
Controlled substances (CS) are drugs or chemicals whose manufacture, possession, and use are regulated by the government. UC Irvine currently maintains federal Drug Enforcement Administration (DEA) departmental registrations governing the use of CS for research, veterinary, and teaching purposes.

UC Irvine's [CSP policy](#) and [Procedure \(PDF\)](#) describes authorization to conduct work with CS, employee and institutional responsibilities, and operational requirements. The CSP is managed by the CS Program Coordinator in Environmental Health & Safety (EH&S).

Principal Investigators (PIs) are required to apply for a Controlled Substance Use Authorization (CSUA) with EH&S to possess, use and store controlled substances/ precursor chemicals for research.

Determine if the drug is a controlled substance

1. To determine if the **drug** is a controlled substance, please visit the following link: https://www.deadiversion.usdoj.gov/schedules/orangebook/c_cs_alpha.pdf. This link will provide you with the name of the substance, the DEA number, the schedule number, and other common names for the substance. This information will be useful when completing your CSUA application.

2. To determine if the **chemical** requires a CSUA, please visit the following websites:

- [Drugs and Chemicals of Concern](#)
- [List I chemicals](#)
- [California Department of Justice Precursor Chemicals](#)- Only pages 1 and 2 are applicable.

3. Still not sure, please send an e-mail to the CS Program Coordinator at occhlth@uci.edu and provide the names of the controlled substance/precursor chemicals to be used for research.

4. The following common anesthesia or analgesia drugs such as xylazine, isoflurane, halothane or propofol are not controlled substances. Consider storing these agents in such a way that the drugs are not visible or accessible but they should **not be** stored with the controlled substances.

Once determined a CSUA is required, please download the latest application listed under Forms ([Controlled Substance Use Authorization](#)) on our website.

Personnel CSUA Requirements

For PI's

CSUA Application: PI's must list all of the controlled substances (CS) or precursor chemicals they plan to use in the course of their research during the next year. *Per DEA requirements, the CSUA application is required to be renewed annually*

- **Completion of online training.** Please log on to the [UC Learning Center](#), type "Controlled Substances", in the search box. Select "register" to complete the course. EH&S will receive the training completion. Training renewal is required every 3 years.
- **[Completion of PI Screening Data Sheet – Form 1A](#)**
- ***An approved IACUC/IRB protocol:** Depending on the purpose and controlled substance schedule number, additional authorization or registrations maybe required. Any work involving a Schedule I or II controlled substance will [require Research Advisory Panel authorization](#) and additional months for processing and approval.
- Expect an audit of your lab twice per year to evaluate compliance with UCI's DEA registration requirements. Unannounced spot inspections by EH&S will be performed to ensure preparation for the true unannounced inspections by the DEA.
- Per registration, the Federal Drug Enforcement Administration (DEA) and UCI require a controlled substance biennial inventory to be performed and documented on a specific day once every two years. The CS Program Coordinator will assist the PI in preparing the inventory status for unannounced DEA inspections. The [Biennial Inventory](#) is a snapshot of the department's on-hand CS Inventory at the "close of business for that day."

All research staff that handle controlled substances or precursor chemicals must complete the following:

- **Completion of online training.** Please log on to the [UC Learning Center](#), type "Controlled Substances", in the search box. Select "register" to complete the course. EH&S will receive the training completion. Training renewal is required every 3 years.
- **[Complete Personnel Screening Data Sheet – Form 2A](#)** Authorized personnel are individuals designated by the PI to access and work with controlled substances/precursor chemicals under a particular CSUA. Final approval of authorized personnel rests with the Controlled Substance Program Coordinator following the verification of DEA required information that applicants provide on the Personnel Screening Data Sheet.

Authorized personnel applicants must answer questions concerning:

- Felony convictions in connection with controlled substances
- Surrender of previous registrations or having a registration revoked, suspended, or denied
- Any use of narcotics, amphetamines, or barbiturates other than those prescribed to the applicant by a physician

How to complete the CSUA Application

There should be one CSUA form for every PI that is using controlled substances/precursor chemicals; if you use both, you may list all of them in one application.

