

1 **A systematic approach to illuminate a new hot spot of avian influenza circulation in South**
2 **Vietnam**

3
4 **Short running title**

5 A new AI hotspot in South Vietnam

6
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39 **Summary (285/300)**

40 In South Vietnam, live bird markets (LBMs) are key in the value chain of poultry products
41 and spread of avian influenza virus (AIV) although they may not be the sole factor to determine
42 avian influenza (AI) prevalence in the southern part. Therefore, a risk analysis of AIV spread was
43 conducted by including all possible value chain factors. A cross-sectional study was performed in
44 backyard farms, high-biosecurity farms (bio-farms), LBMs, and poultry delivery stations (PDSs) in
45 the four districts of Vinh Long Province in December 2016 and August 2017. A total of 3 597 swab
46 samples were collected from individual poultry at 101 backyard farms, 50 bio-farms, 58 sellers in
47 LBMs, and 17 traders in PDSs and then investigated for AIV isolation. Concurrently, information
48 related to participants and birds was collected and used to identify the fixed and random effects of
49 factors in AIV infection. A total of 274 birds were positive for virus isolation, with a prevalence of
50 7.6% (95% confidence interval [CI]: 6.8–8.5) at the individual poultry level, and the adjusted
51 prevalence based on the sampling weight was 7.9% (95% CI: 7.6–8.2). The significantly higher
52 prevalence in PDSs (20.7%) and LBMs (14.2%) compared to backyard farms (3.0%) and bio-farms
53 (0.6%) suggested that PDSs are another hot spot for AIV circulation. The high diversity in the seller
54 and trader population characteristics was revealed using multiple-correspondence analysis to
55 analyze the participants' demographic factors in LBM and PDS. The mixed-effect logistic
56 regression model revealed that keeping duck at the sampling time and the owner's older age should
57 be risk factors of AIV infection in PDS. Therefore, functional AI control efforts to monitor the PDS
58 system should be emphasized to minimize AIV circulation risk in Vietnam.

59 **Keywords:** avian influenza; Vietnam; poultry delivery station; knowledge attitude and practice
60 survey

61 **Introduction**

62 Avian influenza (AI) virus circulation has been reported in many countries, including
63 Vietnam. Particularly, outbreaks of high pathogenicity avian influenza (HPAI) have occurred in
64 poultry throughout Southeast Asia despite large-scale vaccination campaigns in Vietnam and
65 Indonesia together with stamping-out interventions (Alexander, 2007; Brown, 2010). Although the
66 number of HPAI outbreaks in Vietnam due to infection with H5N1 subtype viruses has decreased
67 markedly since 2004 (FAO Vietnam, 2017), substantial losses in the domestic poultry sector
68 continuously occur. A large number of studies have greatly contributed to the improvement of the
69 understanding of AI virus (AIV) epidemiology by highlighting the importance of several drivers
70 owing to its spread (Nomura et al., 2012; Okamatsu et al., 2013; Nguyen et al., 2014; Chu et al.,
71 2016; Chu et al., 2017; Nguyen et al., 2020). In the efforts to control AIV risk, the government has
72 developed both active and passive surveillance systems. One of the advantages of active
73 surveillance can capture new virus introduction or strain evolution rapidly. In contrast, a passive
74 AI surveillance system is appropriate to figure out the cause of the outbreaks through the passive
75 reporting of disease events by farmers.

76 Effective surveillance system results imply that diversification in AIV subtypes has
77 increased due to a wide range of its infection in poultry populations in East and Southeast Asia,
78 including Vietnam (Li et al., 2013; de Vries et al., 2015). These viruses can cause major poultry
79 production losses, such as an increase in mortality and a reduction of egg production (Kinde et al.,
80 2003), and pose a concern for global health security to cause zoonotic infection. Therefore,

81 monitoring the virus subtypes circulating in the field is essential (Pfeiffer et al., 2013).

