PURPOSE OF THE POLICY
To comply with all federal, state and local laws which pertain to the use and disposal of substances identified by the U.S. Drug Enforcement Administration (DEA) as controlled substances for research and teaching purposes.

WHO NEEDS TO KNOW THIS POLICY
All employees who use these substances for research or teaching purposes should be familiar with this policy.
POLICY DEFINITIONS

AUTHORIZED PERSONNEL: An NYU employee authorized to use controlled substances by a Unit Registrant.

BUREAU OF NARCOTIC ENFORCEMENT (BNE): The agency under the Department of Health of the State of New York (DOH) that requires any person who engages in research, teaching or educational projects involving the use, study or testing of controlled substances be licensed. Licenses are renewed every two years.

CONTROLLED SUBSTANCE: Any substance listed in the Controlled Substances Act, in the Code of Federal Regulations (21 CFR, Part 1300)

DISPOSAL: Disposal of a controlled substance that is outdated, in excess or no longer intended for use. Disposal also refers to controlled substance that is residual (often referred to as waste) or has been contaminated through use or spills.

DRUG ENFORCEMENT ADMINISTRATION (DEA): The unit within the United States Department of Justice that establishes and enforces regulations for the handling and use of controlled substances under the Controlled Substances Act.

INDIVIDUAL PRACTITIONER: A physician, dentist, veterinarian or other individual licensed, registered or otherwise permitted by the United States or the jurisdiction in which they practice, to dispense a controlled substance in the course of professional practice. Practitioner must abide by federal laws and state laws where their practice is located.

RECORD: An accurate, continuous and current record used to track the acquisition, receipt, use and disposal of controlled substances.

REGISTRATION: Formal grant of specific authority by the DEA issued to practitioners.

LICENSE: Required and issued by the DOH BNE for research and instructional use of controlled substances within New York State.

RESEARCH: Any investigative activity engaged in by NYU personnel using university facilities or resources regardless of funding source.

TEACHING: Teaching activities include classroom demonstrations, laboratory exercises and research projects that are required for completion of a course at the undergraduate, graduate or professional level.

UNIT: School, department, or other group approved by the Senior Vice Provost for Research (Washington Square Campus).

UNIT REGISTRANT: An NYU faculty member that holds an Individual Researcher NYSDOH BNE license and DEA registration. The unit registrant assumes all the responsibilities as a licensee. He/She is ultimately responsible and accountable for understanding and adhering to all federal and state controlled substances rules and regulations as well as any specific University and department requirements.
UNIVERSITY POLICY

RESPONSIBILITIES

New York University (NYU) strives for excellence in its environmental health and safety (EHS) program. For this policy, compliance is achieved through the following structure:

SENIOR VICE PROVOST FOR RESEARCH RESPONSIBILITIES INCLUDE:

1. Providing policy direction to all departments
2. Approving of controlled substance policy
3. Requiring revisions to programs based on results of periodic evaluations by NYU EHS Department or changes in city, state or federal law.

DEPARTMENT CHAIR OR HEAD RESPONSIBILITIES INCLUDE:

1. Ensuring compliance with the policy in the departments
2. Ensuring that all faculty, staff and students who work with controlled substances receive information about, and are trained according to, the policy
3. Designating a Unit Registrant.

UNIT REGISTRANT RESPONSIBILITIES INCLUDE, BUT NOT LIMITED TO:

1. Maintaining DEA registration and BNE license
2. Exercising signature authority to purchase and dispose of controlled substances used within that unit
3. Authorizing and maintaining records on NYU personnel who work with controlled substances that were ordered under their registration and license
4. Controlling access to controlled substances
5. Ensuring proper use, storage and disposal of controlled substances and maintenance of records at each location, including preparing biennial controlled substance inventories
6. Reporting significant inventory discrepancies, to include loss or theft of controlled substances to EHS for investigation to determine if further action is required
7. Having all users working with controlled substances complete a Personnel Screening form and third party background check.
AUTHORIZED PERSONNEL WHO WORK WITH CONTROLLED SUBSTANCES ARE RESPONSIBLE FOR:

1. Completing a Personnel Screening form and passing a third party background check.
2. Familiarizing themselves with the hazards and effects of the controlled substances they use through attendance at training sessions conducted by the NYU EHS Department.
3. Receiving, storing, and dispensing controlled substances within the facility in accordance with the Policy.
4. Maintaining controlled substance records, including but not limited to receipt logs, use logs and biennial inventories, as per this policy.
5. Notifying their supervisors of exposures, spills, inventory discrepancies, suspected diversion or any other pertinent problems.

THE DIRECTOR OF ENVIRONMENTAL HEALTH AND SAFETY (EHS) OR DESIGNEE IS RESPONSIBLE FOR:

1. Developing the NYU Controlled Substances Use and Disposal Policy for review and approval of the Senior Vice Provost for Research.
2. Providing guidance to individuals and campus units on licensing and registration, procurement, use, record keeping, storage, security and disposal of controlled substances.
3. Providing the units with information about the Policy.
4. Assisting the units in implementing the Policy.
5. Periodically evaluating the effectiveness of the Policy; and recommending revisions, if appropriate, to the Senior Vice Provost of Research.
6. Providing training as per this policy.
7. Maintain records of all licensed/registered users at NYU.
8. Ensuring compliance, as described in the Compliance Safeguards section of this policy.

PURCHASING SERVICES AND CONTRACT ADMINISTRATION IS RESPONSIBLE FOR:

Authorization of the purchase of controlled substances by ensuring the presence of the signature of the Unit Registrant.
LICENSING AND REGISTRATION

In order to use controlled substances for research purposes, a researcher must work under the state license and federal registration of the Unit Registrant.

NEW YORK STATE DEPARTMENT OF HEALTH (NYS DOH) BUREAU OF NARCOTIC ENFORCEMENT

The NYSDOH Bureau of Narcotic Enforcement issues two classes of research licenses (Class 4 or Class 7). An application for license can be obtained at http://www.health.state.ny.us/. A NYSDOH license must be obtained before applying for a DEA registration. The activities and controlled substances used are limited to those described in the protocol(s) approved in the Unit Registrant’s Individual Researcher NYSDOH license and DEA registration. A copy of the license application

A. CLASS 4 RESEARCHER LICENSE:
   Each Unit Registrant is responsible for the use of controlled substances in Schedule II-V (defined below), and must obtain a Class 4 research license.

B. CLASS 7 RESEARCHER AND INSTRUCTIONAL LICENSE:
   Each Unit Registrant is responsible for the use of controlled substances in Schedule I (defined below) must obtain a Class 7 research license and file with the Bureau three copies of a research protocol (standard operating procedure) describing the research project.

DRUG ENFORCEMENT ADMINISTRATION (DEA)-FEDERAL

A researcher registration is required by the DEA to conduct research with controlled substances in drug Schedules II through V. In addition, a special registration from the DEA is required to conduct research using Schedule I substances. This must be done after receiving a license from the NYSDOH BNE. An application for registration, as well as other pertinent information is available at http://www.deadiversion.usdoj.gov.

EHS can provide assistance with the licensure process.

SCHEDULES OF CONTROLLED SUBSTANCES

For a complete list, please reference Appendix A.

1. SCHEDULE I SUBSTANCES:
   The drugs in this schedule are those that have no accepted medical use in the United States and have a high abuse potential. Examples are heroin, marijuana and LSD.

2. SCHEDULE II SUBSTANCES:
   The drugs in this schedule have a high abuse potential with severe psychic or physical dependence liability. This Schedule consists of certain narcotic, stimulant and depressant drugs. Examples are morphine, codeine, methadone, amphetamine (Dexedrine), methylphenidate (Ritalin) and secobarbital.