Example of an approved CSUA form:

1. PI INFORMATION – MUST COMPLETE APPENDIX 1A

Application Type: <input checked="" type="checkbox"/> New <input type="checkbox"/> Annual Renewal <input type="checkbox"/> Storage Location Change <input type="checkbox"/> Personnel Removal <input type="checkbox"/> Personnel Addition <input type="checkbox"/> Addition of Controlled Substance to existing CSUA #:		
PI's Name (Last, First): Einstein, Albert		UCI Employee #: 09*****
Home Department: Medicine		UCI.EDU e-mail address: alberte@uci.edu
Office Address: 4560 Health Sciences Road		Zot Code: 2725
Office Phone: 824-1616	Fax Phone: 824-4535	Emergency Phone (after hours)#: 949-999-9999
Name of Department Chair/Director: Marco Polo		This is required as DEA registrations are under a specific Department.
Primary Controlled Substance Lab Contact Information: (This person will be contacted for controlled substance audits, recordkeeping, security and any shipment or ordering discrepancies). This person needs to complete Appendix 2A:		
Name : PI or designated contact by PI	Campus Phone: 824-6200	UCI e-mail address: contac@uci.edu
If you do not have anyone designated, this should be the PI. All personnel need to complete the online Controlled Substances training.		

2. FACILITY INFORMATION:

Location of Controlled Substance Use: UCI Main Campus UCIMC Off site location:

For Off Site Location, please provide the full address, including if out of state:

Building: <i>e.g. Hewitt Hall</i> Required for all (CS, L1, PC)	Room # <i>e.g. 103</i> Required for all (CS, L1, PC)	Shared space Required for all (CS, L1, PC)	Describe in detail the storage cabinets or safe locking device for the controlled substance. (include specific security containers such as cabinet, safe, drawer, refrigerator or other) Contact EH&S if this information is not yet available Only CS users	UCI Department (if applicable)
Hewitt Hall	103	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes, PI's name: 	We will be storing our CS in a locked steel cabinet in the laboratory. When authorized personnel leave their position in the lab we are able to retrieve the individual's keys.	Provide enough information regarding the security of your lab space and building. Every building on campus is different. For precursor chemicals, you only need to provide the Building, Room Number, and Shared Space. But if your application includes CS, you still need to complete the 2 columns on the left.
Building 55	201	<input type="checkbox"/> No <input checked="" type="checkbox"/> Yes, PI's name: Wilbur	We will be storing our CS in a locked steel cabinet in the lab. Door has thumb lock fingerprint door lock with audit trail.	

No Yes Is the use location different from the storage location (**Controlled substances must be returned to approved storage location after procedure**)

List procedure location(s):

Building: We take our CS to Hewitt Hall Vivarium-only when needed to work on the animals after each use we inventory the use and bring back all drugs to the locked cabinet.	Room: 456
Building: <input type="text"/>	Room: <input type="text"/>

CS STORAGE LOCATION: Controlled substance storage locations are strictly regulated. Contact the Controlled Substance Program Coordinator at (949) 824-1616 or occhlth@uci.edu for more details before investing in storage facilities. All facilities must be approved by the Controlled Substances Program Coordinator prior to use.

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3. AUTHORIZED PERSONNEL *required for all (CS, L1, PC)*

All Personnel listed must complete the Screening Data Sheet: **See Appendix 2A.** Additional personnel are available at https://ehs.uci.edu/programs/occhlth/cs/Appendix_2A_PSDS_application

Name: Last, First	UCI E-Mail e.g. anteater@uci.edu	Controlled Substance Screening Data Sheet submitted? Yes/No	Controlled Substance training completed? Yes/No	Authorized to Pickup Controlled Substances at EH&S Yes/No	Date
Newton, Isaac	newtonex@uci.edu	Yes	Yes	Yes	10/1/2023
Curie, Marie	cmarieex@uci.edu	Yes	Yes	Yes	10/1/2023
Mendel, Gregor	mendgex@uci.edu	Yes	Yes	Yes	10/1/2023

Identify everyone involved in the use of Controlled Substances/ Precursor Chemicals.

Everyone listed in this section should have completed the CS training and Appendix 2A. If there is any one individual missing any of the forms or training, the CSUA is put on HOLD – (no orders can be approved until everyone has completed all the training and paperwork).

If you need additional rows, hit the Tab button.

How to complete Personnel Screening Forms

**Principal Investigator Personnel Screening Data Sheet
(Appendix 1A)**
Controlled Substances Program - Environmental Health & Safety -UCI

All Principal Investigators (PI) filing for a Controlled Substance Use Authorization (CSUA) are required to submit a Personal Screening Data Sheet to EH&S, per UCI policies and procedures Sec. 903-15, Section 707-10 and 21CFR1301.90. CS training is required prior to personnel approval per UCOP BUS60.