82 In previous studies, the trade and movement of live birds are demonstrated as a major
83 pathway for promoting a wider spreading of AIV (Kung et al., 2007; Kim et al., 2010; Gilbert et
84 al., 2014). Along with that, live bird markets (LBMs) have been identified to play an important
85 role in AIV circulation (Bulaga et al., 2003; Choi et al., 2005; Chen et al., 2009; Indriani et al.,
86 2010; Kang et al., 2015). During a zoonotic outbreak caused by the H7N9 AIV infection in China
87 in 2013, the closure of LBMs was remarkably effective in reducing its human infection by up to
88 99% (Yu et al., 2014). Although rest days in LBMs effectively break the viral amplification cycle
89 within LBMs, they do not prevent virus reintroduction from the outside (Kung et al., 2003). A
90 previous study in Vietnam about the control measures in LBMs has indicated no differences in
91 AIV prevalence between intervention and non-intervention LBM (Chu et al., 2017), meaning that
92 the introduction of AIV into LBMs might occur continuously. This evidence indicated that the
93 source of AIV circulation in the value chain of poultry products in Vietnam has not yet been fully
94 identified and controlled.

95 During the active surveillance in Vietnam since 2015, it was indicated that a sector which
96 should be named as poultry delivery station (PDS) would play a role in the connection among
97 poultry farms, LBMs, and slaughterhouses. PDS usually works within a wide range of distance,
98 which is up to 100 km, with mixing several species of poultry under poor biosecurity conditions,
99 whereas LBMs tends to take smaller-scale operations with poultry, most of which are transported
100 from nearby household and semicommercial enterprises (Phan et al., 2013).

101 In this study, the active surveillance of AIV and a questionnaire study in the four poultry
102 production sectors: high-biosecurity farm (bio-farm), backyard farm, LBM, and PDS in Vinh
103 Long Province, Vietnam, were conducted in 2016 and 2017. This study specifically aimed to (1)
104 estimate the AIV prevalence in each of the four sectors and compare the characteristics of AIV-
105 positive samples and (2) identify the factors that might more likely cause positive AIV infection in
106 birds. Identifying the relatively important factors influencing the AIV spread at each sector should
107 be definitively the first step to design more effective evidence-based measures to reduce the risk of
108 AIV infection through the value chain of poultry products in Vietnam.

109 **Materials and Methods**

110 *Study design and study area*

111 A cross-sectional study was conducted in 101 backyard farms, 50 bio-farms, 58 sellers of
112 LBMs, and 17 traders of PDSs in the four districts of Vinh Long Province, Vietnam (Figure 1) in
113 December 2016 and August 2017. From the list provided by the local government, the number of
114 participants in each district was determined from 20 to 25 for backyard farms and from 10 to 15 for
115 bio-farms. A farm that had not applied any prevention measures following local authority
116 guidelines, such as keeping poultry in a separate place, vaccination, and disinfection, was
117 categorized as a backyard farm. A farm categorized as a bio-farm satisfied to apply at least more
118 than one experience out of several control measures, including keeping poultry in a separate place,
119 vaccination, and disinfection. Two LBMs per district were selected at each sampling round, and a
120 total of 12 LBMs were selected in this study. Two PDSs per district were selected at each sampling
121 round, and a total of 13 PDSs were selected. Each of the PDSs, LBMs, and farms was visited by the
122 investigators (KTL, LTN, D-HC, and TNN) and the Sub-Department of Animal Health (SDAH)
123 staff of Vinh Long Province. Each category's sampling weight in the poultry value chain was
124 computed based on Lumley's (2010) through the survey package (Lumley, 2020) developed in R.

125

126 *Laboratory procedures*

127 All oropharyngeal swabs, cloacal swabs, and fecal samples were collected from chickens,
128 ducks, or Muscovy ducks in each poultry farmer, seller, and trader at each sampling round. The
129 sterile tube contained transport medium was used to kept oropharyngeal and cloacal swabs, as

described previously (Le et al., 2020). Samples were then transported to the Regional Animal Health Office No. 7 (RAHO7), Can Tho, Vietnam. Under ISO 17025:2017 certification for the diagnostic procedure in RAHO7, the presence of influenza type A virus in the samples were tested by using real-time reverse transcription-polymerase chain reaction (RT-PCR) targeting on M gene with the primer design and thermal cycle (Das et al., 2006) following by the manual of OIE (OIE, 2018). All samples were transferred to the Laboratory of Microbiology, Faculty of Veterinary Medicine, Hokkaido University, for virus isolation. The shipment of samples containing AIV was classified into Biological Substance, Category B, following the International Air Transport Association's instructions in the Dangerous Goods Regulation Manual (Pearson, 2007).

