



**Australian Government**  
**Department of Health and Ageing**  
**Office of the Gene Technology Regulator**

# **Guidelines for Certification of a Physical Containment Level 2 Aquatic Facility**

**Version 3.1– Effective 1 March 2013**

The guidelines (Part A) contain the requirements for certification of a Physical Containment Level 2 (PC2) Aquatic Facility issued pursuant to section 90 of the *Gene Technology Act 2000* (the Act).

Once a facility is certified, the certification instrument imposes conditions on the facility pursuant to section 86 of the Act. The conditions of certification (Part B), detail the usual conditions that will apply to a PC2 Aquatic Facility. Individual certification conditions may differ from these in some respect but generally an applicant can expect that their conditions will closely follow those published here. Once issued, the conditions may be varied by the Gene Technology Regulator as necessary and appropriate.

When planning a new facility, proposing to apply for certification of an existing facility or varying an existing certification, an assessment of the risks of GMOs escaping in an emergency event should be undertaken. Emergency events include, but are not limited to flooding, coastal storm surges or land slippage. If the risk assessment determines that there is a greater than negligible risk from the emergency event, then the applicant should develop a risk management plan to assist them in minimising the risks of the emergency event.

The risk management plan may include, for example, removal or destruction of GMOs and decontamination of equipment and surfaces or other measures well before the event impacts the facility. Consideration should be given to the resources needed to implement the risk management plan, and their availability, during such events.

A list of the Australian/New Zealand Standards that are referenced throughout this document is also attached.

A separate document - *Explanatory Information on Guidelines for Certification of Physical Containment Facilities* - contains details about the process of certification. This document can be downloaded from the OGTR website <[www.ogtr.gov.au](http://www.ogtr.gov.au)>.

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# Requirements for Certification

## Physical Containment Level 2 Aquatic Facility

Version 3.1 – Effective 1 March 2013

CONTAINMENT REQUIREMENTS THAT MUST BE MET IN ORDER FOR A PHYSICAL CONTAINMENT LEVEL 2 (PC2) AQUATIC FACILITY TO BE CERTIFIED BY THE GENE TECHNOLOGY REGULATOR (THE REGULATOR).

### Section 90 of the *Gene Technology Act 2000*

These are the requirements for the certification of a PC2 Aquatic Facility issued under section 90 of the *Gene Technology Act 2000* (the Act) and, as applicable, corresponding State legislation. These requirements apply to applications for certification of PC2 Aquatic Facilities received on or after the day on which these guidelines take effect.

To be granted certification, a facility must meet each of the requirements for certification of a PC2 Aquatic Facility, unless the facility receives a written exemption from meeting a particular requirement from the Regulator or a delegate of the Regulator. Additional conditions may also be imposed on the facility by the Regulator or Delegate of the Regulator.

## Definitions and acronyms

Unless defined otherwise in this document, words and phrases used in this document have the same meaning as in the Act and the *Gene Technology Regulations 2001* (the Regulations).

Words in the singular include the plural and words in the plural include the singular.

Where any word or phrase is given a defined meaning, any other part of speech or other grammatical form in respect of that word has a corresponding meaning.

<b>aerosol</b>	Suspension in air of finely dispersed solids and/or liquids.
<b>autoclave</b>	Pressure steam steriliser.
<b>bunding</b>	An embankment or barrier to contain potential spillage. For example the provision of a low wall around potential spillage areas.
<b>dealing or deal with</b>	<p>In relation to a GMO, means the following:</p> <ul style="list-style-type: none"> <li>(a) conduct experiments with the GMO;</li> <li>(b) make, develop, produce or manufacture the GMO;</li> <li>(c) breed the GMO;</li> <li>(d) propagate the GMO;</li> <li>(e) use the GMO in the course of manufacture of a thing that is not the GMO;</li> <li>(f) grow, raise or culture the GMO;</li> <li>(g) import the GMO;</li> <li>(h) transport the GMO;</li> <li>(i) dispose of the GMO;</li> </ul> <p>and includes the possession, supply or use of the GMO for the purposes of, or in the course of, a dealing mentioned in any of the paragraphs (a) to (i).</p>
<b>decontamination</b>	A physical or chemical process which removes, kills or renders non-viable the GMOs used. In the case of micro-organisms this may not necessarily result in sterility.

