Methodologies to measure affective states in animals: a focus on cognitive approaches

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Abstract

In recent decades, a number of different studies have shown that animals can experience pain and distress. The acknowledgement that animals have the ability to experience basic emotions has led to the question: can animals also experience a wider range of pleasant and unpleasant states (also called affective states)? However, studying affective states in animals is difficult due to the subjective nature of such states. Despite this, novel cognitive approaches to objectively measure affective states have been developed in recent years.

Introduction

Over the last three decades, there has been an increased interest in the welfare of animals that are used for food production and in scientific research. There is a general concern that animals may suffer when kept in impoverished environments or when exposed to stressful and painful situations. This has led to a substantial amount of research on animal welfare, and it is now commonly accepted that mammals can experience pain and distress (for overview see Broom 1991; Dawkins 2008). The discovery of basic experiences such as pain and distress has now opened up a new field of research in which the ability of animals to feel a range of different affective states —

defined as states that are pleasant or unpleasant rather than hedonically neutral – are being explored (Duncan 2006; Fraser 2009). The majority of this research has focused on negative affective states while positive ones have received relatively little attention. Despite the lack of attention to positive states, it has been suggested that they are important for the welfare of animals (Boissy et al. 2007). Therefore, there is a need to develop measures that can assess positive experiences in animals. The aim of this paper is to discuss methodologies that are currently available or being developed in animal welfare science to objectively measure affective states in animals.

Behavioural and physiological measures

There is a wealth of evidence showing that certain husbandry procedures can lead to signs of pain and distress in animals. For example, social isolation in sheep leads to increased plasma cortisol concentrations, plasma osmolality and haematocrit values indicating stress (Parrott et al. 1988; Hernandez et al. 2010). In addition, isolated sheep show repeated attempts to escape and increased vocalisations and activity (Parrott et al. 1988; Apple et al. 1993; Vandenheede & Bouissou 1993; Hernandez et al. 2010). Another example is castration without anaesthesia or analgesics, which leads to several physiological and behavioural signs of stress, such as increased plasma cortisol concentrations, reduced activity and food intake, stiffness, scratching, increased vocalisations and abnormal body postures in lambs (Mellema et al. 2006; Melches et al. 2007), piglets (Hay et al. 2003; Leidig et al. 2009) and calves (Molony et al.

1995). Behavioural and physiological measures have therefore provided much insight into the subjective experiences of animals exposed to pain and stress.

However, there is limited research on the behavioural and physiological indicators of positive affective states. The most studied potential indicator of positive affective states is play behaviour in young animals. Young animals play when housed in comfortable, social and familiar environments with sufficient space available (Vanderschuren et al. 1995; Jensen et al. 1998; Jensen & Kyhn 2000), but not when sick, injured or hungry (Held & Spinka 2011). Young rats find play behaviour positively rewarding and will press a lever many times to be tickled by the experimenter (Burgdorf & Panksepp 2001). These results suggest that the expression of play behaviour could be an indicator of a positive affective state. Other potential indicators of positive affective states are ear postures in adult sheep. Sheep being voluntarily groomed by a human experimenter showed fewer ear posture changes, more axial and fewer forward ear postures accompanied by high heart rate variability, an indication of reduced stress (Reefmann et al. 2009b). Furthermore, voluntarily groomed sheep kept in a barren environment showed higher amplitude changes in cortical haemoglobin concentrations compared to groomed sheep in an enriched environment, possibly because the contrast between the negative housing environment and the positive stimulus was larger (Muehlemann et al. 2011). In contrast, sheep ear postures could also be a potential indicator of negative affective states: separation from the flock mates resulted in a high number of forward ear postures and a high frequency of ear posture changes (Reefmann et al. 2009a). Therefore, sheep ear postures may be indicative of their affective state. Finally, vocalisations could also be an indicator of positive affect; lowpitched bleats in ewes while licking and nursing lambs (Sèbe et al. 2010) and 50 kHz vocalisations in rats during play (Burgdorf & Panksepp 2001) could potentially be interpreted as expressions of positive affect.

Although behavioural and physiological measures of pain and pleasure are very useful, their interpretation is not always straightforward. For example, plasma cortisol concentrations are not only increased during stressful situations, but also when animals are anticipating a food reward or during other emotionally arousing situations (Rushen 1991; Mormède et al.

2007). Cortisol concentrations can therefore be increased during both negative and positive affect situations and may be an indicator of arousal rather than the affective state. Furthermore, fear responses may differ between individual animals and some may cope with a stressor in an active way, while others may show a more passive response (Erhard & Mendl 1999). Play behaviour also varies considerably between species, flocks, males and females and individual animals (Held & Spinka 2011). Therefore, measures of behaviour and physiology can be interpreted in different (and potentially contradicting) ways. Because of such difficulties, alternative methods that aim to find more direct measures of affective states would be valuable.