139

140 *Virus isolation*

141 The 10-day-old chicken embryonated eggs produced by conventional chickens tested free of AIV antibody were use to isolated the AIV. Each sample was resuspended with a transport medium and inoculated into the allantoic cavity. The incubation was carried out in 30 to 48 h at 35°C, allantoic fluid was collected to check the hemagglutination activity. The hemagglutination inhibition and neuraminidase inhibition tests with antisera to the reference influenza virus strains were used to determine the subtypes of the isolated influenza virus (Kida & Yanagawa, 1979).

147 The true prevalence was estimated based on the sensitivity and specificity of the real-time RT-PCR (in RAHO7) and virus isolation (in Hokkaido University) by applying the epiR package (Stevenson et al., 2021) on R.

150

151 *Questionnaire and interview*

152 By referring to the previous questionnaires administrated by the Vietnamese Department of
153 Animal Health (DAH), Ha Noi, a questionnaire to collect details of knowledge, attitudes, and
154 practices regarding AIV was developed in this study by the authors in partnership with the DAH
155 staff. The questionnaire and response is stored in corresponding authors' data and available on
156 request. Three different questionnaires were developed in Vietnamese, each for the farmer in
157 backyard farms and bio-farms, the seller in LBM, and the trader in PDS, respectively. All three
158 questionnaires consisted of the following sections: (1) the poultry worker's demographic, (2) details
159 of the source and type of poultry on the interviewing day, (3) knowledge of poultry worker
160 regarding AIV, (4) details of their attitudes about AI control measures, and (5) the typically
161 implemented for AI biosecurity measures.

162 Questionnaire surveys were administered by trained interviewers of the SDAH Vinh Long
163 Province and each district veterinary station. Under the supervision and technical assistance of
164 DAH staff, and the support of the SDAH veterinarians at the study communes, 226 face-to-face
165 interviews were conducted with poultry workers in the two sampling rounds in the four districts.
166 Each sampling round was divided into two stages: In the first stage, the sample and questionnaire
167 collection was performed in the bio-farm then backyard farm in the former stage. In the latter stage,
168 the same procedure was applied for LBMs and PDS. The sampling schedule was announced to the
169 stakeholders and the local veterinarian in advance, and all sample collection and questionnaire
170 surveys in each stage were completed in 8 days. The field activities to manage the sampling process

171 and collect the participants' information were conducted under the responsibility of the DAH and
172 SDAH Vinh Long Province.

173

174 *Data management*

175 In the beginning, a unique key assigned for each poultry worker as an identifier during this
176 study. Questionnaire responses at each sampling round and results of AIV isolation were recorded
177 in two separate tables. The unique poultry worker identifier was used to link two tables within the
178 relational database.

179

180 *Multiple-correspondence analysis*

181 The pairwise crosstabulation of the individual variable was used to construct an $I \times J$
182 indicator matrix, where I is the set of i individual records, and J is the set of j variable categories.
183 Then MCA was performed on this indicator matrix with each cell (i, j) contains an individual record
184 i and category j (Snijders & Bosker, 1999).

185 In the MCA, each individual variable represented by a mark on the MCA two-dimensional
186 graph and the association of the categories are expressed as the distance of these marks. The
187 relative location of a representative point depends on the distance (interaction) between the
188 variables in the dataset. The square of the distance between the representative marks is introduced
189 according to the following equation:

$$190 \quad d_m^2(i, i') = \frac{1}{f_j} + \frac{1}{f_j'} \quad (1)$$

191 where $d_m^2(i, i')$ is the squared distance between representatives i and i' for variable m . f_j is the
 192 relative frequency of representative records that selected category j . $f_{j'}$ is the relative frequency of
 193 representative records that selected category j' . Relative frequency of each category is introduced as
 194 the rate of the number of representatives in category per total number of individual records in the
 195 dataset. The sum of all square distances between each set of the two representative records is
 196 calculated using the following equation:

$$197 \quad D^2(i, i') = \frac{1}{M} \sum_{m \in M} d_m^2(i, i') \quad (2)$$

198 where $D^2(i, i')$ is the sum of squared distance between individuals i and i' . M is a set of all
 199 variables.