<b>environment</b>	Includes:  (a) ecosystems and their constituent parts;  (b) natural and physical resources; and  (c) the qualities and characteristics of locations, places and areas.
<b>facility</b>	The whole of the space that is to be certified by the Regulator to a specific level of containment.
<b>GM</b>	Genetically modified.
<b>GMO</b>	Genetically modified organism.
<b>micro-organism</b>	An organism too small to be viewed by the unaided eye, including bacteria, fungi, viruses and some multicellular organisms. For the purposes of these guidelines, this definition includes replication defective viral vectors.
<b>OGTR</b>	Office of the Gene Technology Regulator.
<b>PC2</b>	Physical Containment Level 2.
<b>personal protective equipment</b>	Any devices or equipment, including clothing, designed to be worn or held by a person on its own, or part of a system, to protect against exposure to GMOs.
<b>pest</b>	An unwanted organism that could cause cross-contamination within the facility or compromise containment of the GMO.
<b>primary container</b>	The container directly surrounding the GMO.
<b>risk group 2 organism</b>	An organism that satisfies the criteria in AS/NZS 2243.3 for classification as Risk Group 2

<b>sealed</b>	Able to contain all GMOs or the reproductive material of GM aquatic organisms (including zygotes or gametes) being transported or stored, and able to remain closed during all reasonably expected conditions of transport and storage.
<b>secondary container</b>	The container immediately surrounding the primary container.
<b>the Regulator</b>	The Gene Technology Regulator.
<b>viable</b>	<p>Micro-organisms, cells and cell cultures:</p> <ul style="list-style-type: none"> <li>able to survive or multiply even though resuscitation procedures may be required, e.g. when sub-lethally damaged by being frozen, dried, heated, or affected by chemicals, including decontamination agents.</li> </ul> <p>Other organisms, whole or part:</p> <ul style="list-style-type: none"> <li>able to live and grow independently of its parent or source organism, or able to reproduce or contribute genetic material to reproduction (e.g. sperm, ova, pollen, seeds, vegetative propagules).</li> </ul>

## Facility and fittings requirements

1. If the facility is located in an area prone to flooding or storm surges, an assessment of the risks of GMOs escaping in a flood or storm surge event must be undertaken. The risk assessment must take into consideration the GMOs kept in the facility; the consequences and likelihood of flooding or storm surges; and details of any facility design features that may mitigate such risks. If this assessment establishes a greater than negligible risk then, a risk management plan must be developed to manage the risks of escape of GMOs as a result of the flood or storm surge. Consideration must include the availability of resources needed to implement the risk management plan during such events. The risk management plan must be made available to the Regulator on request.

NOTE: Persons planning an aquatic facility in an area prone to flooding or storm surges and who intend to apply for certification by the Regulator are encouraged to contact the OGTR prior to or during the planning phase.

The risk management plan may include, for example, removal or destruction of GMOs, and decontamination of all water in the primary containers, secondary containers and effluent treatment system, well before inundation occurs.

For the purposes of these guidelines, flooding includes:

- mainstream flooding (an event where water from a creek, river, lake, estuary or coastal waters overflows the natural or artificial banks of the principal watercourses in a catchment);
- flash flooding (flooding that occurs within six hours of the rain which causes the flooding); and
- stormwater flooding (local runoff exceeding the capacity of an urban stormwater drainage system).

For the purposes of these guidelines, a storm surge is a rise in coastal water levels caused by the low pressure area of a storm or cyclone and wind driving water shoreward.

For the purposes of these guidelines, the determination of whether the location of the facility is prone to flooding or storm surges depends on the expected frequency of these events. The facility will be regarded as being prone to flooding if the floor of the facility would be inundated by a 100 year Average Recurrence Interval (ARI) flood or storm surge event. (This equates to a 1 in 100 year flood level, or an Annual Exceedance Probability (AEP) of 1%.) If it is not possible to obtain the 100 year ARI flood level from the relevant local authority, then the highest ARI or Defined Flood level used by that authority will be taken to be the level for determining if the location is prone to flooding or storm surges.

For facilities prone to flooding or storm surges, details about the flooding should include the likely effective warning time of the facility prior to inundation and possible hazards that might prevent the implementation of any risk management procedures (such as staff being unable to reach the facility prior to inundation). Applicants should expect the Regulator to seek further details during the assessment of the application.

2. The facility must be designed to either prevent the entry of surface run-off water or divert the surface run-off around the facility.
3. The facility to be certified must be a fully enclosable space bounded by walls, doors, windows, floors and ceilings. The facility doors and windows must be lockable or otherwise able to be secured.

NOTE: The walls, doors, windows, floors and ceilings form the physical containment barrier of the facility where dealings with GMOs will be conducted.

This barrier protects all spaces outside the facility, including internal spaces of buildings in which a certified facility is located, and the environment.

4. The floor of the facility, including any bunding, must be made of a durable material that is impervious to water and any joints between the floor and the bunding must be sealed.
5. Secondary containment must be provided to retain and decontaminate any spillage of water from:
  - (a) breakage, leakage or overflow from primary container(s); or
  - (b) overflow or leakage from aquarium water circulation systems that could contain GMOs.

