transparency
Section IV-7	Zoning
Section IV-8	Compartmentalisation

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### *Aquatic Code* references:

- Article 2.1.2. on The Agreement on the Application of Sanitary and Phytosanitary Measures and role and responsibility of the OIE.
- Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.
- Chapter 4.1. on Zoning and compartmentalisation.
- Chapter 4.2. on Application of compartmentalisation.
- Chapter 5.1. on General obligations related to certification.
- Chapter 5.2. on Certification procedures.
- Chapter 5.10. on Model health certificates for international trade in live aquatic animals and products of aquatic animal origin.

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### *Terrestrial Code* references:

- Points 1 and 2 of Article 3.2.7. on Legislation and functional capabilities: Animal health, animal welfare and veterinary public health / Export / import inspection.
- Points 1 and 3 of Article 3.2.8. on Animal health controls: Animal health status / National animal disease reporting systems.
- Sub-point g) of Point 4 of Article 3.2.10. on Veterinary Services administration: Trade performance history.
- Article 3.2.11. on Participation in OIE activities.
- Points 6 and 10 of Article 3.2.14. on Veterinary legislation, regulations and functional capabilities / Membership of the OIE.
- Chapter 3.4. on Veterinary legislation



<b>IV-1 Preparation of legislation and regulations</b>	<b>Levels of advancement</b>
<p>The authority and capability of the VS or AAHS to actively participate in the preparation of national legislation and regulations in domains that are under their mandate, in order to guarantee its quality with respect to principles of legal drafting and legal issues (internal quality) and its accessibility, acceptability, and technical, social and economic applicability (external quality).</p> <p>This competency includes collaboration with relevant authorities, including other ministries and <i>Competent Authorities</i>, national agencies and decentralised institutions that share authority or have mutual interest in relevant areas.</p>	1. The VS or AAHS have neither the authority nor the capability to participate in the preparation of national legislation and regulations, which result in legislation that is lacking or is out-dated or of poor quality in most fields of VS or AAHS activity.
	2. The VS or AAHS have the authority and the capability to participate in the preparation of national legislation and regulations and can largely ensure their internal quality, but the legislation and regulations are often lacking in external quality.
	3. The VS or AAHS have the authority and the capability to participate in the preparation of national legislation and regulations, with adequate internal and external quality in some fields of activity, but lack formal methodology to develop adequate national legislation and regulations regularly in all domains.
	4. The VS or AAHS have the authority and the capability to participate in the preparation of national legislation and regulations, with a relevant formal methodology to ensure adequate internal and external quality, involving the participation of interested parties in most fields of activity.
	5. The VS or AAHS regularly evaluate and update their legislation and regulations to maintain relevance to evolving national and international contexts.

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*Aquatic Code* references:

Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.

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*Terrestrial Code* references:

Points 1 and 2 of Article 3.2.7. on Legislation and functional capabilities: Animal health, animal welfare and veterinary public health / Export / import inspection.

Point 6 of Article 3.2.14. on Veterinary legislation, regulations and functional capabilities.

Chapter 3.4. on Veterinary legislation.

IV-2 Implementation of legislation and regulations and compliance thereof	Levels of advancement
The authority and capability of the VS or AAHS to ensure compliance with legislation and regulations under the VS or AAHS mandate.	1. The VS or AAHS have no or very limited programmes or activities to ensure compliance with relevant legislation and regulations.
	2. The VS or AAHS implement a programme or activities comprising inspection and verification of compliance with legislation and regulations and recording instances of non-compliance, but generally cannot or do not take further action in most relevant fields of activity.
	3. Relevant legislation is generally implemented. As required, the VS or AAHS have a power to take legal action / initiate prosecution in instances of non-compliance in most relevant fields of activity.
	4. Relevant legislation is implemented in all domains of competence and the VS or AAHS work to minimise instances of non-compliance.
	5. The compliance programme is regularly subjected to audit by the VS or AAHS or external agencies.

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*Aquatic Code* references:

Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.

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*Terrestrial Code* references:

Points 1 and 2 of Article 3.2.7. on Legislation and functional capabilities: Animal health, animal welfare and veterinary public health / Export / import inspection.

Point 6 of Article 3.2.14. on Veterinary legislation, regulations and functional capabilities.

