

COMPLIANCE INSPECTION CHECKLIST

The following checklist is used by investigators during a compliance inspection.
The relevant rule(s) are listed for your reference as well.

- ☐ License properly displayed. (all licensees) – *Board Rule 573.35*
- ☐ Complaint Notice to Clients displayed or provided in writing – *Board Rule 573.29*
- ☐ Determine if any licensee has failed to report to the Board their current phone numbers and addresses for the licensee's physical business, mailing and residence. – *Board Rule 573.76*
- ☐ DEA Controlled Substance Registration (veterinarians) – *Board Rule 573.43*
 - o Record registration number from certificate(s)
 - o Verify correct address
 - o Check authorization letter if any veterinarian is working under another veterinarian's DEA Registration
- ☐ Verify proof of continuing education obtained during the last three renewal cycles (all licensees) – *Board Rules 573.64 and 573.65*
- ☐ Determine if sanitation is satisfactory – *Board Rule 573.79*
- ☐ Check patient records to determine if they comply with the Rules (veterinarians and equine dental providers) – *Board Rule 573.52 (veterinarians) Board Rule 573.53 (equine dental providers)*
- ☐ Check alternate therapies disclosure statements for compliance with the Rules – *Board Rule 573.14 for Chiropractic and Other Forms of Musculoskeletal Manipulation, Board Rule 573.16 for Acupuncture, Board Rule 573.17 for Holistic Medicine, and Board Rule 573.18 for Homeopathy*
- ☐ Check security of controlled substances – *Board Rule 573.61*
- ☐ Check Schedule II prescription files for compliance with DPS Drug Rules
- ☐ Check DEA Form 222 Files if applicable
- ☐ Check controlled substances log and balances on hand to determine if they are in compliance with the rules – *Board Rule 573.50*
- ☐ Check controlled substances invoice files for compliance with DEA Rules
- ☐ Check labeling for medications dispensed to determine if they comply with the Rules – *Board Rule 573.40*

Should you have any questions regarding any of the items listed above, please call our office at (512) 305-7555.