

AAALAC International Exit Briefing Issues from Site Visits in the Pacific Rim Region

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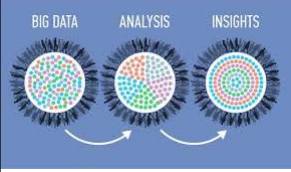


Learning Objectives


- By the conclusion of this presentation, attendees will have:
 - An overview of the most common findings from AAALAC site visits in the Pacific Rim region
 - An understanding of the approach used by AAALAC International for site visit findings
 - An improved awareness of valuable resources available from AAALAC International





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Why Trends



- To identify common areas for improvement
- To assist in site visit preparation
- To determine underlying factors
- To help see the “big picture”
- As part of continuous improvement culture

Overview of Findings

- 75% were Suggestions for Improvement (SFIs)
 - SFI – An item which the Council feels is desirable to upgrade an already acceptable or even commendable program
- 25% were Mandatory(M) findings
 - M - A deficiency which must be corrected for Full Accreditation to be awarded or continued
- 5 years of trends (January 2014-December 2018)

Standards Used for Accreditation Process

Choose the applicable standard from AAALAC International's
Three Primary Standards



The Guide The Ag Guide ETS123

AAALAC International's

Reference Resources

<http://www.aaalac.org/accreditation/resources.cfm>

Institutional Guidelines and Policies

National Legislation and Policy
Local Animal Welfare Law



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International Harmonization

- The accreditable unit shall observe any and all statutes and governmental regulations which bear upon animal care and use including, but not limited to, the prevailing standards of sanitation, health, labor and safety of the jurisdiction(s) in which it is located.
- The Three Primary Standards (*Guide*, *Ag Guide*, ETS 123) are performance-based guidelines used in the accreditation process.



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Local Requirements and The *Guide*

- When no animal welfare law in the country – Follow the *Guide's* recommendations
- When some areas of animal welfare are not addressed in the local regulations – Follow the *Guide's* recommendations
- If the local regulations and requirements are specific and more stringent than the *Guide's* recommendations – Must follow the local requirements!



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The *Guide* is available in many languages



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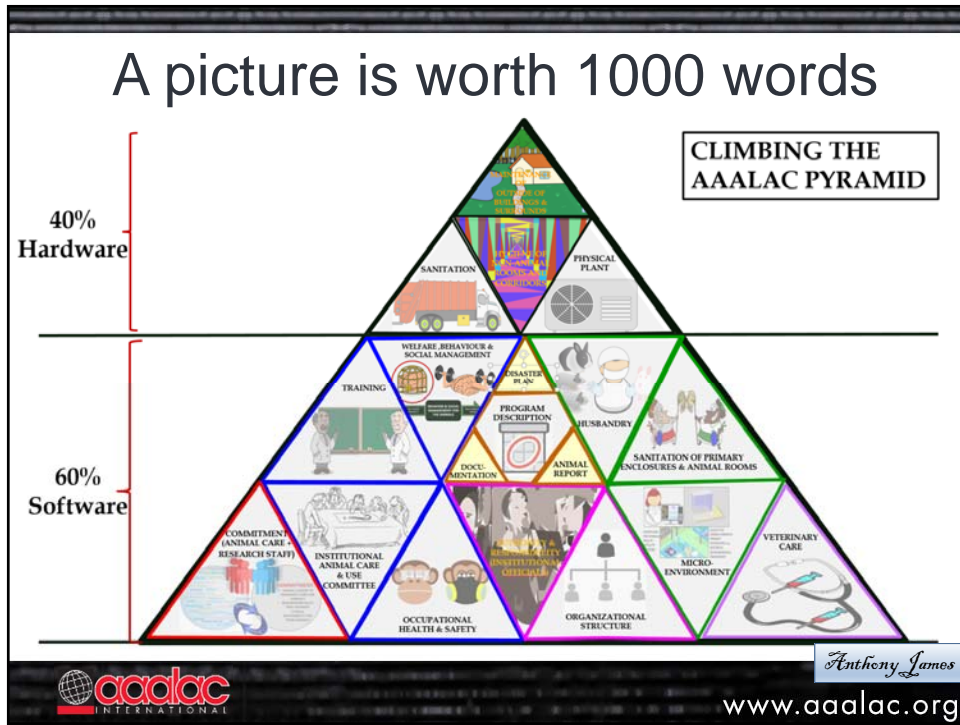
Standards Used by AAALAC International

