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Tool for the evaluation of Performance of Veterinary Services

Second edition

2007

oie PVS Tool



**Human, Physical
and Financial
Resources**



**Technical
Authority and
Capability**



**Interaction
with
Stakeholders**



**Access
to
Markets**

OIE *Tool for the Evaluation of Performance of Veterinary Services*
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INTRODUCTION

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 agricultural and food policies and economies, and this, in turn, directly relates to the quality of their *Veterinary Services* (VS)¹. Important roles for VS include veterinary public health – including food-borne diseases – and regional and international market access for animals and animal products. To meet these new opportunities and challenges, VS will need to operate on scientifically-based principles and be technically independent and immune from political pressures from all sources. Efforts to strengthen VS and to support them to comply with OIE international standards on quality and evaluation of VS require the active participation and investment on the part of both the public and the private sectors. The World Organisation for Animal Health (OIE) has refined an Evaluation Tool developed initially in collaboration with the Inter-American Institute for Cooperation on Agriculture (IICA) to produce, in 2007, a revised publication: the *OIE Tool for the Evaluation of Performance of Veterinary Services* (*OIE PVS Tool*). The *OIE PVS Tool* is designed to assist VS to establish their current level of performance, to identify gaps and weaknesses regarding their ability to comply with OIE international standards, to form a shared vision with stakeholders² (including the private sector) and to establish priorities and carry out strategic initiatives.

In the international trade of animals and animal 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 methods, by working to improve the resources and legal framework of VS and by helping member countries comply with the OIE standards, guidelines and recommendations, and the Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement) of the World Trade Organization (WTO).

The traditional mission of VS has been to protect domestic agriculture. Over time, the majority of its resources were channelled towards the control of diseases that threatened primary production. Services provided began at the national borders and were focused inward. The credibility of these services, in the eyes of its users and of other countries, depended in large measure on the effectiveness of these domestic programmes, and response of VS to emergencies arising from the entry of foreign diseases.

In light of the growing international requirements and opportunities facing each country, it behoves VS to adopt a broader mandate and vision, and provide new services to complement the portfolio of existing services. This will entail stronger alliances and closer cooperation with its stakeholders, trading partners and other countries, national VS counterparts and relevant intergovernmental organisations (OIE, Codex Alimentarius Commission, WTO, etc.).

The WTO Members are also bound by the provisions of the SPS Agreement. The SPS Agreement reaffirms the right of each member country to protect plant, animal and human life or health, but the Agreement requires countries to base these actions on scientific principles. For animal health and zoonoses, the OIE is cited as the reference organisation for standards, guidelines and recommendations covering international trade in animals and animal products. This approach of implementing international standards, guidelines and recommendations developed through the OIE, including standards on quality and evaluation of VS, aims to ensure that international trade is free of discrimination and scientifically-unjustified restrictions. All references in this document to WTO SPS obligations apply only to WTO Members.

¹ Definitions of terms in italics may be found in the Glossary.

² A person, institution or organisation with a significant interest (technical, legal, financial, etc.) in the activities of the VS.

Experience has shown that those countries, the VS of which are viewed as more credible in the eyes of its stakeholders, trading partners and other countries, have developed their VS around 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) the sustained **interaction with stakeholders** 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.

These four fundamental components comprise the basic structure of the OIE *PVS Tool*.

Applying the OIE *PVS Tool*

To establish the current level of performance, form a shared vision, establish priorities and carry out strategic initiatives, six to twelve critical competencies have been elaborated for each of the four fundamental components. For each critical competency, qualitative levels of advancement are described. A higher level of advancement assumes that the VS are complying with the preceding (non 1) levels (i.e. level 3 assumes compliance with level 2 criteria; level 5 assumes compliance with level 4 and preceding criteria; etc.). Additional critical competencies might be added as the field application of the OIE *PVS Tool* progresses.

For each critical competency a list of suggested indicators will be used by the assessors. In addition, the OIE has provided a Manual for Assessors, containing information and procedures relevant to the conduct of an OIE PVS Evaluation.

In addition to the qualitative levels, provision has been made in each critical competency to expand upon or clarify responses, if so desired.

The provisions of two important chapters in the OIE *Terrestrial Animal Health Code (Terrestrial Code)* help to clarify the criteria for advancement described in the critical competencies of this OIE *PVS Tool*: Chapter 1.3.3. on the Evaluation of Veterinary Services and Chapter 1.3.4. on the Guidelines for the Evaluation of Veterinary Services. The most important *Terrestrial Code* references are quoted under each critical competency.

Relevant definitions from the *Terrestrial Code* Chapter 1.1.1. may be found in the Glossary of Terms.

Using the results

More than a diagnostic instrument, the OIE *PVS Tool* promotes a culture of raising awareness and continual improvement, which can be used either passively or actively depending on the level of interest, priorities and commitment of the VS and its stakeholders. In the passive mode, the OIE *PVS Tool* helps to raise awareness and improve the understanding of all sectors including other administrations regarding the fundamental components and critical competencies VS must have in order to function effectively.

The active mode is where the maximum outcomes are realised but this mode requires a sustained commitment on the part of both the public and private sectors, that is, all relevant stakeholders. In this mode, performance is assessed, differences are explored and priorities are established. This mode is where strategic actions are outlined, investments are evaluated and agreed to, and commitments made and implemented. 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* include:

- An indication of overall performance for each of the four components
- A relative performance rating within each of the critical competencies
- A basis for comparing the performance of the VS with that of other veterinary services in the region or globally, in order to explore areas for cooperation or negotiation³
- Identifying differences in the responses of stakeholders in order to arrive at shared points of view
- Fostering a common understanding in order to achieve greater levels of advancement
- Helping to determine the benefits and costs of investing in VS and, when necessary, obtaining assistance from government and financial and technical cooperation agencies
- Providing a basis for establishing a routine monitoring and follow up mechanism on the overall level of performance of the VS over time
- Helping to identify and present justifications and specific needs when applying for national and/or international financial support (loans and/or grants)
- Providing the basis for carrying out a process of verifying compliance with the OIE standards and assessments of VS by external or independent bodies under the guidelines and auspices of the OIE.

Evaluation of Performance of Aquatic Animal Health Services

Through the first year of using the OIE *PVS Tool*, the benefits of applying the PVS Evaluation procedure to official VS have become evident and there is generally strong support by OIE Members for this approach. In addition to the evaluation of VS, some countries have expressed an interest in extending the use of the OIE *PVS Tool* to evaluations of *Competent Authorities* responsible for aquatic animal health. Recommendations on the Evaluation of *Competent Authorities* may be found in Chapter 1.4.3 of the *Aquatic Animal Health Code* (the *Aquatic Code*), including provision for the involvement of OIE experts in conducting an evaluation of a *Competent Authority*. However, the *Aquatic Code* does not, for the moment, contain detailed provisions on the quality of aquatic animal health services. It is clear that the general principles for quality would be similar to those that apply to VS. For example, appropriate legislation and good governance are required to support the *Competent Authority* in complying with OIE requirements, including for disease detection, reporting and control. On the other hand, veterinary involvement and governance mechanisms (such as the *Veterinary Statutory Body*) may not yet exist or may be only partially relevant to aquatic animal health services.