3. SCHEDULE III SUBSTANCES:
   The drugs in this schedule have an abuse potential less than those in Schedules I and II and
include compounds containing limited quantities of certain narcotic drugs and non-narcotic
drugs. Examples are glutethimide (Doriden) and paregoric. Any suppository dosage form
containing amobarbital, secobarbital, or pentobarbital is in this schedule.

4. **SCHEDULE IV SUBSTANCES**:
The drugs in this schedule have an abuse potential less than those listed in Schedule III. Examples
are phenobarbital, chloral hydrate, diazepam (Valium), dextropropoxyphene (Darvon) and
pentazocine (Talwin).

5. **SCHEDULE V SUBSTANCES**:
The drugs in this schedule have an abuse potential less than in Schedule IV and consist of
preparations containing limited quantities of certain narcotic drugs generally for antitussive and
antidiarrheal purposes.

**BEFORE APPLYING FOR A RESEARCHER LICENSE**

1. Contact EHS. EHS will provide guidance and information on NYSDOH requirements for holding a researcher license.

2. Prepare the application and submit it to EHS. EHS will review the application for completeness and accuracy.

3. Upon EHS approval, the unit registrant should submit the application to NYSDOH and provide a copy of the final submission to EHS.

4. After receiving the NYSDOH license, the unit registrant should provide EHS with a copy of the NYSDOH license. The unit registrant should complete an application for a DEA registration.

5. Submit the application to EHS for approval. EHS will review the application for completeness and accuracy.

6. Upon EHS approval, the unit registrant should submit the application to the DEA and provide a copy of the final submission to EHS.

7. After receiving the DEA registration has been issued, the unit registrant should provide EHS with a copy.

It is up to the unit registrant to keep their license and registration current. NYSDOH licenses must be renewed every two years and the DEA registrations every year. Prior to the license expiration date, licensees are provided with the materials necessary for renewal by the state. The process is done by completing the appropriate sections of form DOH-4330. Unit registrants renewing their researcher registration for the DEA complete form 225a. DEA registration renewal can only be done online. See [https://www.deadiversion.usdoj.gov/online_forms_apps.html](https://www.deadiversion.usdoj.gov/online_forms_apps.html). All copies of renewals must be sent to EHS.

**BACKGROUND CHECKS**

Due to the security required to conduct a controlled substance program, it is mandatory that everyone who is working with controlled substances undergo a full background check before working in a laboratory under a PI with a NYSDOH BNE License and a DEA Registration. This background check will be performed by a third party organization selected by the University. The details of the background check will be kept confidential and only shared if needed.
with the PI, EHS, Public Safety, DEA, and NYSDOH BNE, to ensure the security of the controlled substances on University property. To begin working on controlled substances you must be cleared by EHS and the PI overseeing the program to be allowed access into the lab.

**RECORDS**

Researchers, licensed and/or authorized to possess and use controlled substances, shall keep a record of all such substances received and used by them. Forms can be found in Appendix B to this policy.

A. **Purchase Orders/Invoices** - A receipt record of all controlled substances received shall include date of receipt, name and address of vendor, type and quantity of drug received. A duplicate invoice or separate itemized list furnished by the vendor will be sufficient to meet this record requirement providing it contains all the information required. Invoices and executed DEA Form 222 for schedules I and II should be maintained separately from schedules III-V. (See Form 1 in Appendix B)

B. **A “Record of Use”** - for all controlled substances shall include: the name of the person authorized to control and use such drugs, the date, name, schedule, quantity of drug, and initials or signature of the user (See Form 2 in Appendix B).

A record of use of controlled substances form must be used to monitor the use of these controlled substances.

