

Policy on the Use of Controlled Substances in Research

1. Introduction

Due to potential for abuse of some drugs, scientists using items identified by the US Department of Justice, Drug Enforcement Administration (DEA) or the Department of Veterans Affairs Health Administration (VHA) as controlled substances must adhere to extensive licensing, registration, storage, security, use, and disposal regulations.

2. "Controlled Substance" Defined

Materials containing any quantity of a substance with a stimulant, depressant, or hallucinogenic effect on the higher functions of the central nervous system, and having the tendency to promote abuse or physiological or psychological dependence, as designated in federal controlled substance schedules and policies.

3. Applicability

Principal Investigators (PIs) using controlled substances in their laboratory research (including research animals) are subject to federal regulatory requirements, as outlined in this Policy. Please note that these requirements (including licensing/registration with regulatory agencies) are separate from and in addition to any that apply to medical practitioners (i.e., MDs and MD/PhDs conducting laboratory research must also obtain licensure/registration for laboratory use of controlled substances).

4. Schedules

Controlled substances are divided into five categories, known as Schedules. Schedule I drugs are the most highly regulated. They have a high potential for abuse, have no accepted medical use in the US and/or have a lack of accepted safety for human use. These include many widely known street drugs, including heroin and hallucinogenic drugs such as LSD and marijuana.

Schedule II drugs also have a high potential for abuse but have an accepted medical use in the US and have an accepted safety profile. Examples of Schedule II drugs include morphine, methadone, cocaine and oxycodone.

Schedule III compounds include many stimulants and depressants, pain-killers and cough suppressants, the veterinary anesthetic ketamine, and anabolic steroids.

Schedule IV substances cover the balance of lower abuse-potential stimulants and depressants, while Schedule V includes therapeutic drug mixtures containing very limited quantities of controlled substances.

Attachment A contains examples of controlled substances in schedules I through V that are used in research at this medical center.

Researchers planning work with controlled substances must be aware of and comply with federal statutes and regulations for these materials.

5. Responsibilities

a. Medical Center Director

The Medical Center Director is charged with authorizing Principal Investigators to conduct research with controlled substances. Every Principal Investigator seeking to use a controlled substance in a research study must be authorized by the

Medical Center Director. The Administrative Officer for Research & Development (R&D) Service will assist in acquiring authorization (see below).

b. Associate Chief of Staff for Research and Development (ACOS/R&D) or Deputy ACOS/R&D or the Administrative Officer (AO) for R&D (

The ACOS/R&D is responsible for:

- 1) Establishing policies and procedures for the use of controlled substances in research;
- 2) Authorizing DEA licenses for Principal Investigators by signing DEA form 225 to obtain a DEA license for research purposes (Attachment B). The form can be obtained on line at http://www.deadiversion.usdoj.gov/drugreg/reg_apps/pdf_apps.htm;
- 3) Serving as the primary contact for the Controlled Substance Program Coordinator for the monitoring and reporting of the Controlled Substance Program within R&D;
- 4) Preparing the authorization for the Medical Center Director's concurrence;
- 5) Reporting any loss, theft, unauthorized use or other violation of federal law pertaining to controlled substances within Research to the Director.

c. Principal Investigator

- 1) Since R&D Service cannot, by law, maintain "blanket" registration for controlled substances, it is the responsibility of individual Principal Investigators (PI) to obtain appropriate licenses and registration, and to adhere to federal regulatory requirements when working with controlled substances. Every PI must be authorized by the Medical Center Director to conduct research with controlled substances. When a PI indicates that controlled substances will be used on a research project that is being reviewed by the Subcommittee on Research Safety (Attachment C), a memo of authorization must be prepared by the Administrative Officer for R&D Service and sent to the Director for concurrence.
- 2) **Federal Registration:** Principal Investigators are responsible for preparing a research laboratory registration Form DEA-225 (*Attachment B*), obtaining the signature of the ACOS for R&D Service and submitting to the DEA. Once registration certificate DEA 223 (*Attachment D*) is received, a copy of the certificate is to be sent to, the Administrative Officer for R&D Service who will provide a copy to the Research Pharmacist. Schedule I substances require a separate registration. If you work with both Schedule I substances and Schedule II through V substances you will need to send in two applications of Form DEA 225 to receive two registration certificates, Form DEA 223.

