

Controlled Substances User SOP 01: Controlled Substances User Approval and Training Requirements

1. Purpose

This procedure provides guidelines for the training of approved Controlled Substances Users and the procurement process.

2. General Information

A. Abbreviations:

- 1) Controlled Substance (CS)
- 2) Controlled Substances Tracking System (CST)
- 3) Employee and Organizational Development (EOD)
- 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) Office of Research Compliance (ORC)
- 9) Principal Investigator (PI)
- 10) Uniform Distribution, Transfer, and Disposal Form (UDTD)

B. Caltech has two DEA licenses, one managed by EHS and one managed by OLAR. Each license has its own CCSC.

3. Training and Approval for CS Users

A. To obtain approval for CS use, new laboratories must submit a Controlled Substances Authorization Form [Attachment A](#) or a Division Approval Form [Attachment A-1](#) to the CCSC and obtain Divisional approval.

- 1) The lab and the CCSC must keep records of all [Attachment A](#) or [Attachment A-1](#) approvals per the Policy.
- 2) New users (including PIs) must submit a Controlled Substances Authorized Personnel Registration Form [Attachment B](#) from a new CS user to the CCSC.
- 3) The CCSC will coordinate with EOD to initiate a background check and EOD will e-mail the CCSC if/when new users are cleared.
- 4) All CS users (with exception of the PIs) must complete the CS CITI training prior to being authorized to use CS. The CCSC must verify that CITI training has been successfully completed.
- 5) The IPOC or designee will provide in-person training sessions for PIs, as required.
- 6) The CCSC will meet with the new LCSC and the backup LCSC (if one is assigned) to review the documentation requirements, in person. Training will be provided regarding LCSC responsibilities described in the CS Program training handout.

- 7) Once the background check and training are complete and documented, the CCSC will confirm approval of the individual to use CS and will initiate the commissioning of a lockbox.

4. Authorization for Procurement

- A. Request TechMart access by submitting the “Access Request for TechMart E-Procurement Application” form via email to the Procurement contact below.

CS Organization	Team	Organization Contact	Email
EHS CCSC		Lauriane Quenee	lquenee@caltech.edu
EOD		Erica Anguiano Escobar	erica.anguiano@caltech.edu
OLAR CCSC		Nicole McMillan	olarCCSC@caltech.edu
Procurement		Cynthia Rowand	crowand@caltech.edu
Divisions:			
BBE		David Warren	dpwarren@caltech.edu
CCE		Grace Liang-Franco	gracelf@caltech.edu
EAS		Marionne Epalle	marionne@caltech.edu
GPS		Aleen Boladian	aleenb@caltech.edu
HSS		Candace Younger	candace.younger@caltech.edu
PMA		Shawna Silesky	ssilesky@caltech.edu