Cognition and affective states

The major obstacle in assessing affective states in animals is that affective states are subjective experiences and therefore extremely difficult to measure. Even in humans, the easiest way to find out how someone "feels" is by verbal communication. However, that does not mean that animals (or humans) that are unable to verbally communicate their feelings do not experience them. There are alternative ways that can also provide insights into an individual's affective state. Such methods originate from the field of human psychology and explore the link between affective states and cognition. Cognition is defined as the mechanisms by which human and non-human animals acquire, process, store and act on information from the environment (Shettleworth 1998). A cognitive process is required to assign "value" to a stimulus, or in other words, to determine whether a stimulus (e.g., event or object) is more or less desirable (Friston et al. 1994; Dolan 2002). For example, a stimulus needs to be identified as potentially threatening in order to induce fear. Such cognitive processes are likely to be evolutionarily adaptive because they help the animal to decide what situations to avoid and where to seek rewards (Panksepp 2005).

The link between cognition and affective states is two-directional. Not only can cognitive processes influence the affective state, but human psychological studies have also found that a change in affective state can alter cognitive processing. For example, a positive mood can enhance creative problem-solving tasks, the recollection of memory details and increase

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performance at unusual word association tasks (Isen et al. 1985; Isen et al. 1988; Ashby et al. 1999; Dolcos et al. 2004). The existence of strong links between cognition and affective states in humans leads to the question whether such links also exist in animals. There is a possibility that experimental manipulations of animals' affective states could also lead to changes in cognitive processing. Changes in cognitive processing could be accurate and objective measures of subjective affective states, and may therefore provide a starting point for the measurement of subjective affective experiences in animals.

Cognitive biases

In 2004, Harding et al. (2004) developed a methodology to measure changes in cognitive processes after a change in affective state in rats. More specifically, their methodology aimed to measure a judgement bias. A judgement bias occurs when an individual expresses a negative (or positive) rather than neutral judgement bias of ambiguous stimuli depending on the affective state. For example, anxious and depressed people tend to interpret events more negatively and judge ambiguous stimuli unfavourably compared to non-depressed individuals (MacLeod & Byrne 1996; Amin et al. 1998; Gotlib & Krasnoperova 1998; Strunk & Adler 2009). People diagnosed with clinical depression also tend to show a reduced anticipation for positive events (Haaga & Beck 1995). In the experiment by Harding et al. (2004), rats were trained to press a lever in response to an auditory tone associated with a positive event (food reward) and to refrain from pressing the lever when they heard a different tone associated with a negative event (white noise). Rats were then exposed to two housing treatments; unpredictable housing (which included on different occasions: introduction of an unfamiliar rat; damp bedding; change in light/dark schedule) and predictable housing. After 9 days on the housing treatments, rats were exposed to three untrained (ambiguous) tones of frequencies in between the two trained tones. The rats exposed to the unpredictable housing were slower to press the lever in response to the food tone and the ambiguous tones close to it, than those in the predictable housing. The behaviour of the rats in the unpredictable housing was therefore consistent with a decreased anticipation of positive events.

This first discovery of the existence of a judgement bias in animals has been an important step towards a more direct measure of affective states in animals. The original idea of Harding et al. (2004) has been successfully modified and adapted for several different species and conditions. For example, it has been shown that dogs with separation anxiety express a pessimistic judgement bias (Mendl et al. 2010); rats switched from a high to a low light intensity environment show a more positive bias compared to rats switched from a low to a high intensity light (Burman et al. 2009); depressed rats show a negative bias (Enkel et al. 2010); and starlings displaying stereotypic behaviour show a pessimistic judgement bias (Brilot et al. 2010). Another study by Burman et al. (2008) showed that rats housed in enriched cages (containing paper nesting material, a shelter and nestlets) for 7 weeks and then moved to an unenriched cage showed a more pessimistic judgement bias. Recently, the judgement bias test was modified in our laboratory to make it suitable for use in sheep. Instead of associating a tone with a negative or positive reinforcer, sheep were trained to associate a spatial location with the reinforcers, and used locations in between the positive and negative reinforcers as ambiguous locations. Using this methodology, it was found that the induction of a negative state by administration of a serotonin inhibitor leads to a negative judgement bias (Doyle et al. 2011). Interestingly, short-term stressors such as shearing and release from restraint have both led to a positive judgement bias in sheep (Doyle et al. 2010a; Sanger et al. 2011). Therefore, short-term and long-term stressors may have a different impact on judgement biases.