A protocol outline must accompany the Form DEA 225 application form. See http://www.deadiversion.usdoj.gov/drugreg/reg_apps/225/225_instruct.htm#refer for a description of protocol requirements. DEA registrations for researchers remain active for a 1-year period, at which time a renewal notice will be mailed to you.

Renewals: Renewal notices will be mailed to you by the DEA and will be processed in the same way as the initial registration. If registration lapses, controlled substances may not be used until the Form DEA 223 is received.

- 3) **Authorized Users:** Principal Investigators may authorize members of their laboratory staff to work with controlled substances under their license/registration, provided staff have been listed on the Grant Approval Request form (Attachment C) and have passed the required background checks that are initiated by the Research administrative office and sent to Human Resource Management Service. Principal Investigators are responsible for submitting a list of authorized users in each lab to the Administrative Officer of R&D Service for verification of the background check. A copy will be sent to the Research Pharmacist. Principal Investigators are responsible for notifying Research Pharmacy of any changes to the status of authorized users for laboratory.

Principal Investigators, Research Assistants, Lab Technicians and any other person previously convicted of a felony offense relating to controlled substances or who, at any time, had an application for registration with the DEA denied, revoked, or surrendered may not be authorized for work with these materials. New employees will be screened and checked for offenses prior to being authorized access to controlled substances. Authorized staff must follow all of the rules and regulations outlined here, and are also obliged by law to immediately report any loss or diversion of controlled substances to their PI and ACOS Research.

Registrants seeking to modify, transfer, or terminate their research laboratory use license and/or registration must submit a written request to the Administrative Officer, R&D Service for processing with the regulatory agencies.

d. Controlled Substance Program Coordinator

The Medical Center Controlled Substance Program Coordinator will review monthly inspections of the controlled substances. Entries from the QM Service on VA Form 10-2638 (Attachment E) will confirm compliance with the program and regulatory requirements. The ACOS Research or his/her representative will be immediately notified if discrepancies are found in controlled substance inventory. After one working day, unresolved discrepancies will be reported per medical center policy.

e. Research Pharmacist

The Research Pharmacist serves as a consultant to the ACOS/R&D for establishing policies and procedures for controlled substance usage that conforms to federal regulations and policy to ensure the licensure, purchasing, storage, security, use, recordkeeping and disposal of controlled substances meet federal and VHA requirements. The Research Pharmacist will order, receive, distribute and arrange for destruction of all Schedule I–V controlled substances used in Research. The Research Pharmacist will maintain records indefinitely per VA Research Records Storage Policy. An inventory of the pharmacy stock will be completed at least every 72 hours within Pharmacy Service. The ACOS/R&D or his/her representative will be immediately notified if discrepancies are found in the controlled substance inventory of the pharmacy stock. After one working day, unresolved discrepancies will be reported per medical center policy.

6. Purchasing/Ordering Controlled Substances

- a. All Controlled substances used in the Portland VA Medical Center must be coordinated by the Pharmacy Service.

- b. The Research Pharmacy will be responsible for ordering and purchasing all Schedule I through V controlled substances to be used in research and will follow standard Pharmacy purchasing procedures.
- c. The investigator or authorized designee will email a request for ordering to the Research Pharmacy. Using the Order Form on the following website which will be transmitted directly to the Research Pharmacist: [web site: http://www.va.gov/portlandrd](http://www.va.gov/portlandrd). (Attachment F). The request will include: date, laboratory, building and room, title of the grant to be charged and administrator of the grant, i.e. VA, PVARF or OHSU, manufacturer, drug, dosage form, strength and quantity requested, and the person requesting the order and a contact telephone number. The VMU may order drugs for the clinical care of animals by noting "Clinical Care" rather than the title of the grant.
- d. The Research Pharmacy will order the drug by the close of business on the next business day after receipt of order request.
- e. Controlled substances in Schedules I through V will be delivered to the Research Pharmacy. The Research Pharmacy will notify the investigator when the controlled substances arrive and arrange for the investigator or authorized user to pick up the item. The Research Pharmacy will send a copy of the invoice for each item dispensed to the Budget Analyst in R&D Service who will arrange for payment.