The total volume to be retained in any secondary container must be calculated to include:

- (a) the volume, as a percentage, as determined below, of the primary containers inside the secondary containment area;
- (b) the estimate of the total volume of any potential overflow or leakage from aquarium water circulation systems that could contain GMOs;
- (c) the volume of any disinfectant that might be used to decontaminate the retained spillage; and
- (d) additional capacity to prevent any expected general fluid movement from splashing over the top of the secondary containment.

The percentage of the primary container volume is determined as follows:

- (a) where the number of primary containers is ten or less, the volume of the largest container;
- (b) where the number of primary containers is greater than ten, the total volume of 10% of the containers using the volume of the largest containers (e.g. for 28 containers, the largest 3 containers).

NOTE: In facilities where the total volume of water to be retained is sufficiently small relative to the floor area of the facility, such that water cannot flow out of the facility, there may be no need for secondary containment.

The secondary containment could consist of bunding or other containment such as holding trays under individual tanks or racks of tanks. If the facility has an effluent decontamination system for retaining drainage from the facility floors, and the system is large enough to retain and treat any overflow or leakage that drains onto the floor, then the effluent decontamination system may be used as the secondary containment.

6. The facility must be fitted with sufficient primary containers (e.g. tanks) to contain the aquatic organisms to be kept in the facility. If there is any likelihood of the production of aerosols containing viable GMOs (such as the larvae of bivalves and some crustaceans or GM micro-organisms) or reproductive material, then the aerosols must be prevented from escaping the primary container.

NOTE: Options that may achieve this could include the use of sealed primary containers or filtering any exhaust air and water.

7. The facility must have a system for the decontamination of liquid effluent that contains, or is suspected of containing GMOs, including GM micro-organisms. This effluent includes that from the wash-up of equipment such as primary and secondary containers, filters, nets, and any other equipment that does or may contain GMOs.
8. If the facility has drainage exits, including hand basins, they must be fitted with barriers (e.g. screens), suitable for preventing escape of the GMOs and GM reproductive material, or a mechanism to decontaminate all effluent by heat or chemical treatment, before the effluent is discharged.

NOTE: The facility may be constructed so that the effluent from drainage exits and other liquid effluent from the facility is filtered through or decontaminated by the same system.

Discharge into municipal sewers of effluent that has not been filtered or decontaminated is not permitted and must not occur in any circumstance for species that might survive passage through the sewer and treatment plants.

9. Any openings in the walls, ceiling or roof must be filtered or screened at the boundary to prevent the entry or exit of animals, including invertebrates. The filter or screen must be of a material mechanically strong enough to withstand any airflow load, remain undamaged with regular cleaning, and resist corrosion and penetration by animals, including invertebrates.
10. If any proposed dealings in the facility will involve GM micro-organisms, or there will be hand contact with GMOs that could persist on the hands, then the facility must contain either a dedicated wash basin fitted with taps of the hands-free operation type or some other means of decontaminating hands.

NOTE: Decontamination of hands is considered an important means of preventing unintentional release of GMOs and protecting the health of facility personnel. If wash-basins are to be used, the provision of hand-operated taps is not acceptable, as they can be a source of contamination.

Alternatives to wash-basins, such as hands free dispensers filled with decontaminant solutions, are considered suitable.

11. Open spaces between and under benches, cabinets and equipment in the facility must be accessible for decontamination.

NOTE: The requirement for access to open spaces is to allow for easier decontamination of spills and to prevent persistence of GM micro-organisms on the floor.

12. If it is proposed to perform procedures in the facility with GM micro-organisms or GMOs that could persist on clothing or persons, and the procedures will produce aerosols containing GM micro-organisms, then the facility must contain a biological safety cabinet, or other equipment specifically approved in writing by the Regulator that is designed to contain aerosols.

Where a Class I or Class II biological safety cabinet is installed, it must be installed in accordance with the requirements of AS 2252.4.

13. Where the facility complies with AS/NZS 2243.3 in relation to backflow prevention requirements for water supplied to the facility, no backflow prevention assessment is required.
14. Where the facility does not comply with AS/NZS 2243.3 in relation to backflow prevention requirements for water supplied to the facility, an assessment must be undertaken to determine whether backflow prevention on the water supplied to the facility is necessary.

NOTE: Consideration should be given in the assessment to the potential hazards of the GMOs that are proposed to be dealt with in the facility; the presence of cross-connections, devices or systems that may cause contamination of a water supply connected directly or indirectly to any part of a water service; and the likelihood of a backflow event.

