

Pre - Inspection Checklist for NYSDOH Controlled Substance License Applicants

Upon receipt by NY State Department of Health (NYSDOH) of your controlled substances license application, an inspection will be scheduled with a representative from the Bureau of Narcotics Enforcement. Please use the checklist below to ensure that all facilities, necessary paperwork, and other relevant items are ready for inspection. Please return a signed, completed copy of this checklist to EH&S, and please contact EH&S with any questions or concerns.

Please note –

- License applicants – typically the PI of the lab – must be personally present at time of inspection
- Controlled substances storage unit (e.g., locker, cabinet, safe) must be installed prior to inspection
- A printed copy of the [Policy for the Acquisition, Use and Disposal of Controlled Substances in Research](https://research.columbia.edu/content/use-and-management-controlled-substances) should be available for your reference during the inspection

YES <input type="checkbox"/>	NO <input type="checkbox"/>	Applicant and all authorized individuals have reviewed the <i>Policy for the Acquisition, Use and Disposal of Controlled Substances in Research</i> (https://research.columbia.edu/content/use-and-management-controlled-substances)
YES <input type="checkbox"/>	NO <input type="checkbox"/>	Applicant and all authorized individuals have completed CU controlled substance training – please furnish a copy of Rascal Training Transcripts*
YES <input type="checkbox"/>	NO <input type="checkbox"/>	<u>No controlled substances are currently present in lab</u>
YES <input type="checkbox"/>	NO <input type="checkbox"/>	SDSs and other technical specifications for controlled substances you are ordering are printed and available for inspection
YES <input type="checkbox"/>	NO <input type="checkbox"/>	Specification sheets for controlled substances storage cabinet are printed and available for inspection
YES <input type="checkbox"/>	NO <input type="checkbox"/>	Controlled substances recordkeeping binder including <u>printed</u> , <u>blank</u> copies of all tracking forms/templates is ready for inspection. For blank templates refer to the <i>Appendices, Resources and Reference Documents</i> section of the Use and Management of Controlled Substances webpage and scroll to “Recordkeeping Resources” (https://research.columbia.edu/content/acquisition-use-and-disposal-controlled-substances-research)
YES <input type="checkbox"/>	NO <input type="checkbox"/>	A copy of your New York State Education Department <i>Registration Certificate</i> , if licensed to practice as an MD, DO, RPA, DDS, DMD, RPh, DVM, etc.
YES <input type="checkbox"/>	NO <input type="checkbox"/>	A copy of your US DEA registration, if currently licensed with the DEA to practice as an MD, DO, RPA, DDS, DMD, RPh, DVM, etc.
YES <input type="checkbox"/>	NO <input type="checkbox"/>	Copies of the <i>Distributor Certificates</i> and DEA registrations numbers for any vendors from which you will be purchasing controlled substances
YES <input type="checkbox"/>	NO <input type="checkbox"/>	A copy of the <i>controlled substances protocol</i> is provided for the state license application (https://research.columbia.edu/content/acquisition-use-and-disposal-controlled-substances-research)

* Training available online through RASCAL (www.rascal.columbia.edu) Course Code: TC0502