To clarify the framework for evaluation of performance of aquatic animal health services (as part of a PVS review of VS, or as an independent exercise), the OIE has prepared an annex to the OIE *PVS Tool* [available on request from the OIE], which proposes appropriate modifications in approach to be adopted when evaluating the performance of *Competent Authorities* responsible for aquatic animal health using the OIE *PVS Tool*.

Relevant definitions from the *Aquatic Code* may be found in the Glossary of Terms.

³ 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 VS.

GLOSSARY OF TERMS

(Terms defined in the *Terrestrial Code* that are used in this publication are reprinted here for ease of reference.)

Border post

means any airport, or any port, railway station or road check-point open to *international trade of commodities*, where import veterinary inspections can be performed.

Compartment

means one or more *establishments* under a common biosecurity management system containing an animal *subpopulation* with a distinct health status with respect to a specific *disease* or specific *diseases* for which required surveillance, control and biosecurity measures have been applied for the purpose of *international trade*.

Competent Authority

means the *Veterinary Authority* or other Governmental Authority of a Member Country, having the responsibility and competence for ensuring or supervising the implementation of animal health and welfare measures, international veterinary certification and other standards and guidelines in the *Terrestrial Code* in the whole country.

Emerging disease

means a new *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 unrecognized pathogenic agent or disease diagnosed for the first time and which has a significant impact on animal or public health.

Equivalence of sanitary measures

means the state wherein the *sanitary measure(s)* proposed by the *exporting country* as an alternative to those of the *importing country*, achieve(s) the same level of protection.

International veterinary certificate

means a certificate, issued in conformity with the provisions of Chapter 1.2.2., describing the animal health and/or public health requirements which are fulfilled by the exported *commodities*.

Laboratory

means a properly equipped institution staffed by technically competent personnel under the control of a specialist in veterinary diagnostic methods, who is responsible for the validity of the results. The *Veterinary Authority* approves and monitors such laboratories with regard to the diagnostic tests required for *international trade*.

Notifiable disease

means a *disease* listed by the *Veterinary Authority*, and that, as soon as detected or suspected, must be brought to the attention of this *Authority*, in accordance with national regulations.

Official control programme

means a programme which is approved, and managed or supervised by the *Veterinary Authority* of a country for the purpose of controlling a vector, pathogen or *disease* by specific measures applied throughout that country, or within a *zone* or *compartment* of that country.

Official Veterinarian

means a veterinarian authorised by the *Veterinary Authority* of the country to perform certain designated official tasks associated with animal health and/or public health and inspections of *commodities* and, when appropriate, to certify in conformity with the provisions of Section 1.2. of the *Terrestrial Code*.

Official veterinary control

means that the *Veterinary Authority* knows the location of the *animals* and the identity of their owner or responsible keeper and is able to apply appropriate animal health measures, as required.

Risk analysis

means the process composed of *hazard identification*, *risk assessment*, *risk management* and *risk communication*. [See Section 1.3. of the *Terrestrial Code*.]

Sanitary measure

means any measure applied to protect animal or human health or life within the territory of the Member Country from *risks* arising from the entry, establishment or spread of a *hazard*. [Note: A detailed definition of sanitary measure may be found in the Agreement on the Application of Sanitary and Phytosanitary Measures of the World Trade Organization.]

Surveillance

means the investigation of a given *population* or *subpopulation* to detect the presence of a pathogenic agent or *disease*; the frequency and type of *surveillance* will be determined by the epidemiology of the pathogenic agent or *disease*, and the desired outputs.

Terrestrial Code

means the OIE *Terrestrial Animal Health Code*.

Veterinarian

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

Veterinary Authority

means the Governmental Authority of a Member Country, comprising *veterinarians*, other professionals and para-professionals, having the responsibility and competence for ensuring or supervising the implementation of animal health and welfare measures, international veterinary certification and other standards and guidelines in *the Terrestrial Code* in the whole country.

Veterinary para-professional

means a person who, for the purposes of the *Terrestrial Code*, is authorised by the *veterinary statutory body* to carry out certain designated tasks (dependent upon the category of *veterinary para-professional*) in a country, and delegated to them under the responsibility and direction of a *veterinarian*. The tasks authorized for each category of *veterinary para-professional* should be defined by the *veterinary statutory body* depending on qualifications and training, and according to need.

Veterinary Services

means the governmental and non-governmental organisations that implement animal health and welfare measures and other standards and guidelines in the *Terrestrial Code* in the country. The *Veterinary Services* are under the overall control and direction of the *Veterinary Authority*. Private sector organisations are normally accredited or approved to deliver functions by the *Veterinary Authority*.

Veterinary statutory body

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

CHAPTER I - HUMAN, PHYSICAL AND FINANCIAL RESOURCES

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
Section I-2	Competencies of veterinarians and veterinary para-professionals
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 sectors and institutions of the Veterinary Services
Section I-7	Physical resources
Section I-8	Funding
Section I-9	Contingency and compensatory funding
Section I-10	Capability to invest and develop

Terrestrial Code References:

Points 1-6, 8 and 13 of Article 1.3.3.2. on Fundamental principles of quality: Professional judgement / Independence / Impartiality / Integrity / Objectivity / General organisation / Procedures and standards / Human and financial resources. Article 1.3.4.2. on Scope.

Points 1 and 2 of Article 1.3.4.3. on Evaluation criteria for the organisational structure of the Veterinary Services.

Point 2 of Article 1.3.4.4. on Evaluation criteria for quality system: "Where the Veterinary Services undergoing evaluation... than on the resource and infrastructural components of the services".

Article 1.3.4.5. on Evaluation criteria for human resources.

Points 1-3 of Article 1.3.4.6. on Evaluation criteria for material resources: Financial / Administrative / Technical.

Points 3 and Sub-point d) of Point 4 of Article 1.3.4.10. on Performance assessment and audit programmes: Compliance / In-Service training and development programme for staff.

Article 1.3.4.12. on Evaluation of the veterinary statutory body.

Points 1-5 and 9 of Article 1.3.4.14. on Organisation and structure of Veterinary Services / National information on human resources / Financial management information / Administration details / Laboratory services / Performance assessment and audit programmes.

