

## PREPARATION GRANT APPLICATION FORM

1. Prospective project title	Compartmentalisation, using a pilot exporting country for the implementation of the concept for avian influenza and Newcastle disease in commercial poultry
2. Requesting government /agency or private body	OIE
3. Collaborating government(s)/agency	Not applicable at this stage
<p>4. Project objectives</p> <p>Describe the objectives of the proposed project in general terms. <u>Attach</u> description of project background and rationale.</p>	<p>To develop a project which will further the practical application of the concept of compartmentalisation for avian influenza and Newcastle disease in commercial poultry.</p> <p>More specifically, the project will aim to assist an OIE Member Country to implement compartmentalisation for avian influenza and Newcastle disease in poultry by:</p> <ul style="list-style-type: none"> <li>• designing a framework for the organisation of the resources needed to set up and maintain a compartment;</li> <li>• examining the essential elements of a private/public sector partnership;</li> <li>• developing a detailed biosecurity plan for the compartment;</li> <li>• designing an appropriate monitoring and auditing programme for the compartment; and</li> <li>• evaluating the biosecurity plan and operation of the compartment, using OIE nominated experts.</li> </ul> <p>The resources developed (such as the framework and auditing programme above) should be as widely applicable as possible.</p> <p>The project should achieve these objectives through working with the public and private sectors in a potential exporting country.</p>
<p>5. Preparation activities</p> <p>Describe the means by which the project proposal is to be prepared e.g. in-house activity, consultant study, etc</p>	<p>The project preparation grant activities would be undertaken in the following steps:</p> <p><i>(a) Recruitment of consultant</i></p> <p>The OIE will recruit a suitably qualified and knowledgeable consultant.</p> <p><i>(b) Identification of project partner</i></p> <p>Through contacts provided by the OIE, the consultant would, on a confidential basis, contact the veterinary services of selected OIE Member Countries, with a view to working with a country interested in applying the concept of compartmentalisation with a view to export trade in live poultry or poultry products. The country would receive appropriate expert advice and technical support to enable it to develop the necessary conditions for the effective establishment and operation of a compartment, and for the successful outcome of an evaluation exercise.</p> <p>Once a country had been identified, the consultant would invite it to identify candidate enterprise(s) that would be suitable for participation in the project.</p> <p><i>(c) Fieldwork in project partner country</i></p>

	<p>As a first step in developing a project proposal, the consultant would interview relevant stakeholders in the country, in particular:</p> <ul style="list-style-type: none"> <li>• the enterprise(s) identified; and</li> <li>• the veterinary services.</li> </ul> <p>Interviews would be structured so as to ascertain areas in which capacity building efforts might be necessary to ensure that all requirements (as detailed in the OIE Terrestrial Animal Health Code (the Code) and associated documents) are met by the enterprise(s) and the veterinary services.</p> <p><i>(d) Elaboration of project proposal</i></p> <p>In designing a project proposal which would develop the necessary conditions for the effective establishment and operation of a compartment, and the successful outcome of an evaluation exercise, the consultant should also give attention to broader OIE objectives in that the resources developed for the particular compartment (the organisational framework, the biosecurity plan and the monitoring and auditing programme) should be as widely applicable as possible.</p> <p><i>(e) Formal agreement by project partners to proceed</i></p> <p>Before the project is submitted for STDF Working Group consideration, the consultant would need to submit the project proposal for comment by the identified stakeholders. A final version of the project would be submitted only after formal written agreement had been provided by the veterinary services of the country.</p>
<p>6. Private/public sector co-operation Detail the role, if any, that will be played by the private sector in the preparation of the project</p>	<p>The concept of compartmentalisation is based on the recognition of an enterprise or group of enterprises as ‘free from a specific disease or diseases’. The concept necessitates very close co-operation between the private and public sectors, with the former responsible for carrying out the procedures necessary to maintain the biosecurity of the compartment, and the latter for monitoring and auditing those procedures, and for conducting international negotiations and providing the relevant health certification for commodities exported from the compartment.</p> <p>If successful, the project should result in a measurable improvement in public-private sector cooperation and consequently in market access.</p>
<p>7. Partner institutions involved If appropriate, identify STDF partner institutions who will be involved and describe the nature of that involvement.</p>	OIE
<p>8. Preparation project inputs Specify total cost of preparing project proposal (maximum US\$20,000).</p>	A total of \$US16,000 should be budgeted for this activity.
<p>9. Non-STDF contributions If appropriate specify any financial contributions expected from sources other than STDF.</p>	Not applicable.
<p>10. Timetable Show proposed commencement and conclusion dates</p>	Preparation activities to be undertaken in time for a project to be considered at the next meeting of the STDF Working Group.

