PERFORMANCE STANDARD: All principal investigators, protocol faculty sponsors, animal research staff and animal care & use staff are satisfactorily trained to accomplish the required approved tasks and are participating in on-going continuing education.

BACKGROUND/PURPOSE: The National Research Council’s 8th Edition of The Guide for the Care and Use of Laboratory Animals and the Animal Welfare Act (USDA Regulations) require that only trained and qualified personnel work with animals. The Guide continues the discussion and notes (regarding research staff): ‘The institution should provide appropriate education and training to members of research teams—including principal investigators, study directors, research technicians, postdoctoral fellows, students, and visiting scientists—to ensure that they have the necessary knowledge and expertise for the specific animal procedures proposed and the species used (Conarello and Shepard 2007). Training should be tailored to the particular needs of research groups; however, all research groups should receive training in animal care and use legislation, IACUC function, ethics of animal use and the concepts of the Three Rs, methods for reporting concerns about animal use, occupational health and safety issues pertaining to animal use, animal handling, aseptic surgical technique, anesthesia and analgesia, euthanasia, and other subjects, as required by statute. Continuing education programs should be offered to reinforce training and provide updates that reflect changes in technology, legislation, and other relevant areas. Frequency of training opportunities should ensure that all animal users have adequate training before beginning animal work.’

APPLICABILITY: The requirements specified in this policy apply to all individuals working with animals at Duke University or under a Duke IACUC-approved protocol.

POLICY: The goal of all training is to assure effective qualifications and skills of those working with animals. Research staff training is dynamic and thus requires both initial and on-going training. Duke uses a tiered approach for animal research and care staff training:

1. Initial Training of Principal Investigators and Research Staff:
   a. Phase 1 Training consists of online tutorials covering regulations, ethics, alternatives, IACUC functions, pain and distress, surgery, euthanasia (Animal Handler I: Rules and Regulations), and adequate veterinary care (Animal Handler II: Veterinary Care). For individuals solely involved in field studies, Animal Handlers IV: Field Studies/Field Research, which contains
information on rules, regulations, and veterinary care in the field, can be taken in lieu of AH I and AH II. This level of training is required of all animal users including principal investigators, post-doctoral fellows, research fellows, residents, students, and research technicians – in other words any one working with animals or having an oversight role for animal use. AH I and AH II are followed by an online quiz. Phase I also includes Duke’s Annual Refresher Training (also called AH III), which is discussed in more detail below. Successful completion of the Phase I (AH I, AH II, & AH III) online training and the associated quizzes is stipulation core requirement for IACUC approval to engage in animal care and use activity. Completion of these modules is documented in an electronic database.

b. **Phase 2 Training** consists of species-specific core competency training. Participants view commercially available video tapes, slides, or other multimedia material as a first layer of education regarding basic biology, animal husbandry, handling and research techniques pertaining to the species they propose to use. This training is encouraged for all protocol participants but is only required in cases where the IACUC determines individuals do not have an adequate skill set to properly achieve the expected level of animal care or use. Alternatively, the IACUC may require such training as corrective action for a committed non-compliance.

c. **Phase 3 Training** consists of hands-on activities. Examples include euthanasia training, surgical skills training, etc. Hands-on training may be provided by the DLAR staff and/or Principal Investigator or Research Animal Coordinator (RAC).

d. **Facility Orientation:** All new program participants are required to attend Facility Orientation prior to obtaining access to animal facilities. At present, this training is limited to DLAR-operated facilities. The facility orientation session provides participants with information and materials outlining basic care services, animal order information, disposal of laboratory animals, security, facility operation, and traffic flow patterns within the relevant facilities.

e. **Safety Training and Medical Surveillance:** Duke’s Occupational & Environmental Safety Office (OESO) routinely reviews all animal protocols and amendments. Those that involve safety concerns will be clearly addressed by OESO and may involve training. The IACUC may approve an animal use proposal, but the OAWA is restricted from publishing the approval letter until OESO has ‘cleared’ each individual listed on the protocol based on having achieved the required safety training. The same process is used for medical surveillance by Employee Occupational Health & Wellness (EOHW) to assure that any required assessments, training, or immunizations have been completed prior to protocol approval.
2. **On-going Training of Investigators and Research Associates:** While any training may be mandated by the IACUC at any time, general on-going training is guided by Duke’s compliance trends and by the requirements of the Guide for continuing education.