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

Terrestrial Code References:

Points 1-5 of Article 1.3.3.2. on Fundamental principles of quality: Professional judgement / Independence / Impartiality / Integrity / Objectivity.

Points 6 and 13 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Human and financial resources.

Article 1.3.4.5. on Evaluation criteria for human resources.

Article 1.3.4.12. on Evaluation of the veterinary statutory body.

Points 1-2 and 5 of Article 1.3.4.14. on Organisation and structure of Veterinary Services / National information on human resources / Laboratory services.

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

Terrestrial Code References:

Points 1-5 of Article 1.3.3.2. on Fundamental principles of quality: Professional judgement / Independence / Impartiality / Integrity / Objectivity.
 Points 6 and 13 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Human and financial resources.
 Article 1.3.4.5. on Evaluation criteria for human resources.
 Article 1.3.4.12. on Evaluation of the veterinary statutory body.
 Points 1-2 and 5 of Article 1.3.4.14. on Organisation and structure of Veterinary Services / National information on human resources / Laboratory services.

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

Terrestrial Code References:

Points 1-5 of Article 1.3.3.2. on Fundamental principles of quality: Professional judgement / Independence / Impartiality / Integrity / Objectivity.
 Points 6 and 13 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Human and financial resources.
 Article 1.3.4.5. on Evaluation criteria for human resources.
 Article 1.3.4.12. on Evaluation of the veterinary statutory body.
 Points 1-2 and 5 of Article 1.3.4.14. on Organisation and structure of Veterinary Services / National information on human resources / Laboratory services.

⁴ Not all professional positions require an academic degree. Nonetheless, the proportion of academic degrees serves as an indicator of professional excellence within the VS.

B. Competencies of veterinary para-professionals	Levels of advancement
	1. The majority of <i>veterinary para-professionals</i> have no formal entry-level training.
	2. The training of <i>veterinary para-professionals</i> is of a very variable standard and allows the development of only limited animal health competencies.
	3. The training of <i>veterinary para-professionals</i> is of a uniform standard that allows the development of only basic animal health competencies.
	4. The training of <i>veterinary para-professionals</i> is of a uniform standard that allows the development of some specialist animal health competencies (e.g. meat inspection).
	5. The training of <i>veterinary para-professionals</i> is of a uniform standard and is subject to regular evaluation and/or updating.

Terrestrial Code References:

Points 1-5 of Article 1.3.3.2. on Fundamental principles of quality: Professional judgement / Independence / Impartiality / Integrity / Objectivity.
 Points 6 and 13 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Human and financial resources.
 Article 1.3.4.5. on Evaluation criteria for human resources.
 Article 1.3.4.12. on Evaluation of the veterinary statutory body.
 Points 1-2 and 5 of Article 1.3.4.14. on Organisation and structure of Veterinary Services / National information on human resources / Laboratory services.

<p>I-3 Continuing education (CE)⁵</p> <p>The capability of the VS to maintain and improve the competence of their personnel in terms of relevant information and understanding; measured in terms of the implementation of an annually reviewed training programme.</p>	<p style="text-align: center;">Levels of advancement</p> <ol style="list-style-type: none"> 1. The VS have no access to continuing veterinary, professional or technical education. 2. The VS 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 have access to CE that is reviewed annually and updated as necessary, but it is implemented for less than 50% of the relevant personnel. 4. The VS have access to CE that is reviewed annually and updated as necessary, and it is implemented for more than 50% of the relevant personnel. 5. The VS have up-to-date CE that is implemented for all relevant personnel.
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Terrestrial Code References:

Points 1, 6 and 13 of Article 1.3.3.2. on Fundamental principles of quality: Professional judgement / General organization / Human and financial resources.

Article 1.3.4.5. on Evaluation criteria for human resources.

Sub-point d) of Point 4 of Article 1.3.4.10. on Veterinary Services administration: In-Service training and development programme for staff.

Point 9 of Article 1.3.4.14. on Performance assessment and audit programmes.

⁵ Continuing education includes Continuous Professional Development (CPD) for veterinary, professional and technical personnel.

I-4 Technical independence	Levels of advancement
<p>The capability of the VS 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 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 based only on scientific evidence and are not changed to meet non-scientific considerations.
	5. The technical decisions are made and implemented in full accordance with the country's OIE obligations (and with the country's WTO SPS Agreement obligations where applicable).

Terrestrial Code References:

Point 2 of Article 1.3.3.2. on Fundamental principles of quality: Independence.

I-5 Stability of structures and sustainability of policies	Levels of advancement
The capability of the VS to implement and sustain policies over time.	1. Substantial changes to the organisational structure and/or leadership of the public sector of the VS occur frequently (e.g. annually) resulting in lack of sustainability of policies.
	2. Substantial changes to the organisational structure and/or leadership of the public sector of the VS occur less frequently (e.g. biannually) resulting in lack of sustainability of policies.
	3. The organisational structure of the public sector of the VS is substantially changed each time there is a change in the political leadership and this has negative effects on sustainability of policies.
	4. There are generally only minor changes in the organisational structure of the public sector of the VS following a change in the political leadership and these have little or no effect on sustainability of policies.
	5. The organisational structure of the public sector of the VS generally remains stable for longer periods (e.g. 5 years) and is only modified based on an evaluation process, with little or no effect on the sustainability of policies.

Terrestrial Code References:

Point 1 of Article 1.3.4.3. on Evaluation criteria for the organisational structure of the Veterinary Services.
Point 9 of Article 1.3.4.14. on Performance assessment and audit programmes.

<p>I-6 Coordination capability of the sectors and institutions of the Veterinary Services (public and private)</p> <p>The capability of the VS to coordinate national activities, including disease control and eradication programmes, food safety programmes and responses to emergency situations.</p>	Levels of advancement
	1. There is no coordination.
	2. There are informal or irregular coordination mechanisms for some activities, with an unclear chain of command.
	3. There are coordination mechanisms with a clear chain of command for some activities, but these are not coordinated / implemented throughout the country.
	4. There are coordination mechanisms with a clear chain of command at the national level for most activities, and these are uniformly implemented throughout the country.
5. There are agreed coordination mechanisms that can be implemented as necessary to address all activities.	

Terrestrial Code References:

Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and Standards.
Article 1.3.4.2. on Scope.
Points 1 and 2 of Article 1.3.4.3. on Evaluation criteria for the organisational structure of the Veterinary Services.

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

Terrestrial Code References:

Point 2 of Article 1.3.4.4. 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 1.3.4.6. on Evaluation criteria for material resources: Administrative / Technical.

Point 3 of Article 1.3.4.10. on Performance assessment and audit programmes: Compliance.

Point 4 of Article 1.3.4.14. on Administrative details.