C. **Inventory** – must accurately have all controlled substances on hand at the time of inventory. A biennial inventory is necessary to complete within two years of previous inventory. (See Form 4 in Appendix B) Please include the following information for each controlled substance:

1. Name of substance;
2. Each finished form (such as 10 mg. tablet or 10 mg. concentration per fluid ounce or milliliter) and the number of units or volume of finished form in each commercial container;
3. If the container has been opened-
   - SCHEDULE I AND II: Exact count or measure of contents
   - SCHEDULE III, IV, AND V: Estimated count or measure of contents, unless there are 1000 tablets or more where an exact count in necessary
4. The number of commercial containers of such finished form received from other persons, including the date of and number of containers in each receipt, and the name, address, and registration number of the person from whom the containers were received;
5. The number of commercial containers of such finished form given to other persons, including the date of and number of containers in each reduction, and the name, address, and registration number of the person from whom the containers were distributed;
6. Records should illustrate the number of units or volume that was dispensed and to whom. Include name and address of the person to whom it was dispensed, the date, the amount, and name or initials of the individual who dispensed.

D. **Disposal** - The number of units or volume of the finished form and/or commercial containers disposed of in any other manner by the researcher, including the date and manner of disposal. A record must be kept of
any drug disposed of or returned to the vendor, by loss or waste or by destruction by the reverse distributor.

The NYSDOH BNE requires records to be kept for 5 years. The Drug Enforcement Administration (DEA) requires records to be kept for at least two years, for inspection and copying by officers or employees of the United States authorized by the Attorney General. All records must be maintained separately from other records of registrant, or in the case of nonnarcotic controlled substances be readily retrievable from the ordinary business records of the registrant.

SAFEGUARDING CONTROLLED SUBSTANCES
Controlled substances (including expired controlled substances) must be properly safeguarded and securely stored.

Access should be limited to a minimum number of personnel. Controlling access is the responsibility of the Unit Registrant and Authorized Personnel.

At a minimum, a solid metal cabinet or safe compliant with the NYSDOH code with separate outer and inner, key-locked doors is required for drugs in Schedules III, IV and V. A GSA class 5 rated safe is required for Schedules I and II drugs. This safe must be bolted to the floor or wall. If you need assistance in determining the requirements for storage, contact NYU EHS Department.

A controlled drug access log must be utilized. It will list the identities of the Authorized Personnel who can access the keys to and open the locked drug storage cabinet. This log must be kept in the locked cabinet/safe and maintained by the Unit Registrant (See Form 2 in Appendix B).

A documented, physical inventory of controlled substances (See Form 4 in Appendix B) must be taken biennially. Expiration dates of all drugs should be checked on a regular basis. In general, any controlled substance that has not been used within a six month period of time and/or has passed its expiration date should be returned to the vendor, if sealed, or disposed of as per the Disposal Section of this policy. Contact NYU EHS for details.

ORDERING OF CONTROLLED SUBSTANCES
All orders for controlled substances must be on approved NYU requisition order forms (regardless of the dollar value of the purchase), be approved by the Unit Registrant and follow University procedure for ordering supplies.

A DEA triplicate order form (Form 222) must be used for ordering Schedule I and II Controlled Substances, along with the NYU requisition order form and signature of the Unit Registrant.

Orders for Schedules III through V controlled drugs do not require Form 222, but the signature as well as his/her typed DEA research number must be on the NYU purchase requisition form.

Quantities of controlled substances ordered should not exceed a six month supply, unless the smallest container to be provided by the manufacturer contains a larger quantity of the controlled substance than would be used within a six month period.

A copy of all purchase orders must be signed by the Unit Registrant and forwarded to NYU EHS Department.

DISPOSAL
The disposal of controlled substance is managed by NYU EHS.
DIPOSOAL PROCEDURES (MEYER)

1. All Unit Registrants or authorized personnel must complete a surrender log and submit it to EHS and the Office of Veterinary Resources (OVR) when expired or unwanted controlled substances have accumulated. The surrender log must be completed to establish a chain of custody.

2. All unwanted or expired controlled substances must be segregated, marked “do not use,” and securely stored in a safe or narcotics cabinet until ready for pick-up.

3. An OVR representative will notify the requester when they are available to procure the items listed on the surrender log.