## ANNEX 1 Project background and rationale

Compartmentalisation is a procedure that may be implemented by a country to define and manage animal sub-populations of distinct health status within its territory, in accordance with the recommendations in the Code, for the purposes of enhancing disease control programmes within the country and/or promoting safe international trade in animals and animal products.

While zoning applies to an animal sub-population defined primarily on a geographical basis (using natural, artificial or legal boundaries), compartmentalisation applies to an animal sub-population defined primarily by management and husbandry practices related to biosecurity. In practice, spatial considerations and good management play important roles in the application of both concepts.

The Code recommendations for compartments cannot be applied in all situations. The effective implementation of the concept of compartmentalisation depends *inter alia* on the manner by which the disease spreads, the biosecurity measures which may be applicable in the country or that part of the country, the health status of animals in adjacent areas and the working relationship between the relevant public and private sectors. Compartmentalisation may be particularly applicable in intensive industries where production systems are vertically integrated. As a result of typical operating procedures in the commercial poultry industry and the way in which certain diseases of poultry are transmitted, the concept is suitable for application in poultry enterprises.

The OIE has made available to Member Countries several texts relating to compartmentalisation and poultry diseases. These include:

- OIE *Terrestrial Code* chapters on avian influenza (2.7.12), Newcastle disease (2.7.13);
- OIE *Terrestrial Code* chapter on zoning and compartmentalisation (1.3.5);
- OIE *Terrestrial Code* chapters on the quality and evaluation of veterinary services (1.3.3 and 1.3.4), and the associated PVS tool ([http://www.oie.int/download/ENG\\_PVS\\_FINALWEB\\_09\\_02\\_2007.pdf](http://www.oie.int/download/ENG_PVS_FINALWEB_09_02_2007.pdf));
- OIE *Terrestrial Code* appendices on ‘general guidelines for animal health surveillance’ (3.8.1), ‘guidelines for the surveillance of avian influenza’ (3.8.9), and guidelines on surveillance for Newcastle disease (under development);
- OIE *Terrestrial Code* appendix on the general principles for the identification and traceability of live animals (3.5.1);
- OIE *Scientific and Technical Review* article on the concept of compartmentalisation ([http://www.oie.int/eng/publicat/rt/A\\_RT25\\_3.htm](http://www.oie.int/eng/publicat/rt/A_RT25_3.htm));
- OIE *Terrestrial Code* appendix on general guidelines on the application of compartmentalisation (under development);
- OIE guidance document on the implementation of compartmentalisation for avian influenza and Newcastle disease in poultry.

These texts should form the basis for the project.

The project aims to enhance the understanding and utilisation of compartmentalisation in OIE Member Countries by using the outcomes in the selected country to demonstrate the opportunities presented by the concept and ways of successfully implementing the concept in a real situation.

As the concept necessitates very close co-operation between the private and public sectors, the project (through its examination of the essential elements of a private/public sector partnership) will also assist Member Countries in developing or enhancing these partnerships. The ability to develop and maintain such partnerships is one of the critical competencies identified in the OIE PVS tool as needing to be considered in any evaluation of veterinary services.

As compartmentalisation cannot be implemented without significant resource inputs from the public and private sectors, the project will develop a framework for assessing the resources needed in the private and public sectors to implement compartmentalisation (for example financial, human, organisational and technical resources) at a national and sub-national level.

The project will also serve to improve the relevant OIE texts.

**ANNEX 2 Project budget**

**Development**

Travel: 2 visits by consultant to exporting country	\$4,500
Per diem 10 days @\$USD 250	\$2,500
Honoraries @\$USD 500	
Preparation (5 days)	\$2,500
Visits (10 days)	\$5,000
Report (3 days)	\$1,500

**TOTAL**

**\$USD 16,000**

## ANNEX 3 OIE Terrestrial Animal Health Code 2006

### CHAPTER 1.3.5.

#### ZONING AND COMPARTMENTALISATION

##### Article 1.3.5.1.

###### Introduction

For the purposes of the *Terrestrial Code*, ‘zoning’ and ‘regionalisation’ have the same meaning.

