Biological Risk Management and Containment

Monitoring and Measuring Performance (Involving External Stakeholders)

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 are these guidelines for?

These guidelines are intended for **principal investigators (PIs), designated persons in charge, designated laboratory person (DLPs)**, technical staff and students who work in the University's containment and transitional facilities.

2. Monitoring suppliers

As the University's containment facilities are at the end of a number of supply chains, the University actively monitors suppliers' performance, imported materials and the correct issuing of BACCs.

When suppliers are unable or unwilling to supply important information regarding restricted materials, the matter will be escalated to the Hazards and Containment Manager or the Strategic Procurement Office and be recorded in the underlying issues register.

Suppliers are not to use University of Auckland import permits to import their products into New Zealand. Such requests are to be referred to the Hazards and Containment Manager and recorded in the underlying issues register.

Instances where suppliers have incorrectly imported restricted goods under their general import permits are to be referred to the Hazards and Containment Manager and the Ministry of Primary Industries (MPI). Such instances are also to be recorded in the underlying issues register.

Where suppliers have incorrectly transferred restricted goods without the correct transfer authorisation, the matter is to be referred to the Hazards and Containment Manager and MPI. The supplier will be given the opportunity to correct retrospectively. Such instances are also to be recorded in the underlying issues register.

3. Three-monthly import reconciliation

The Hazards and Containment Manager will request lists of all restricted imports directed to the University's containment and transitional facilities on a quarterly basis.

These lists are reconciled against import records held in each facility, in order to identify:

1) Import data held in MPI records that does not appear in facility import records.
2) Import data held in facility import records that does not appear in MPI records.
3) The number of retrospective BACCs that have been requested from MPI and the underlying reasons for these.

Records of reconciliations and trend data will be held by the Hazard and Containment Manager and disseminated to each facility.

4. External verification by MPI

External verification by MPI consists of formal entry and exit meetings which involve the **operator**, deans and/or heads of school and other nominated key stakeholders. Exit meetings allow MPI to give feedback, formally raise issues and non-conformances, and facilitate discussion of these issues.

Any non-conformances or potential issues identified by MPI during the verification process are to be noted by the designated person in charge or the Hazards and Containment Manager. These are to be collated with any additional issues raised by MPI in the exit meeting.

All issues and non-conformances are to be documented and distributed by the Hazards and Containment Manager to designated persons in charge, as well as the University of

Auckland Biological Safety Committee (UABSC), operator and deans, for further discussion and implementation of corrective actions.

Any non-conformances are to be recorded in the facility's verification register, along with corrective actions and close-out date. Deans and operator will be kept informed, to allow formal response by the University to MPI. Copies of the MPI verification report and University response will be kept in the HSW document system.

Feedback on conduct of the MPI verification will be sought and collated by the Hazards and Containment Manager and a summary will be sent to the operator.

5. 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.

Operator is the person legally authorised by the Ministry of Primary Industries (MPI) to be responsible for the management of a registered containment facility. For the purposes of these guidelines, the operator may appoint a 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.