

PRINCIPAL INVESTIGATOR:

AUDITOR:

DATE:

CATEGORY	S/NS/NS*
Administration	
Copy of Guidelines available	
SOP available	
NC and USDEA registrations current	
Copy of registration available	
Physical Security	
All CS kept under minimum of two locks	
Locks keyed differently	
Keys not kept together	
Locks in good condition	
Substantially constructed cabinet or safe in use	
Schedule I and II stored in approved safe, steel	
cabinet or vault	
Schedule I and VI physically seperated from other	
scheduled substances	
Accessible only to authorized personnel	
Personnel Security	
Background checks completed on authorized	
personnel	
Registrants completed questionnaires for	
authorized personnel maintained in secure	
location	
Personnel trained in CS protocolcs	
Access limited to PI and designated personnel	
Means of access to CS limited to authorized	
personnel by means of locks, keys, etc.	
Ordering	
Ordering protocol follows Guideline, Section VIII	
Receipt records maintained and recorded	
Inventory Control	
Written record in place	
Record up-to-date	

Form matches data required in Guidelines

Inventory review quarterly Schedule I kept in bound book  Labeling Container labeled Distinct ID# / container Expiration date present  Use Area Area security established (alarm, key, etc.)  Contamination Control No uncontained substances observed General housekeeping maintained  Personnel exposure control Fume hood(s) functioning PPE available  Discrepancies Discrpancies? (Yes/No) Discrepancy protocol in Guidance followed  Disposal Disposal accounted for in writing Disposal document DEA Form 41 used Non-notification disposal follows protocol in Guidelines  Import / Export CS Imported (Yes/No) DEA Form 486 completed and on file		1
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<sup>\*</sup>S/NS/NA - Satisfactory/Non-Satisfactory/Not-Applicable

ONTROLLED SUBSTANCE AUDIT CHECKLIST			
COMMENTS			