4. On the day of pick-up (by OVR), the requester and OVR staff member will verify the controlled substances listed on the paperwork and the contents on the container(s) submitted by the requester. Once the items listed on the surrender log have been confirmed, the OVR representative and requester will co-sign the surrender log. The inventory is then brought to a secured safe for holding until EHS and the transporter, Triumvirate Environmental (TEI), are ready to pick-up the controlled substance inventory.

5. On the scheduled shipping day, EHS will visit the OVR to verify the controlled substance inventory disposal log and contents on the container(s) retrieved by OVR staff. Once the controlled substance inventory has been confirmed, the OVR representative surrendering the drugs and EHS will co-signs the controlled substance inventory disposal log.

6. EHS and TEI, the transporter for the reverse distributor, Heritage Thermal Services, will again verify that all paperwork (transfer logs, containers, DEA form 222, and shipping manifests) are accurate and complete. EHS and the TEI transporter co-sign all documents for shipment to Heritage Thermal Services.

DIPOSOAL PROCEDURES (ALL OTHER BUILDINGS):

1. All Unit Registrants or authorized personnel must complete a surrender log and submit it to EHS when expired or unwanted controlled substances have accumulated. The surrender log must be completed to establish a chain of custody.

2. All unwanted or expired controlled substances must be segregated, marked “do not use,” and securely stored in a safe or narcotics cabinet until ready for pick-up.

3. On the day when the controlled substance are ready to be shipped by the transporter, Triumvirate Environmental (TEI), EHS will be by the lab to verify the paperwork and contents on the container(s) submitted by the requester. Both the requester surrendering the drugs and EHS co-sign the surrender log.

4. EHS and TEI, the transporter for the reverse distributor, Heritage Thermal Services, will again verify that all paperwork (transfer logs, containers, DEA form 222, and shipping manifests) are accurate and complete. EHS and the TEI transporter co-sign all documents for shipment to Heritage Thermal Services.
**SPILLS**
Breakage, spills, or other witnessed controlled substance losses do not need to be reported as lost. This type of loss must be documented by the researcher and witness on the inventory record. Controlled substances that can be recovered after a spill, but cannot be used because of contamination (tablets), must be placed in the disposal/destruction waste stream. If the spilled controlled substance is not recoverable (liquids); the researcher must document the circumstances in his or her inventory records and the witness must sign.

**LOSS OR THEFT**
Any loss or theft of controlled substances must be reported to NYU Public Safety and EHS for investigation to determine if further action is required, if it is determined that a theft or diversion has occurred, EHS will assist the PI in filling out DEA form 106 for report of the theft or loss of a controlled substance. Furthermore the Unit Registrant must report the incident to NYS DOH.

**ABANDONED CONTROLLED SUBSTANCES**
Under no circumstances are controlled substances to be abandoned by a registrant. However, occasionally, faculty will leave without appropriately disposing all controlled substances from their lab or other location. Controlled substances left by faculty are still legally their responsibility. The Unit Registrant’s department should make every effort to contact the Licensee. If that is unsuccessful, EHS will provide guidance to the department as to their options. To alleviate instances of abandonment it is the responsibility of the Unit Registrant to notify EHS prior to their departure from NYU.

**COMPLIANCE SAFEGUARDS**
NYU EHS Department will conduct periodic audits to ensure compliance with this policy. Such audits will include physical inventories and comparisons of these results with inventory records, examination or required licenses, etc.
## APPENDICES

Appendix A  
DEA List of Controlled Substances

Appendix B

<table>
<thead>
<tr>
<th>Form</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>NYU Controlled Substances Receipt Log</td>
</tr>
<tr>
<td>2</td>
<td>NYU Record of Controlled Substances Use Log</td>
</tr>
<tr>
<td>3</td>
<td>NYU Record of Controlled Substances Personnel Screening Questionnaire</td>
</tr>
<tr>
<td>4</td>
<td>NYU Controlled Substances Biennial Inventory</td>
</tr>
<tr>
<td>5</td>
<td>NYU Controlled Substances Surrender Log</td>
</tr>
</tbody>
</table>
APPENDIX A

Schedules for Many Controlled Substances Used for Research at NYU

Below is a list of controlled substances along with the corresponding DEA schedules for many of the controlled substances used in research at New York University. Contact EHS to suggest other controlled substances for addition or report any errors. This information cannot be guaranteed to be current and complete. It is the responsibility of each Licensee to fully understand and comply with the most current NYSDOH and DEA mandates.