If it is determined that backflow prevention is necessary then backflow prevention measures, appropriate for the risks posed by the GMOs proposed to be dealt with in the facility, must be implemented.

Documentation which demonstrates the backflow prevention assessment, and any backflow prevention measures implemented, must be kept and made available to the Regulator if requested.

NOTE: AS/NZS 3500.1 specifies the requirements and methods for the prevention of contamination of potable water within the water service and the water main, and provides for the selection and installation of backflow prevention devices.

The water supply to an aquatic facility may come from more than one source. There may be, for example, a dedicated supply for the aquarium systems and a municipal, potable or supply for wash-up and use by facility staff.

Cross-connection might occur with the municipal system in cases such as a hose being used for cleaning out secondary containment (eg. floor bunding) or a floor-drain sump falling into effluent water.

If the water supply is a dedicated supply, such as a storage tank dedicated for use inside the facility, then back-siphonage is unlikely and would not need a backflow prevention device. However, if back-pressure from any pumps attached to the dedicated water supply might force water back into the tank and the pressure is sufficient to cause overflow from the tank, backflow protection would be necessary.

## Dealings involving GM micro-organisms

Where any of the dealings conducted in the facility involve GM micro-organisms, the facility must meet the following conditions in addition to all other conditions listed:

15. Eyewash equipment (either plumbed eyewash equipment or single-use packs of sterile eye irrigation fluids) must be provided within the facility.

NOTE: The Regulator does not require the placement of more than one piece of eyewash equipment in the facility. Consideration should be given to the provision of appropriate forms of eye protection.

16. If any proposed dealings in the facility involves GM micro-organisms then the following surfaces in the facility must be smooth, impermeable to water, easily cleanable, and resistant to damage by the cleaning agents and/or decontamination agents that will be used in the facility:
  - (a) walls, floors including any bunding, doors, windows and benches;
  - (b) furniture, including seating; and
  - (c) any other surfaces, where contamination is likely to occur or where decontamination is required.
17. Designated storage or hanging provisions for personal protective equipment must be available in the facility.

## **Capacity to comply with certification conditions**

18. The applicant must be able to demonstrate a capacity to comply with the conditions of certification that will generally be applied to a certified PC2 Aquatic Facility. These conditions are found in Part B of this document.

## **Information required with application forms**

19. In addition to identifying the rooms to be certified, the floor plans for the facility submitted with the application must clearly identify rooms or spaces that are lifts, toilets, bathrooms, kitchens, lunch rooms and offices with carpets.

NOTE: The Regulator would not usually certify the above rooms or spaces as part of the certified facility.

# Conditions of Certification

## Physical Containment Level 2 Aquatic Facility

### Version 3.1 – Effective 1 March 2013

Conditions are imposed on facilities by the Regulator at the time of certification pursuant to section 86 of the *Gene Technology Act 2000* (the Act) and, as applicable, corresponding State legislation. The condition clauses in this section are the ones that can be expected, in most cases, to be included in the certification instrument as the conditions of certification for a Physical Containment Level 2 (PC2) Aquatic Facility.

Where a specific condition in this document conflicts with a condition of a licence, the *Gene Technology Regulations 2001* (the Regulations), or any applicable guidelines issued under Section 27(d) of the Act, then the condition of a licence, the Regulations, or applicable guidelines prevails.

## Definitions and acronyms

The definitions and acronyms found in Part A of this document also apply to Parts B and C.

## Obligations of the certification holder in respect of users of the facility

1. While any dealings with GMOs are being conducted in the facility, the certification holder must ensure that access to the facility is restricted to authorised persons.
2. For purposes of condition 1, an authorised person is a person who:
  - (a) intends to undertake dealings, and has been trained in accordance with the Behavioural Requirements listed at Part C of this document;
  - (b) has signed, dated and provided to the certification holder a record of the training referred to in paragraph 2(a) above; and

- (c) has not been excluded from the facility by the certification holder on the direction of the Regulator; or
  - (d) is an individual, or class of person, who does not intend to undertake dealings and has the permission of the certification holder, the facility manager or other representative of the certification holder, to enter the facility.
3. If the Regulator requests the certification holder to provide a signed and dated record of the training provided to a particular authorised person, or class of person, the signed and dated record of that training must be available to the Regulator within a time period stipulated by the Regulator.

NOTE: These records may be in an electronic format.

4. If the Regulator directs the certification holder to exclude a person, or class of person, from entry to the facility on the grounds that the person, or class of person:
- (a) has behaved, or is behaving, in a manner which has caused, or which may cause, GMOs to escape from the facility; or
  - (b) has behaved, or is behaving, in a manner which has exposed, or exposes, other persons in the facility to a GMO in circumstances where the exposure causes, or is capable of causing, a threat to the health and safety of those other persons;

the certification holder must exclude that person, or class of person, from the facility unless and until otherwise directed by the Regulator.