PI: Complete CS Training and submit this form to EH&S by:

- Fax (949-824-4535) E-mail (occhith@uci.edu) or Mail (Attn: EH&S CSUA, Box 2725)

CS Training required through [UC Learning Center](#); keyword search "controlled substances". Training completed on: **01/25/2017**

PI Name (First Middle Last): **Albert Einstein** Date of Birth: **01/25/19****

Driver's License/ID # or Passport: **U22****** State/Country: **CA**

UCI/Affiliate ID#: **09******* Lab/Office Location: **HH 103** Zip Code: **2725**

Home Address: **88 Two Stars Lane Example, Nowhere, CA 85832**

Phone Number: **949 824 1616** E-Mail Address: **contac@uci.edu**

Within the past five years, have you been convicted of a felony, or within the past two years of any misdemeanor, or are you presently formally charged with committing a criminal offense? (Do not include any traffic violations, juvenile offenses or military convictions, except by general court-martial.) If the answer is Yes, furnish details of conviction, offense, location, date, and sentence on additional page.

Yes No

In the past three years, have you ever knowingly used any narcotics, amphetamines, or barbiturates, other than those prescribed to you by a physician? If the answer is Yes, furnish details on additional page.

Yes No

Have you ever surrendered a controlled substance registration or had a controlled substance registration revoked, suspended or denied?

Yes No

By signing below, I agree to comply with UCI's Controlled Substances Program Policies and Procedures and I authorize inquiries of courts and law enforcement agencies for possible pending charges or convictions. I understand that any false information, omission of information, or misuse of controlled substances will jeopardize my position with the University. Information included herein will not preclude me from utilizing of controlled substances in non-human research at UCI, but will be considered as part of the overall evaluation of qualifications in the application.

The DEA requires that an employee who has knowledge of drug diversion from his/her employer by a fellow employee is obligated to report such information to a responsible security official of the employer. At UCI all such reports can be made confidentially to the Controlled Substances Program Coordinator who will inform the appropriate officials and initiate an investigation of the allegations. The protection of an individual's right to privacy will be upheld in all confidential inquiries.

Principal Investigator Signature: **Albert Einstein** Date: **01/25/2017**

Controlled Substance Program, EH&S • Phone: 949-824-6200 • Fax: 949-824-4535 • 20T CODE 2725

List completion date of UC Learning Center online "Controlled Substances" training.

PI's must complete with accurate information.

PI's must complete with accurate information.

PI signature required for final approval by CS Program Coordinator.

Personnel Screening Data Sheet (Appendix 2A)

Controlled Substances Program - Environmental Health & Safety - UCI

All proposed handlers of controlled substances (CS) must submit a Personal Screening Data Sheet to EH&S, per UCI policies and procedures Sec. 903-15, Section 797-10 and 21CFR1301.90. CS training is required prior to personnel approval per UCOP BUS550.

Applicant: Complete CS Training and submit this form to your PI for signature. Return form to EH&S by either:

- Fax (949-824-4535) E-mail (occhth@uci.edu), or Mail (Attn: EH&S CSUA, ZOT 2725)

CS Training required through [UC Learning Center](#); keyword search "controlled substances Training completed on: 01/25/2017"

ASSIGN APPLICANT PRIVILEGES: Designate as CS Lab Contact (Circle one: Primary / Secondary) Authorized Recipient (OK to Pickup Controlled Substance Shipments)

Applicant Name (First Middle Last): Isaac Newton Date of Birth: 03/21/19**
Driver's LicenseID # or Passport#: N22***** State/Country: CA
Employee or Student ID#: 091*****
Home Address: 1616 Express Way, Nowhere, CA 96772
Lab/Office Location: HH 103 Phone Number: 824-**** E-Mail Address: newton@uci.edu

Within the past five years, have you been convicted of a felony, or within the past two years of any misdemeanor, or are you presently formally charged with committing a criminal offense? (Do not include any traffic violations, juvenile offenses or military convictions, except by general court-martial.) If the answer is Yes, furnish details of conviction, offense, location, date, and sentence on additional page.

Yes No

In the past three years, have you ever knowingly used any narcotics, amphetamines, or barbiturates, other than those prescribed to you by a physician? If the answer is Yes, furnish details on additional page.

Yes No

Have you ever surrendered a controlled substance registration or had a controlled substance registration revoked, suspended or denied?

Yes No

By signing below, I agree to comply with UCI's Controlled Substances Program Policies and Procedures and I authorize inquiries of courts and law enforcement agencies for possible pending charges or convictions. I understand that any false information, omission of information, or misuse of controlled substances will jeopardize my position with the University. Information included herein will not preclude me from utilizing controlled substances in non-human research at UCI, but will be considered as part of the overall evaluation of qualifications in the application.

The DEA requires that an employee who has knowledge of drug diversion from his/her employer by a fellow employee is obligated to report such information to a responsible security official of the employer. At UCI all such reports can be made confidentially to the Controlled Substance Program Coordinator who will inform the appropriate officials and initiate an investigation of the allegations. The protection of an individual's right to privacy will be upheld in all confidential inquiries.

