Biological Risk Management and Containment

Information Security

Containment Laboratory Guidelines

Version 2- February 2021

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This document was originally Version 1 which was extensively reviewed and approved in February 2021.

Record of Amendments to Version 2

Date	Page number	Nature of amendment

Contents

1. Who is this reference document for?

This document is intended for **principal investigators (PIs), designated persons in charge, designated laboratory person (DLPs)**, technical staff and students who use laboratories within University of Auckland containment and transitional facilities. This information also applies to departmental, school or faculty administrators who may need access to information about University of Auckland containment or transitional facilities.

2. Why do we need information security in containment and transitional facilities?

The University has a duty of care to protect the privacy of University of Auckland staff, students and stakeholders (such as contractors), as well as to ensure confidential information is only viewed by those authorised to do so.

Information security is also designed to ensure that the data is kept intact and accurate for periods of up to 10 years.

3. What information needs to be kept securely?

The requirements for information security outlined in this document apply to databases or protocols which contain:

- Personal identities of staff and students at the University
- Information about access control and contingency plans for the facilities
- Confidential memorandums and emails

This includes (but is not limited to):

- Import and transfer databases
- Training databases
- HSNO approval databases
- Audits databases and corrective actions
- Containment manuals (including archived versions)

4. Where is the information held?

All information related to University of Auckland containment and transitional facilities is to be held on information technology equipment that is:

- Exclusively owned and controlled by the University of Auckland
- Only accessible using University of Auckland-controlled networks
- Only accessible using University of Auckland passwords
- Regularly backed up onto University-owned and controlled drives

5. Using shared databases

Where more than one person requires access to this information, it is to be held on separate password-controlled shared drives.

Shared databases are to be configured in a robust manner to prevent corruption of files. Wherever possible SQRL databases and web-based access is to be used.

If external virtual drives (e.g. Drop Box or data storage in the Cloud) are used, the security of data storage is to meet the security requirements of the University of Auckland Information Security services.

6. Review of information security

Information security is to be reviewed annually by the University of Auckland Information Security services.

7. Definitions

Designated laboratory person (DLP) means the trained person in each research group who has been given the authority to receive purchase requests made in SciTrack and to make a formal request for a purchase order via PeopleSoft. In containment and transitional facilities DLPs will have additional training to enable them to scrutinise documentation for restricted items and provide support to researchers.

Designated person in charge means a staff member in any of the following roles: sector manager, facility manager, floor manager, technical manager or an appointed delegate.

Principal Investigator (PI): In the context of hazard containment and transitional facilities, a principal investigator is the holder of an independent grant administered by the University and the lead researcher for the grant project, usually in the sciences, such as a laboratory study or a clinical trial. The phrase is also often used as a synonym for "head of the laboratory" or "research group leader." The PI is responsible for assuring compliance with applicable University standards and procedures, and for the oversight of the research study and the informed consent process. Although the PI may delegate tasks, they retain responsibility for the conduct of the study.