5. If the Regulator directs the certification holder to admit a person, or class of person, to the facility subject to conditions, the certification holder must only admit the person, or class of person, subject to those conditions.
6. For the purposes of condition 5, before admitting a person, or class of person, subject to conditions, the certification holder must notify the person(s) of any conditions that apply to them.
7. If the Regulator invites the certification holder to make a submission on whether or not a person, or class of person, should:
- (a) be excluded from entry to the facility; or
  - (b) be admitted to the facility subject to conditions;

the certification holder may make such a submission within a time period stipulated by the Regulator.

8. If the certification holder is not the owner of the facility and does not have the authority to admit and exclude persons from the premises, the certification holder must not allow

dealings in the facility until such authority is obtained in writing from the owner of the facility. If the certification holder does not have the capacity to prevent dealings from occurring, the certification holder must notify the Regulator of this in writing as soon as practicable.

9. The Regulator or a person authorised by the Regulator must, at all reasonable times, be allowed to enter the facility for the purposes of auditing or monitoring the conditions applying to the facility and any dealings being conducted in it.

## **Work not permitted in this facility type**

10. Unless otherwise agreed to in writing by the Regulator, the following work must not be conducted in this facility:
  - (a) dealings with any GMO that under the conditions of a licence or legislation requires containment in any physical containment level higher than PC2;
  - (b) the housing/keeping/rearing of any non-aquatic vertebrates or invertebrates for longer than the minimum time required to complete laboratory procedures on them;
  - (c) the growing of any non-aquatic plants unless they are integral to the dealing being conducted in the facility; or
  - (d) any other work prohibited in writing by the Regulator.

## **General conditions**

11. If the certification holder is not the owner of the facility, fittings and/or containment equipment and does not have the authority to maintain the facility, fittings and/or containment equipment, the certification holder must notify the Regulator in writing if the owner of the facility, fittings and/or containment equipment is incapable of carrying out, or refuses to carry out, or otherwise does not carry out, any maintenance required in order for the certification holder to continue to comply with the conditions of certification.
12. The facility must be inspected at least once every 12 months by a person who has acquired through training, qualifications or experience, or a combination of these, the knowledge and skills enabling that person to assess the facility's compliance with the conditions listed under the 'General conditions' and 'Facility and fittings conditions'. An inspection report which records the extent of compliance with those conditions must be made. A copy of the last three years' inspection reports must be kept and made available to the Regulator if requested.

NOTE: A checklist which may be used for annual inspections of PC2 Aquatic Facilities is available on the OGTR web site <[www.ogtr.gov.au](http://www.ogtr.gov.au)> but its use is not

mandatory. Annual inspection reports should not be sent to the Regulator unless requested.

13. If applicable, the risk management plan must be updated when conditions relating to the certified facility or dealings in the facility change.
14. If flooding or a storm surge occurs, or its occurrence is imminent, and a risk management plan is in place, then the risk management plan must be implemented. The Regulator must be notified as soon as practicable after the implementation of the risk management plan.
15. Each access door to the facility must be labelled with the following signs:
  - (a) a current PC2 sign, as supplied by the OGTR; and
  - (b) a biohazard symbol, if any dealings being undertaken in the facility involve GM micro-organisms, including viral vectors where the parent organism satisfies the criteria for classification as a Risk Group 2 organism under AS/NZS 2243.3.

The signs must be placed on or next to each access door (except for emergency exits) to the facility so that persons entering the facility are able to clearly see they are entering a certified PC2 facility.

Signs may be attached onto removable fixtures, such as backing boards or plastic frames, which must be secured to the door or wall and must not be transferred to any other location.

16. If the work in the facility involves GM micro-organisms, or GMOs that could persist on facility surfaces, a supply of decontamination agents effective against the GMOs being dealt with in the facility must be available in the facility for decontamination purposes. All containers of decontamination agents, including any solutions for decontaminating hands, must be labelled with the contents and the expiry date (if applicable). Decontamination agents must not be used after the expiry date.
17. A strategy to control pests in the facility must be implemented and maintained.

## **Facility and fittings conditions**

18. The certification holder must ensure that the physical attributes of the facility and fittings are maintained so that the 'Facility and fittings requirements' listed in Part A of this document continue to be met.
19. Prior to any structural changes that will affect the containment of GMOs in the facility, the applicant must either:
  - (a) request a suspension of the certification, in writing, from the Regulator; or

- (b) request a variation to the area of certification in writing, from the Regulator, to allow dealings to continue in a part of the facility unaffected by the structural changes.