<table>
<thead>
<tr>
<th>Materials</th>
<th>Alternative Name(s)</th>
<th>DEA Schedule</th>
<th>Narcotic?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buprenorphine</td>
<td>Buprenex, Temgesic, Subutex, Suboxone</td>
<td>III</td>
<td>Yes</td>
</tr>
<tr>
<td>Chloral Hydrate</td>
<td>Noctec</td>
<td>IV</td>
<td>No</td>
</tr>
<tr>
<td>Cocaine</td>
<td>Methylbenzoylecgonine, Crack</td>
<td>II</td>
<td>Yes</td>
</tr>
<tr>
<td>Diazepam</td>
<td>Valium, Diastat</td>
<td>IV</td>
<td>No</td>
</tr>
<tr>
<td>Ketamine</td>
<td>Ketaset, Ketalar, Special K, K</td>
<td>III</td>
<td>No</td>
</tr>
<tr>
<td>Morphine</td>
<td>MS Contin, Roxanol, Oramorph, RMS, MSIR</td>
<td>II</td>
<td>Yes</td>
</tr>
<tr>
<td>Pentobarbital</td>
<td>Nebutil, Fatal Plus</td>
<td>II</td>
<td>No</td>
</tr>
</tbody>
</table>

For a complete list of DEA Controlled Substances and schedule refer to the USDOJ Orange Book.
Form 1
Controlled Substance Receipt Log (Schedule I-II)

<table>
<thead>
<tr>
<th>Receipt Date</th>
<th>Received By</th>
<th>Controlled Substance Name &amp; Strength</th>
<th>Lot Number</th>
<th>NDC Number</th>
<th>Name/address of vendor or distributor</th>
<th>Vendor's DEA#</th>
<th>Invoice or document reference #</th>
<th>Package Quantity (e.g. 6x10mL)</th>
</tr>
</thead>
<tbody>
<tr>
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VENDOR invoices and DEA Form 222 (schedule I & II only) should be kept along with this record.
Do not use abbreviations except for standard metric units
Maintain records for at least 5 years from date of last recorded purchase or other transaction.
# Container Specific Controlled Substance Use Log

One log sheet should be completed for each container of Controlled Substance. Controlled Substance usage must be tracked on a per dose (use) basis. Record total quantity of the substance to the nearest metric unit weight or the total number of units finished form.

**PI Name:**

**Name of Controlled Substance:**  
**Schedule Number:**  
**Lot #**  
**Amount received:**

**Initial Balance:**  
**Expiration Date:**  
**Strength:**  
**Form:** Solid, Liquid, Tablet

**Date Received:**

**Unique Container Number:**

If this material is converted or diluted, enter the unique container number for the original container:

<table>
<thead>
<tr>
<th>Date of Use</th>
<th>Reason for Use (Animal Protocol/Species)</th>
<th>Purpose of Use (e.g., anesthesia, euthanasia,)</th>
<th>Amount Removed (ml, mg, etc.)</th>
<th>Amount Remaining (ml, mg, etc.)</th>
<th>Amount Wasted</th>
<th>User (Print Name)</th>
<th>User Signature</th>
<th>Witness to Waste</th>
<th>Comments</th>
</tr>
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</tbody>
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*Material drawn up for dosing that was not used or could not be fully extracted: e.g., syringe hub loss or amount remaining due to expiring.

