



## ANNEX 1: Biosafety And Biosecurity Compliance Records Checklist

This checklist is intended to help grantees maintain comprehensive records that demonstrate compliance with biosafety and biosecurity standards as required by institutional, national, and international regulations. It can be used to prepare for internal or external audits and reviews.

### 1. Institutional Oversight Records

- ☐ Institutional Biosafety Committee (IBC) meeting minutes and decisions
- ☐ Approvals for research involving biological agents
- ☐ Risk assessments for agents, procedures, and facilities

### 2. Incident Documentation

- ☐ Logs of biosafety/biosecurity incidents (exposures, releases, security breaches)
- ☐ Incident investigation reports and root cause analyses
- ☐ Corrective and preventive actions taken

### 3. Training Records

- ☐ Staff biosafety and biosecurity training logs (initial and refresher)
- ☐ Competency assessments
- ☐ Certificates of completion for training

### 4. Standard Operating Procedures (SOPs)

- ☐ Current SOPs for handling, storage, transport, and disposal of biological materials
- ☐ Revision history of SOPs
- ☐ Acknowledgment records of SOP dissemination to staff

### 5. Inventory Records

- ☐ Inventory of pathogens and biological materials
- ☐ Logs of acquisition, usage, storage, and destruction
- ☐ Access logs to pathogen storage areas

### 6. Audit and Inspection Records

- ☐ Internal and external audit reports
- ☐ Corrective action reports from audits
- ☐ Biosafety and biosecurity risk assessments

### 7. Facility and Equipment Records

- ☐ Certification records for biosafety cabinets (BSCs) and containment facilities
- ☐ Maintenance logs for BSCs, autoclaves, and safety equipment
- ☐ Access control logs for restricted areas

#### 8. Waste Management Records

- ☐ Logs of biological waste handling and disposal
- ☐ Decontamination records
- ☐ Treatment and disposal certificates

#### 9. Reporting Records

- ☐ Incident and compliance reports to regulators or funders
- ☐ Timely notifications of reportable events

#### 10. Material Transfer Records

- ☐ Material Transfer Agreements (MTAs)
- ☐ Shipping and receiving records for biological materials
- ☐ Export/import permits and documentation