I-8 Funding	Levels of advancement
The ability of the VS to access financial resources adequate for their continued operations, independent of political pressure.	1. Funding for the VS is neither stable nor clearly defined but depends on resources allocated irregularly.
	2. Funding for the VS is clearly defined and regular, but is inadequate for their required base operations.
	3. Funding for the VS 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.
	5. Funding for all aspects of VS activities is adequate; all funding is provided under full transparency and allows for full technical independence.

Terrestrial Code References:

Point 13 of Article 1.3.3.2. on Fundamental principles of quality: Human and financial resources.

Point 1 of Article 1.3.4.6. on Evaluation criteria for material resources: Financial.

Point 3 of Article 1.3.4.14. on Financial management information.

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

Terrestrial Code References:

- Point 13 of Article 1.3.3.2. on Fundamental principles of quality: Human and financial resources.
 Point 1 of Article 1.3.4.6. on Evaluation criteria for material resources: Financial.
 Point 3 of Article 1.3.4.14. on Financial management information.

I-10 Capability to invest and develop	Levels of advancement
The capability of the VS to access additional investments, over time, that lead to a sustained improvement in the VS.	1. There is no capability to improve the operational infrastructure of the VS.
	2. The VS occasionally develops proposals and secures funding for improvements in operational infrastructure through extraordinary allocations.
	3. The VS regularly secures funding for improvements in operational infrastructure, through extraordinary allocations from the national budget or from other sources, but these are allocated with constraints on their use.
	4. The VS secures adequate funding for the necessary improvements in operational infrastructure through extraordinary allocations, including from stakeholders.
	5. The VS routinely secures adequate funding for the necessary improvements in operational infrastructure.

Terrestrial Code References:

- Point 13 of Article 1.3.3.2. on Fundamental principles of quality: Human and financial resources.
 Point 1 of Article 1.3.4.6. on Evaluation criteria for material resources: Financial.
 Point 3 of Article 1.3.4.14. on Financial management information.

CHAPTER II - TECHNICAL AUTHORITY AND CAPABILITY

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

Critical competencies:

Section II-1	Veterinary 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
Section II-6	Early detection and emergency response
Section II-7	Disease prevention, control and eradication
Section II-8	Veterinary public health and food safety
Section II-9	Veterinary medicines and veterinary biologicals
Section II-10	Residue testing
Section II-11	Emerging issues
Section II-12	Technical innovation

Terrestrial Code References:

Chapter 1.3.1. on Risk analysis: General considerations.
 Chapter 1.3.2. on Guidelines for import risk analysis.
 Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General Organisation / Procedures and standards.
 Point 1 of Article 1.3.4.4. on Evaluation criteria for quality systems.
 Point 3 of Article 1.3.4.6. on Evaluation criteria for material resources: Technical.
 Points 1 and 2 of Article 1.3.4.7. on Functional capabilities and legislative support: Animal health and veterinary public health / Export/Import inspection.
 Points 1-3 of Article 1.3.4.8. on Animal health controls: Animal health status / Animal health control / National animal disease reporting systems.
 Points 1-5 of Article 1.3.4.9. 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 1.3.4.10. on Veterinary Services administration: Formal linkages with sources of independent scientific expertise.
 Points 2 and 5-7 of Article 1.3.4.14. on National information on human resources / Laboratory services / Functional capabilities and legislative support / Animal health and veterinary public health controls .
 Section 1.5. on Risk analysis for biologicals for veterinary use.
 Section 3.9. on Antimicrobial resistance.
 Section 3.10. on Animal production food safety.

II-1 Veterinary laboratory diagnosis	Levels of advancement
<p>The authority and capability of the VS to identify and record pathogenic agents, including those relevant for public health, that can adversely affect animals and animal products.</p>	<p>1. Disease diagnosis is almost always conducted by clinical means only, with laboratory diagnostic capability being generally unavailable.</p>
	<p>2. For major zoonoses and diseases of national economic importance, the VS have access to and use a <i>laboratory</i> to obtain a correct diagnosis.</p>
	<p>3. For other zoonoses and diseases present in the country, the VS have access to and use a <i>laboratory</i> to obtain a correct diagnosis.</p>
	<p>4. For diseases of zoonotic or economic importance not present in the country, but known to exist in the region and/ or that could enter the country, the VS have access to and use a <i>laboratory</i> 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 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>

Terrestrial Code References:

- Point 8 of Article 1.3.3.2. on Fundamental principles of quality: Procedures and standards.
 Point 3 of Article 1.3.4.6. on Evaluation criteria for material resources: Technical.
 Point 5 of Article 1.3.4.14. on Laboratory services.

II-2 Laboratory quality assurance	Levels of advancement
<p>The quality of laboratories (that conduct diagnostic testing or analysis for chemical residues, antimicrobial residues, toxins, or tests for, biological efficacy, etc.) as measured by the use of formal QA systems and participation in relevant proficiency testing programmes.</p>	1. No laboratories used by the public sector VS are using formal QA systems.
	2. Some laboratories used by the public sector VS are using formal QA systems.
	3. All laboratories used by the public sector VS are using formal QA systems.
	4. All the laboratories used by the public sector VS and most or all private laboratories are using formal QA systems.
	5. All the laboratories used by the public sector VS and most or all private laboratories are using formal QA programmes that meet OIE, ISO 17025, or equivalent QA standard guidelines.

Terrestrial Code References:

- Point 8 of Article 1.3.3.2. on Fundamental principles of quality: Procedures and standards.
 Point 1 of Article 1.3.4.4. on Evaluation criteria for quality systems.
 Point 3 of Article 1.3.4.6. on Evaluation criteria for material resources: Technical.
 Point 5 of Article 1.3.4.14. on Laboratory services.

II-3 Risk analysis	Levels of advancement
<p>The authority and capability of the VS to base its risk management decisions on a scientific assessment of the risks.</p>	<p>1. Risk management decisions are not usually supported by scientific risk assessment.</p>
	<p>2. The VS compile and maintain data but do not have the capability to systematically assess risks. Some risk management decisions are based on scientific risk assessment.</p>
	<p>3. The VS can systematically compile and maintain relevant data and carry out risk assessment. Scientific principles and evidence, including risk assessment, generally provide the basis for risk management decisions.</p>
	<p>4. The VS systematically conduct risk assessments in compliance with relevant OIE standards, and base their risk management decisions on the outcomes of these risk assessments.</p>
	<p>5. The VS are consistent in basing sanitary decisions on <i>risk analysis</i>, and in communicating their procedures and outcomes internationally, meeting all their OIE obligations (including WTO SPS Agreement obligations where applicable).</p>

Terrestrial Code References:

- Chapter 1.3.1. on Risk analysis: General considerations.
 Chapter 1.3.2. on Guidelines for import risk analysis.
 Section 1.5. on Risk analysis for biologicals for veterinary use.