<b>IV-3 International harmonisation</b>	<b>Levels of advancement</b>
<p>The authority and capability of the VS or AAHS to be active in the international harmonisation of regulations and <i>sanitary measures</i> and to ensure that the national legislation and regulations under their mandate take account of relevant international standards, as appropriate.</p>	<p>1. National legislation, regulations and <i>sanitary measures</i> under the mandate of the VS or AAHS do not take account of international standards.</p>
	<p>2. The VS or AAHS are aware of gaps, inconsistencies or non-conformities in national legislation, regulations and <i>sanitary measures</i> as compared to international standards, but do not have the capability or authority to rectify the problems.</p>
	<p>3. The VS or AAHS monitor the establishment of new and revised international standards, and periodically review national legislation, regulations and <i>sanitary measures</i> with the aim of harmonising them, as appropriate, with international standards, but do not actively comment on the draft standards of relevant intergovernmental organisations.</p>
	<p>4. The VS or AAHS are active in reviewing and commenting on the draft standards of relevant intergovernmental organisations.</p>
	<p>5. The VS or AAHS actively and regularly participate at the international level in the formulation, negotiation and adoption of international standards<sup>4</sup>, and use the standards to harmonise national legislation, regulations and <i>sanitary measures</i>.</p>

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*Aquatic Code* references:

Point 6 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations.

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*Terrestrial Code* references:

Article 3.2.11. on Participation in OIE activities.

Points 6 and 10 of Article 3.2.14. on Veterinary legislation, regulations and functional capabilities / Membership of the OIE.

<sup>4</sup> A country could be active in international standard setting without actively pursuing national changes. The importance of this element is to promote national change.

<b>IV-4 International certification<sup>5</sup></b>	<b>Levels of advancement</b>
<p>The authority and capability of the VS or AAHS to certify <i>aquatic animals, aquatic animal products, services and processes</i> under their mandate, in accordance with the national legislation and regulations, and international standards.</p>	<p>1. The VS or AAHS have neither the authority nor the capability to certify <i>aquatic animals, aquatic animal products, services or processes</i>.</p>
	<p>2. The VS or AAHS have the authority to certify certain <i>aquatic animals, aquatic animal products, services and processes</i>, but are not always in compliance with the national legislation and regulations and international standards.</p>
	<p>3. The VS or AAHS develop and carry out certification programmes for certain <i>aquatic animals, aquatic animal products, services and processes</i> under their mandate in compliance with international standards.</p>
	<p>4. The VS or AAHS develops and carry out all relevant certification programmes for any <i>aquatic animals, aquatic animal products, services and processes</i> under their mandate in compliance with international standards.</p>
	<p>5. The VS or AAHS carry out audits of their certification programmes, in order to maintain national and international confidence in their system.</p>

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*Aquatic Code* references:

Points 6, 7 and 9 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation / Procedures and standards.  
 Chapter 5.2. on Certification procedures.  
 Chapter 5.10. on Model health certificates for international trade in live aquatic animals and products of aquatic animal origin.

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*Terrestrial Code* references:

Point 2 of Article 3.2.7. on Legislation and functional capabilities: Export / import inspection.  
 Sub-point b) of Point 6 of Article 3.2.14. on Veterinary legislation, regulations and functional capabilities: Export / import inspection.

<sup>5</sup> Certification procedures should be based on relevant OIE and Codex Alimentarius standards.

<b>IV-5 Equivalence and other types of sanitary agreements</b>	<b>Levels of advancement</b>
The authority and capability of the VS or AAHS to negotiate, implement and maintain equivalence and other types of sanitary agreements with trading partners.	1. The VS or AAHS have neither the authority nor the capability to negotiate or approve equivalence or other types of sanitary agreements with other countries.
	2. The VS or AAHS have the authority to negotiate and approve equivalence and other types of sanitary agreements with trading partners, but no such agreements have been implemented.
	3. The VS or AAHS have implemented equivalence and other types of sanitary agreements with trading partners on selected <i>aquatic animals, aquatic animal products</i> and processes.
	4. The VS or AAHS actively pursue the development, implementation and maintenance of equivalence and other types of sanitary agreements with trading partners on all matters relevant to <i>aquatic animals, aquatic animal products</i> and processes under their mandate.
	5. The VS or AAHS actively work with interested parties and take account of developments in international standards in pursuing equivalence and other types of sanitary agreements with trading partners.

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*Aquatic Code* references:

Points 6 and 7 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations / General organisation.

Article 2.1.2. on The Agreement on the Application of Sanitary and Phytosanitary Measures and role and responsibility of the OIE.

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*Terrestrial Code* references:

Sub-point g) of Point 4 of Article 3.2.10. on Veterinary Services administration: Trade performance history.

<b>IV-6 Transparency</b>	<b>Levels of advancement</b>
The authority and capability of the VS or AAHS to notify the OIE of their sanitary status and other relevant matters (and to notify the WTO SPS Committee where applicable), in accordance with established procedures.	1. The VS or AAHS do not notify.
	2. The VS or AAHS occasionally notify.
	3. The VS or AAHS notify in compliance with the procedures established by these organisations.
	4. The VS or AAHS regularly informs interested parties of changes in their regulations and decisions on the control of relevant <i>diseases</i> , and of the country's sanitary status and of changes in the regulations and sanitary status of other countries.
	5. The VS or AAHS, in cooperation with their interested parties, carry out audits of their transparency procedures.

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*Aquatic Code* references:

Point 6 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations.  
 Chapter 5.1. on General obligations related to certification.