The screenshot shows the AAALAC International website. At the top, there is a language selection menu with options: ENGLISH, CHINESE, FRENCH, GERMAN, JAPANESE, KOREAN, SPANISH, and THAI. Below this is the AAALAC logo and a navigation bar with 'FOLLOW US' (Facebook, Twitter icons), 'CONTACT', and a search bar. The main content area features a world map with the text '1,000+ accredited organizations with 47 countries.' Below the map is a 'TOP NEWS' section with three bullet points: 'Register now for the AAALAC International Conference in Bangkok, Thailand on 25 June 2019', 'Congratulations Theresa Cunningham-Faughnan, 2019 U.S. AAALAC Fellow!', and 'Apply now for a 2019 Global 3Rs Award or an AAALAC Fellowship!'. On the right side, there is a 'QUICK LINKS' section with buttons for 'DIRECTORY OF AAALAC ACCREDITED ORGANIZATIONS', 'DOWNLOAD THE PROGRAM DESCRIPTION', 'MEMBERS ONLY SECTION', 'REFERENCE RESOURCES FOR ACCREDITATION', and 'APPLY TO BECOME AN AD-HOC CONSULTANT'. A red arrow points to the language menu, and another red arrow points to the 'REFERENCE RESOURCES FOR ACCREDITATION' link.



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A picture is worth 1000 words



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Major Categories

(based on *The Guide*, etc.)

- Animal Environment ([AE](#))
- Annual Report
- Disaster Plan
- Documentation/Records
- Heating Ventilation Air Conditioning (HVAC)
- Institution/Administration (IA)
- IACUC/Oversight Body ([OB](#))
- Occupational Health & Safety ([OHS](#))
- Physical Plant (PP)
- Program Description (PD)
- Training
- Veterinary Care (VC)

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Trends Findings

<ul style="list-style-type: none"> ■ OHS - Personnel Protection ■ AE - Behavioral/Social Management ■ OB - Policies ■ Remaining Categories 	<ul style="list-style-type: none"> ■ AE - Husbandry ■ OHS - Workplace Risk/Safety Assessment ■ AE - Microenvironment
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Most Common Findings (48% of all findings)

- AE – Behavioral/Social Management
- AE – Husbandry
- AE - Microenvironment
- OHS – Personnel Protection
- OHS – Workplace Risk/Safety Assessment
- OB – Policies



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Social Housing Typical Findings

- Animals individually housed without justification (particular species or protocols; sentinels...)
- SFI if *isolated* case with no apparent bad effects on animals
- Mandatory when *widespread* and/or *apparent effects* on animals
(a number of cases presented as SFI at Exit Briefings were categorized as Mandatory by the Council)



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Social Housing Expectations

- **Position Statement:**
<http://www.aaalac.org/accreditation/positionstatements.cfm#social>
- **Default method of housing unless justified by:**
 - Approved scientific necessity
 - Social incompatibility
 - Veterinary concerns



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Social Housing Expectations

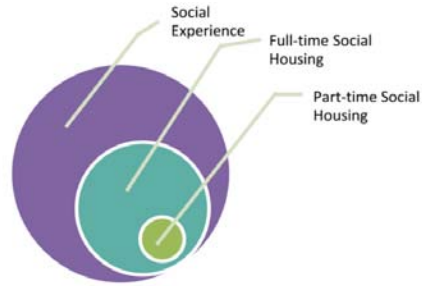
- If justified, single housing should be limited to the minimum period;
and:
 - provide contact with conspecifics
 - provide additional enrichment
- Policies and exceptions for single housing should be regularly reviewed and approved by Oversight Body (EC, AWB, IACUC...)



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Frequently Asked Questions (FAQ)

- Social Housing and Social Experience Revised
 - https://www.aaalac.org/accreditation/faq_landing.cfm#C6



The relative social experience of a laboratory animal.

Environmental Enrichment (EE) Typical Findings

- Variable use of environmental enrichment devices and practices.
- No policy or program for environmental enrichment.
- Typically an SFI
- EE is not a substitute for social housing; it is an enhancement

AAALAC Environmental Enrichment FAQ

- A component of an IACUC/OB approved behavioral management program
- EE should be provided in a consistent manner across the animal program
 - Facilitate expression of species-appropriate behaviors
 - Consider personnel and animal safety
- Training of personnel on EE and abnormal behaviors



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Husbandry Typical Findings

- Food storage conditions impacting the quality of food for animals
 - Temperature
 - Relative humidity
 - Expiration dates
 - Chemicals stored in same area

- Typically an SFI



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The Guide (p. 66)

- Food storage areas clean and closed to minimize contamination and diet variation
- Diet stored off floor in manner that facilitates sanitation
- For natural-ingredient diets, temperature less than 21°C and less than 50% relative humidity



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Husbandry Typical Findings

- Vermin control procedures and practices inadequate
 - Traps not checked daily
 - Live catch traps
 - Lethal traps
 - Sticky/adhesive traps used for catching rodents
 - No program in place for vermin control



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FAQ – Frequency of Monitoring Rodent Traps

- Live catch rodent traps should be checked daily
 - Food/water in trap may alter this frequency
- Lethal traps should be checked daily
- Sticky/adhesive traps for rodents not recommended
 - If used for arthropods, consider size and location of adhesive traps