II-4 Quarantine and border security	Levels of advancement
<p>The authority and capability of the VS to prevent the entry and spread of diseases and other hazards of animals and animal products.</p>	<p>1. The VS cannot apply any type of quarantine or border security procedures for animals or animal products with their neighbouring countries or trading partners.</p>
	<p>2. The VS 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>.</p>
	<p>3. The VS can establish and apply quarantine and border security procedures based on international standards, but the procedures do not systematically address illegal activities⁶ relating to the import of animals and animal products.</p>
	<p>4. The VS can establish and apply quarantine and border security procedures which systematically address legal pathways and illegal activities.</p>
	<p>5. The VS work with their neighbouring countries and trading partners to establish, apply and audit quarantine and border security procedures which systematically address all risks identified.</p>

Terrestrial Code References:

Point 8 of Article 1.3.3.2. on Fundamental principles of quality: Procedures and standards.
 Point 2 of Article 1.3.4.7. on Functional capabilities and legislative support: Export/Import inspection.
 Points 6 and 7 of Article 1.3.4.14. on Functional capabilities and legislative support and Animal health and veterinary public health controls.

⁶ Illegal activities include attempts to gain entry for animals or animal products other than through legal entry points and/or using certification and/or other procedures not meeting the country's requirements.

II-5 Epidemiological surveillance	Levels of advancement
<p>The authority and capability of the VS to determine, verify and report on the sanitary status of the animal populations under their mandate.</p> <p>A. Passive epidemiological surveillance</p>	1. The VS have no passive surveillance programme.
	2. The VS conduct passive surveillance for some relevant diseases and have the capacity to produce national reports on some diseases.
	3. The VS conduct passive surveillance for some relevant diseases 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 conduct passive surveillance and report at the national level on most relevant diseases. Appropriate field networks are established for the collection of samples and submission for laboratory diagnosis of suspect cases with evidence of correct results obtained. Stakeholders are aware of and comply with their obligation to report the suspicion and occurrence of notifiable diseases to the VS.
	5. The VS regularly report to stakeholders and the international community (where applicable) on the findings of passive surveillance programmes.

Terrestrial Code References:

Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and standards.
 Points 1-3 of Article 1.3.4.8. 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 1.3.4.14. 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 have no active surveillance programme.
	2. The VS conduct active surveillance for some relevant diseases (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 conduct active surveillance for some relevant diseases and apply it to all susceptible populations but do not update it regularly.
	4. The VS conduct active surveillance for some relevant diseases, apply it to all susceptible populations, update it regularly and report the results systematically.
	5. The VS conduct active surveillance for most or all relevant diseases and apply it to all susceptible populations. The surveillance programmes are evaluated and meet the country's OIE obligations.

Terrestrial Code References:

Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and standards.
 Points 1-3 of Article 1.3.4.8. 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 1.3.4.14. 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.

II-6 Early detection and emergency response	Levels of advancement
<p>The authority and capability of the VS to detect and respond rapidly to a sanitary emergency (such as a significant disease outbreak or food safety emergency).</p>	<p>1. The VS 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 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 have the legal framework and financial support to respond rapidly to sanitary emergencies, but the response is not coordinated through a chain of command.</p>
	<p>4. The VS have an established procedure to make timely decisions on whether or not a sanitary emergency exists. The VS have the legal framework and financial support to respond rapidly to sanitary emergencies through a chain of command. They have national contingency plans for some exotic diseases.</p>
	<p>5. The VS have national contingency plans for all diseases of concern through coordinated actions with all stakeholders through a chain of command.</p>

Terrestrial Code References:

Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and standards.
Points 1-3 of Article 1.3.4.8. on Animal health controls: Animal health status / Animal health control / National animal disease reporting systems.
Sub-point a) of Point 7 of Article 1.3.4.14. on Animal health and veterinary public health controls: Animal health.

II-7 Disease prevention, control and eradication	Levels of advancement
The authority and capability of the VS 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 have no authority or capability to prevent, control or eradicate animal diseases.
	2. The VS implement prevention, control and eradication programmes for some diseases and/or in some areas with little or no scientific evaluation of their efficacy and efficiency.
	3. The VS implement prevention, control and eradication programmes for some diseases and/or in some areas with scientific evaluation of their efficacy and efficiency.
	4. The VS implement prevention, control and eradication programmes for all relevant diseases but with scientific evaluation of their efficacy and efficiency of only some programmes.
	5. The VS implement prevention, control and eradication programmes for all relevant diseases with scientific evaluation of their efficacy and efficiency consistent with relevant OIE international standards.

Terrestrial Code References:

Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and standards.
 Points 1-3 of Article 1.3.4.8. on Animal health controls: Animal health status / Animal health control / National animal disease reporting systems.

Sub-point a) of Point 7 of Article 1.3.4.14. on Animal health and veterinary public health controls: Animal health.

II-8 Veterinary public health and food safety	Levels of advancement
<p>The authority and capability of the VS to implement, manage and coordinate veterinary public health measures, including programmes for the prevention of specific foodborne zoonoses and general food safety programmes.</p>	<p>1. Management, implementation and coordination are generally not undertaken in conformity with international standards.</p>
	<p>2. Management, implementation and coordination are generally undertaken in conformity with international standards only for export purpose.</p>
	<p>3. Management, implementation and coordination are generally undertaken in conformity with international standards only for export purpose and for products that are distributed throughout the national market.</p>
	<p>4. Management, implementation and coordination are generally undertaken in conformity with international standards for export purpose and for products that are distributed throughout the national and local markets.</p>
	<p>5. Management, implementation and coordination are undertaken in full conformity with international standards for products at all levels of distribution (throughout the national and local markets, and direct sales).</p>

[Note: This critical competency primarily refers to inspection of unprocessed animal products (e.g. meat, milk and honey). It may in some countries be undertaken by an agency other than the VS.]

Terrestrial Code References:

Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and standards.
 Points 1-5 of Article 1.3.4.9. 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 1.3.4.14. on National information on human resources / Functional capabilities and legislative support / Animal health and veterinary public health controls.
 Section 3.10. on Animal production food safety.

II-9 Veterinary medicines and veterinary biologicals	Levels of advancement
The authority and capability of the VS to regulate veterinary medicines and veterinary biologicals.	1. The VS cannot regulate the usage of veterinary medicines and veterinary biologicals.
	2. The VS has only limited capability to exercise administrative control (including registration) over the usage, including import and production, of veterinary medicines and veterinary biologicals.
	3. The VS exercise quality control (technical standards) over the import, production and distribution of veterinary medicines and veterinary biologicals.
	4. The VS exercise complete control over registration, sale and usage of veterinary medicines and veterinary biologicals.
	5. The VS implement systems to monitor the use of veterinary medicines, veterinary biologicals and their side effects (pharmacovigilance).