7. Scope of Use

Controlled substances may only be used for duly authorized, legitimate medical or scientific research purposes, to the extent permitted by a registrant's license and registration, and in conformity with federal statutes and regulations.

8. Storage and Security Controls

Controlled substances possessed, kept, or otherwise stored in a manner or location not in compliance with state or federal law are subject to seizure and forfeiture. Failure to comply with applicable requirements may also result in a suspension of purchasing privileges and a ban on the use of controlled substances in future experiments conducted at the Portland VA.

In order to guard against theft or diversion, all controlled substances - regardless of schedule - must be kept under double lock, and accessible only to authorized personnel. The number of authorized staff must be kept to the minimum essential for efficient operation, and the stocks of controlled substances to the smallest quantity needed.

All controlled substances must be stored in a refrigerator or locked cabinet that has been approved by the Research Pharmacist. Regardless of schedule, all controlled substances must be kept locked in their storage location except for the actual time required for authorized staff to remove, legitimately work with, and replace them.

9. Recordkeeping

PIs must maintain complete and accurate inventory records for all controlled substances on VA form 10- 2638 For Research (Attachment E). These records must be kept separate from all other records and documents, in or near the primary work area, and available for inspection during regular work hours. The use of codes, symbols, or foreign languages in identifying a controlled substance or person in the record is prohibited. In the event that any controlled substances are lost, destroyed, or stolen, the kind and quantity of the material and the date of discovery of such loss must be recorded in detail. **A loss of VA form 10-2638 is considered a loss of a controlled substance.** After use is completed, VA

form 10-2638 must be returned to Research Pharmacy for review. All records will be maintained by Research Pharmacy for a period of at least five years from the date of return of the form.

- a. Receipt of Controlled Substance:** Only those staff listed on the Grant Approval Request form may receive controlled substances from the Research pharmacy. The name of the PI, pharmacy dispensing number, location of the safe, substance & amount, lot number and weight of the vial released by pharmacy (i.e., the weight of the container plus contents) will be noted by the Research Pharmacy on VA Form 10-2638. Upon the receipt of controlled substances the investigator or other Authorized User will sign and date the bottom of VA Form 10-2638 and VA Form 10-2321 (the Narcotic Dispensing/Receiving Form) which is Attachment G.
- b. Use of Controlled Substances:** All use of controlled substances will be noted on VA Form 10-2638 For Research as a perpetual inventory of each dispensed item. Each time an aliquot of a controlled substance is removed for an experiment, the PI or a designee must record the date and time and describe the use and the weight of a powder or volume of a liquid removed. Most importantly, the PI should then weigh the vial and enter the weight of the vial plus contents in the last column of form 10-2638. During the monthly controlled substance inspections, the surveyors will weigh each vial and compare it to the weight recorded on 10-2638.
- c. Inventory of Controlled Substances:** A complete and accurate inventory of the stock of controlled substances within each registrant's laboratory must be maintained in the controlled substance notebook. The Medical Center Controlled Substance Program Coordinator, will perform monthly unannounced inspections of the controlled substances. If the investigator or designee is unavailable for the inspection, the Medical Center Controlled Substance Program Coordinator will contact the Administrative Officer of R&D Service to arrange for the inspection. Entries on Form 10-2638 will confirm compliance with the program and regulatory requirements. The ACOS/R&D or his/her designee will be notified immediately if discrepancies are found in the controlled substance inventory. After one working day, unresolved discrepancies will be reported per medical center policy.
- d.** The following information will be recorded on the 10-2638
 - a. Date and time drug is administered
 - b. Under "Use" indicate protocol number, cage #, and number of animals, if appropriate
 - c. Initials of individual removing the drug
 - d. Quantity of drug removed, indicating unit of measurement
 - e. Weight of container after drug has been removed
 - f. If any drug is wasted under "Use" write "Waste" and the amount wasted. A second witness is required to document wasted drug.

10. Disposal

All expired material, unused product, empty vials for all Schedules I through V must be returned to the Research Pharmacy along with a signed VA Form 10-2638 (Attachment F).