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*Terrestrial Code* references:

Points 1 and 3 of Article 3.2.8. on Animal health controls: Animal health status / National animal disease reporting systems.

<b>IV-7 Zoning</b>	<b>Levels of advancement</b>
<p>The authority and capability of the VS or AAHS to establish and maintain disease-free <i>zones</i>, as necessary and in accordance with the criteria established by the OIE (and by the WTO SPS Agreement where applicable).</p>	1. The VS or AAHS cannot establish disease-free <i>zones</i> . <sup>6</sup>
	2. As necessary, the VS or AAHS can identify <i>aquatic animal</i> sub-populations with distinct health status suitable for zoning.
	3. The VS or AAHS have implemented biosecurity measures that enable it to establish and maintain disease free <i>zones</i> for selected <i>aquatic animals</i> and <i>aquatic animal products</i> , as necessary.
	4. The VS or AAHS collaborate with producers and other interested parties to define responsibilities and execute actions that enable it to establish and maintain disease free <i>zones</i> for selected <i>aquatic animals</i> and <i>aquatic animal products</i> , as necessary.
	5. The VS or AAHS can demonstrate the scientific basis for any disease-free <i>zones</i> and can gain recognition by trading partners that they meet the criteria established by the OIE (and by the WTO SPS Agreement where applicable).

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*Aquatic Code* references:

Point 6 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations.  
 Chapter 4.1. on Zoning and compartmentalisation.

<sup>6</sup> If the VS or AAHS has the authority and capability but chooses not to implement zoning, this critical competency should be recorded as 'not applicable at this stage'.

<b>IV-8 Compartmentalisation</b>	<b>Levels of advancement</b>
The authority and capability of the VS or AAHS to establish and maintain disease free <i>compartments</i> as necessary and in accordance with the criteria established by the OIE (and by the WTO SPS Agreement where applicable).	1. The VS or AAHS cannot establish disease-free <i>compartments</i> . <sup>7</sup>
	2. As necessary, the VS or AAHS can identify <i>aquatic animal</i> sub-populations with a distinct health status that are suitable for compartmentalisation.
	3. The VS or AAHS ensure that biosecurity measures are implemented to enable it to establish and maintain disease free <i>compartments</i> for selected <i>aquatic animals</i> and <i>aquatic animal products</i> , as necessary.
	4. The VS or AAHS collaborate with producers and other interested parties to define responsibilities and execute actions that enable it to establish and maintain disease free <i>compartments</i> for selected <i>aquatic animals</i> and <i>aquatic animal products</i> , as necessary.
	5. The VS or AAHS can demonstrate the scientific basis for any disease free <i>compartments</i> and can gain recognition by other countries that they meet the criteria established by the OIE (and by the WTO SPS Agreement where applicable).

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*Aquatic Code* references:

- Point 6 of Article 3.1.2. on Fundamental principles of quality: Aquatic animal health legislation and regulations.
- Chapter 4.1. on Zoning and compartmentalisation.
- Chapter 4.2. on Application of compartmentalisation.

<sup>7</sup> If the VS or AAHS has the authority and capability but chooses not to implement compartmentalisation, this critical competency should be recorded as 'not applicable at this stage'.



## OIE Tool for the Evaluation of Performance of Veterinary Services and/or Aquatic Animal Health Services. OIE PVS Tool: Aquatic

### **I HUMAN, PHYSICAL AND FINANCIAL RESOURCES**

Professional and technical staffing of the Veterinary Services or Aquatic Animal Health Services  
Competencies of veterinarians or aquatic animal health professionals, and other technical personnel  
Continuing education  
Technical independence  
Stability of structures and sustainability of policies  
Coordination capability of the Veterinary Services or Aquatic Animal Health Services  
Physical resources  
Operational funding  
Emergency funding  
Capital investment  
Management of resources and operations

### **II TECHNICAL AUTHORITY AND CAPABILITY**

Laboratory diagnosis  
Laboratory quality assurance  
Risk analysis  
Quarantine and border security  
Epidemiological surveillance and early detection  
Emergency response  
Disease prevention, control and eradication  
Food safety  
Veterinary medicines and biologicals  
Residue testing  
Aquatic animal feed safety  
Traceability  
Welfare of farmed fish

### **III INTERACTION WITH INTERESTED PARTIES**

Communication  
Consultation with interested parties  
Official representation  
Accreditation/authorisation/delegation  
Veterinary Statutory Body and other professional authorities  
Participation of producers and other interested parties in joint programmes

### **IV ACCESS TO MARKETS**

Preparation of legislation and regulations  
Implementation of legislation and regulations and compliance thereof  
International harmonisation  
International certification  
Equivalence and other types of sanitary agreements  
Transparency  
Zoning  
Compartmentalisation



**WORLD ORGANISATION FOR ANIMAL HEALTH**  
*Protecting animals, preserving our future*