- Any log discrepancies, suspected misuse or theft of controlled substance must be reported to EH&S Controlled Substances Program Manager immediately.
- When this controlled substance is no longer needed, complete the surrender log and submit to  
  ehs@nyu.edu.
- When this controlled substance is completely used up, deface label and throw away in regular trash or glass disposal.
- Any breakage of containers must be initialed by the Individual responsible for breakage and co-signed by the PI in the comments section.

---

Controlled Substance Use Log
Form 3
New York University
Controlled Substance Personnel Screening Questionnaire

Questionnaire for New York University Personnel Who Will Have Access to Substances Regulated by the U.S. Drug Enforcement Agency or New York State Department of Health. Once completed submit a copy to ehs@nyu.edu

Name:

Circle one: Faculty    Staff    Student    Other:

Lab/Office location:

Phone:

Email address:        NetID:

1. 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 an additional page.

☐ Yes      ☐ No

2. 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 an additional page.

☐ Yes      ☐ No

Applicant Signature:      Date:

Licensee authorization for the person (identified above) to handle controlled substances:

Licensee User Name:

Licensee User Signature:      Date:

NYSDOH License Number:

DEA Registration Number:

Personnel Questionnaire
Form 4

NYU Biennial Controlled Substance Inventory

Date:________________________________________ DEA Registrants Name:________________________
DEA Registration Number:________________________ DEA Registrants Address:________________________
Inventory Performed by:________________________ Signature:______________________________________
Inventory Witnessed by:________________________ Signature:______________________________________

Inventory must be taken every two years, starting from the day of initial receipt; maintain for five years.
Do not use abbreviations except for standard metric units.

<table>
<thead>
<tr>
<th>Line No.</th>
<th>Controlled Substance Name</th>
<th>Schedule</th>
<th>Manufacturer/Vendor Name</th>
<th>Unopened Container(^1) Qty.(^2)</th>
<th>Container Size(^3)</th>
<th>Opened Container(^4) Qty.</th>
<th>Container Size</th>
<th>Remaining Amount</th>
<th>Finished Form(^5)</th>
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</table>

\(^1\) Unopened containers of same substance, manufacturer, volume, and concentration can be listed together. \(^2\) Quantity (volume, number of tablets on hand). \(^3\) Package/Container Size (number of tablets or volume in full container, net weight of full container of solid). \(^4\) List open containers as separate line items. \(^5\) Measure in weight (powder or crystals) or volume (liquids) or number of units (tablets or capsules). \(^6\) For opened containers: If the substance is listed in Schedule I or II, make an exact count or measure of the contents. \(^7\) Finished form refers to the strength and form of the item as commercially prepared.
# Form 5

## Controlled Substance Surrender Log

<table>
<thead>
<tr>
<th>Pi</th>
<th>Room</th>
<th>Point of Contact</th>
<th>CS Name</th>
<th>NDC#</th>
<th>Lot Number</th>
<th>Schedule</th>
<th>Strength</th>
<th>Package Quantity</th>
<th>Number of Full Containers</th>
<th>Partial Package Amount</th>
<th>Total Volume to be destroyed</th>
<th>Reason for Disposal</th>
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</table>

Please enter each container as one line item, unless they are from the same package.

Example: A case of ketamine has 8 bottles. Of that 1 is opened and the other 7 unopened/unused. All bottles have expired and need to be disposed of. **Package Quantity:** number of packages from the same lot number. The package quantity would be 8. **Number of Full Containers:** How many full containers do you have from the same package quantity/lot? The number of full containers would be 7. **Partial package/container count:** How many packages from the same package quantity/lot are opened/used? The number of partial packages would be 1.

*Once the log is completed send a request for pick-up by emailing ehs@nyu.edu and ovr.general@nyu.edu.*

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**Date Surrendered:**

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**CS Surrendered by:**

Print & Sign Name

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**Pick-up by (OVR Staff):**

Print & Sign Name

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Page 1 of 1