NOTE: For example, it may be possible to apply for a variation to temporarily partition the facility to provide containment for GMOs at one end while the other end is being modified. Once the work is complete another variation would be applied for to re-instate any area removed from the certification.

20. Before a suspension of the certification can be lifted, the facility must be inspected by a person who has acquired through training, qualifications or experience or a combination of these, the knowledge and skills enabling that person to assess the facility's compliance with the conditions listed under 'General conditions' and 'Facility and fittings conditions' to ensure that the facility meets the conditions of certification. Dealings with GMOs must not recommence in a facility which has its certification suspended until the Regulator has lifted the suspension by notice in writing. Storage of GMOs in a suspended facility must be in accordance with the requirements listed in the Regulator's *Guidelines for the Transport, Storage and Disposal of GMOs* as in force from time to time.
21. If it is proposed to perform procedures in the facility with Risk Group 2 GM micro-organisms or GMOs that could persist on clothing or persons, and the procedures will produce aerosols containing GMOs, then the facility must contain a biological safety cabinet or other equipment specifically approved in writing by the Regulator that is designed to contain aerosols.

NOTE: Procedures with GM micro-organisms such as centrifuging and vortexing in sealed tubes does not need to be performed in a biological safety cabinet, provided that the tubes are only opened in a biological safety cabinet.

22. Where any Class I or Class II biological safety cabinet is installed and used for procedures with GMOs, it must be inspected and tested in accordance with the performance requirements of Section 5.2 *Critical for cabinet function* of AS 2252.1 and Section 5.2 *Critical performance tests for cabinet function* of AS 2252.2, respectively. This testing is required at least every 12 months and additionally after relocation of a cabinet, after mechanical or electrical maintenance and after high efficiency particulate air (HEPA) filters are replaced. The inspection and testing of cabinets must be carried out by a qualified person.
23. The certificate summarising the test results and the date of the next test, must be affixed to the cabinet.
24. Where testing has shown that the performance requirements for inward air velocity or HEPA filter integrity (Class I), or air barrier containment or exhaust HEPA filter integrity (Class II) are not met and the defect has not been corrected, the cabinet must

be clearly marked to show that it is defective and must not be used for procedures that produce aerosols containing GMOs.

25. Where the certification holder is the owner, or the entity with control of, any autoclave, or any other heat-based equipment used in decontaminating GMOs, that autoclave or other heat-based equipment must be:
  - (a) monitored monthly, for effectiveness; and
  - (b) calibrated annually,

and the results of the monitoring and calibration must be documented, in accordance with Decontamination Methods specified in the Regulator's *Guidelines for the Transport, Storage and Disposal of GMOs* as in force from time to time.

NOTE: Details on periodical monitoring and annual calibration of decontamination equipment are specified in the Regulator's *Guidelines for the Transport, Storage and Disposal of GMOs* as in force from time to time.

26. Where the certification holder is the owner, or the entity with control of, any autoclave, or other heat-based equipment to be used for the decontamination of GMOs, the certification holder must ensure that a person intending to use that autoclave or other heat-based equipment is able to ascertain whether that autoclave or heat-based equipment has been monitored for effectiveness, calibrated and otherwise maintained in the manner required by the Decontamination Methods contained in the Regulator's *Guidelines for the Transport, Storage and Disposal of GMOs* as in force from time to time.

NOTE: Compliance with the above condition may be achieved by placing a notice on the autoclave, or other heat-based equipment, containing dates and results of calibration and monitoring. Details on periodical monitoring and annual calibration of decontamination equipment are specified in the Regulator's *Guidelines for the Transport, Storage and Disposal of GMOs* as in force from time to time.

27. If any decontamination equipment is found to be defective and the defect has not been corrected, the equipment must be clearly marked to show that it is defective and must not be used for decontaminating GMOs, waste or equipment associated with dealings with GMOs until the defect has been corrected. Defective decontamination equipment must be decontaminated prior to maintenance or repair.
28. Any backflow prevention measures in place either at the time of certification or installed at a later time must be maintained until a change in the measures is indicated by a review of the backflow prevention assessment.