200 Since both clouds (the set's position of variables) of representative variables and their variable
 201 categories are at the same dimension, the relative location between representative points (individual
 202 variables) and variable categories was determined by a point and a weight. The squared distance
 203 between two different categories j and j' is introduced according to the following equation. The n_{jj}
 204 will be zero if two categories are at the same variable.

$$205 \quad (N_j N_{j'})^2 = \frac{n_j + n_{j'} - 2n_{jj'}}{\frac{n_j n_{jj'}}{n}} \quad (3)$$

206 where $(N_j N_{j'})^2$ is the squared distance between categories j and j' . n_j is the number of
 207 representatives that selected category j . $n_{j'}$ is the number of representatives that selected category j' .
 208 $n_{jj'}$ is the number of representatives that selected both categories j and j' . MCA was performed

209 using R version 4.0.0 (R Development Core Team 2016) with the FactoMineR package (Husson et
210 al., 2008).

211

212 *Mixed-effect logistic regression*

213 The prevalence of AIV at the individual bird level was defined as the proportion of the total
214 number of individual birds with AIV positive samples per the total number of birds sampled.
215 Unconditional associations between responses on the questionnaire (the explanatory variables) and
216 the laboratory results (the presence or absence of AIV in an individual bird) were expressed as the
217 odds ratio. Analysis of variance (ANOVA) was performed to determine the effect of independent
218 variables to the dependent variable in a regression study aiming to figure out the potential factor
219 that might relate to AIV infection. Any explanatory variables with $P < 0.2$ (two-sided) of
220 unconditional association were applied in the multivariable modeling.

221 The probability that a bird is positive for AIV infection was parameterized as a function of
222 the m explanatory variables in a fixed-effects multiple logistic regression model. This model takes
223 the following form under the assumption of $p_i = P(Y_i = 1)$ and that Y_i are mutually independent:

$$224 \log\left(\frac{p_i}{1-p_i}\right) = \beta_0 + \beta_1 x_{1i} + \dots + \beta_m x_{mi} + \epsilon_i \quad (4)$$

225 In Eq. (4), β_0 represents the intercept term and β_1, \dots, β_m represent the regression
226 coefficients of each m explanatory variable in the model. Unnecessary explanatory variables were
227 selected and taken out from the regression model by the backward elimination method until all of
228 the explanatory variables satisfied significance at $\alpha < 0.05$. Explanatory variables excluded at

univariable analysis were included into the final model to check whether they cause more than 20% of change in any of estimated regression coefficients. Furthermore, none of the biologically plausible two-way interactions were significant at $\alpha = 0.05$.

To account for the lack of independence arising from the hierarchical structure of the data, including individual birds clustered within poultry worker clustered within sampling rounds and LBMs or PDS, the model in Eq. (4) was extended to a mixed-effects model.

$$\log\left(\frac{p_{ijk}}{1-p_{ijk}}\right) = \beta_0 + \beta_1 x_{1ijk} + \dots + \beta_m x_{mijk} + M_k + S_{jk} + \epsilon_{ijk} \quad (5)$$

In Eq. (5), p_{ijk} represents the probability of being AIV positive in the i th bird from the j th poultry worker in the k th LBM/PDS. The M_k is a zero mean random effect term parameter with variance σ_M^2 indicating the affect of the k th LBM/PDS on the probability of being AIV positive. The S_{jk} is a zero mean random effect term with variance σ_S^2 indicating the affect of the j th seller/trader in the k th LBM/PDS. The S_{jk} and M_k were included in the model to describe unexplained extrabinomial variation existing at the poultry worker level and LBM/PDS level on AIV positive.

The assumptions of normality and homogeneity of variance were investigated by constructing the histograms of the residuals in the multilevel model, and plots between the residuals and predicted values, respectively. In the multilevel model, extrabinomial variation was not included to individual bird variance, and estimates of variance at each of three levels (LBS/PDS, worker, and bird) were assumed that the variance at the lowest level on the logit scale was $\pi^2/3$, where $\pi = 3.1416$ (Snijders & Bosker, 1999).

248 Descriptive analysis, measures of unconditional association, and fixed-effects logistic
249 regression models were accomplished in R. The MlwiN (Rasbash et al., 2015) was applied to
250 develop the mixed-effects model by using the R2MLwiN package (Zhang et al., 2016) in R.

