

PRINCIPAL INVESTIGATOR:

AUDITOR:

DATE:

CATEGORY	S/NS/NS*
<b>Administration</b>	
Copy of Guidelines available	
SOP available	
NC and USDEA registrations current	
Copy of registration available	
<b>Physical Security</b>	
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	
<b>Personnel Security</b>	
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.	
<b>Ordering</b>	
Ordering protocol follows Guideline, Section VIII	
Receipt records maintained and recorded	
<b>Inventory Control</b>	
Written record in place	
Record up-to-date	
Form matches data required in Guidelines	

Inventory review quarterly	
Schedule I kept in bound book	
<b>Labeling</b>	
Container labeled	
Distinct ID# / container	
Expiration date present	
<b>Use Area</b>	
Area security established (alarm, key, etc.)	
<b>Contamination Control</b>	
No uncontained substances observed	
General housekeeping maintained	
<b>Personnel exposure control</b>	
Fume hood(s) functioning	
PPE available	
<b>Discrepancies</b>	
Discrepancies? (Yes/No)	
Discrepancy protocol in Guidance followed	
<b>Disposal</b>	
Disposal accounted for in writing	
Disposal document DEA Form 41 used	
Non-notification disposal follows protocol in Guidelines	
<b>Import / Export</b>	
CS Imported (Yes/No)	
CS Exported (Yes/No)	
DEA Form 486 completed and on file	

\*S/NS/NA - Satisfactory/Non-Satisfactory/Not-Applicable