Terrestrial Code References:

Point 8 of Article 1.3.3.2. on Fundamental principles of quality: Procedures and standards.
Points 3 and 4 of Article 1.3.4.9. on Veterinary public health controls: Chemical residue testing programmes / Veterinary medicines.
Sub-point a) ii) of Point 6 of Article 1.3.4.14. on Animal health and veterinary public health: "Assessment of ability of Veterinary Services to enforce legislation".
Section 3.9. on Antimicrobial resistance.

II-10 Residue testing	Levels of advancement
<p>The capability of the VS to undertake residue testing programmes for veterinary medicines (e.g. antimicrobials and hormones), chemicals, pesticides, radionuclides, metals, etc.</p>	1. No residue testing programme for animal products exists in the country.
	2. Some residue testing programme is performed but only for selected animal products for export.
	3. A comprehensive residue testing programme is performed for all animal products for export and some for domestic use.
	4. A comprehensive residue testing programme is performed for all animal products for export and/or internal 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.]

Terrestrial Code References:

Points 3 and 4 of Article 1.3.4.9. on Veterinary public health controls: Chemical residue testing programmes / Veterinary medicines.

Sub-points b) iii) and iv) of Point 7 of Article 1.3.4.14. on Veterinary public health: Chemical residue testing programmes / Veterinary medicines.

Section 3.9. on Antimicrobial resistance.

II-11 Emerging issues	Levels of advancement
<p>The authority and capability of the VS to identify in advance, and take appropriate action in response to likely emerging issues under their mandate relating to the sanitary status of the country, public health, the environment, or trade in animals and animal products.</p>	<p>1. The VS do not have procedures to identify in advance likely emerging issues.</p>
	<p>2. The VS monitor and review developments at national and international levels relating to emerging issues.</p>
	<p>3. The VS assess the risks, costs and/or opportunities of the identified emerging issues, including preparation of appropriate national preparedness plans. The VS have some collaboration with stakeholders and other agencies (e.g. human health, wildlife, animal welfare and environment) on emerging issues.</p>
	<p>4. The VS implement, in coordination with stakeholders, prevention or control actions due to an adverse emerging issue, or beneficial actions from a positive emerging issue. The VS have well-developed formal collaboration with stakeholders and other agencies (e.g. human health, wildlife, animal welfare and environment) on emerging issues.</p>
	<p>5. The VS coordinate actions with neighbouring countries and trading partners to respond to emerging issues, including audits of each other's ability to detect and address emerging issues in their early stages.</p>

Terrestrial Code References:

Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General Organisation / Procedures and standards.
 Point 1 of Article 1.3.4.7. on Functional capabilities and legislative support: Animal health and veterinary public health.

II-12 Technical innovation⁷	Levels of advancement
The capability of the VS to keep up-to-date with the latest scientific advances and to comply with the standards of the OIE (and Codex Alimentarius Commission where applicable).	1. The VS have only informal access to technical innovations, through personal contacts and external sources.
	2. The VS maintain a database of technical innovations and international standards, through subscriptions to scientific journals and electronic media.
	3. The VS have a specific programme to actively identify relevant technical innovations and international standards.
	4. The VS incorporate technical innovations and international standards into selected policies and procedures, in collaboration with stakeholders.
	5. The VS systematically implement relevant technical innovations and international standards.

Terrestrial Code References:

Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General Organisation / Procedures and standards.
 Point 3 of Article 1.3.4.8. on Animal health controls: National animal disease reporting systems.
 Sub-point f) of Point 4 of Article 1.3.4.10. on Veterinary Services administration: Formal linkages with sources of independent scientific expertise.
 Points 6 and 7 of Article 1.3.4.14. on Functional capabilities and legislative support / Animal health and veterinary public health controls.

⁷ Technical innovation includes new disease control methods, new types of vaccines and diagnostic tests, food safety technologies, and connections to electronic networks on disease information and food emergencies.

CHAPTER III - INTERACTION WITH STAKEHOLDERS

The capability of the VS to collaborate with and involve stakeholders in the implementation of programmes and activities.

Critical competencies:

Section III-1	Communications
Section III-2	Consultation with stakeholders
Section III-3	Official representation
Section III-4	Accreditation / Authorisation / Delegation
Section III-5	Veterinary Statutory Body
Section III-6	Participation of producers and other stakeholders in joint programmes

Terrestrial Code References:

Points 6, 8 and 12 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and standards / Communication.
 Point 9 of Article 1.3.4.1. on General considerations.
 Points 2 and 7 of Article 1.3.4.3. on Evaluation criteria for the organisational structure of the Veterinary Services.
 Sub-point b) of Point 2 of Article 1.3.4.6. on Administrative resources: Communications.
 Article 1.3.4.11. on Participation on OIE activities.
 Article 1.3.4.12. on Evaluation of the veterinary statutory body.
 Points 4, 7 and Sub-Point g) of Point 9 of Article 1.3.4.14. on Administrative details / Animal health and veterinary public health controls / Sources of independent scientific expertise.

III-1 Communications	Levels of advancement
<p>The capability of the VS to keep stakeholders informed, in a transparent, effective and timely manner, of VS activities and programmes, and of developments in animal health and food safety.</p>	1. The VS have no mechanism in place to inform stakeholders of VS activities and programmes.
	2. The VS have informal communication mechanisms.
	3. The VS maintain an official contact point for communications but it is not always up-to-date in providing information.
	4. The VS contact point for communications provides up-to-date information, accessible via the internet and other appropriate channels, on activities and programmes.
	5. The VS have a well developed communication plan, and actively and regularly circulate information to stakeholders.

Terrestrial Code References:

Point 12 of Article 1.3.3.2. on Fundamental principles of quality: Communication.
 Sub-point b) of Point 2 of Article 1.3.4.6. on Administrative resources: Communications.
 Point 4 of Article 1.3.4.14. on Administrative details.

III-2 Consultation with stakeholders	Levels of advancement
<p>The capability of the VS to consult effectively with stakeholders on VS activities and programmes, and on developments in animal health and food safety.</p>	1. The VS have no mechanisms for consultation with stakeholders.
	2. The VS maintain informal channels of consultation with stakeholders.
	3. The VS maintain a formal consultation mechanism with stakeholders.
	4. The VS regularly hold workshops and meetings with stakeholders.
	5. The VS actively consult with and solicit feedback from stakeholders regarding proposed and current activities and programmes, developments in animal health and food safety, interventions at the OIE (Codex Alimentarius Commission and WTO SPS Committee where applicable), and ways to improve their activities.