Little research has been conducted on the effects of positive affective states on judgement biases, and most of this work has focused on environmental enrichment. Brydges et al. (2011) provided some rats with a large cage that contained tubes, boxes and toy houses while other rats were kept in a smaller cage without additional elements. Rats that were kept in the unenriched cage showed a pessimistic bias, while rats that were transferred from the unenriched to the enriched cage expressed a more optimistic bias. Similar results were found in starlings: starlings housed in an enriched cage (with more space, continuous access to water baths, perches and bark) showed a more positive judgement bias compared starlings housed in a standard cage (Matheson et al. 2008).

Assessing judgement biases in animals is therefore a promising method for the measurement of affective states. The judgement bias methodology appears to measure the animals' anticipation of a negative or positive event, and may therefore be a measure of the animals' emotional state. However, more validation work is needed to determine whether the judgement bias is indeed a measure of the animals' affective state and does not result from other factors. This could be done, for example, by comparing the results of judgement bias tests with traditional behavioural and physiological measures. Another alternative is to induce an affective state by means of psychological drugs. It has already been shown that a serotonin inhibitor induces a negative judgement bias in sheep (Doyle et al. 2011), and the effects of other drugs that could potentially induce a positive affect (e.g., opioids, tryptophan or anti-depressants/anxiolytic drugs) could be explored. There are also some practical issues with the methodology. For example, animals learn very quickly that the ambiguous locations remain unreinforced and this limits the number of trials that can be run (Brilot et al. 2010; Doyle et al. 2010b). Therefore, further validation is needed and methodological issues will need to be resolved, but the methodology is promising for use in assessing positive affective states in animals.

Appraisal theory

There is another cognition-based approach to measuring animal's affective states. Appraisal theories have been developed in human psychology and are based on the idea that emotions arise from an individual's evaluation (or appraisal) of a particular situation (Desire et al. 2002; Scherer 2009). Such appraisals are required to assign emotional value to a stimulus so that the individual can give the most appropriate response (e.g., approach, flee, fear, pleasure, etc) to the stimulus (Paul et al. 2005). According to appraisal theory, an individual uses a fixed set of checks to evaluate the significance a stimulus has for them. The outcomes of these checks then determine the emotion that follows from the stimulus. These checks are 1) the novelty of the event (which can be broken down into its suddenness, predictability and familiarity); 2) the intrinsic pleasantness of the event; 3) its goal significance; 4) the implications for the individual's needs and expectations; 5) the possibility

of coping with the stimulus; and 6) the compatibility with social or personal standards (Scherer 2001). The checks are hypothesised to be processed in a sequence with a fixed order: the first check is made to determine whether the stimulus requires further attention, the stimulus is then assessed to be of relevance for the individuals needs or goals, and only when the stimulus is found to be relevant will the possibility of coping be triggered (Scherer 2001). This framework of emotional assessment could potentially also be used in animals. It is likely that animals also use a set of checks to determine which stimuli are relevant for them and what the value of such stimuli is. Indeed, there is some evidence that lambs evaluate the relevance of an event by the first check. Desire et al. (2004; 2006) showed that lambs responded to a sudden appearance of a scarf with a startle response and an increased heart rate; and to an unfamiliar object with exploratory behaviour and increased vagal tone. In addition, lambs that could predict the occurrence of a sudden event (by a warning light) showed a weaker startle and cardiac response compared to lambs that could not predict the event (Greiveldinger et al. 2007). Therefore, lambs appear to evaluate the relevance of an event according to its suddenness, predictability and familiarity. Furthermore, it has also been shown that lambs having control over an unpleasant situation (they could interrupt an air blast and a sliding grate preventing access to a food reward by pressing a lever) express less signs of stress than lambs having no control (Greiveldinger et al. 2009). The ability to control a situation therefore also seems to influence the emotional response to an event in animals. The appraisal framework is therefore promising and could be further developed for use in emotional assessment in animals. As with the judgement bias methodology, the appraisal method in animals is a fairly recent development and will need to be further validated. To date, appraisal theory has only been used to assess negative affective states and future studies are expected to extend the research to positive affective states.

Conclusions

Progress is being been made in measuring affective states in animals. Although the focus of research has mostly been on negative affective states, similar methodologies could be used to assess positive affective states. The most promising methodologies

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for assessing positive affective states are the recently developed judgement bias and appraisal methodologies, although these still need further validation. In the coming years we expect that more studies on positive affect in animals will be conducted and more information will become available on how to induce and assess positive affective states in animals.

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