   a. **Animal Handler III (AH III) Annual Refresher Training:** Duke’s annual training module is published late in December each year and must be completed by all protocol personnel before approval prior to January 31 of each year. Each new edition of AH III is based upon the top 5 to 7 non-compliance issues identified the previous year. Thus, each year’s AH III module is different since compliance trends shift over time. AH III training also includes a briefing of new regulations or rules, disaster training, and critically important program information that requires reiteration (e.g. emergency veterinary pager number). In addition, upon completion of this training module you will be asked to affirm that you have completed your continuing education requirements.

   b. **Continuing Education:** Knowledge is not static - science, techniques, procedures, and practices change constantly. The Duke IACUC expects all research staff on a Duke-approved animal protocol and animal care & use staff to be continually engaged in educational activities as a means to enhance their knowledge of innovative practices, novel and potentially useful procedures, and more modern methods of animal care or use. As such, three (3) continuing education units (roughly equal to three hours) are required of all protocol participants and animal care & use staff every twelve (12) months.

   i. **Activities which qualify for CE Credit:** The IACUC has established a list of common activities and credit allotted to each. One (1) CE unit (CEU) is approved for each of the following activities:

      1. Attendance at a Brown Bag Seminar
      2. Completion of an on-line module (e.g. AAALAS Learning Library, CITI, OESO <animal related module>) that is appropriate to the area of research
      3. CE seminars given by DLAR or the Duke Lemur Center
      4. Attending an IACUC- or animal use-related regional or national conference
      5. Reading scientific journal articles of particular interest to reduce animal use, improve animal welfare, or refine procedures. The IACUC will post articles of particular interest to the Duke animal program on the animal program website. http://vetmed.duhs.duke.edu/TrainingOverview.html
      6. Other continuing education activities may also qualify for CEUs, with approval from OAWA Director or IACUC Chair.
7. RAC attendance at IACUC Programmatic Meetings
8. IACUC member training at monthly meeting
9. AALAS certification CE modules (e.g., LL, classes, local meetings)
10. Animal Tracks (1/2 credit per issue)
11. For animal researchers and care staff that have been involved in the Duke Animal Care and Use program for <12 months, their initial education (AH I, AH II <or AH IV> and AH III) qualify as 3 CEUs for this first year of animal care and use at Duke.

ii. **Assurance Methodology:** There are two places where the continuing education notation shall be documented:
   1. A checkbox on Section F (the PI agreement) that all protocol participants have and will continue to obtain three (3) continuing education hours each calendar year; and
   2. A checkbox on the Personnel Qualification Form (PQF) for each individual on the protocol noting that continuing education training has or will be obtained.

iii. **Compliance Documentation & Assessment:** The individual (or laboratory) will maintain their own training records. These records will not be maintained by OAWA or the IACUC. Records may be reviewed by Compliance Liaisons and/or IACUC Subcommittees during post-approval monitoring visits or IACUC Semiannual Inspections.

iv. **Consequences of Failing to Maintain CE activities:** As stipulated in the 8th Edition of The Guide, the IACUC is charged with assuring appropriate animal care and animal use. Lack of evidence of ongoing training may be viewed as sub-optimal practice. In such a situation, the individual and/or PI may be encouraged to participate in training activities, the IACUC may require training participation, and/or the IACUC may consider the qualifications of an individual incompatible with the expectations of the Duke animal program. This may impact approval for animal use and/or access to animal facilities.
### Documentation Sheet for Continuing Education Requirements

**Duke University & Duke University Medical Center Animal Care & Use Program Policy**

**CONTINUING EDUCATION FOR ANIMAL RESEARCHERS & CARE STAFF**

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<th>Date</th>
<th>Description of CE</th>
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**Examples of CE**

- Attendance at a Brown Bag Seminar
- Completion of an on-line module (e.g. AAALAS Learning Library, CITI, OESO <animal related module>) that is appropriate to the area of research
- CE seminars given by DLAR or the Duke Lemur Center
- Attending an IACUC- or animal use-related regional or national conference
- Reading scientific journal articles of particular interest to reduce animal use, improve animal welfare, or refine procedures. The IACUC will post articles of particular interest to the Duke animal program on the animal program website. Participants may claim credit for reading the article by completing the associated short quiz.
- Other continuing education activities may also qualify for CEUs, with approval from OAWA Director or IACUC Chair.
- RAC attendance at IACUC Programmatic Meetings
- IACUC member training at monthly meeting
- AAALAS certification CE modules (e.g., LL, classes, local meetings)