251 **Results**

252 *Descriptive statistics and unconditional associations*

253 The sample size and the relative AIV prevalence among sectors are shown in Table 1.

254 During the study period, the average number of birds sampled per trader in PDS was 40 (minimum

255 of 19, maximum of 52), per seller in LBM was 11 (minimum of 10, maximum of 52), per backyard

256 farm was 10 (minimum of 5, maximum of 20), per bio-farm was 26 (minimum of 10, maximum of

257 50). The final dataset comprised details from 3 597 birds from 17 traders of 13 PDSs, 58 sellers of

258 12 LBMs, 101 backyard farms, and 50 bio-farms in eight communes in the four districts of Vinh

259 Long Province. A total of 274 out of 3 597 birds (7.6%; 95% confidence interval [95% CI]: 6.8–

260 8.5) were positive for AIV isolation. Isolation rates for AIV varied between sectors (Figure 2), with

261 PDS accounting for 20.7% (95% CI: 17.7–24.0), followed by LBM with 14.2% (95% CI: 11.7–

262 17.1), backyard farm with 3.0% (95% CI: 2.1–4.3), and bio-farm with 0.6% (95% CI: 0.2–1.2). The

263 sensitivity and specificity of the diagnostic tests used in this study were defined as 1, meaning that

264 the prevalence obtained in each category of the poultry value chain in this study approached true

265 prevalence. The total numbers in each category of the poultry value chain provided by the SDAH

266 Vinh Long Province were 228 for bio-farm; 1,288 for backyard farm; 123 for LBM; and 98 for PDS

267 (Table 2). The sampling weight of each category of the poultry value chain was obtained as 5; 13;

268 10; 8; respectively. True AI prevalence was estimated through the sampling weight, and the true

269 prevalence in each category of the poultry value chain was 7.9% (95% CI: 7.6–8.2).

270 The number of chicken and duck samples were 1 801 (50.1%) and 1 575 (43.8%),
271 respectively. Because the number of Muscovy duck, goose, and environment samples was only 221
272 (6.1%), only the numbers of chicken and duck samples were compared. A significant difference
273 was confirmed between AIV prevalence in chicken (5.6%; 95% CI: 4.5–6.7) and duck (10.0%; 95%
274 CI: 8.5–11.6). This result reflected the field situation that the natural living environment of duck
275 was more facilitated for the survival of AIV compared to the environment of chicken feeding.

276 The average number of samples in each district was 899 (minimum of 867, maximum of
277 911), and 10.9% (95% CI: 8.9–13.1) of AIV prevalence was confirmed in Tam Binh District, which
278 was significantly higher than one in the others (6.1%–6.7%; 95% CI: 4.6–8.5). A significant
279 difference in AI prevalence was observed between samples collected in 2016 (5.9%; 95% CI: 4.9–
280 7.1) and those in 2017 (9.4%; 95% CI: 8.1–10.8), in which many AI outbreaks were officially
281 reported. The cycle of AIV in nature was demonstrated as the major factor affecting AI prevalence
282 and AI outbreak.

283

284 *Multiple-correspondence analysis*

285 The relationships between different independent categorical variables could be described in
286 MCA without the identification of a dependent variable or any assumptions on the data' distribution
287 (Greenacre, 1984; Tenenhaus & Young, 1985). The relationships among the different categories of
288 the variables were reflected by the distance between the representative marks in a two-dimensional
289 space. The category variables located near the axes' origin meaning that their characteristics