29. Where the facility does not comply with AS/NZS 2243.3 in relation to backflow prevention requirements for water supplied to the facility, and no backflow prevention assessment has been conducted previously, an assessment must be undertaken to determine whether backflow prevention on the water supplied to the facility is necessary considering the GMOs that are being dealt with in the facility.
30. Where there is an existing assessment on the need for backflow prevention, it must be reviewed when:
  - (a) any new cross-connection, device or system that may cause contamination of a water supply is connected directly or indirectly to any part of the water service to the facility; or
  - (b) connections were made prior to certification and were assessed as not requiring backflow prevention measures, but a new GMO is to be dealt with in the facility that presents different risks from the GMOs assessed at the time of certification.
31. If it is determined, by review, that backflow prevention is necessary, then backflow prevention measures, appropriate for the risks posed by the GMOs proposed to be dealt with in the facility, must be implemented.

NOTE: AS/NZS 3500.1 specifies the requirements and methods for the prevention of contamination of potable water within the water service and the water main, and provides for the selection and installation of backflow prevention devices.

32. The current backflow prevention risk assessment and, if required, details of the backflow prevention measures implemented, must be kept and made available to the Regulator if requested.
33. If the water supplied to the facility is fitted with any testable water supply backflow prevention devices, these devices must pass a test every 12 months. These tests must be conducted in accordance with AS 2845.3 by a licensed plumber accredited to test backflow prevention devices. Any failures must be rectified and the device re-tested until compliance is achieved. Documentation of the last three years' test results must be kept and made available to the Regulator if requested.
34. If the backflow prevention device is found to be defective and the defect has not been corrected, any equipment attached to the water supply must be clearly marked to show that it must not be used when attached to the water supply system until the defect has been corrected.

## Behavioural Requirements

### Physical Containment Level 2 Aquatic Facility

Version 3.1 – Effective 1 March 2013

1. Persons undertaking dealings in the facility with GMOs requiring PC2 containment must comply with these Behavioural Requirements.

### Non-GMOs, exempt dealings and PC1 dealings in the facility

2. Persons undertaking work in the facility on non-GMOs, exempt dealings or dealings which may be undertaken in a PC1 facility must comply with these Behavioural Requirements unless:
  - (a) procedures are implemented to ensure that non-GMOs, exempt dealings or dealings which may be undertaken in a PC1 facility, are not cross-contaminated with GMO dealings requiring containment in a PC2 facility;
  - (b) the above procedures are documented; and
  - (c) the primary and any secondary container used to transport any organism out of the facility must be free of contamination with GMOs prior to being transported out of the facility.

Dealings which may be undertaken in a PC1 facility, and where subclauses (a) to (c) above are met, may be conducted in accordance with the Behavioural Requirements in this document or the *Guidelines for Certification of a Physical Containment Level 1 Facility*.

NOTE: Means of preventing cross-contamination could include physical separation of the work, or separation by working at different times and ensuring any contaminated surfaces are decontaminated prior to working with a different organism.

## **Doors & windows**

3. Except during the entry and exit of personnel, supplies and/or equipment, doors of the facility must be closed while procedures with GMOs are being conducted. Entrance doors into the facility must remain locked, or the facility must be otherwise secured, when facility personnel are not in attendance.
4. Dedicated “Emergency Only” exits must not be used to enter nor exit the facility except in an emergency.
5. Windows must remain closed and locked, or otherwise secured, while procedures with GMOs are being conducted or when facility personnel are not in attendance.

## **Containment equipment**

6. Where any Class I or Class II biological safety cabinet is installed and used for procedures with GM micro-organisms, it must be used and decontaminated in accordance with the requirements of AS 2252.4.
7. Where any Class I or Class II biological safety cabinet is installed and used for procedures with GMOs, it must be used and decontaminated in accordance with the requirements of AS 2252.4.

## **Personal protective equipment**

8. If the work in the facility involves GM micro-organisms or GMOs that could persist on clothing or persons the following personal protective equipment must be worn by personnel undertaking dealings in the facility:
  - (a) protective clothing to afford protection to the arms and the body; and
  - (b) disposable gloves, when dealing with GM micro-organisms, including viral vectors where the parent organism satisfies the criteria for classification as a Risk Group 2 organism under AS/NZS 2243.3.

NOTE: Consideration should be given to the wearing of appropriate forms of eye protection.

9. If the work in the facility involves GM micro-organisms, or there is contact with GMOs that could persist on the clothing or equipment, then personal protective equipment must be removed before leaving the facility and disposed of or stored in designated storage or hanging provisions.
10. Personal protective equipment, with the exception of gloves, may be worn if moving directly to another containment facility, certified to at least PC2 by the Regulator, that

is directly connected to the facility or is connected by a corridor, stairs or other space that is not a public thoroughfare and in which there is negligible risk of the release of the GMOs or of cross-contamination should other personnel be encountered or contacted in the corridor.

