

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*
 - Record registration number from certificate(s)
 - Verify correct address
 - 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 [Optional – the Licensing Dept. will be taking over CE audit during renewals]*
- 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 controlled substances log and balances on hand to determine if it 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.