**Controlled Substances SOP 05: Decommissioning a Lockbox**

1. **Purpose**
   This procedure documents the decommissioning process when a research lab terminates their use of controlled substances in research. The process includes a checklist that should be completed and signed by the LCSC prior to completion.

2. **Regulatory References**
   None

3. **Training Requirements**
   All Controlled Substances SOP.

4. **General Information**
   **A. Abbreviations:**
   1) Central Controlled Substances Custodian (CCSC)
   2) Controlled Substance (CS)
   3) Controlled Substances Tracking System (CST)
   4) Environmental Health and Safety (EHS)
   5) Institute Point of Contact, Chief Research Policy Officer (IPOC)
   6) Laboratory Controlled Substances Custodian (LCSC)
   7) Office of Laboratory Animal Resources (OLAR)
   8) Principal Investigator (PI)
   **B. Caltech has two DEA licenses and each license has its own CCSC, who is responsible for training personnel and managing CS inventory on their respective licenses.**

5. **Procedure**
   **A. Upon receiving notification that a lab wishes to terminate its use of controlled substances in research, the EHS or OLAR CCSC will request that the lab provide an email notification with the formal request for termination. When the email is received, the CCSC will make an electronic PDF of the email and place it in the lab’s folder in the SharePoint CS Folder.**
   **B. The CCSC will organize a date and time to visit the lab. On the agreed upon time, the CCSC will go to the lab and take physical possession of the CS, UDTD forms, logbook, and CS binder. The CCSC will follow all procedures for the CS SOP 3 - Receipt of Controlled Substances for Disposal. The LCSC will sign the “Checkout Form” (Exhibit A in this SOP) to verify that they have turned over all CS units and dilutions, and that the CS binder and logbooks have been received.**
   **C. The CCSC may personally remove the box and take it into their possession, or will create an AIM workorder request to remove the lockboxes from the lab location by Carpentry Shop. The AIM workorder request will include the following:**
   1) Location of the lockbox and keybox; and
   2) Request that the lockbox and keybox be returned.
   **D. When the AIM workorder is scheduled, the CCSC will attend the lockbox and keybox removal.**
E. Once the lockbox and keybox are in possession of the CCSC, the CCSC will verify that the lockbox number is the one originally issued to the lab.

1) If the box has the correct assigned lockbox number, the CCSC will update the Lockbox Inventory Spreadsheet by updating the “Date Returned” column.

2) If the box does not have the correct assigned lockbox number, the CCSC will immediately report this to the IPOC.

F. The CCSC will notify IPOC by email regarding the status of decommissioning boxes based on part (D) of this procedure. If the lockbox or keybox is no longer functional, it will be removed from inventory. The CCSC will update the location in the CST and SharePoint files to indicate non-use or removal from inventory.

G. Files related to the decommissioned lockbox must be maintained for a period consistent with DEA regulation (currently 2 years).

6. Revocation of Authorization and Decommissioning

A. Notice: The Division Office, the IACUC, or the IPOC will notify the CCSC if a PI’s authorization is revoked. Such notification will prompt the CCSC to take action to secure any inventory of CS related to the revoked authorization.

B. Access Restricted/Surrender of Controlled Substances:

1) Once notified about a revocation, the CCSC will remove the PI and all authorized users from the list of Authorized Users.

2) The CCSC will contact the LCSC for the lab to request confirmation that the lockbox is secured and prepared for the LCSC to remove the CS.

   a. Contact the LCSC to arrange a mutually convenient time within 24 hours that the CS can be removed from the lab.

   b. If the LCSC is uncooperative, proceed to notify the division operations officer to schedule a time to meet within 24 hours.

   c. If the LCSC is still unwilling or unable to surrender the CS, the CCSC should contact the IPOC and they will proceed with the steps necessary to enable the LCSC to secure the CS.

3) If the revocation is for an individual, the CCSC will contact the LCSC to ensure that the person no longer has access to the CS- this may require changing the location of the lockbox keys, returning keys or revoking keycard access to a lockbox.

4) The CCSC will document the restriction of access and surrender of CS, as well as notify the IPOC when the CS is secure.

C. Decommissioning: The Decommissioning process described in 6, above, will be followed.
CALTECH CONTROLLED SUBSTANCE DECOMMISSIONING CHECKLIST

LAB: ________________________________  LOCATION: ________________________

LOCKBOX NUMBER: _________   LCSC NAME: _______________________

1. RECEIPT OF CONTROLLED SUBSTANCES BY CCSC
   
   A. Items of CS Present

<table>
<thead>
<tr>
<th>Relinquished</th>
<th>Received</th>
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<tbody>
<tr>
<td>LCSC Signature</td>
<td>CCSC Signature</td>
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   Use separate page if more items are present than the boxes above allow.

   The LCSC for this Research Lab listed above declares that all controlled substances and containers of diluted material listed on this form and its attachments have been relinquished to the CCSC.

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2. RECEIPT OF LOCKBOX AND KEYBOX
   
   CCSC: Please check off the following to close out this decommissioning process:

   _____ AIM WO #_________________________ (if applicable).
   _____ RECEIVED LOCKBOX and KEYBOX.
   _____ LOCKBOX Number identified with Lockbox Inventory List and updated.
   _____ LOCKBOX and KEYBOX placed back into Storage.
   _____ LOCKBOX or KEYBOX NOT COMPLIANT. REPORT TO IPOC.

3. CS BINDER/LOGBOOKS
   
   CCSC: Retrieve the CS Binder and Logbooks from the LCSC:

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