Given the difficulty of establishing and maintaining a disease free status for an entire country, especially for diseases the entry of which is difficult to control through measures at national boundaries, there may be benefits to Member Countries in establishing and maintaining a *subpopulation* with a different animal health status within national boundaries. *Subpopulations* may be separated by natural or artificial geographical barriers, or in certain animal industries, by the application of appropriate management systems, including biosecurity management.

Zoning and compartmentalisation are procedures implemented by a country under the provisions of this Chapter with a view to defining *subpopulations* of different animal health status within its territory for the purpose of disease control and/or *international trade*. Compartmentalisation applies to a *subpopulation* when management systems related to biosecurity are applied, while zoning applies when a *subpopulation* is defined on a geographical basis.

This chapter is to assist OIE Member Countries to establish and maintain different *subpopulations* within their national borders using the principles of compartmentalisation and zoning. These principles should be applied in accordance with the measures recommended in the relevant disease chapter(s). It also outlines a process for trading partners to follow in achieving recognition of such *subpopulation*. These procedures are best implemented by trading partners through establishing parameters and gaining agreement on the necessary measures prior to *disease outbreaks*.

Before trade in *animals* or their products may occur, an *importing country* needs to be satisfied that its *animal health status* will be appropriately protected. In most cases, the import regulations developed will rely in part on judgements made about the effectiveness of sanitary procedures undertaken by the *exporting country*, both at its borders and within its territory.

The benefits of zoning and compartmentalisation may include a contribution to disease control or eradication within Member Countries, and to the safety of *international trade*. Zoning may encourage the more efficient use of resources within certain parts of a country to allow trade in certain *commodities* from that *zone* in accordance with the *Terrestrial Code*. Compartmentalisation may allow safe trade due to the functional separation of a *subpopulation* from other domestic or wild animals through biosecurity measures, which a *zone* (through geographical separation) would not achieve. Following a *disease outbreak*, compartmentalisation may be able to take advantage of common practices relating to biosecurity despite diverse geographical locations, to facilitate disease control.

Separate requirements will be developed for each disease for which the application of zoning or compartmentalisation is considered appropriate.

Article 1.3.5.2.

**General considerations**

The *Veterinary Services* of an *exporting country* which is establishing a *zone* or *compartment* within its territory for *international trade* purposes should clearly define the *subpopulation* in accordance with the measures stipulated in the relevant Chapters in the *Terrestrial Code* and should be able to explain to the *Veterinary Services* of an *importing country* the basis for its claim of a distinct *animal health status* for the *zone* or *compartment* in such terms.

The procedures used to establish and maintain the distinct health status of a *zone* or *compartment* should be appropriate to the particular circumstances, and will depend on the epidemiology of the disease, environmental factors, applicable biosecurity measures (including movement controls, use of natural and artificial boundaries, commercial management and husbandry practices), and surveillance and monitoring. The *exporting country* should be able to demonstrate, through detailed documentation published through official channels, that it has implemented the measures stipulated in the *Terrestrial Code* for establishing and maintaining such a *zone* or *compartment*.

An *importing country* should recognise the existence of this *zone* or *compartment* when the appropriate measures recommended in the *Terrestrial Code* are applied and the *Veterinary Administration* of the *exporting country* certifies that this is the case.

Article 1.3.5.3.

**Prerequisite considerations in defining a zone or compartment**

The *exporting country* should conduct an assessment of the resources needed and available to establish and maintain a *zone* or *compartment* for *international trade* purposes. These include the human and financial resources, and the technical capability of the *Veterinary Services* (and of the relevant industry, in the case of a *compartment*).

Article 1.3.5.4.

**Principles for defining a zone or compartment**

In conjunction with the above considerations, defining a *zone* or *compartment* should be based on the application of the following principles.