290 corresponding to the most frequent categories. In contrast, category variables located far from the
291 origin of the axes have unique characteristics. A discrimination measure for each variable and in
292 each dimension is computed that can be regarded as a squared component loading and is also the
293 variance of the quantified variable in that dimension. As a result of the MCA factor map, the
294 profiles of each section of the questionnaires are visualized. In the demographic section, the level of
295 correlation among the factors was lowest in PDS (Figure 3a) and LBM (Figure 3b), followed by
296 backyard farms (Figure 3c). A high correlation was confirmed in a bio-farm (Figure 3d). This result
297 indicated that a variety of participants' characteristics was highest in PDS and LBM in the four
298 sectors. This phenomenon might attribute to the diversity of the worker population in LBM and
299 PDS. In the knowledge section, a similar pattern was observed in all sectors. The correlation level
300 of the factors was lowest in PDS (Figure 4a) and LBM (Figure 4b), whereas the opposite results
301 were confirmed in backyard farms (Figure 4c) and bio-farms (Figure 4d). In the attitude section,
302 LBM (Figure 5b) and bio-farm (Figure 5d) showed a higher correlation among factors compared to
303 PDS (Figure 5a) and backyard farm (Figure 5c). Actually, LBM had been the target for applying AI
304 control measures, including an education campaign for a long time, and most bio-farm owners were
305 well-trained and gained good knowledge about AI. Therefore, the participants of LBM and bio-farm
306 could respond to the present questionnaire correctly and consistently. The most important sections
307 for reducing AIV risk are the practice section because the failure of achieving good practice would
308 result in the ineffectiveness in AI control regardless of good knowledge or excellent attitude. A
309 lower correlation was reported in the practice section of PDS (Figure 6a) and LBM (Figure 6b). The

310 diversity of the participant's characteristics in PDS and LBM might lead to biases in their
311 knowledge, attitude, and practice.

312

313 *Multivariable logistic regression analyses*

314 The screening step shows that there were 11, 24, 10, and 4 potential factors retained for the
315 mixed-effect analysis in PDS (Table 3), LBM (Table 4), backyard farm (Supplementary Table S1),
316 and bio-farm (Supplementary Table S2), respectively. The interactions among these potential
317 factors were assessed using estimated regression coefficients via generalized linear models. In PDS,
318 two of the explanatory variables, keeping duck in PDS and the PDS owner's age range from 51 to
319 60 years, showed the association with the risk of AIV positive ($P < 0.001$), which was statistically
320 significant in the final mixed-effects model. Specifically, if the PDS owner kept the duck in their
321 PDS at the sampling time, their poultry flock has a higher chance of being infected with AIV at
322 10.46 (95% CI: 6.76–16.19) times compared to those who kept the chicken. The dependence of
323 AIV infection risk to the PDS owner's age was observed in this study. The PDS owners' age
324 ranging from 51 to 60 years obtained a higher risk of AIV infection into their poultry at 41.4 (95%
325 CI: 10.07–170.13) times compared to a younger age. In LBM, one explanatory variable, gain AI
326 knowledge via the neighbor in LBM, showed a negative association with AIV infection risk ($P =$
327 0.028). Precisely, if the seller gains knowledge from their neighbor in LBM during their business
328 time, their poultry flock has a lower chance of infected by AIV at 0.55 (95% CI: 0.35–0.86) times

329 compared to the others. In backyard farms and bio-farms, none of the explanatory variables were
330 associated with the risk of being AIV positive ($P < 0.05$).

331 **Discussion**

332 This is the first cross-sectional study to assess AI prevalence in the four different sectors in
333 the poultry product value chain, including PDS, LBM, backyard farm, and bio-farm. The control
334 measures for AI have been applied on LBMs and farms for a long time in Vietnam since the first
335 report of AI outbreak in 2003, but the results of this study indicated that PDSs should be included as
336 a new stakeholder for AI control measures. In that way, AI control measures should be updated over
337 the years based on the field situation to reach the highest effectiveness. Although the study area was
338 selected in the south of Vietnam, the network system of poultry products illustrated in this study is a
339 traditionally common structure throughout Vietnam. This study would first reveal that PDS,
340 indicated as a wholesale market in another epidemiological study, was a hot spot for AIV
341 circulation by being functional in the poultry product value chain for a long time (Soares Magalhães
342 et al., 2010). In this study, the role of PDSs for AIV spread in the community was fully accessed by
343 multiple approaches (i.e., virological and epidemiological methods).