The Principal Investigator or authorized designee will contact the Research Pharmacy when drug is expired, if there is product that must be wasted or when the drug is no longer needed. The controlled substances submitted for disposal must contain the following information to be received for processing and disposal: all units must be appropriately labeled with contents, strength, quantity, name of PI, laboratory name and location. The Research Pharmacy will prepare a return receipt for signature by the authorized person (Lab Technician, Research Assistant) submitting the material. A copy of this form will be given to the person returning the material. This form should be kept until after the next Medical Center Controlled Substance Inspection for documentation of return.

The Research Pharmacy will keep the original form indefinitely. The Research Pharmacy will use a certified contractor to dispose of Schedule I through V controlled substances. Drugs provided through the Pharmacy will use the Pharmacy DEA number to return the drug. Schedule I drugs will use the Investigator's DEA number. A copy of the disposal/return form will be provided to the investigator for their records.

11. Reporting of Loss, Destruction, Theft, or Unauthorized Use

Thefts, suspected thefts, unauthorized uses, or other losses of any controlled substance must be reported to the ACOS/R&D immediately upon discovery. Principal Investigators must also document the incident in writing for submission to the DEA within 72 hours. The written statement must describe the kinds and quantities of controlled substances and the specific circumstances involved. Where the controlled substances are stolen, lost, or destroyed in transit, the consignee will also be required to prepare a similar report and include documentary evidence that local authorities were notified. The registrant should retain a copy of the statement.

12. Accepting Controlled Substances from Collaborators

Investigators wishing to accept controlled substances from collaborators must coordinate the transfer with the Research Pharmacist at the PVAMC. Advance notice of the transfer must be given. The controlled substances may not be delivered to the PI's laboratory. It must be delivered to the Research Pharmacist who will generate a VA form 10-2638 and call the PI's laboratory for pick up. All other aspects of the policy described here will apply.

13. Resources

R&D Service Controlled Substance Coordinator	Sharon Jacky Administrative Officer, R&D Ext. 55125 Archie Bower, PhD Deputy ACOS, R&D Ext 55125
Controlled Substance Coordinator	Stephen Brees Quality & Performance Ext. 57739
Research Pharmacy	Eileen Wilbur, RPh. Research Pharmacy Supervisor Ext. 55543
Police Service	Officer on Duty

14. References

Manual M-2, Part VII, Chapter 5, Controlled Substances in Research Areas
Manual M-2, Part VII, Chapter 10 Inspection of Controlled Substances
Controlled Substance Handbook 1108.2
Controlled Substance Handbook 1108.1
Code of Federal Regulations, Title 21, Part 1300-1399, Drug Enforcement Administration (DEA)
MCM 00-50 Controlled Substance Inspection
Portland VAMC Research and Development, Research Records Storage Policy

15. Approved Date: 11/7/2011

Paul Laucka, PharmD, MBA
Chief, Pharmacy Service

Attachment A Schedules of Various Controlled Substances

Drug Schedule

222-Tribromoethanol	Schedule III
α -Endorphin	Schedule II
Alprazolam	Schedule IV
Amphetamine	Schedule II
β -CFT Naphthalenesulfonate	Schedule II
Buprenorphine	Schedule III
c-5776 (cocaine solution)	Schedule II
Chloral Hydrate	Schedule IV
Clonazepam	Schedule IV
Cocaine	Schedule II
D-Amphetamine Sulfate	Schedule II
Diazepam	Schedule IV
Ethchlorvynol-USP (placidyl)	Schedule IV
Euthasol (Phenytoin/Phenobarbital)	Schedule III
Fenfluramine S	Schedule IV
Fentanyl-2ml amp; 100ug/amp	Schedule II
Fentanyl-2ml amp; 50ug/amp	Schedule II
Flunitrazepam (Rohypnol)	Schedule I
GHB -Gamma Hydroxybutyric Acid	Schedule I
Ketamine	Schedule III
Levorphanol Tartrate	Schedule II
Lorazepam	Schedule IV
Mazindol	Schedule IV
Mazindol-Sigma	Schedule IV
Methamphetamine	Schedule II
Methylenedioxy-Methylamphetamine	Schedule I
Methylphedidate	Schedule II
Methypylon	Schedule III
Midazolam HCl	Schedule IV
Morphine sulfate	Schedule II
Morphine-10ml vial; 10mg/ul	Schedule II
Mouse cocktail (ketamine)	Schedule III
Oxymorphone	Schedule II
Oxymorphone-10mg bottle, powder	Schedule II
Pentobarbital	Schedule II
Phencyclidine	Schedule II
Phenobarbital	Schedule IV
Rat cocktail (ketamine)	Schedule III
Remifentanyl-2mg amp	Schedule II
Epitestosterone	Schedule III
Testosterone	Schedule III
Dihydrotestosterone	Schedule III
Etiocholan (Dehydroepiandrosterone)	Schedule III
Thiobutabarbital	Schedule III
Thiopental Sodium	Schedule IV
Triazolam	Schedule IV