1. The extent of a *zone* and its limits should be established by the *Veterinary Administration* on the basis of natural, artificial and/or legal boundaries, and made public through official channels.
2. The requirements regarding a *compartment* should be established by the *Veterinary Administration* on the basis of relevant criteria such as biosecurity management and husbandry practices, and made public through official channels.
3. Animals and herds belonging to *subpopulations* need to be clearly recognizable as such. The *Veterinary Administration* must document in detail the measures taken to ensure the identification of the *subpopulation* and the recognition and maintenance of its health status.
4. The procedures used to establish and maintain the distinct health status of a *zone* or *compartment* should be appropriate to the particular circumstances, and will depend on the epidemiology of the disease, environmental factors, applicable biosecurity measures (including movement controls, use of natural and artificial boundaries, commercial management and husbandry practices), and surveillance.
5. Thus defined, the *zones* and *compartments* constitute the relevant *subpopulations* for the application of the recommendations in Part 2 of the *Terrestrial Code*.

## Article 1.3.5.5.

**Sequence of steps to be taken in defining a zone/compartment and having it recognised for trade purposes**

There is no single sequence of steps which must be followed in defining a *zone* or a *compartment*. The steps that the *Veterinary Services* of the *importing country* and the *exporting country* choose and implement will generally depend on the circumstances existing within a country and at its borders. The recommended steps are:

1. For zoning
  - a) The *exporting country* identifies a geographical area within its territory which it considers to contain an animal *subpopulation* with a distinct health status with respect to a specific *disease/specific diseases*, based on surveillance and monitoring.
  - b) The *exporting country* identifies the procedures which are being, or could be, employed to distinguish such an area epidemiologically from other parts of its territory, in accordance with the measures stipulated in the *Terrestrial Code*.
  - c) The *exporting country* provides the information above to the *importing country*, and explains that the area can be treated as an epidemiologically separated zone for *international trade* purposes.
  - d) The *importing country* determines whether it may accept such an area as a *zone* for the importation of *animals* and animal products, taking into account:
    - i) an evaluation of the *exporting country's Veterinary Services*;
    - ii) the result of a *risk assessment* based on the information provided by the *exporting country* and its own research;
    - iii) its own animal health situation with respect to the *disease(s)* concerned; and
    - iv) other relevant OIE standards.
  - e) The *importing country* notifies the *exporting country* of the result of its determination and the underlying reasons, within a reasonable period of time, being either:
    - i) recognition of the *zone*;
    - ii) request for further information; or
    - iii) rejection of the area as a *zone* for *international trade* purposes.
  - f) An attempt should be made to resolve any differences over the definition of the *zone*, either in the interim or finally, by using an agreed mechanism to reach consensus (such as the OIE dispute settlement mechanism).
  - g) The *importing country* and the *exporting country* may enter into a formal agreement defining the *zone*.
2. For compartmentalisation
  - a) Based on discussions with the relevant enterprise/industry, the *exporting country* identifies within its territory one or more *establishments* or other premises owned by an enterprise(s) which operates under a common biosecurity management system, and which it considers contains an identifiable animal *subpopulation* with a distinct health status with respect to a specific *disease/specific diseases*; and that this status is maintained through a partnership between the relevant enterprise/industry and the *Veterinary Services* of the *exporting country*.
  - b) The *exporting country* examines the 'biosecurity management manual' produced by the enterprise/industry for such *establishment(s)*, and confirms through an audit that:
    - i) such *establishment(s)* is(are) epidemiologically closed throughout its routine operating

procedures as a result of effective implementation of its 'biosecurity management manual'; and

- ii) the surveillance and monitoring programme in place is appropriate to verify the free status of such *establishment(s)* with respect to such *disease(s)*.
- c) The *exporting country* identifies such an enterprise to be a *free compartment*, in accordance with the measures stipulated in the *Terrestrial Code*.
- d) The exporting country provides the information above to the importing country, and explains that such an enterprise can be treated as an epidemiologically separated compartment for international trade purposes.
- e) The importing country determines whether it may accept such an enterprise as a compartment taking into account: i) an evaluation of the exporting country's Veterinary Services; ii) the result of a risk assessment based on the information provided by the exporting country and its own research; iii) its own animal health situation with respect to the disease(s) concerned; and iv) other relevant OIE standards.
- f) The importing country notifies the exporting country of the result of its examination and the underlying reasons, within a reasonable period of time, being either: i) recognition of the compartment; ii) request for further information; or iii) rejection of such an enterprise as a compartment for international trade purposes.
- g) An attempt should be made to resolve any differences over the definition of the compartment, either in the interim or finally, by using an agreed mechanism to reach consensus (such as the OIE dispute settlement mechanism).
- h) The importing country and the exporting country may enter into a formal agreement defining the compartment.