Terrestrial Code References:

- Point 12 of Article 1.3.3.2. on Fundamental principles of quality: Communication.
 Point 2 of Article 1.3.4.3. on Evaluation criteria for the organisational structure of the Veterinary Services.
 Point 4 and Sub-Point g) of Point 9 of Article 1.3.4.14. on Administrative details and on Sources of independent scientific expertise.

III-3 Official representation	Levels of advancement
<p>The capability of the VS 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).</p>	1. The VS do not participate in or follow up on relevant meetings of regional or international organisations.
	2. The VS participate sporadically in relevant meetings and/or make limited contribution.
	3. The VS participate actively ⁸ the majority of relevant meetings.
	4. The VS consult with stakeholders and take into consideration their opinions in providing papers and making interventions in relevant meetings.
	5. The VS consult with stakeholders 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.

Terrestrial Code References:

Article 1.3.4.11. on Participation on OIE activities.
 Point 4 of Article 1.3.4.14. on Administrative details.

⁸ 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.

III-4 Accreditation / authorisation / delegation	Levels of advancement
<p>The authority and capability of the public sector of the VS to accredit / authorise / delegate the private sector (e.g. private veterinarians and laboratories), to carry out official tasks on its behalf.</p>	<p>1. The public sector of the VS 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 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 develops accreditation / authorisation / delegation programmes for certain tasks, but these are not routinely reviewed.</p>
	<p>4. The public sector of the VS develops and implements accreditation / authorisation / delegation programmes, and these are routinely reviewed.</p>
	<p>5. The public sector of the VS carries out audits of its accreditation / authorisation / delegation programmes, in order to maintain the trust of their trading partners and stakeholders.</p>

Terrestrial Code References:

Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and standards.
 Point 7 of Article 1.3.4.3. on Evaluation criteria for the organisational structure of the Veterinary Services.

III-5 Veterinary Statutory Body	Levels of advancement
<p>The <i>Veterinary Statutory Body</i> (VSB) is an autonomous authority responsible for the regulation of the <i>veterinarians</i> and <i>veterinary para-professionals</i>. Its role is defined in the <i>Terrestrial Code</i>.</p>	1. There is no legislation establishing a <i>VSB</i> .
	2. There is a <i>VSB</i> , but it does not have legislated authority to make decisions nor to apply disciplinary measures.
	3. The <i>VSB</i> regulates <i>veterinarians</i> and <i>veterinary para-professionals</i> only within certain sectors of the <i>VS</i> (e.g. public sector but not private sector <i>veterinarians</i>).
	4. The <i>VSB</i> regulates <i>veterinarians</i> and <i>veterinary para-professionals</i> throughout the <i>VS</i> .
	5. The <i>VSB</i> is subject to evaluation procedures in respect of autonomy, functional capacity and membership representation.

Terrestrial Code References:

- Point 9 of Article 1.3.4.1. on General considerations.
Article 1.3.4.12. on Evaluation of the veterinary statutory body.

<p>III-6 Participation of producers and other stakeholders in joint programmes</p> <p>The capability of the VS and stakeholders to formulate and implement joint programmes in regard to animal health and food safety.</p>	Levels of advancement
	1. Producers and other stakeholders only comply and do not actively participate in programmes.
	2. Producers and other stakeholders are informed of programmes and assist the VS to deliver the programme in the field.
	3. Producers and other stakeholders are trained to participate in programmes and advise of needed improvements, and participate in early detection of diseases.
	4. Representatives of producers and other stakeholders negotiate with the VS on the organisation and delivery of programmes.
5. Producers and other stakeholders are formally organised to participate in developing programmes in close collaboration with the VS.	

Terrestrial Code References:

- Point 12 of Article 1.3.3.2. on Fundamental principles of quality: Communication.
Points 2 and 7 of Article 1.3.4.3. on Evaluation criteria for the organisational structure of the Veterinary Services.
Point 7 of Article 1.3.4.14. on Animal health and veterinary public health controls.

CHAPTER IV - ACCESS TO MARKETS

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

Critical competencies:

Section IV-1	Preparation of legislation and regulations, and implementation of regulations
Section IV-2	Stakeholder compliance with legislation and regulations
Section IV-3	International harmonisation
Section IV-4	International certification
Section IV-5	Equivalence and other types of sanitary agreements
Section IV-6	Traceability
Section IV-7	Transparency
Section IV-8	Zoning
Section IV-9	Compartmentalisation

Terrestrial Code References:

Chapter 1.2.1. on Obligations and ethics in international trade: General obligations.
 Chapter 1.2.2. on Certification procedures.
 Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and standards.
 Chapter 1.3.5. on Zoning and compartmentalisation.
 Chapter 1.3.6. on Guidelines for reaching a judgement of equivalence of sanitary measures.
 Points 1 and 2 of Article 1.3.4.7. on Functional capabilities and legislative support: Animal health and veterinary public health / Export/import inspection.
 Points 1 and 3 of Article 1.3.4.8. on Animal health controls: Animal health status / National animal disease reporting systems.
 Sub-point g) of Point 4 of Article 1.3.4.10. on Veterinary Services administration: Trade performance history.
 Article 1.3.4.11. on Participation in OIE activities.
 Points 6 and 10 of Article 1.3.4.14. on Functional capabilities and legislative support / Membership of the OIE.
 Appendix 3.5.1. on Identification and traceability of live animals: General principles.
 Sections 4.1. and 4.2. on Model international veterinary certificates for live animals and for products of animal origin.

<p>IV-1 Preparation of legislation and regulations, and implementation of regulations</p> <p>The authority and capability of the VS to actively participate in the preparation of national legislation and regulations, and to implement animal health and food safety regulations for animals, animal products and processes under their mandate.</p>	<p>Levels of advancement</p>
	<p>1. The VS have neither the authority nor the capability to participate in the preparation of national legislation and regulations, and implement resultant regulations.</p>
	<p>2. The VS have the authority and the capability to participate in the preparation of national legislation and regulations, but cannot implement resultant regulations nationally.</p>
	<p>3. The VS have the authority and the capability to participate in the preparation of national legislation and regulations, and to implement resultant regulations nationally.</p>
	<p>4. The VS consult their stakeholders in participating in the preparation of national legislation and regulations, and in implementing regulations to meet national needs.</p>
<p>5. The VS consult their stakeholders in implementing regulations to meet international trade needs.</p>	

Terrestrial Code References:

Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and standards.
 Points 1 and 2 of Article 1.3.4.7. on Functional capabilities and legislative support: Animal health and veterinary public health / Export/import inspection.
 Point 6 of Article 1.3.4.14. on Functional capabilities and legislative support.