344 Like this study, very few studies in Vietnam carried out a systematic and concurrently
345 approach to almost all of the most important sectors along with the poultry movement by combining
346 virological and epidemiological methods. Therefore, this result might provide a more accurate
347 overview of AIV circulation in southern Vietnam. A previous study in southern Vietnam under a
348 similar setting to this study demonstrated lower AI prevalence (5.3%) in farms and LBMs
349 (Okamatsu et al., 2013) compared to this study (7.9%), which may mean that the AI prevalence was
350 increasing in the last several years in southern Vietnam. Furthermore, the AI prevalence at LBM in

351 this study was 14.2%, which was significantly higher compared to 6.9% in the central area (Chu et
352 al., 2017) and 5.8% in the northern area (Thuy et al., 2016), which might imply that LBM in
353 southern Vietnam seems to play a more critical role in the increase of AIV circulation compared to
354 the other areas. Although AIV positivity varied by sector, a relatively high prevalence was found in
355 PDSs followed by LBMs in both rounds (Figure 2). The higher AI prevalence could be explained
356 by the low biosecurity in the trading behavior (Nguyen et al., 2017) and farming system, especially
357 in Mekong Delta, where the free-grazing duck is still a common farming system (Meyer et al.,
358 2017a). A previous study pointed out that PDS or a part of it with different names, such as
359 wholesale market and duck yards, were commonly lacking regular disinfection, kept poultry from
360 different sources in the same cage, and rejected the assessment of local veterinary (Meyer et al.,
361 2017b). These issues would lead to high AIV prevalence in PDS. The result indicated that if a
362 critical imbalance of sampling strategy existed in surveillance, the bias in the conclusion of AIV
363 circulation might come easily. Although the adjustment of the overall prevalence in this study did
364 not change the whole picture of AIV circulation in southern Vietnam, statistical analysis for the
365 adjustment of sampling strategy in future surveillance is essential to obtain higher accurate findings.

366 MCA results visualized the characteristics of the whole population that participated in this
367 study, although it might not directly indicate the risk of AIV in each sector. The low correlation
368 shown in PDS and LBM implies that high variances were confirmed in knowledge, attitude, and
369 practice among participants. This result means that a single participant with little knowledge and
370 incorrect practice might introduce a high risk of AI infection into their poultry and indirectly expose

371 other participants in the same area at high risk. Most traders of PDSs and sellers of LBMs usually
372 run their business depending on the market demand (Meyer et al., 2017b), meaning that they tend to
373 change their business if it does not give them any benefit. Therefore, the trader or seller population
374 characteristics tend to change over time and lead to a lack of AI knowledge among newcomers. In
375 contrast, farmers usually run their businesses based on their ability and resources, meaning that they
376 tend to obtain more knowledge and follow better practices to earn more income (Chilonda & Van
377 Huylenbroeck, 2001). In other words, through the education campaign ever conducted, farmers'
378 accumulated good knowledge and manipulated them into their practice (Pham-Duc et al., 2019).
379 This explanation was supported in this study by the result of MCA; a high correlation was observed
380 in almost all sections of both bio-farms and backyard farms, implying that most farmers obtain
381 similar knowledge, attitude, and practice. Together with the result of virus isolation, it can be
382 concluded that farmers in this study had obtained excellent knowledge, attitude, and practice for AI.
383 This result would be in accordance with the multivariable logistic regression results that any risk
384 factors were identified in neither bio-farms nor backyard farms. It is recommended that AI control
385 efforts at the individual level of traders in PDSs and sellers in LBMs should be emphasized rather
386 than at the market or commune level.

387 Encouragingly, at the multilevel analysis, the factors related to AIV infection in PDS were
388 identified; keeping or selling duck increases the proportion of AIV-positive birds. Because the duck
389 is already known as a high-risk bird to incubate AIV without manifesting apparent clinical signs
390 (Nomura et al., 2012; Okamatsu et al., 2013), virus incubation or transmission by holding ducks

391 would affect all sections of the poultry value chain (Hulse-Post et al., 2005; Meyer et al., 2017b).
392 Furthermore, similar findings were confirmed in previous works that analyzed the AI outbreak in
393 Vietnam that duck and Muscovy duck might increase the risk of AI outbreak (Nguyen et al., 2019,
394 2020). Unlike LBM, where control measures are applied by the local veterinarian and supported by
395 the authority, AI control measures in PDS were not implemented by the local veterinarian or
396 authorities but done mainly by the traders of PDS themselves because PDSs are not recognized as
397 official areas. It may support the current result that ducks were kept commonly in both PDS and
398 LBM; however, a higher AI prevalence was observed only in PDS. In this study, the owner's age
399 range from 51 to 60 years was also indicated as a positive factor related to AIV infection in PDS
400 compared to the other age ranges. Normally, PDS owners have joined many training courses and
401 accumulated experiences over time (personal communication, SDAH Vinh Long Province). At an
402 older age, they could become trainers for their workers and transfer knowledge by keeping close
403 contact, which is documented as an effective training method in a previous study (Manabe et al.,
404 2012), meaning that the senior owner's knowledge and practice are inherited directly via practice to
405 the junior workers. Unfortunately, older age seems to be slower to accept and update new ideas or
406 knowledge (Thomas & Kunzmann, 2014), meaning that out-of-date information might exist in the
407 PDS of an older-age owner. The above evidence indicated that AI control measures in PDS should
408 be focused on education to perform better behaviors and obtain AI knowledge for both owners and
409 workers, followed by a clear instruction in the policy documents for AI control in PDS as the best
410 combination (Manabe et al., 2011).