## Decontamination

11. Decontamination must be undertaken in accordance with Section 3.1 of the Regulator's *Guidelines for the Transport, Storage and Disposal of GMOs* as in force from time to time unless otherwise approved in writing by the Regulator.
12. All decontamination procedures conducted inside the facility must be carried out by trained personnel.
13. GMOs, non-GMOs containing GMOs or any waste containing GMOs must be decontaminated prior to disposal if the method of disposal is not also the method of decontamination.

NOTE: Where appropriate, visual inspection of the container(s) may be used to confirm whether decontamination is necessary (e.g. in the case of macroscopic GMOs which are visible to the naked eye).

14. All liquid effluent, including run-off that contains or is suspected of containing GMOs must be decontaminated prior to disposal.

NOTE: Decontamination of liquid effluent may be by filtration, if it is effective in removing the GMOs from the effluent.

15. Work benches and surfaces where procedures have been conducted involving GM micro-organisms, or GMOs that could persist on facility surfaces, as well as any other surface that may have been contaminated during the course of the dealings, must be decontaminated when the dealings are completed. Equipment directly used in procedures involving GMOs and equipment suspected to be contaminated must be decontaminated when the dealings are completed.
16. Equipment contaminated with or suspected to be contaminated with GMOs must be decontaminated before being removed from the facility, except if the equipment is being transported for the purposes of decontamination in accordance with the Regulator's *Guidelines for the Transport, Storage and Disposal of GMOs*, as in force from time to time, and other relevant guidelines issued by the Regulator.
17. Personal protective equipment contaminated with or suspected to be contaminated with GMOs must be taken off as soon as practicable and decontaminated prior to reuse or disposal. Protective clothing that is known to be not contaminated with GMOs may be washed using normal laundry methods. Gloves must be disposed of after use and prior to exiting the facility.

18. Persons who have been performing procedures in the facility that involve GM micro-organisms, or who have had hand contact with GMOs that could persist on the hands after exit from the facility, must decontaminate their hands before leaving the facility.

NOTE: This may include the use of soap and water, if appropriate. If wash-basins are to be used, the use of hand operated taps is not acceptable, as they are a ready source of contamination. Soap and other decontamination agents should be dispensed from hands free dispensers.

## **Escape/Spills of GMOs**

19. If a GM aquatic organism or aquatic organism containing GMOs escapes within the facility, the aquatic organism must be captured and returned to its container, or euthanased.
20. Documented procedures must be in place to decontaminate any spills involving GMOs inside the facility. The procedures must be made available to the Regulator if requested.
21. If a spill of GMOs or any material containing GMOs occurs inside the facility, the spills procedures must be implemented to decontaminate the spill as soon as reasonably practicable.
22. In the event of the escape, unintentional release, spill, leak, or loss of GMOs outside of the facility:
  - (a) efforts must be implemented as soon as reasonably practicable to locate and/or retrieve the GMOs and return the GMOs to containment or render them non-viable; and
  - (b) the incident must be reported to the Regulator as soon as practicable.
23. Any decontamination of GMOs must be in accordance with the requirements listed in the Regulator's *Guidelines for the Transport, Storage and Disposal of GMOs* as in force from time to time.

## **Labelling**

24. All containers of GMOs must be clearly labelled so as to indicate that they contain GMOs. Any unlabelled material must be treated as a GMO and handled in accordance with these requirements.

NOTE: Labelling enables the separation of GM work from non-GM work and enhances the control of GMOs within the facility.

## Removal and storage of GMOs

25. Transport and storage of all GMOs outside of the facility must be conducted in accordance with the Regulator's *Guidelines for Transport, Storage and Disposal of GMOs*, as in force from time to time, and other relevant guidelines issued by the Regulator.
26. All cultures of GMOs being stored inside the facility must be sealed during storage to prevent dissemination of the GMOs.

NOTE: The type of container necessary to prevent the GMOs from escaping will vary depending on the type of organisms being stored.

## Standards referenced in this document

‘AS’ followed by a number or other identification is a reference to the Australian Standard so numbered or identified.

‘AS/NZS’ followed by a number or other identification is a reference to the Australian/New Zealand Standard so numbered or identified.

Refer to the most recent issue of the standards.

AS/NZS 2243.3	Safety in laboratories Part 3: Microbiological safety and containment
AS 2252.1	Biological safety cabinets Part 1: Biological safety cabinets (Class I) for personnel and environment protection
AS 2252.2	Controlled environments Part 2: Biological safety cabinets Class II - Design
AS 2252.4	Controlled environments Part 4: Biological safety cabinets Classes I and II – Installation and use (BS 5726:2005, MOD)
AS 2845.3	Water supply - Backflow prevention devices Part 3: Field testing and maintenance of testable devices
AS/NZS 3500.1	Plumbing and drainage Part 1: Water services