Lab Appropriate Documents to be reviewed at the time of the Joint Lab Assessment

*These documents may be electronic or hard copies as appropriate.*

**Laboratory Safety (ALL laboratories.)**
- List of all personnel working in the lab
- Training documentation for all lab personnel (as appropriate)
  - General or Biosafety level 1-2 Training
  - Bloodborne pathogen training *(separate refresher training for personnel working in bsl 1-2 labs)*
  - Radiation Safety
  - Laser Safety
  - Any Lab specific training (Lab SOPs, LOTO, Electrical, Hearing, Respiratory, etc.)
- PPE Assessment and signed Certification
- Appendix D – Voluntary Use of Respirator signed form
- Standard Operating Procedures

**Biohazard Safety**
- List of all biohazards (blood, cells, tissues, bacteria, parasites, fungi, viruses or OPIM) stored or used in the lab.
- IBC Protocols (as appropriate)
- Lab Specific Biosafety Manual (if BSL-2)
- Hep. B vaccination date or signed declination (as appropriate)

**Radiation Safety**
- List of sealed or non-sealed sources and/or radiation producing machines that are stored or used in the lab.
- Radiation Safety Manual
- Up to date log sheets (inventory forms) for all non-sealed materials
- Contamination survey forms, including lab diagrams, for at least one per month in which non-sealed material is used
- Waste forms from waste picked up in the past year
- Package receipt forms from orders delivered in the past year

**Laser Safety (Class 3B and Class 4)**
- Laser Safety Manual
- Manufacturer’s Operating Manual for each unit
- Standard Operating Procedure for each unit (not the same as the Operating Manual). *This should include a list of the necessary eyewear for each unit, and each user must sign-off that he/she understands the contents of the manual.*
- Laser Eye exam documentation

**Teaching/Research Shops**

*Shop safety coordinator* is expected to attend training on:
Lockout/Tagout, Hearing Conservation, Hazard Communication and have First Aid/CPR
training. Provide copy of wallet card and/or training certificate.

- Any shop specific safety rules. These may be in a document or manual somewhere that they could provide before the inspection, but sometimes they are posted on a sign in the shop that we would see during inspection.
- A few shops have either forklifts or aerial lifts. Those authorized to use them will carry wallet cards that RMS issued.

**DEA Controlled Substance (CS) Records**

*All documentation for substances in Schedules I and II must be kept separately from all other paperwork/records

* Whiteout may not be used on any CS-related documents

- Current Indiana Controlled Substance Registration card
  - Go to [www.PLA.IN.gov](http://www.PLA.IN.gov) to request/print a card
- Current DEA Controlled Substance Registration
- Complete Biennial Physical Inventory
  - Taken at least every 2 years, annually is recommended
  - For newer registrants, initial inventory may show quantity of zero
- A current list of individuals with access to the CS & their Notre Dame ID number

**RMS will ask to see copies of the following** during our LISP inspection, as the registrant must maintain these documents and have them readily available for inspection (at the location where the CS are used/stored) by a state or federal agent.

- Purchasing records for all CS received
- A CS Administered/Dispensed log for each CS on hand
  - Updated at least annually and each time CS is received or removed from its original container
- Those using cocktails must maintain a record of the formula(s) used and documentation of annual scale certification by the DEA
- A notarized memo indicating who may order and/or receive CS for the registrant (if applicable)
  - Memo must include registrant’s DEA registration number and signature
- Those using Ketamine must maintain a record that the bottles are overfilled (if applicable)
- Disposal records, DEA Form 41 (if applicable)
- Theft/Loss records, DEA Form 106 (if applicable)