411 In conclusion, PDS and LBM are identified to possess big issues for AI control in Vietnam.
412 The specific resolutions for each section based on their characteristics are needed. This study
413 proposed that the most suitable measure for the control of AIV circulation should be a combination
414 of a systematic education campaign to enhance the knowledge, attitude, and practice of all
415 participants under strong policy measures to strengthen and update the surveillance system, conduct
416 field investigations regularly, and release the clear instructions of AI control measures in the law.

417

418 **Acknowledgments**

419 We are grateful to the Vietnamese DAH. We thank Dr. Pham Van Dong from the DAH and
420 Drs. Diep Quoc Truong, Nguyen Thi Thanh Thao, Tran Quoc Phong, Ha Tan An, and the RAHO7
421 staff for their kind support. We also thank the staff of the Vinh Long Sub-Departments of Animal
422 Health for field activities. We appreciate the kind support from Dr. Takahiro Hiono in checking the
423 content of this manuscript. This work was supported by the Program for Leading Graduate Schools
424 (F01) from the Japan Society for the Promotion of Science, funded by the Ministry of Education,
425 Culture, Sports, Science and Technology (MEXT), and the Japan Initiative for Global Research
426 Network on Infectious Diseases (J-GRID) from the Japan Agency for Medical Research and
427 Development (AMED) grant no. JP18fm0108008. This work was partially supported by the e-ASIA
428 Joint Research Program, funded by AMED grant no. JP20jm0210054h0004. The present work was
429 partially supported by Doctoral Program for World-leading Innovative & Smart Education (WISE),

430 by MEXT. This research was also supported by the International Priority Graduate Programs,
431 Faculty of Veterinary and Medicine, Hokkaido University, powered by MEXT.

432

433 **Conflict of interest**

434 The authors declare that no competing interests exist.

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623

624 **Tables**

625

626 **Table 1.** Unconditional associations between the outcome (virus isolation positive) and the four
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628

629 **Table 2.** Sampling weight of each category and the adjusted prevalence based on the sampling
630 weight

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632 **Table 3.** Unconditional associations between the outcome variable (virus isolation positive) and the
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634

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637 **Figure legends**

638

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641 Vinh Long Province.

642

643 **Figure 2.** Error bar plots showing AIV prevalence (and its 95% CI) in the different sectors over the
644 two rounds of sample collection: (a) AIV prevalence in round 1 (2016) and (b) AIV prevalence in
645 round 2 (2017).

646

647 **Figure 3.** MCA results of the correlation in demographic factors of the participants. (a) PDS, (b)
648 LBM, (c) backyard farm, and (d) bio-farm. The name and number of each dot represent the question
649 in the questionnaire.

650

651 **Figure 4.** MCA results of the correlation in knowledge factors of the participants. (a) PDS, (b)
652 LBM, (c) backyard farm, and (d) bio-farm. The name and number of each dot represent the question
653 in the questionnaire.

654

655 **Figure 5.** MCA results of the correlation in attitude factors of the participants. (a) PDS, (b) LBM,
656 (c) backyard farm, and (d) bio-farm. The name and number of each dot represent the question in the
657 questionnaire.

658

659 **Figure 6.** MCA results of the correlation in practice factors of the participants. (a) PDS, (b) LBM,
660 (c) backyard farm, and (d) bio-farm. The name and number of each dot represent the question in the
661 questionnaire.

662 **List of supplementary tables**

663

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666

667 **Supplementary Table S2.** Unconditional associations between the outcome variable (virus
668 isolation positive) and the 4 explanatory variables in bio-farms