Attachment B

DEA FORM 225

On-line application can be found at

<https://www.deadiversion.usdoj.gov/webforms/jsp/regapps/common/newAppLogin.jsp>

Instructions to fill out on-line application

http://www.deadiversion.usdoj.gov/drugreg/reg_apps/225/225_instruct.htm

Attachment C
Subcommittee for Research Safety Approval Form
Subcommittee on Research Safety
Department of Veterans Affairs Medical Center
Portland, Oregon
Project Safety and Hazard Assessment

Form is located under SRS forms on Research and Development website

<http://www.portland.va.gov/portland/research/Committees/safety/index.asp#review>

Attachment D
FORM 223

CONTROLLED SUBSTANCE REGISTRATION CERTIFICATE		
UNITED STATES DEPARTMENT OF JUSTICE DRUG ENFORCEMENT ADMINISTRATION WASHINGTON D.C. 20537		
DEA REGISTRATION NUMBER	THIS REGISTRATION EXPIRES	FEE PAID
	05-31-2012	FEE EXEMPT
SCHEDULES	BUSINESS ACTIVITY	ISSUE DATE
2,2N, 3,3N,4,5,	HOSPITAL/CLINIC	04-08-2009
VA MEDICAL CTR ATTN PHARMACY 3710 SW US VET HOSP ROAD PORTLAND, OR 97201-0000		

Form DEA-223 (4/07)

This registration is only for use at Federal or State institutions.

Sections 304 and 1008 (21 USC 824 and 958) of the Controlled Substances Act of 1970, as amended, provide that the Attorney General may revoke or suspend a registration to manufacture, distribute, dispense, import or export a controlled substance.

THIS CERTIFICATE IS NOT TRANSFERABLE ON CHANGE OF OWNERSHIP, CONTROL, LOCATION, OR BUSINESS ACTIVITY, AND IT IS NOT VALID AFTER THE EXPIRATION DATE.

Attachment E

Form 10-2638 for Research

CONTROLLED SUBSTANCE USE RECORD Pharmacy Dispensing #: _____
Principal Investigator: _____ Location of Safe (bldg/room): _____
Substance and amount: _____ Quantity: _____
Lot#: _____ Expiration: _____
Final weight of vial released from pharmacy: _____ (grams) Date: _____

Date	Time	Use-indicate protocol number, cage number and # of animals, if appropriate	Removed by	Quantity removed- indicate unit of measurement	New weight of container

Received by _____ Date _____
Completeness checked by _____ Date _____
Reviewed by Pharmacist _____ Date _____

PLEASE SEE OTHER SIDE FOR DOCUMENTATION

Attachment F
Controlled Substances for Research
Order Form

https://www.va.gov/PortlandResearchServices/controlledsubstances/cs_orderform.htm

VA MEDICAL CENTER, PORTLAND, OREGON
R&D Service Safety Program: Policy & Procedure No.
Controlled Substance Policy

Effective:

Attachment G

VA Form 10-2321, Narcotic Dispensing/Receiving Form

VA FORM 10-2321 Narcotic Dispensing/Receiving Report for RESEARCH

JAN 27,2004@12:42

DISP # DATE QTY DRUG DATE

DISPENSED ORD

ORDERED BY

210069 01/27/2004 2 FENTANYL 50MCG/ML 50ML 01/27/2004 VONDEROHE,
VICKIE

Mfg/Lot#/Exp Date: ELKINS/XXX/3/2006

Disp by RPh: Rec'd by PI or designee:

(Full Name) (Full Name)

COMMENTS: For Research lab