Applicant signature: Isaac Newton Date: 01/25/2017

PI authorization for the applicant (identified above) to handle and/or access controlled substances issued to PI:

Principal Investigator Signature: Albert Einstein Date: _____

Principal Investigator name: Albert Einstein

Controlled Substance Program, EH&S • Phone: 949-824-6200 • Fax: 949-824-4535 • ZOT CODE 2725

List completion date of UC Learning Center online "Controlled Substances" training.

PI to assign applicant privileges.

All applicants are required to complete and provide accurate information to be authorized users.

All applicants are required to complete and provide accurate information to be authorized users.

Applicant and PI signature are required for final approval by CS Program Coordinator.

4. Controlled Substance Information required from Title 21 PART 1301.18-Research Protocols

Name(s) of controlled substance(s) to be used: (DEA drug codes can be found at: http://www.deadiversion.usdoj.gov/schedules/orangebook/c_cs_alpha.pdf)

Animal Protocols: All CS used in animals:

Controlled Substance	DEA Number/	Annual CS estimate for this project	Title of Research Project:	Purpose: Analgesia, Euthanasia,	Approved Animal Protocol # & Expiration date	Duration of Project	Number and Species of Research Subjects	Dosage to be Administered	Route and Method of Administration
Pentobarbital Nembutal	2270	1 bottle	Studies Retinal Wound Evaluation with rats	Euthanasia mice with spinal injury will be grafted with human spinal stem cells.	2017-1060 exp 8/2018	3 years	20 rats	75-100 mg/kg for 60 minutes	intraperitoneal (IP) injection
Pentobarbital Euthasol	2270	1 bottle	Studies Retinal Wound Evaluation with rats	Euthanasia mice with spinal injury will be grafted with human spinal stem cells.	2017-1060 exp 8/2018	3 years	20 rats	75-100 mg/kg for 60 minutes	intraperitoneal (IP) injection
Ketamine	7285	10 bottles	Studies Retinal Wound Evaluation with rats	Analgesia - mice with spinal injury will be grafted with human spinal stem cells. The recovery of motor functions will be then followed for 6 months	2017-1060 exp 8/2018	3 years	20 rats	75-100 mg/kg for 60 minutes	intraperitoneal (IP) injection
Morphine	9300	2 bottles	Studies Retinal Wound Evaluation with rats	Analgesia - mice with spinal injury will be grafted with human spinal stem cells. The recovery of motor functions will be then followed for 6 months	2017-1060 exp 8/2018	3 years	20 rats	75-100 mg/kg for 60 minutes	intraperitoneal (IP) injection

List all the controlled substances approved on IACUC

Human Research:

Controlled Substance (Concerta: methylphenidate)	DEA # 1724	Schedule II	Estimated Average Amount on Hand at any Given Time/ 56 pkq at 160ML	estimate d quantity to be used per year: 6 weeks	Purpose: This is a clinical trial to determine if an optimal dose of **** is effective for the treatment of ADHD in **** patients **** years	IRB Protocol Number 2009-####	Protocol Expiration Date MM/DD/YY	Duration of Project Ongoing, 6 months, etc.
<p>To find the latest list of DEA # and Schedule # for Controlled Substances and Precursor Chemicals please visit our website under Resources https://ehs.uci.edu/programs/occhlth/controlled-substances.html</p>								

In-Vitro protocol Information (Scheduled Drugs I-V only; not for animal use)

Controlled Substance Diazepam	DEA # 2765	Schedule IV	Purpose: Chemical reagent, TC cell stimulant, chemical standard Determine of melonin concentrating hormone effects****	Duration of Project Ongoing, 6 months, etc.
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In-Vitro USE information: (L1 and CP only; not for animal use)

Precursor Chemical Piperidine	DEA # 2704	Schedule L1	Purpose: (Chemical reagent, TC cell stimulant, chemical standard) Agent will be used as reagent for the deprotection of *** in solid-phase organic synthesis to develop anti-tumor compound	Duration of Project Ongoing, 6 months, etc.	Will the CP or L1 chemicals used in this research be used to synthesize another controlled substance? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
<p>To find the latest list of DEA # and Schedule # for Controlled Substances and Precursor Chemicals please visit our website under Resources https://ehs.uci.edu/programs/occhlth/controlled-substances.html</p>					<input type="checkbox"/> No <input type="checkbox"/> Yes
					<input type="checkbox"/> No <input type="checkbox"/> Yes

Submit the CSUA application and signed personnel screening forms to EHS at occhlth@uci.edu

The approval is contingent upon the storage meeting DEA requirements by the CS Program Coordinator. When the storage has been approved, a CSUA # will be generated. A non-transferable approval decal will be placed by the CS Program Coordinator on the identified storage and photo taken for the DEA.