IV-2 Stakeholder compliance with legislation and regulations⁹	Levels of advancement
<p>The authority and capability of the VS to ensure that stakeholders are in compliance with animal health and food safety regulations under the VS mandate.</p>	<p>1. The VS have no programme to ensure stakeholder compliance with relevant regulations.</p>
	<p>2. The VS implement a programme consisting of inspection and verification of compliance with regulations relating to animals and animal products, report instances of non-compliance, but generally do not take further action.</p>
	<p>3. If necessary, the VS impose appropriate penalties in instances of non-compliance.</p>
	<p>4. The VS work with stakeholders to minimise instances of non-compliance.</p>
	<p>5. The VS carry out audits of their compliance programme.</p>

Terrestrial Code References:

Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and standards.
 Points 1 and 2 of Article 1.3.4.7. on Functional capabilities and legislative support: Animal health and veterinary public health / Export/import inspection.
 Point 6 of Article 1.3.4.14. on Functional capabilities and legislative support.

⁹ Legislation is the basis for sanitary measures, and includes all relevant laws, regulations and decrees, and associated technical processes and procedures.

IV-3 International harmonisation	Levels of advancement
<p>The authority and capability of the VS 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 do not take account of international standards.</p>
	<p>2. The VS 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 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 are active in reviewing and commenting on the draft standards of relevant intergovernmental organisations.</p>
	<p>5. The VS actively and regularly participate at the international level in the formulation, negotiation and adoption of international standards¹⁰, and use the standards to harmonise national legislation, regulations and <i>sanitary measures</i>.</p>

Terrestrial Code References:

Article 1.3.4.11. on Participation in OIE activities.

Points 6 and 10 of Article 1.3.4.14. on Functional capabilities and legislative support and on Membership of the OIE.

¹⁰ A country could be active in international standard setting without actively pursuing national changes. The importance of this element is to promote national change.

IV-4 International certification¹¹	Levels of advancement
<p>The authority and capability of the VS to certify animals, animal products, services and processes under their mandate, in accordance with the national legislation and regulations, and international standards.</p>	<p>1. The VS have neither the authority nor the capability to certify animals, animal products, services or processes.</p>
	<p>2. The VS have the authority to certify certain animals, animal products, services and processes, but are not always in compliance with the national legislation and regulations and international standards.</p>
	<p>3. The VS develop and carry out certification programmes for certain animals, animal products, services and processes under their mandate in compliance with international standards.</p>
	<p>4. The VS develop and carry out all relevant certification programmes for any animals, animal products, services and processes under their mandate in compliance with international standards.</p>
	<p>5. The VS carry out audits of their certification programmes, in order to maintain national and international confidence in their system.</p>

Terrestrial Code References:

Chapter 1.2.2. on Certification procedures.
 Points 6 and 8 of Article 1.3.3.2. on Fundamental principles of quality: General organisation / Procedures and standards.
 Point 2 of Article 1.3.4.7. on Functional capabilities and legislative support: Export/import inspection.
 Sub-point b) of Point 6 of Article 1.3.4.14. on Functional capabilities and legislative support: Export/import inspection.
 Sections 4.1. and 4.2. on Model international veterinary certificates for live animals and for products of animal origin.

¹¹ Certification procedures should be based on relevant OIE and Codex Alimentarius standards.

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

Terrestrial Code References:

Point 6 of Article 1.3.3.2. on Fundamental principles of quality: General organisation.
 Sub-point g) of Point 4 of Article 1.3.4.10. on Veterinary Services administration: Trade performance history.
 Chapter 1.3.6. on Guidelines for reaching a judgement of equivalence of sanitary measures.

IV-6 Traceability	Levels of advancement
<p>The authority and capability of the VS to identify animals and animal products under their mandate and trace their history, location and distribution.</p>	<p>1. The VS do not have the capability to identify animals or animal products.</p>
	<p>2. The VS can document the history of some animals and animal products.</p>
	<p>3. The VS have procedures in place to identify and trace selected animals and animal products as required for disease control and food safety purposes, in accordance with relevant international standards.</p>
	<p>4. The VS and their stakeholders have coordinated national procedures in place that can identify and trace animals and animal products as required for disease control and food safety purposes.</p>
	<p>5. The VS, in cooperation with their stakeholders, carry out audits of their traceability procedures.</p>

Terrestrial Code References:

Appendix 3.5.1. on Identification and traceability of live animals: General principles.

IV-7 Transparency	Levels of advancement
<p>The authority and capability of the VS 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.</p>	1. The VS do not notify.
	2. The VS occasionally notify.
	3. The VS notify in compliance with the procedures established by these organisations.
	4. The VS regularly inform stakeholders of changes in their regulations and decisions on the control of relevant diseases and of the country's sanitary status, and of changes in the regulations and sanitary status of other countries.
	5. The VS, in cooperation with their stakeholders, carry out audits of their transparency procedures.

Terrestrial Code References:

Chapter 1.2.1. on Obligations and ethics in international trade: General obligations.
 Points 1 and 3 of Article 1.3.4.8. on Animal health controls: Animal health status / National animal disease reporting systems.

IV-8 Zoning	Levels of advancement
<p>The authority and capability of the VS to establish and maintain disease free zones, as necessary and in accordance with the criteria established by the OIE (and by the WTO SPS Agreement where applicable).</p>	1. The VS cannot establish disease free zones.
	2. As necessary, the VS can identify animal sub-populations with distinct health status suitable for zoning.
	3. The VS have implemented biosecurity measures that enable it to establish and maintain disease free zones for selected animals and animal products, as necessary.
	4. The VS collaborate with their stakeholders to define responsibilities and execute actions that enable it to establish and maintain disease free zones for selected animals and animal products, as necessary.
	5. The VS can demonstrate the scientific basis for any disease free zones and can gain recognition by trading partners that they meet the criteria established by the OIE (and by the WTO SPS Agreement where applicable).

Terrestrial Code References:

Chapter 1.3.5. on Zoning and compartmentalisation.

IV-9 Compartmentalisation	Levels of advancement
<p>The authority and capability of the VS 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).</p>	1. The VS cannot establish disease free <i>compartments</i> .
	2. As necessary, the VS can identify animal sub-populations with a distinct health status suitable for compartmentalisation.
	3. The VS have implemented biosecurity measures that enable it to establish and maintain disease free <i>compartments</i> for selected animals and animal products, as necessary.
	4. The VS collaborate with their stakeholders to define responsibilities and execute actions that enable it to establish and maintain disease free <i>compartments</i> for selected animals and animal products, as necessary.
	5. The VS 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).

Terrestrial Code References:

Chapter 1.3.5. on Zoning and compartmentalisation.