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Microenvironment Typical Findings

- Use of small cages: smaller than law and/or affecting performance standards
- High animal stocking density
- Opaque cages
- Wire-mesh floors



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Microenvironment Expectations

- Position Statement on Cage/Pen Space

<http://www.aaalac.org/accreditation/positionstatements.cfm#space>

- Comply with all national or regional regulations, policies and guidelines, as well as conditions of funding
- Also: performance standards (*Guide*, ETS 123, *Ag Guide*) – *normal behavior*
- If no other regulations: *Guide* applies



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Microenvironment Expectations

- Flooring: solid, perforated, or slatted
- If wire-mesh flooring used: solid resting area provided
- Allow for observation of animals
- Adequate bedding and/or structures for resting & sleeping



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Personnel Protection Typical Findings

- Personnel working without proper engineering controls or PPE in place
- No or inadequate procedures for PPE usage
- Engineering Controls > Administrative Controls (e.g., SOP) > PPE



Respirator Use FAQ **New**

- Respiratory Protection Program or Personal Protective Equipment Program
 - Written document
 - Collection of worksite-specific procedures and policies
 - Guidance on selection of respirators
 - Medical evaluation by occupational health professional
 - Fit testing and training




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Personnel Protection Typical Findings

- Equipment not available or not used correctly or not maintained
 - Dump stations
 - Laminar flow hoods
 - Biosafety cabinets
 - Eyewash stations/equipment
 - Downdraft necropsy tables




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Guide-ance on Equipment

- P.18 - ...and use of appropriate safety equipment (engineering controls);
- P. 19-20 - Appropriate facilities, equipment and procedures should be used for bedding disposal.
- P. 20 – Safety equipment should be properly maintained and its function periodically validated.

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Workplace Risk/Safety Assessment Typical Findings

- Personnel exposed to hazards without appropriate precautions or safety measures
 - Cage wash machinery
 - Allergies
 - Waste anesthetic gases
 - Herpes B exposure



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Safety Expectations for Cage/Rack Washers and Bulk Sterilizers

- Position Statement: Must eliminate possibility of entrapment
 - Ease of egress
 - De-energizing mechanism
 - Training
- FAQ
 - Signage
 - Easily identified safety features



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FAQ – Allergy Prevention

- Emphasis on engineering controls
- PPE used as adjunct rather than foremost means of protection
- Personnel training
- Risk assessment by qualified OHS personnel
- Preventive measures/medicine
- Health evaluations



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FAQ – Anesthetic Equipment

- Emphasizes proper equipment use and maintenance for animal anesthesia
- “AAALAC International expects that anesthetic machines and vaporizers are evaluated for safe and effective operation on an established schedule...”



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Herpes B Virus (Position Statement)

- "...must have a protection and prevention program for Macacine herpesvirus 1 as part of occupational health and safety program."
- Training, equipment and SOPs for proper handling
- Bite scratch kits
- Medical staff that know about Herpes B



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Oversight Body - Policies Typical Findings

- Procedures for reporting animal welfare concerns were inadequate
- Policy for cage stocking density was absent or inadequate
- Collaboration agreements were not in place or were confusing
- Cage sanitation frequency policy was unclear or missing



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Investigating and Reporting Animal Welfare Concerns

- “The institution must develop methods...”
- “..employees should be aware of the importance of and mechanisms...”
- Ability to report concerns anonymously
- No reprisals or discrimination against the concerned party
- Multiple points of contact and signage/SOP posted in prominent locations

Guide p. 23-24



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Cage or Pen Space (Position Statement)

- Comply with all national or regional regulations, policies and guidelines, as well as conditions of funding.
- Performance standards are paramount
- <https://www.aaalac.org/accreditation/CagePenSpacePerformanceCriteria.pdf>



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Collaborations

- Participating institutions should have a formal written understanding that addresses the responsibility for offsite animal care and use and IACUC oversight. (*Guide* p. 15)
- https://www.aaalac.org/publications/Connection/Spring_2003_lowres.pdf



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FAQ - Sanitation Frequency

- IACUC/OB review practices and literature and data
- Performance standards approach

The *Guide* on Performance Standards



“*Performance standard* means a standard or guideline that, while describing a desired outcome, provides flexibility in achieving this outcome by granting discretion to those with responsibility for managing the animal care and use program, the researcher, and the IACUC.”



As a reminder...

Two Types of Findings

- **Mandatory** – must be addressed to maintain/ attain full accreditation
- **Suggestion For Improvement (SFI)** – a suggestion to improve the program, but not a requirement for full accreditation



Conclusions

- Site visits continue to be a very valuable process for assessing and improving animal care and use programs.
- AAALAC International information resources should be consulted for guidance.



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Thank You!

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And a BIG THANK YOU to:
Darlene Brown
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Montip Gettayacamin



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